Coast Guard Publication 1

Doctrine for the U.S. Coast Guard

February 2014

Throughout this Publication, hyperlinks and quick reference codes (QRC) leading to additional information found on the Coast Guard's and Coast Guard Historian's web sites.

Coast Guard Doctrine

Students of Coast Guard history note the connection between specific periods, actions, and events to enduring themes that remain visible in today's Coast Guard missions, culture, and concepts of operations. These connections are highlighted by describing the enduring theme in the margin of the text that describes the historical setting during which they developed.

Mission Themes

In-depth information, of people, events and concepts

This publication is not intended to, and does not, create any right, benefit, standard, substantive or procedural, enforceable at law or in equity by any party against the United States of America, its departments, agencies, or entities, its officers, employees, or agents, or any other person.

Doctrine for the U.S. Coast Guard

Coast Guard Publication 1
February 2014

Maintaining a proper look-out by sight and hearing is one of the basic tenets of standing a taut watch at sea

THE COMMANDANT OF THE UNITED STATES COAST GUARD
WASHINGTON, D.C.

Our Coast Guard began in 1790 with a plan to govern the maritime commerce of our fledgling Nation. In that year, Congress authorized the construction of ten cutters to improve enforcement of customs duties and tonnage taxes. Since then our responsibilities have continuously expanded to encompass every aspect of maritime governance. Today, as the Nation's maritime first responder, we fulfill our present day strategic mission of ensuring the Safety, Security and Stewardship of the Nation's waters by protecting those on the sea, protecting the Nation against threats delivered by sea, and protecting the sea itself.

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

All Coast Guard men and women (active, reserve, civilian, and auxiliarist) rely on proficiency in craft, proficiency in leadership, and disciplined initiative to ensure mission success.

All Coast Guardsmen, and anyone about to become part of the extended Coast Guard family, should read and embrace the heritage, history, and enduring lessons presented in this document. Publication 1 describes where we came from, who we are, and where we're going. This is our way, and it is our enduring legacy for the Service.

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

Semper Paratus. Stand a taut watch.

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

Table of Contents

Introduction 1

CHAPTER 1

Doctrine For The U.S. Coast Guard

Coast Guard Mission **5**
- *Maritime Safety* *7*
- *Maritime Security* *10*
- *Maritime Stewardship* *16*

Coast Guard Forces **20**
- *Coast Guardsmen* *20*

Operational Force Structure **21**
- *Shore-Based Forces* *21*
- *Maritime Patrol Forces* *22*
- *Deployable Specialized Forces* *24*

CHAPTER 2

An Evolving Coast Guard

1790 To 1865: Revenue Protection And More **27**
- *Revenue Cutters For National Defense* *29*
- *Supporting Maritime Commerce* *30*
- *Law Enforcement In A Restive Nation* *31*
- *Revenue Cutters In The Civil War* *32*

1866 To 1914: Expanding Duties For A Growing Nation **32**
- *Sumner Kimball And Service Reform* *33*
- *Growing Civil Duties* *34*
- *Spanish -American War* *36*

1915 To 1916: Establishment Of The U.S. Coast Guard **37**

1917 To 1946: A Service Forged By War, Crisis, And Consolidation **39**
- *The Coast Guard In World War I* *39*
- *Interdiction And Buildup* *40*
- *Incident Management* *42*
- *The Waesche Consolidation* *43*
- *National Defense To The Fore* *44*

1947 To 1972: Sorting Out Roles And Missions **49**
- *An International Role In Peacetime And In War* *49*
- *Expanding Civil Responsibilities* *50*
- *Finding A New Home* *51*

1973 To 2001: Increasing Maritime Governance Focus **51**

September 11, 2001, And Beyond: Preparing For All Threats, All Hazards **55**
A Dark Moment And New Chapter For The Coast Guard *55*
Crisis Leadership: Hurricanes And Other Major Incidents *56*
Echoes From The Past *58*

3

The Enduring Nature Of Our Service

Ethos **61**
Core Values **63**
The Anchors That Define Us As Coast Guardsmen **64**
Proficiency In Craft *64*
Proficiency In Leadership *65*
Disciplined Initiative *66*
Maritime Focus **67**
A Unique Service **68**

4

Principles Of Coast Guard Operations

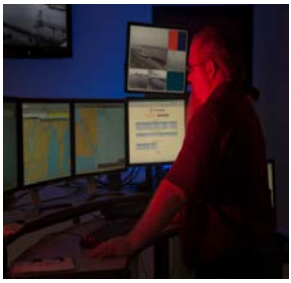
The Principle Of Clear Objective **73**
The Principle Of Effective Presence **74**
The Principle Of Unity Of Effort **78**
The Principle Of On-Scene Initiative **80**
The Principle Of Managed Risk **84**
The Principle Of Flexibility **87**
The Principle Of Restraint **90**

Conclusion **93**

Appendices

A: Glossary **95**
B: Alexander Hamilton's Report To The U.S. House Of Representatives (Section V) **101**
C: Alexander Hamilton's Letter Of Instruction To The Commanding Officers Of Revenue Cutters Circular Of June 4, 1791 ..... **103**
D: Battle Streamers **113**
E: Further Reading **115**

Endnotes **121**



Coast Guardsmen, Active Duty, Reserve, Civilian, and volunteer Auxiliary, reflect diversity in background, education, training, experience, skills, and work assignment, but share a common purpose – ensure the Safety, Security, and Stewardship of America's waters.

Introduction

In 1790, the First Congress of the United States established a small maritime law enforcement component within the Treasury Department to assist in collecting the new Nation's customs duties. For the next eight years, this Revenue Marine (later called the Revenue Cutter Service) was the Nation's only naval force and was soon assigned military duties. Over time, the Revenue Cutter Service merged with or absorbed other federal agencies. The Service acquired new responsibilities based upon its ability to perform them with existing assets and minimal disruption to its other duties. In some cases, the Service absorbed other agencies because their maritime responsibilities were seen as intersecting with or complementing its own. The result is today's U.S. Coast Guard—a unique force that carries out an array of civil and military responsibilities touching every facet of the maritime environment of the United States.

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

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

Coast Guard Predecessor Agencies

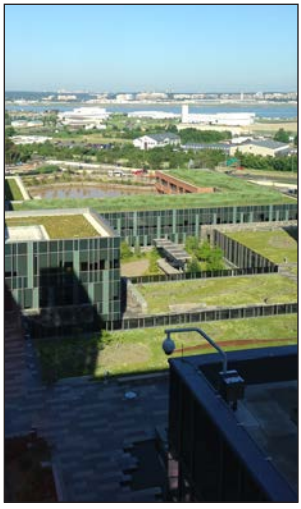
The U.S. Coast Guard of today is the result of the combination of five previously independent federal agencies. They are, from top: U.S. Revenue Cutter Service; U.S. Life-Saving Service; U.S. Lighthouse Service; Bureau of Navigation, re-named the Bureau of Marine Inspection and Navigation after merger with the Steamboat inspection Service.

Publication 1 (Pub 1) explains who we are and what we do. It describes the fundamental roles and forces of today's Coast Guard. In keeping with our military nature, Pub 1 is consistent with Joint Publication 1 (JP 1), which is the capstone doctrine for unified action by the Armed Forces of the United States. It also aligns with Naval Doctrine Publication 1 (NDP 1), which describes how the U.S. Naval Services operate as an integrated force across a range of military operations. However, while we are a military service and a branch of the Armed Forces of the United States at all times, defense readiness is only one of the Coast Guard's missions. Pub 1 describes the full spectrum of our Service responsibilities.

This document traces our history to explain how the Coast Guard acquired its diverse mission set. It explains the unique characteristics and qualities—derived from our history, roles, and missions—that collectively define who we are. Finally, it lays out principles of operations that flow from our particular organizational nature and identity. In other words, it also describes how we do things.

The principles of operations discussed in this publication are Coast Guard doctrine; rooted in our history and distilled from hard won experience, they are fundamental concepts that guide our actions in support of the Nation's objectives. They provide a shared interpretation of the past and a common starting point for thinking about future directions. Together with training and experience, this shared outlook leads to disciplined action.

Because this doctrine is rooted in history, it is enduring. But it also evolves in response to changes in the geo-political and strategic landscape, lessons from current operations, and the introduction of new technologies. Doctrine influences the way policy and plans are developed, forces are organized, trained and employed, and equipment is procured and maintained. It promotes unity of purpose, guides professional judgment, and enables Coast Guard active duty, reserve, civilian, and auxiliary men and women to best fulfill their responsibilities. Pub 1 tells us how we became—and why we are—the United States Coast Guard.



The new Douglas A. Munro Coast Guard Headquarters building is located on the campus of St. Elizabeths in Washington, DC. Completed in 2013, it is the first building constructed for the primary purpose of serving as Coast Guard Headquarters and offers approximately one million square feet of office space. It was designed to meet a rating of "silver" in Leadership in Energy and Environmental Design (LEED) rating system for the design, construction, and operation of high performance, environmentally sustainable buildings, homes, and neighborhoods. With more than 400,000 square feet of plantings, upon construction, the building's "green" roof became the largest in the country.

EAGLE

1 Doctrine for the U.S. Coast Guard

America's enduring maritime interests—its reliance on the seas for commerce, sustenance, and defense—have changed little since colonial days. The U.S. Coast Guard exists to uphold and protect these interests. The United States is a maritime nation, with extensive interests in the seas around us and far beyond. Having 95,000 miles of shoreline and nearly 4.5 million square miles (3.4 million square nautical miles) of Exclusive Economic Zone (EEZ), the United States will always remain tied to the sea. The seas link the Nation with world trade and commerce. Utilizing the seas allows us to project military power beyond our shores, protect important U.S. interests, and assist allies and friends. Alternatively, the seas also serve as highways for criminal and terrorist threats that honor no national borders.

"I believe one measure of a nation's greatness is the resources it provides for mariners to safely and securely approach its shores. That is maritime governance. And it is critical to our National Security."

— Admiral R.J. Papp Jr., USCG, Commandant of the Coast Guard, 2010 - 2014 State of the Coast Guard address, February, 2013.

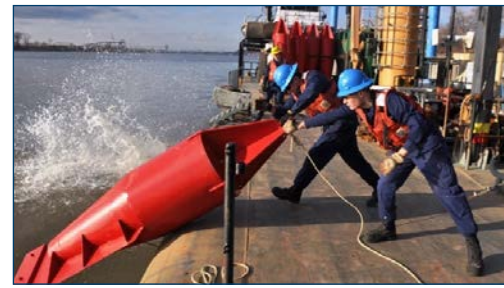
As one of the five military services which make up the Armed Forces of the United States, the Coast Guard exists to defend and preserve the United States as a free nation. We protect important national interests—the personal safety and security of the people; our Nation's territorial integrity; its natural and economic resources; critical infrastructure; and the U.S. Marine Transportation System (MTS)—from all threats, internal and external, natural and man-made. Our Service protects these interests throughout the MTS, comprised of 25,000 miles of inland, intracoastal, and coastal waterways encompassing nearly 200 locks, 361 commercial ports, and 1,000 harbor channels; along America's coasts; in international waters; and in any other maritime region where they may be at risk.

Coast Guard Mission

Since 1915, when the Coast Guard was established by law as an armed force, our mission has been to ensure the safety, security, and stewardship of the Nation's waters. We protect those on the sea, protect the Nation against threats delivered by sea, and protect the sea itself. Employing our unique blend of military,

This characteristic of our people and our platforms—their ability to rapidly react to ever-changing mission requirements—brings greater effectiveness, insight, and agility to bear in any situation.

law enforcement, humanitarian, and regulatory capabilities, we prevent incidents when possible and respond when necessary.



Two Coast Guardsmen prepare to release a red nun buoy used to mark the outer limits of a navigation channel.

The strength of our Service stems from the fundamental manner in which all Coast Guard activities are interconnected to support our mission. For example, maintaining a system of aids to navigation not only enhances safety by preventing accidents, injuries and deaths, it also promotes economic security by facilitating the movement of people and goods. The activity also furthers our stewardship efforts by reducing the likelihood of a hazardous materials release, such as oil, through vessel groundings and collisions. This fundamental characteristic is complimented by highly adaptable Coast Guard people and platforms. For example, the Sector watch standers and boat crew that respond to a vessel on fire are trained to fight the fire, rescue and render first aid to people on board the vessel, manage the response in the event of a related oil spill, and notify or reroute other mariners to minimize the impact of the situation on other maritime traffic. We bring great efficiency, insight, and agility to bear in any situation.

Following the terrorist attacks of September 11, 2001, Congress passed the Homeland Security and the Maritime Transportation

Security Acts of 2002, and transferred the Coast Guard to the newly created Department of Homeland Security (DHS). While these actions affected the Coast Guard's priorities, they did not alter its fundamental goals or the importance of the Coast Guard's work. As criminals and terrorists try to exploit or blend in with legitimate maritime activity, maritime governance becomes a critical component of DHS strategy to protect the homeland. The Coast Guard is recognized as the Nation's premiere maritime first-responder. As an integral part of the DHS–led comprehensive emergency management system, the Coast Guard fulfilled an expanded role in response operations during Hurricanes Katrina and Rita in 2005, the 2010 Haiti earthquake, the Deepwater Horizon oil spill, and other natural and man-made disasters. The Coast Guard continues to build and leverage relationships with federal, state, local, and tribal governments, the private sector, and international partners.

Vessel inspections reduce risk to mariners, the public, and the marine environment.

Maritime Safety

The U.S. government has a fundamental interest in safeguarding the lives of its people. In the maritime realm, the Coast Guard serves this interest. We improve safety at sea through complementary programs of accident prevention, search and rescue, and accident investigation, working with other federal agencies, state, local, and tribal governments, marine industries, and individual mariners.

Coast Guard prevention activities include the development of standards and regulations, various plan reviews, compliance inspections, and a number of safety programs designed to protect mariners.

We develop and enforce vessel construction standards and domestic shipping and navigation regulations. We are America's voice in the International Maritime Organization (IMO), which develops measures to improve shipping safety and security, prevent pollution, train mariners, and standardize certifications.

To ensure compliance, we review and approve plans for ship construction, repair, and alteration. We inspect vessels, mobile

Strict regulatory enforcement helps protect commercial fishermen who perform one of the most dangerous jobs in the U.S.

offshore drilling units, and marine facilities for safety. Our Port State Control program, aimed at ensuring vessel compliance with international standards, is a key element since the majority of the passenger and cargo ships operating in U.S. waters are foreign flagged.

Our commercial fishing vessel safety programs are designed to safeguard commercial fishermen, many of whom earn their living performing some of the most dangerous work in the world. We operate the International Ice Patrol to safeguard ships transiting the North Atlantic shipping lanes. We document U.S. flag vessels and license commercial mariners.

The all-volunteer Coast Guard Auxiliary conducts courtesy safety inspections for recreational boaters.

America has approximately 22 million recreational boats.[1] As National Recreational Boating Safety Coordinator, the Coast Guard works to minimize loss of life, personal injury, property damage, and environmental harm associated with recreational boating. Our boating safety program involves public education efforts, regulation of boat design and construction, approval of boating safety equipment, and vessel safety checks for compliance with federal requirements. The all-volunteer Coast Guard Auxiliary plays a central role in this program.

The maritime domain is large and complex, and the sea is powerful and unforgiving. Despite our best efforts, mariners sometimes find themselves in harm's way. When they do, the Coast Guard has a long heritage and proud tradition of immediate response to save lives and property in peril. As the lead agency for maritime search and rescue (SAR) in U.S. waters, we coordinate the SAR efforts of Coast Guard units with those of other federal, state, and local responders. We also coordinate with the world's merchant fleet to rescue mariners in distress around the globe through the Automated Mutual Assistance Vessel Rescue (AMVER) system.

The Coast Guard conducts life saving exercises in all weather.

The Coast Guard is renowned throughout the world for saving lives. The same military organizational structure and discipline that serves the Coast Guard well in war, serves it equally well in peace. Nowhere is this more apparent than in the prosecution of SAR cases. Our reputation is based on personal courage and selflessness that goes back to the earliest days of the disparate Life-Saving, Lighthouse, and Revenue Cutter Services. Our history is replete with heroes such as Joshua James, Ida Lewis, Captain Josiah Sturgis, the Pea Island Station crew, and countless others who risked their lives repeatedly to save mariners in distress. Nothing fills us with greater pride than the stories of harrowing rescues in which professional Coast Guard men and women rescued victims against all odds. It is no accident that these are stories of success. Preparation for the moment—born of excellent training, support, and equipment blended with courage, discipline, and selflessness—is our hallmark.

Using its Captain of the Port (COTP) authorities and responsibilities, the Coast Guard also coordinates incident and disaster preparedness and response efforts in the maritime domain. In addition to responding to maritime accidents and emergencies, we investigate their causes. We determine whether applicable laws have been violated, or whether changes should be made to improve safety through our prevention programs. This work is often done in coordination with other government entities.

Coast Guard activities in support of maritime safety are often inseparable from those we perform to protect the marine environment or secure the U.S. MTS. A routine inspection for safety compliance may uncover a serious risk to the environment. Coast Guard vessel traffic services not only reduce the risk of vessel collisions, but also provide maritime domain awareness. A buoy tender working an aid to navigation may immediately divert to a SAR case. The integration of all Coast Guard operations has saved thousands of lives, helped secure our people, and contributed to our national economic prosperity and environmental well-being.

Coast Guardsmen conduct Ports and Waterways Coastal Security patrols routinely, including this security escort of a Staten Island Ferry in the New York City harbor.

Maritime Security

Maritime law enforcement and border control are among the oldest of the Coast Guard's numerous responsibilities. Alexander Hamilton, the first Secretary of the Treasury, persuaded Congress to pass the Act that led to the establishment of the Revenue Marine on August 4, 1790. Revenue cutters were to patrol outside the approaches to our coasts and seaports, boarding ships at sea to more effectively frustrate smuggling and enforce the customs laws of the fledgling Republic. Hamilton organized the new Service along military lines, and convinced President George Washington to commission Revenue Marine officers.

Over two centuries later, that early maritime security challenge has evolved into a global obligation. But our core capability to interdict ships at sea provides the foundation for today's broader and more complex maritime security operations.

The 1915 legislation establishing the Coast Guard recognized again that military discipline and training were critical for the

Coast Guard's national defense duties. Title 14 of the U.S. Code specifies that the Coast Guard is a military service and a branch of the Armed Forces of the United States at all times, not just in wartime or when the President directs. Coast Guard cutters are warships of the United States. This status affords certain rights under international conventions and practice, such as the right to approach any vessel to ascertain its identity and country of origin. It gives our vessels sovereign immunity from other countries' laws. Yet we are the only branch of the Armed Forces of the United States to which *Posse Comitatus*, preventing the other military services from acting as law enforcement agents on U.S. soil, in U.S. territorial waters, or against U.S. citizens under most circumstances, has not been applied.[2] We possess the authority to board any vessel subject to U.S. jurisdiction, or to the operation of any U.S. law, to make inquiries, examinations, inspections, searches, seizures, and arrests upon the high seas and waters over which the U.S. has jurisdiction. We wield this broad law enforcement power with prudence and restraint to suppress violations of our federal and international laws, as well as to secure our nation from terrorist threats.

Because our specialized capabilities are complementary, we are able to leverage our military nature to project force abroad, sustain our traditional missions, or respond to emergent national incidents that often do not involve the use of other military forces.

As the Nation's primary maritime law enforcement service, the Coast Guard enforces, or assists in enforcing, federal laws, treaties, and other international agreements on waters subject to U.S. jurisdiction and on the high seas. The Coast Guard is the designated lead agency for maritime interdiction under the National Drug Control Strategy and the co-lead agency for air interdiction operations with U.S. Customs and Border Protection.

The Coast Guard successfully interdicts narcotics shipments, even when transported in Self-Propelled Semi-Submersible vessels.

Coast Guard undocumented migrant interdiction operations include legal and humanitarian elements.

As such, the Coast Guard defends the approaches to America's maritime borders against a torrent of illegal drugs and other illicit goods. For more than three decades, our cutters and aircraft have forward deployed off Central and South America and in the drug transit zones. They have disrupted trans-national terrorist and criminal organizations by intercepting thousands of tons of contraband that otherwise would have found its way to America's streets, apprehending thousands of suspected narco-terrorists and smugglers, and supporting successful prosecutions in the United States and in many other countries.

Coast Guard undocumented migrant interdiction operations are law enforcement missions with an important humanitarian dimension. Migrants often take great risks and endure significant hardships in their attempts to flee their countries and enter the United States. In many cases, migrant vessels interdicted at sea are overloaded and unseaworthy, lack basic safety equipment, and are operated by inexperienced mariners. Many of the undocumented migrant cases we handle actually begin as SAR incidents.

Our humanitarian reputation, however, goes beyond the SAR mission. Whether responding to an oil spill, providing relief supplies to victims of war or man-made and natural disasters, ensuring safe

Coast Guard missions do not stop at the shoreline. Coast Guardsmen provide humanitarian assistance and disaster relief ashore as well as at sea.

marine transportation, conducting peacetime engagement visits to foreign countries, or working with international organizations to improve the safety of commercial shipping, our Service reflects a commitment to serving others on a daily basis. These activities add a distinctive humanitarian dimension to our character, and help define who we are.

The Coast Guard has served in all our Nation's wars, primarily with the U.S. Navy as a naval augmentation force providing specialized capabilities as required for the defense of our Nation. This began with the Quasi-War with France in 1798, and continued through the Civil War, the World Wars, the Korean Conflict, Vietnam, and Operations Desert Shield, Desert Storm, Iraqi Freedom and Enduring Freedom.

Today, as a critical component of the U.S. National Fleet, we maintain a high state of readiness to operate as a specialized service alongside the Navy and Marine Corps and to provide direct support to combatant commanders.

Coast Guard competencies and resources are included in the National Military Strategy and other national-level defense and security strategies with special emphasis on the following Coast Guard national defense capabilities:

- ***Maritime interception and interdiction;***
- ***Military environmental response;***
- ***Port operations, security, and defense;***
- ***Theater security cooperation;***
- ***Coastal sea control;***
- ***Rotary wing air intercept;***
- ***Combating terrorism; and***
- ***Maritime Operational Threat Response support.***

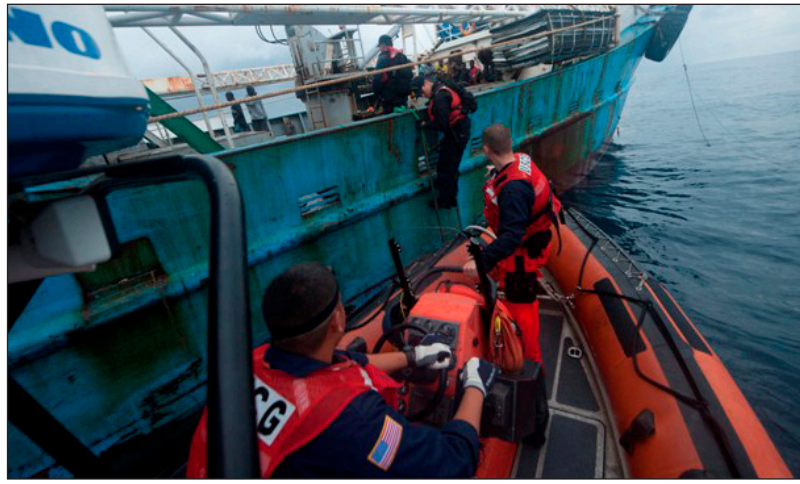
The Coast Guard's working relationship with the Navy and Marine Corps has served the Nation well for over 200 years.

The Coast Guard's pledge to support combatant commanders requires the Coast Guard to execute essential military operations in times of peace, crisis, and war. Unlike the other Armed Forces whose Service Chiefs are not in the military's operational chain of command, the Commandant of the Coast Guard, as Head of Service, retains overall operational command, though command and control is normally delegated to Operational Commanders in the field.

Suspected pirates surrender to Coast Guardsmen.

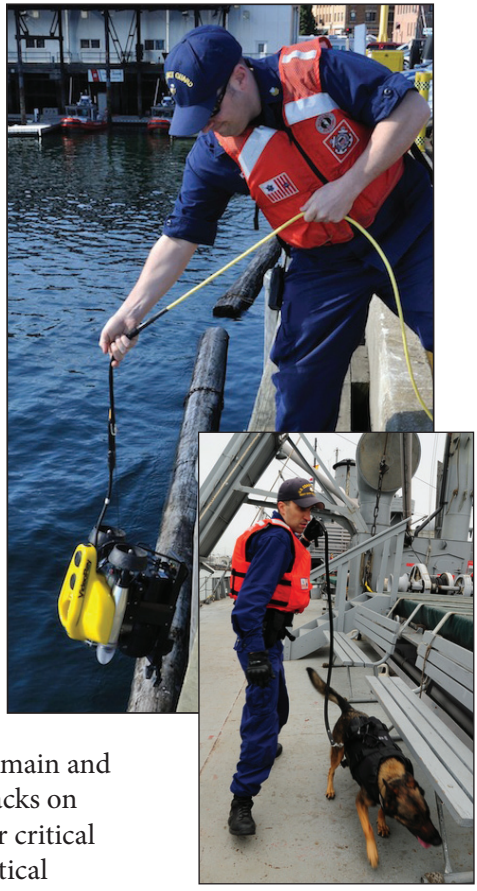
Our law enforcement and port security expertise are uniquely valuable today as combatant commanders work to build foreign nation capacity for security and governance. In recent years, combatant commanders have requested Coast Guard forces to conduct at-sea interception and anti-piracy operations, foreign liaison, and other supporting warfare tasks in all key theaters. The Coast Guard also reduces international tension by promoting global economic security through enhanced international capacity to preserve sustainable fish stocks and other living marine resources.

The Coast Guard has been responsible for the security of the ports and waterways of the United States during times of war since the enactment of the 1917 Espionage Act. After World War II, the Magnuson Act of 1950 assigned the Coast Guard an ongoing responsibility to safeguard U.S. ports, harbors, vessels, and waterfront facilities from accidents, sabotage, or other subversive



U.S. Coast Guard and Sierra Leone law enforcement conduct a joint fishing vessel boarding.

actions. Building on this foundation, the Coast Guard provides expeditionary port security and harbor defense as a key component of national defense operations.



Coast Guard port and vessel security sweeps are critical to keeping our waterways secure.

The national security environment has changed since the end of the Cold War and especially after the horrific terrorist attacks against our country on September 11, 2001. Port, waterways, and coastal security took on increased importance. Denying terrorists the use of the U.S. maritime domain and the U.S. MTS to mount attacks on our territory, population, or critical infrastructure became a critical objective.

Our authorities were further strengthened with the passage of the Maritime Transportation Security Act of 2002. This designated Coast Guard Captains of the Port as the Federal Maritime Security Coordinators (FMSC). The Coast Guard thus became the lead agency for coordinating all maritime security planning and operations in our ports and waterways. These activities encompass all efforts to prevent or respond to threats and hazards.

Maritime security has been central to the Coast Guard's proud history of service to America. It requires a breadth of experience and skills—seamanship, diplomacy, legal expertise, and combat readiness. In conjunction with the other areas of traditional Coast Guard expertise-peacetime military engagement and humanitarian assistance-these skills have been honed for more than two centuries. No other federal agency offers this combination of law enforcement and military capabilities, together with the legal authorities to carry them out.

Enforcing fisheries regulations is vital to protecting our living marine resources from exploitation.

Maritime Stewardship

Our Nation's waters are vital to its well-being and economy. The marine environment of the United States is one of the most valuable natural resources on Earth, containing one-fifth of the world's fisheries resources. It is also a region of extraordinary recreation, energy and mineral resources, and transportation activities. Finally, it is an inseparable part of our national heritage and the daily fabric of life in our coastal communities.

The Coast Guard's role in protecting natural resources dates to the 1820s when Congress tasked the Revenue Marine with the protection of federal stocks of live oak trees in Florida. These trees were deemed critical to the security of our young Nation because they provided the best wood for shipbuilding.

As the exploitation of the Nation's valuable marine resources—whales, fur bearing animals, and fish—increased, we were given the duty to protect those living resources as well. The Coast Guard serves as the primary federal agency for at-sea fisheries enforcement. In coordination with other federal and state agencies, we enforce marine resource management and protection regimes to preserve healthy and sustainable stocks of fish and other living marine resources. Our actions also help to safeguard a

The Coast Guard protects marine mammals and other endangered species.

multi-billion dollar industry, preserving thousands of jobs.

In 1976, the Magnuson-Stevens Fishery Conservation and Management Act created an Exclusive Economic Zone (EEZ), extending our Nation's sovereign rights out to 200 nautical miles for fisheries and other natural resources. The Coast Guard patrols these areas to uphold U.S. sovereignty and protect precious resources. Today, international fisheries agreements have extended U.S. jurisdiction to waters beyond the EEZ.

Our stewardship role has expanded to include enforcing laws intended to protect the environment for the common good. As a result, we safeguard sensitive marine habitats, mammals, and endangered species. We enforce laws protecting our waters from the discharge of oil, hazardous substances, and non-indigenous invasive species.

To do all this, the Coast Guard conducts a wide range of activities. These include education and prevention; law enforcement; emergency response and containment; and disaster recovery. We also provide critical command and control support for forces responding to environmental disasters in the maritime domain. Under the National Oil and Hazardous Substances Pollution Contingency Plan, Coast Guard COTPs are the pre-designated Federal On-Scene Coordinators (FOSC) for oil and hazardous substance incidents in all coastal and some inland areas. The FOSC is the President's designated on-scene representative and, as such, is responsible for coordinating effective response operations among a diverse group of government and commercial entities in sometimes emotionally-charged and often dangerous emergency situations.

Stewardship of tidal wetlands is one aspect of protecting our marine environment.

While the health of our Nation's waters and marine resources is vital to our economy, our waterways are also an economic highway essential to the Nation's access to several billion tons of foreign and domestic freight annually. Waterborne trade generates millions of jobs and contributes hundreds of billions of dollars to the U.S. gross domestic product each year. The U.S. MTS and its inter-modal links support our economic prosperity, military strength, and national security. This complex system includes international and domestic

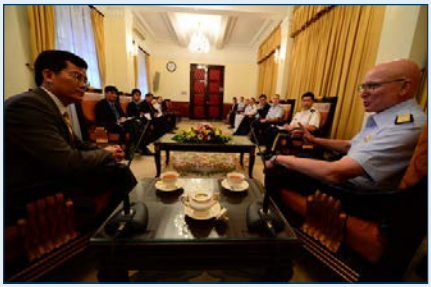
Spotlight on Maritime Governance

The Coast Guard's Expanding International Diplomacy Function

People are often surprised when they find the U.S. Coast Guard performing duties in places far from the U.S. coast. But increasingly, the Coast Guard must accomplish its goals through international cooperation. This reflects our Nation's global security interests as well as the integration of maritime activity within the global system of trade, finance, information, law, and people. The Coast Guard offers three key advantages in international engagement:

The Coast Guard conducts multi-lateral law enforcement training and operations. In 2008, Coast Guardsmen trained with members of the Equatorial Guinea Navy, the Cape Verde Coast Guard, French Navy, and U.S. Navy.

Capabilities relevant to all coastal nations – Many of the world's navies and coast guards have a mix of military, law enforcement, resource protection, and humanitarian functions very similar to those of the Coast Guard. A common nature promotes interoperability and makes us a valued partner. The Coast Guard has a long history of providing training and support to maritime forces around the world. We also have strong partnerships based on common responsibilities, such as the North Pacific and North Atlantic Coast Guard Forums.



In 2013, Coast Guard Commandant Admiral Papp met with Vietnam's Minister of Foreign Affairs Ha Kim Ngoc in Hanoi.

Experience in whole-of-government solutions– Building effective maritime governance requires engagement beyond navies and coast guards. It requires integrated efforts across agencies and ministries, as well as private sector commitment. The Coast Guard's broad statutory authorities, civil responsibilities, membership in the intelligence community, and strong partnerships with industry make it uniquely valuable to the Nation's efforts. We routinely engage other nations through multiple channels and can offer a model maritime code that countries can use to improve their laws and regulations. We also find common purpose in multi-national forums and institutions, such as the International Maritime Organization, where we can help advance global standards for shipping, waterways, and port facilities.

The Coast Guard improves maritime safety and security by strengthening global maritime partnerships through training and other collaborative activities.

Unique Presence – The Coast Guard's character leads many countries to routinely accept or request Coast Guard presence for promoting safety, security, and stewardship, and developing local capabilities. Our blend of military and civil duties allow us to interact at exactly the level requested. Our humanitarian reputation makes our presence welcome in many regions and circumstances. This character of the Coast Guard reflects over two centuries of maritime service, and is sustained today through the enduring professionalism and core values of Coast Guardsmen.

passenger services, commercial and recreational fisheries, and recreational boating.

The Coast Guard carries out numerous port and waterways management tasks. We are responsible for providing a safe, efficient, and navigable waterway system to support domestic commerce, international trade, and military sealift requirements for national defense. We provide short-range aids to navigation; navigation schemes and standards; support for mapping and charting; tide, current, and pilotage information; vessel traffic services; domestic icebreaking to facilitate commerce; and technical assistance and advice.

Finally, with increasing human activity and international interest in the Arctic, the Coast Guard is at the forefront in protecting our Nation's northern frontier. We train and equip our personnel to operate in the extreme, Polar environment and ensure they are ready to respond to crises in both Polar regions. With improved Arctic awareness, modernized maritime governance, and broadened partnerships, our Service is postured to protect national interests and promote international cooperation.

The Coast Guard's ability to ensure maritime safety, security, and stewardship makes us truly a unique instrument of national strategy. We not only safeguard our coasts and the maritime community, we safeguard our economic prosperity.

To improve safety and maintain maritime domain awareness, Coast Guard vessel traffic services monitor the movements of ships and boats.

The diversity and adaptability of our workforce makes the Coast Guard one of the Nation's most valuable military resources.

Coast Guard Forces

The Coast Guard's missions are accomplished by its forces. Coast Guard forces have evolved as we have grown and today reflect the uniqueness of our Service.

Coast Guardsmen

Coast Guardsmen (men and women of the Active, Reserve, Civilian, and Auxiliary supported by strong families) are the Service's most valuable resource. Mission success is made possible by the combined activities of Coast Guard operational and mission support personnel. This teamwork is key to ensuring Coast Guard readiness, agility, and operational excellence. We cannot succeed without the skilled contributions of our active duty and civilian full-time employees, reservists, and auxiliary volunteers. We also rely on the help of our many federal, state, local, tribal, and private sector partners.

The Coast Guard's full-time workforce is made up of approximately 42,000 active duty military personnel and over 6,800 civilian employees.[3] They are augmented when necessary by small numbers of civilians working under contract.

The Coast Guard Reserve offers the opportunity to serve in the military part-time while maintaining a separate civilian career. The

Reserve provides the Coast Guard highly trained and well qualified personnel for active duty in times of war and national emergency, and for augmentation of Coast Guard forces during natural or man-made disasters or accidents. The Coast Guard Reserve, numbering nearly 8,000 members, provides the Coast Guard surge capacity and flexibility to respond to all threats and all hazards.[4]

Over 32,000 strong, the men and women of the uniformed all-volunteer U.S. Coast Guard Auxiliary spend thousands of hours each year, often on their personal vessels and aircraft, helping to carry out Coast Guard missions.[5] On some waterways, Auxiliarists are the principal Coast Guard personnel serving the public. They are probably best known for their boating safety classes and courtesy vessel safety checks. However, since 1997 they have supported all Coast Guard missions except those involving military operations, law enforcement, and intelligence. The Coast Guard Auxiliary is the only all-volunteer component within the Department of Homeland Security.

All together, our Service manages to carry out its missions with a combined force of approximately 88,800 active, reserve, auxiliarist and civilian personnel. By comparison, the next smallest U.S. Armed Force is the U.S. Marine Corps with more than 180,000 active duty members alone.[6]

Operational Force Structure

Coast Guard forces are organized into a maritime trident of forces.

Shore-Based Forces

Shore-based forces are comprised of Sector Commands and specific subordinate units that operate in ports, waterways, and coastal regions of the U.S. and its territories. Sector commands include a command and control element and staff (with organic mission support and intelligence functions), and prevention and response elements. Prevention elements conduct marine inspections, waterways management, and

A Coast Guard Sector Command Center.

marine investigations activities (e.g., aids-to-navigation, issuing safety and security zones, inspecting regulated vessels and facilities, investigating marine casualties). Response elements conduct incident management and enforcement activities. (e.g., SAR, pollution investigation, security patrols, vessel boardings). Shore-based forces execute the broad legal authorities and roles of the Sector Commander, which include:

- ***Captain of the Port (COTP), with authority over maritime commerce and waterways;***
- ***Officer in Charge of Marine Inspection (OCMI), with authority over vessel standards compliance;***
- ***Federal On-Scene Coordinator (FOSC), with authority over oil and hazardous material spill response and preparedness.***
- ***Federal Maritime Security Coordinator (FMSC), with authority over maritime security; and***
- ***Search and Rescue Mission Coordinator (SMC), with authority over rescue operations;***

Subordinate shore-based units include boat stations, aids to navigation teams, marine safety units, vessel traffic services, river, construction, and buoy tenders, and harbor and icebreaking tugs. Although Coast Guard air stations are shore-based commands, all fixed-wing and rotary-wing aircraft that deploy from air stations are categorized as maritime patrol forces because of the capabilities and employment.

Maritime Patrol Forces

CGC Bertholf *coordinates operations with an HC-144A Ocean Sentry Maritime Patrol Aircraft and an MH-65D Multi-Mission Helicopter.*

Maritime patrol forces are comprised of Coast Guard cutters and aircraft, and their crews. These assets deploy primarily in coastal

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

Maritime patrol forces also conduct intelligence, surveillance, and reconnaissance (ISR) activities in support of Coast Guard and national requirements. Maritime patrol forces can also operate in inland areas when required, such as performing mobile command and control, prevention and response operations following a disaster or disruption to normal Sector operations, or when Sectors require augmenting forces.

Coast Guard icebreakers provide the Nation with the ability to project a sovereign maritime presence, increase maritime domain awareness, protect maritime commerce and resources, and support other national interests in the polar regions.

Deployable Specialized Forces

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

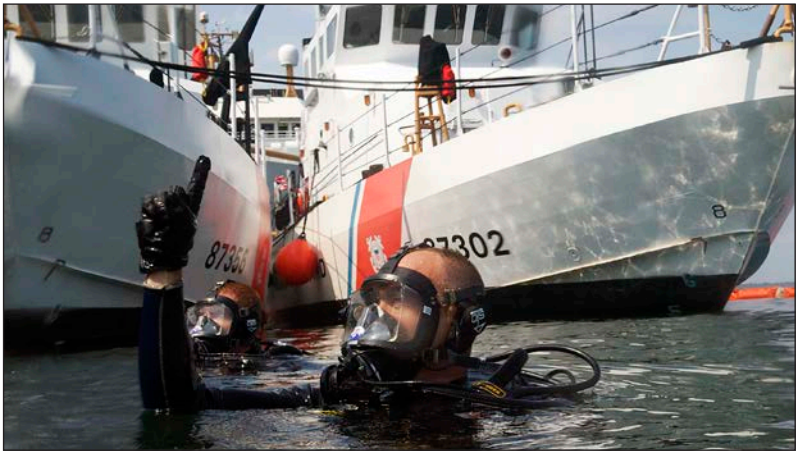
Port Security Units

Maritime Safety and Security Teams and Maritime Security Response Teams

Law Enforcement Detachments

National Strike Force

Military Divers



Coast Guard Deployable Specialized Forces (DSF) engage in a broad range of activities including traditional law enforcement, short notice maritime response to threats delivered from the sea, high-end pollution and hazardous materials response, and military diving operations. DSF, which include some reserve units, may be combined with other forces, both within and outside of the Coast Guard, to form integrated, multi-agency force packages.

2 An Evolving Coast Guard

The Coast Guard's evolution parallels that of the United States, a coastal nation heavily dependent upon the surrounding seas for commerce, resources, and protection against external threats. The predecessor services of the Coast Guard were created to protect our Nation's vital interests. As the Nation grew and those interests evolved, so did these agencies' duties and their relationships with each other. The eventual result was consolidation, beginning in 1915 with the merging of the Revenue Cutter Service and Life-Saving Service, to form the U.S. Coast Guard. By 1946, the Coast Guard had assimilated the Lighthouse Service and the Bureau of Marine Inspection and Navigation (formed after the combination of the Bureau of Navigation and the Steamboat Inspection Service).

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

— Alexander Hamilton, the first Secretary of the Treasury Federalist No. 12, The Utility of the Union in Respect to Revenue From the New York Packet, November 27, 1787 (Earliest recorded reference to what would become the U.S. Coast Guard).

Since then, the Service has been assigned additional statutory responsibilities. The result is that today's Coast Guard, which carries out civil and military duties touching every facet of the maritime environment, bears little resemblance to its collection of ancestor services. Yet the process of integrating these agencies, each with its own culture and characteristics, shaped the Coast Guard in lasting ways. Understanding the evolutionary process that led to the modern Coast Guard provides insight into the unique nature of our Service, and the principles of Coast Guard operations that flow from it.

Coast Guard history can be divided into seven distinct periods. Our ability to uphold and protect the Nation's enduring maritime interests expanded—though not always evenly—during each of these eras.

1790 to 1865: Revenue Protection and More

The founding of the Revenue Marine was motivated by the financial needs of a new nation. After the War for Independence, the United States was deep in debt, and its emerging industries were under tremendous pressure from British imports. The U.S. merchant marine, a mainstay of the colonial economy, had been weakened by losses in the war.

To secure its political independence, the United States first had to secure its financial independence. To accomplish this imperative, Alexander Hamilton, the first Secretary of the Treasury, proposed a bold economic plan, relying heavily on income generated by customs duties and tonnage taxes that discriminated against foreign goods and ships.

Hamilton understood that the new nation could collect customs duties and tonnage taxes only from ships that made it safely to port. Essential to that end were lighthouses, of which there were twelve in 1789, each erected and maintained by local interests.[7] Realizing that lighthouses were of national value, Hamilton proposed to Congress that responsibility for all aids to navigation be given to the central government.

Congress agreed, and on August 7, 1789, the Treasury Department was given responsibility for constructing and maintaining all of the Nation's aids to navigation.[8] In just its Ninth Act, the First Congress thus accepted safety of life at sea as a public responsibility and "launched the national government upon its course of guarding the coast in the interest of safety and security afloat."[9]

Hamilton also understood that in order for his plan to succeed "the Treasury needed a strong right arm"[10] to suppress smuggling and ensure duties and taxes were paid by preventing the landing of cargoes in places other than ports with collectors. Therefore, he sought authorization from Congress to build "so many boats or cutters, not exceeding ten, as may be employed for the protection of revenue."[11] Enacted on August 4, 1790, the Act to Provide More Effectually for the Collection of the Duties Imposed by Law on Goods, Wares, and Merchandise Imported into the United States,

Boston Light, built in 1716, was America's first lighthouse. Retreating British forces burned the original buildings during the Revolution. Pictured is the second tower, built in 1783 and modified in 1859.

and on the Tonnage of Ships or Vessels, authorized the building of ten cutters. The Act also authorized a corps of 80 men and 20 boys—the Revenue Marine—charged with a single purpose: assistance in the collection of customs duties and tonnage taxes.[12]

Revenue Cutters for National Defense

Revenue Cutter Eagle *captured the French privateer* Bon Pére *in 1799 during the Quasi-war with France.*

For nearly seven years, Revenue Marine cutters were the only armed ships the United States possessed, the Navy having been disbanded after the Revolution. Consequently, when the Quasi-War with France loomed in 1797, the Revenue Marine was available for duty and Congress assigned the Service its first military tasks. In the same Act that established the United States Navy, Congress authorized the President to augment the Navy with revenue cutters when needed.[13] Eight revenue cutters were subsequently deployed under Navy control along the U.S. southern coast and in the Caribbean from 1798 to 1799. These cutters performed national defense duties and preyed upon French shipping. At the conflict's conclusion, the Navy retained three cutters and returned five to the Revenue Marine.

For the most part, the Navy considered the cutters too small and slow for strictly naval duties.[14] Nevertheless, the need for sufficient numbers and types of warships led to the Revenue Marine's participation in naval operations on many other occasions. With only six frigates in service, the Navy needed the services of more armed vessels as the Nation entered the War of 1812. Revenue cutters again augmented the Navy, and one promptly captured the first British prize of the war.

Shallow-draft revenue cutters proved useful in the conflicts that erupted along the North American coastline as the Nation

Mission Themes

- Contributing Special Purpose assets and specially trained people in support of National Defense when needed
- Consistent high performance and adaptability in Defense role

War of 1812

Embracing Change

expanded. From 1836 to 1839, cutters engaged in littoral and riverine operations during the Seminole War in Florida. Revenue Marine vessels also participated in amphibious landing operations during the Mexican War from 1846–1848.

Supporting Maritime Commerce

From its earliest days, the Revenue Marine's efforts were not focused solely on customs collections. Instead, the Service adopted a wider role of protecting and fostering—as well as regulating—marine transportation and trade. During the presidencies of George Washington and John Adams, the Revenue Marine began maintaining aids to navigation, assisting lighthouse personnel, and charting coastal waters. It also carried out various health and quarantine measures at major ports, and other law enforcement activities.

The Service also took on the major task of finding and rescuing distressed mariners, something it had done hitherto on an ad hoc basis. In 1831, Treasury Secretary Louis McLane ordered Revenue Marine cutters to begin limited cruising during the winter months to assist mariners in distress. This initiative was so successful that in 1837 Congress authorized the President "to cause any suitable number of public vessels…to cruise upon the coast, in the severe portion of the season…to afford such aid to distressed navigators as their circumstances and necessities may require."[15] Thus began a tradition of assistance to life and property that today is one of the Coast Guard's most widely appreciated missions.

During this same period, steamboats were plying the Nation's rivers and beginning to venture out to sea, but their boilers were notoriously unreliable and dangerous. In 1832, explosions

Culture Theme

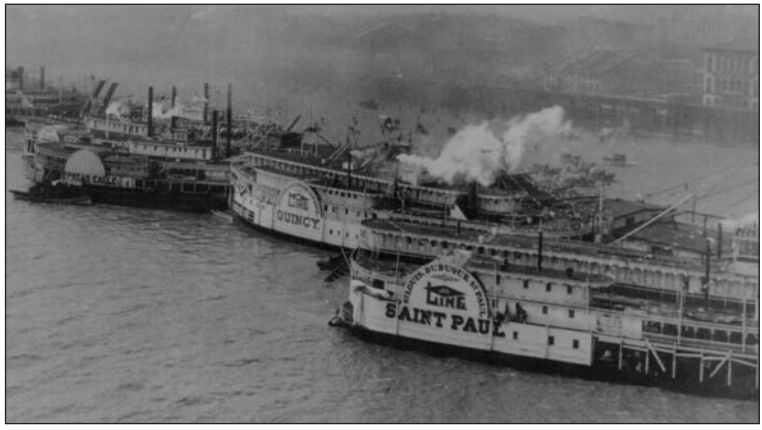
- Continually embracing expansion of mission both within the Maritime Domain, with maritime nexus, and even beyond

Mission Themes

- Maritime First Responder
- Regulating Maritime Safety

Concept of Operations Theme

- Locally Based, Nationally Deployed, Globally Connected



The Coast Guard's entry into the realm of maritime regulatory enforcement began in earnest in the early 1830s.

destroyed 14 percent of all steamers in operation, with the loss of a thousand or more lives. The situation drew cries for action, and in 1838 Congress enacted the first navigation law for "better securing the lives…on board vessels propelled in whole or in part by steam."[16] This Act, which gave U.S. district judges authority to appoint steamboat inspectors, is considered the beginning of an organization that would evolve over the next several decades into the Steamboat Inspection Service within the Treasury Department. It also launched what has become "an enduring national policy of regulating private enterprise in the interest of safety afloat."[17]

Almost ten years later, Congressman William Newell of New Jersey, who years earlier had personally witnessed the grounding of the bark *Terasto* and the death of the crew, set in motion a series of legislative moves that led to the formation of the U.S. Life-Saving Service, effectively federalizing the efforts of independent volunteer organizations, like the Massachusetts Humane Society, which had long protected life in their local communities. The Life-Saving Service and the Revenue Marine worked together closely—Revenue Marine personnel often were temporarily assigned to the Life-Saving Service, and cutters provided material support to lifeboat stations along the U.S. coast.[18]

Law Enforcement in a Restive Nation

The Revenue Marine aided the federal government in enforcing its sovereignty over U.S. affairs, but its actions were not always popular in a country that was still searching for a balance between central and state power. Congress passed the Embargo and Non-Intercourse Acts in 1807 and 1809, respectively, in an attempt to keep the United States neutral during the Napoleonic Wars.[19] Both the Revenue Marine and the Navy were called upon to prevent banned trade — an uncomfortable policy that hurt large numbers of traders, shipping companies, fishermen, and coastal communities.

Mission Themes

- Sovereignty
- Freedom of Navigation
- Enforcement of Laws and Treaties

In 1832, the Revenue Marine was thrust into the national limelight when South Carolina challenged federal authority by refusing to recognize U.S. tariff laws. President Andrew Jackson sent five cutters to Charleston "to take possession of any vessel arriving from a foreign port, and defend her against any attempts to dispossess the Customs Officers of her custody."[20] Due to its link to ocean trade and the revenue that it brought the U.S. Treasury, the Revenue Marine again became part of the federal government's "long arm"—a role it would reprise 29 years later as the country headed

into civil war.

"It had the desired effect."

—Captain John Faunce, USRCS Commanding Officer, USRC Harriet Lane
Comment in Harper's Weekly about firing the first naval shot of the Civil War in Charleston, South Carolina.

Revenue Cutters in the Civil War

As war loomed in December of 1860, the Revenue Marine faced the same dilemma as the Army and Navy. "Each man in federal uniform was forced to decide, and to decide quickly, whether his supreme allegiance lay with a state or with the nation-state."[21] Men chose sides, and the Revenue Marine lost men and cutters as a result.

Some of those who remained were ordered by President Abraham Lincoln into combat service with the Navy.[22] The cutter *Harriet Lane*, which took part in the abortive relief expedition to Fort Sumter in 1861, is credited with firing the first naval shots of the Civil War.[23] Other cutters in service with the Navy performed blockade duty. Cutters not assigned to the Navy patrolled the shipping lanes to safeguard U.S. trade from Southern privateers and to assist distressed vessels at sea. Simultaneously, their usual duty of protecting the Nation's customs revenue took on an added urgency, since that income was critical to the Union war effort.

USRCS in the Civil War

1866 to 1914: Expanding Duties for a Growing Nation

In the aftermath of the Civil War, the Nation's continuing territorial growth and the ongoing expansion of its overseas commerce highlighted the need for a more coordinated approach to maritime safety, security, and stewardship. Reforms that began in the late 1860s improved the effectiveness and efficiency of the Revenue Marine and Life Saving Services, laying the groundwork for the formation of the modern Coast Guard.

Sumner Kimball and Service Reform

In 1869, George Boutwell, Secretary of the Treasury under President Ulysses S. Grant, formed an interim Revenue Marine Bureau under the leadership of N. Broughton Devereux. Devereux, in turn, established boards designed to overhaul and reorganize the Revenue Cutter Service, as it was now known.[24] The Revenue Marine Bureau became a permanent agency in 1871 under Treasury official Sumner I. Kimball.

Sumner I. Kimball

Kimball immediately set out to increase the professionalism of the Revenue Cutter Service. Six months after taking office, he issued revised Revenue Cutter Service regulations that provided for economy of operations, centralized control of the Service at headquarters, and officer accessions and promotions based on merit rather than political influence or seniority. Meanwhile, Bureau Chief Devereux's personnel board, headed by Captain John Faunce, USRCS, reviewed the qualifications of every Revenue Cutter Service officer and removed those found incompetent or otherwise unfit for duty. Officers retained were given rank commensurate with their capabilities, and were thereafter promoted based on the results they achieved on the professional examinations mandated in Kimball's regulations. As a result, by 1872 Kimball could proclaim his junior officer corps the best the Revenue Cutter Service had ever possessed.[25] To ensure a continuous supply of competent junior officers, Kimball persuaded Congress in 1876 to authorize establishment of a training school, thus laying the foundation for the U.S. Coast Guard Academy.[26]

Kimball and his staff also implemented the recommendations of Devereux's other board, which had analyzed the structure of the cutter fleet. From 1872 to 1881 the fleet size increased by just one cutter, but Kimball reduced fleet tonnage by replacing large, aging cutters with smaller, speedier, and more efficient ones sized according to the needs of the ports where they were to be stationed. He also steadily replaced sailing ships with steamers. By 1881, 60 percent of the vessels had been built after 1869, and the ratio of steamers to sailing cutters had risen from 2.5:1 to nearly 8:1.[27] Thanks to the reforms of Kimball, Devereux, and Faunce, the Revenue Cutter Service now boasted a highly professional corps manning modern cutters well-suited to their missions.

Upon appointment as chief of the Revenue Cutter Service, Kimball also instituted a program of inspecting the lifesaving stations in

When Congress passed the Life-Saving Act of 1874, it established the First and Second Class Medals to recognize daring and heroic rescues on U.S. waters. The medals were renamed Gold and Silver Lifesaving Medals in 1882.

The Gold Lifesaving Medal is awarded for demonstrating extreme and heroic daring during a rescue or attempted rescue at risk of one's own life.

The Silver Lifesaving Medal is awarded for extraordinary effort that does not reach the criteria for the Gold Lifesaving Medal.

appalling conditions. As a result of his findings, Congress placed the Life-Saving Service under the supervision of the Revenue Cutter Service and appropriated funds to build lifesaving stations in states along the coast without one, and to staff the stations with paid surfmen. Kimball reorganized the Revenue Cutter Service to accommodate the Life-Saving Service, and applied his considerable talents to systematically improving readiness, training, personnel, and equipment standards. During this period, the Life-Saving Service also expanded its reach to cover the Gulf of Mexico, Great Lakes, and Pacific coast of the United States.[28]

Despite Kimball's effort to inculcate discipline and professionalism, the Life-Saving Service was plagued by claims that unqualified lifesavers were given their jobs solely for reasons of politics and patronage. Compounding the situation were several high profile tragedies, chief among them the losses of the USS *Huron* in November 1877, and the steamer *Metropolis* in January 1878, which produced a tremendous outcry against the Life-Saving Service. Recognizing the need to improve rescue operations, Congress passed legislation on June 18, 1878, authorizing the construction of a number of additional lifesaving stations, removing the Life-Saving Service from the Revenue Cutter Service, and appointing Sumner Kimball General Superintendent of the new Service.[29] Kimball steadily eliminated the system of political patronage that had grown with the Life-Saving Service, replacing it with one based upon technical competence and nonpartisanship. However, coordination with the Revenue Cutter Service remained in force, since Revenue Cutter Service officers continued to serve as inspectors and auditors for the lifesavers.

Growing Civil Duties

Meanwhile, the United States purchased the territory of Alaska in 1867, giving the Revenue Cutter Service a new set of sovereignty and resource protection responsibilities. In addition to increased law enforcement obligations, the Revenue Cutter Service performed many civil and humanitarian

Crewmen from the Revenue Cutter Bear *haul supplies to whaling vessels trapped in the ice near Point Barrow, Alaska, in 1888.*

Captain Richard Etheridge
And the Pea Island Lifesaving Crew

On January 24, 1880, Captain Richard Etheridge became the first African-American to command a U.S. Life-Saving Station. The Service appointed him as Keeper of the Pea Island Life-Saving Station, near Cape Fear, North Carolina, based on the recommendation of Revenue Cutter Service First Lieutenant Charles Shoemaker:

"*Richard Etheridge is 38 years of age [and] has the reputation of being as good a surfman as there is on this coast, black or white…. I am aware that no colored man holds the position of keeper in the Life-Saving Service. I have given the matter as careful consideration as I am capable of and have weighted every argument for and against its adoption…I am fully convinced that the efficiency of the service at his station will be greatly advanced by the appointment of this man to the Keepership.*"

The Pea Island Life-Saving Station crew: (left to right) Captain Etheridge, Benjamin Bowser, Dorman Pugh, Theodore Meekins, Lewis Wescott, Stanley Wise, and William Irving.

Soon after Captain Etheridge's appointment, he supervised the construction of a new station and developed rigorous lifesaving drills that enabled his crew to hone their skills. The Pea Island Station quickly earned the reputation as "one of the tautest on the Carolina Coast," with Captain Etheridge known as one of the most courageous and ingenious lifesavers in the Service.

On October 11, 1896, Captain Etheridge's rigorous training drills proved to be invaluable. The three-masted schooner, E. S. Newman, was caught in a hurricane while en-route from Providence, Rhode Island, to Norfolk, Virginia. The ship lost all sails and was blown 100 miles south off course before it ran aground near Pea Island.

Captain Etheridge and his crew quickly swung into action, hitching mules to the beach cart and hurrying toward the vessel. Arriving on scene, they found the vessel's captain and eight others clinging to the wreckage. High water prevented them from firing a line to the schooner with a Lyle gun, so Captain Etheridge directed two surfmen to bind themselves together with a line. Grasping a second line, the pair fought through the breakers while the remaining surfmen secured the other end on shore. The two surfmen reached the wreck and, using a heaving stick, got the second line on board. With that line tied around one of the crewmen, the crew on the beach pulled all three back through the surf to safety. After each trip, the line was tied around two other surfmen who replaced those who had just returned. The seemingly inexhaustible Pea Island lifesavers journeyed through the perilous waters a total of ten times, rescuing the entire crew of the E. S. Newman.

For their efforts, the all-African-American crew of the Pea Island Life-Saving Station were awarded the Gold Lifesaving Medal posthumously on March 5, 1996. Captain Richard Etheridge died while in service on May 8, 1900.

Mission Themes

- Promoting Maritime Commerce while Promoting Safety
- Stewardship

1900 Galveston Hurricane

1906 San Francisco Earthquake

1912 Katmai Eruption Report

duties, and mounted scientific expeditions. It was entrusted by the Bureau of Education to deliver teachers to the native communities. In fact, so instrumental was the Revenue Cutter Service in establishing the authority of the federal government in Alaska that one could say that for many years the Revenue Cutter Service was the government along Alaska's western coast.

With the growth of the U.S. merchant marine, the marine safety and waterways management work of the revenue cutters—supporting marine transportation and trade—also expanded.

Although they acted without a clear statutory mandate, cutter crews had long performed many tasks related to the safety of harbors and cruising grounds. In 1889, Congress passed laws to regulate anchorages, giving the Revenue Cutter Service the duty of enforcing these new laws. In 1906, lawmakers authorized the Service to clear derelict hulks from harbors and their approaches. And in 1910, the Service gained authority over some aspects of pleasure boating.

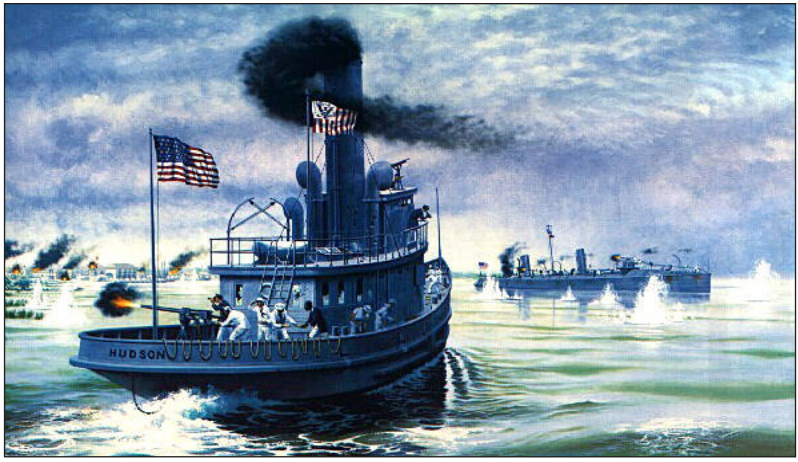
The mission of safety at sea became important internationally with the sinking of the *Titanic* in 1912, and the loss of more than 1,500 lives. This tragic event led the Revenue Cutter Service to assume ice patrol duties the following year when the Navy, which originally had assigned two cruisers to perform that mission, announced it needed the warships elsewhere. The assumption of this seemingly natural function in the North Atlantic reflected long-standing Revenue Cutter Service practice in the Bering Sea. Sea and air ice patrols have now protected northern shipping for more than a century without incident.

The last half of the nineteenth century also saw the Revenue Cutter Service expand its mission of protecting marine resources. Revenue Cutter Service personnel patrolled the Pribilof Islands off Alaska to prevent the ongoing slaughter of seals. The Service also worked with the Bureau of Fisheries to encourage proliferation of "food fishes" and regulated the harvesting and sale of sponges in the Gulf of Mexico.

Spanish-American War

For three years prior to the outbreak of war in 1898, the Revenue Cutter Service conducted neutrality patrols, seizing ships suspected of smuggling ammunition and other supplies to Cuban rebels.

By 1898, both the Navy and the Revenue Cutter Service were more modern, professional organizations than they had been on the eve of the U.S. Civil War. Reflecting this state of affairs, transfer of



USRC Hudson *rescues the disabled USS* Winslow *outside Cardenas Bay, Cuba.*

the revenue cutters to Navy control during the Spanish-American War went relatively smoothly. Once again, the Revenue Cutter Service provided important support to the war effort, performing blockade duty off Cuba, serving with Commodore George Dewey's Asiatic Squadron at Manila Bay in the Philippines, and guarding the homeland against possible Spanish attack. At the request of President McKinley, Congress awarded specially minted medals to the officers and the crew of the cutter *Hudson* (including the War's only gold medal to the captain, Lieutenant Frank H. Newcomb), recognizing their bravery under fire.[30]

The Fighting Captain, Frank H. Newcomb

1915 to 1916: Establishment of the U.S. Coast Guard

The formation of the U.S. Coast Guard actually began with an attempt to abolish the Revenue Cutter Service. In 1911, President Taft appointed Frederick A. Cleveland to lead a commission charged with recommending ways to increase the economy and efficiency of government. The Cleveland Commission concluded that uni-functional agencies were more efficient and economical than multifunctional ones. The commission thus recommended combining the Lighthouse Service and Life-Saving Service, with their similar "protection" function, and apportioning the duties and assets of the multifunctional Revenue Cutter Service among other government agencies and departments. In particular, larger cutters and their crews would be transferred to the Navy.

The Treasury, Navy, and Commerce and Labor Departments were asked to comment on the report. Secretary of Commerce and Labor Charles Nagel presciently suggested combining the Revenue Cutter

Service, the Life-Saving Service, and the Lighthouse Service. While not sure where this new combined service organization should reside within the government, Nagel was adamant that it should not be in the Navy Department.

Secretary of the Navy George Meyer wanted the cutters, but did not relish absorbing Revenue Cutter Service personnel into the Navy. Moreover, he wrote:

> *It is true that the chief functions of the Revenue Cutter Service can be performed by the Navy, but this cannot be done as stated in the Cleveland report in the regular performance of their military duties. All duties which interfere with the training of personnel for war are irregular and in a degree detrimental to the efficiency of the fleet.*[31]

Treasury Secretary MacVeagh

Secretary of the Treasury Franklin MacVeagh was defiant in defense of the Service. He noted that the close and successful working relationship between the Revenue Cutter Service and the Life-Saving Service would be severed by abolishing the Revenue Cutter Service. He disagreed with the Cleveland Commission's conclusion that spreading Revenue Cutter Service duties across the government would generate efficiencies. Finally, he echoed the Navy's argument concerning the nature of Revenue Cutter Service and Navy duties, stating:

> *The [RCS's] work is alien to the work of the Navy, alien to the spirit of the Navy, and alien, I think, to its professional capacities and instincts—alien certainly to its training and tastes.*[32]

Nevertheless, in April 1912, President Taft recommended that Congress adopt the Cleveland Commission's findings.

Meanwhile, Secretary MacVeagh ordered Revenue Cutter Service Captain-Commandant Ellsworth Price Bertholf and Sumner Kimball, head of the Life-Saving Service, to draft legislation that would join the Revenue Cutter Service and Life-Saving Service in a new organization. When Taft and MacVeagh left office after the 1912 election, President Woodrow Wilson and his Treasury Secretary, William Gibbs McAdoo, strongly supported the bill combining the two services. The Senate passed the bill in 1914 and the House passed it in early 1915.

On January 28, 1915, President Wilson signed into law "the Act to Create the Coast Guard" that combined the Life-Saving Service

and the Revenue Cutter Service. At that time, Captain Bertholf was named the first Commandant of the Coast Guard. He realized that joining two organizations with vastly different cultures into a single military service presented a delicate challenge. However, he was absolutely convinced that the military character of the Revenue Cutter Service had to prevail even though large numbers of the lifesavers had no desire to change their civilian status. Consequently, while the Life-Saving Service and Revenue Cutter Service were joined at the top in 1915, they operated as separate entities within the Coast Guard for more than 15 years. Events would soon accelerate the development of a twentieth-century maritime security force formed by the union of these two older institutions.

"There will not be two Services. There will not be a Life-Saving Service and a Revenue Cutter Service. It will be the Coast Guard"

—Captain–Commandant Ellsworth Price Bertholf testimony in 1915.

1917 to 1946: A Service Forged by War, Crisis, and Consolidation

Only two years after its formation, the Coast Guard was called into action as the U.S. was plunged into war. World War I was the first in a series of events that would shape the Service during the next several decades, and expand its maritime duties. Some of these events, such as Prohibition and World War II, significantly increased the size of the Coast Guard.

The Coast Guard in World War I

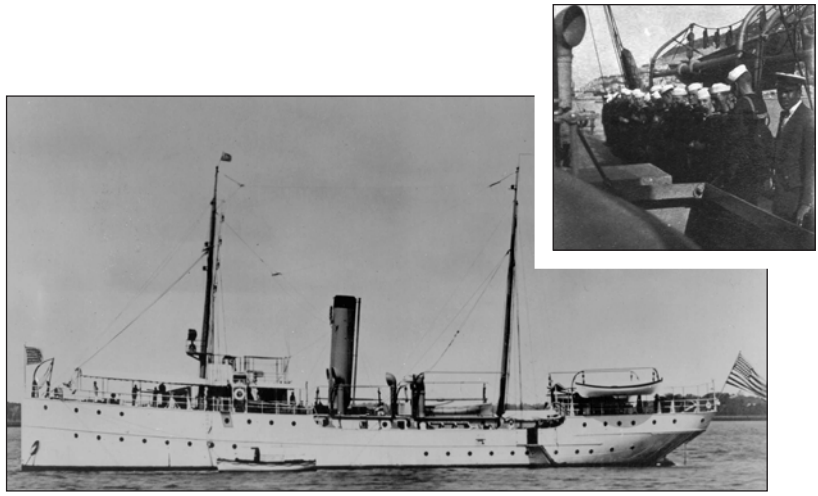
In the period leading up to America's entry into the war, the Coast Guard and Navy began rudimentary planning for integrating the Coast Guard into naval operations—a first in the history of both services. In previous wars, cutters had served under Navy control, but the Revenue Cutter Service itself had remained under the Treasury Department. During World War I, however, the entire Service was transferred to Navy control as prescribed in the Act that created the Coast Guard.

The outbreak of World War I laid the foundation for future Coast Guard – Navy operations.

Beginning in the summer of 1917, six cutters escorted convoys between Gibraltar and the British Isles. In addition, some Coast Guard officers were assigned to command Navy warships and air stations.

Mission Themes

- Captain of the Port Authority
- Port Security
- Marine Transportation System Management



USCGC Tampa *was sunk by a German torpedo in September 1918 with 131 crewmembers onboard.*

At home, one of the Coast Guard's major tasks was port security. Concern over the possibility of accidents and sabotage was acute in the aftermath of an October 1917 collision involving the French ammunition carrier SS *Mont-Blanc*; the resulting explosion killed more than 1,600 civilians, injured more than 9,000 persons, and leveled a large portion of Halifax, Nova Scotia. U.S. ports handled more wartime shipping than Halifax, making the issue of port security even more pressing. As a result, the Treasury Department, working closely with the Navy, established Coast Guard Captain of the Port offices in New York, Philadelphia, Norfolk, and Sault Ste. Marie. The New York office soon became the Coast Guard's largest command.

Thus, the Coast Guard's role of ensuring maritime mobility in U.S. ports and waterways expanded considerably. Along the remainder of the U.S. coast, lifesaving station personnel doubled as coast-watchers, maintaining a lookout for potential infiltrators.

Interdiction and Buildup

When the war ended in November 1918, cutters gradually began to return from overseas service, but the Coast Guard did not pass immediately back to Treasury Department control. A new political storm brewed as proponents of the Navy (including Navy Secretary Josephus Daniels), Congress, and even Coast Guard officers from the old Revenue Cutter Service, struggled to keep the Service permanently under the Navy Department. But in 1919—after strong protests and clever advocacy of Commodore Bertholf and Treasury Secretary Carter Glass—the Service was returned to the Treasury Department.

Mission Theme

- Lead federal agency for all Maritime Law Enforcement

Concept of Operations Theme

- 3-layered strategy: Internal, Coastal, Offshore zones

Another political issue made the period immediately following World War I among the most difficult the Coast Guard has faced, yet prompted its greatest peacetime growth. The National Prohibition (Volstead) Act of 1919 prohibited the manufacture, sale, and transportation of alcoholic beverages within the United States. With no other federal agency prepared to enforce the new law at sea, the bulk of the burden for enforcing the Volstead Act on U.S. waters fell to the Coast Guard.

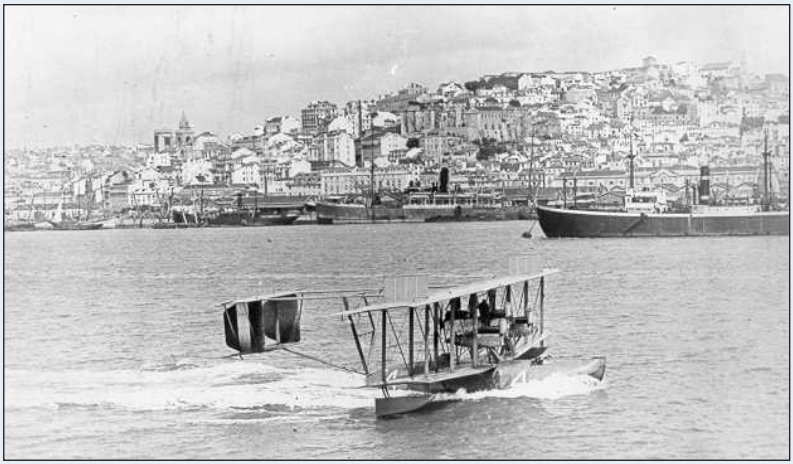
With just over 100 vessels to cover vast distances along the shores of the Atlantic, Pacific, Great Lakes, and Gulf States, the Coast Guard's initial efforts were ineffective. However, beginning in 1924 Congress appropriated funds sufficient to allow the Service to begin a major expansion to meet its responsibilities under the law. Over the next ten years, the Coast Guard budget increased dramatically and the Service grew accordingly. The enlisted force tripled in size, as did the fleet. The Service acquired and refurbished 31 Navy destroyers for use in picketing the foreign supply ships that lay offshore, outside U.S. territorial waters. A large force of specially designed Coast Guard patrol boats and harbor craft, plus a number of seized smuggling vessels, patrolled inshore waters and pursued the rumrunner contact boats. When even this proved insufficient, the Coast Guard began using aircraft to report suspicious vessels. This action demonstrated the usefulness of aviation for Coast Guard missions and spurred significant expansion of the Coast Guard intelligence program.[33]

Intelligence During the Rum War

While this initial buildup, and decade-long effort, began to have a deterrent effect on the rum-runners, the interdiction effort ultimately failed because the law was unpopular, and the demand for alcohol never ceased. In 1933, the 21st Amendment to the U.S. Constitution finally repealed the 18th Amendment and with it Prohibition. Still, the Coast Guard benefited from its Prohibition experience. Patrol boats built during this period conducted numerous missions for many decades and served as prototypes for later vessel classes. Coast Guard communications equipment, procedures, and intelligence methods were significantly improved. Tactics and techniques developed to combat the rum-runners would be used decades later to combat drug smugglers. Additionally, the Service developed international law expertise through its efforts to expand Prohibition enforcement authority over foreign-flagged vessels beyond the three nautical mile limit of the territorial sea.

Aviation Pioneer: CDR Elmer F. Archie Stone

Elmer Stone, the Coast Guard's first aviator, piloted the famous Navy flying boat NC-4 on its record-setting flight across the Atlantic Ocean, helped the Navy develop carrier aviation into a transformative and lethal instrument of naval power, and pioneered the use of aviation for law enforcement and search-and-rescue operations for the Coast Guard. His accomplishments are legendary within the international aviation community as well as within the Coast Guard. His exploits led to his earning the Navy Cross, a Congressional Gold Medal and a Gold Lifesaving Medal. Stone was a true aviation pioneer and trailblazer.



Incident Management

Throughout their histories, the Life-Saving Service and Revenue Cutter Service responded to many instances of flooding in the nation's interior as well as to hurricanes along the coastline. But the flooding of the Mississippi and Ohio River valleys during the 1920s was especially severe. During this decade, at the height of its growing Prohibition responsibilities, the Coast Guard established itself as an indispensible instrument of government disaster relief efforts. The Coast Guard began working closely with the American Red Cross and other federal, state, local or non-governmental entities. In partnership with these agencies, the Coast Guard rescued people and animals in peril, delivered supplies, and provided transportation for relief workers, health care providers, government officials and other personnel. As the experts in relatively new communications technologies, the Coast Guard established temporary communications links, using radio trucks especially built for emergency service, and repaired and restored telegraph and telephone lines. The Service built specialized cutters capable of navigating the inland rivers and became adept

Mission Theme

- Crisis Leadership, Management, and Command and Control

Concept of Operations Theme

- Whole Community approach to incidents that overwhelm local resources

cutters capable of navigating the inland rivers and became adept at transporting hundreds of small boats via rail from coastal stations to inland flooded areas. The Service also began to write and promulgate annual flood plans that provided a framework for coordinating the seemingly annual relief operations of many independent agencies.

For example, in the spring of 1927, the Mississippi River and its tributaries flooded to an extent not then seen in recent memory. The Coast Guard dispatched 128 vessels and small boats and 674 personnel who went on to save or remove "from perilous positions to places of safety" 43,853 persons. They distributed 745 tons of supplies from the Red Cross, transported 72 persons in need of medical assistance to hospitals, including 22 smallpox victims, and

The Coast Guard mobilized a large-scale relief effort during the 1927 flooding of the Mississippi River and its tributaries.

provided over 8,000 Red Cross meals to the refugees.[34]

The Waesche Consolidation

After Prohibition, Admiral Russell R. Waesche, Sr., Coast Guard Commandant from 1936 to 1945, guided one of the greatest transitions in the Service's history. In many ways, his vision was responsible for today's Coast Guard. Waesche oversaw the addition of many responsibilities, the most sweeping of which was Congressional authorization for the Coast Guard to enforce all U.S. laws at sea and within territorial waters. Hitherto, most observers had assumed the Coast Guard had broad law enforcement authority at sea. However, a 1927 Supreme Court case had called that authority into question. At the Treasury Department's request, Congress clarified the situation in 1936. The Service was also tasked to break ice in the Nation's harbors and channels, and took on a small role in the certification of merchant seamen. That role expanded in 1938 to include administration of the U.S. Maritime Service, formed that year to improve the efficiency of merchant mariners.

Admiral Russell R. Waesche, Sr.

Waesche also saw the need to regulate boating activity in the Nation's waters. Lacking the manpower to perform this function, in

Mission Theme

- Promoting Recreational Boating Safety

1939, he created the civilian uniformed volunteer force now called the Coast Guard Auxiliary to meet this specific need. By 1940, the Auxiliary had 2,600 personnel and 2,300 boats that augmented the Coast Guard at a fraction of the cost of a full-time force. Waesche's greatest force multiplier, however, was the military Coast Guard Reserve, created in 1941. This gave the Coast Guard the potential to perform many roles and missions that would otherwise be impossible for a small service.[35]

Also in 1939, as part of President Franklin Roosevelt's reorganization plans, the U.S. Lighthouse Service was placed under the Coast Guard. Waesche welcomed this addition, recognizing that it gave the Coast Guard an all-encompassing role in ensuring the safety of the Nation's waterways. Absorbing the Lighthouse Service also added nearly 50 percent more civilians to the Service, caused a district reorganization, and brought many of the lighthouse personnel and the buoy tender fleet into the Service's military ranks.

Additional responsibilities continued to accrue throughout Waesche's tenure. In 1940, for example, the Coast Guard was tasked with open-ocean weather patrol duties in the North Atlantic (and later northern Pacific Ocean), a service it would continue to perform for nearly 40 years.

National Defense to the Fore

With the outbreak of war in Europe in 1939, the Coast Guard—having had its civil responsibilities vastly increased since World War I—once again shifted focus to emphasize military preparedness. Coast Guard forces played a major role in asserting national sovereignty over U.S. waters and shipping. The Coast Guard began carrying out neutrality patrols in the North Atlantic in September 1939, and put port security forces on a wartime footing the following June.

U.S. strategists also were concerned that Germany would establish a military presence in Greenland, which had been incorporated into the U.S. hemispheric defense system. The U.S. government sought to station military forces on that frozen island, but the State Department cautioned this would be unnecessarily provocative.[36] Eventually, however, the Coast Guard was deemed an acceptable U.S. military presence, and in April 1941, the Coast Guard took responsibility for cold weather operations in Greenland.

By Executive Order 8929 of November 1, 1941, over a month before

Culture Theme

- Embracing Diversity
- A Culture of Innovation

Concept of Operations Theme

- International Engagement through Acceptable Presence

Allied troops wade to shore from a Coast Guard-crewed landing craft during the Normandy invasion, June 6, 1944.

the Japanese attack on Pearl Harbor, Hawaii, President Roosevelt transferred the Coast Guard to the Navy for the second time in its history. Thereafter, Coast Guard cutters and aircraft performed extensive convoy protection and antisubmarine duties in both the Atlantic and Pacific Oceans. Coast Guard craft rescued the survivors of torpedo attacks off the U.S. coast, while Coast Guard coast-watchers maintained beach patrols and guarded U.S. ports. Coast Guard personnel manned Navy warships as well as Navy and Army amphibious ships and craft, and took part in every major amphibious invasion of the war.

"Did they get off?"

—Signalman First Class Douglas Munro, USCG, Medal of Honor recipient Inquiring of the nearly 500 Marines he helped evacuate, just before dying of wounds he suffered in the effort.

Coast Guard personnel served in theater around the globe during the war years, but the Service also made a significant contribution to the war effort in rear areas, protecting and facilitating the movement of men and materiel by sea. Coast Guard activities in maritime mobility—providing port security, supervising the movement of dangerous cargoes, controlling merchant vessel traffic, maintaining aids to navigation, and breaking ice—often received less public attention than more direct combat duties, but they were

USCGC Duane *escorting a North Atlantic convoy in 1943.*

Signalman First Class Douglas A. Munro

Medal of Honor Citation

"For extraordinary heoism and conspicuous gallantry in action above and beyond the call of duty as Officer-in-Charge of a group of Higgins boats, engaged in the evacuation of a Battalion of Marines trapped by enemy Japanese forces at Point Cruz, Guadalcanal, on September 27, 1942. After making preliminary plans for the evacuation of nearly 500 beleaguered Marines, Munro, under constant risk of his life, daringly led five of his small craft toward the shore. As he closed the beach, he signaled the others to land, and then in order to draw the enemy's fire and protect the heavily loaded boats, he valiantly placed his craft with its two small guns as a shield between the beachhead and the Japanese. When the perilous task of evacuation was nearly completed, Munro was killed by enemy fire, but his crew, two of whom were wounded, carried on until the last boat had loaded and cleared the beach. By outstanding leadership, expert planning, and dauntless devotion to duty, he and his courageous comrades undoubtedly saved the lives of many who otherwise would have perished. He gallantly gave up his life in defense of his country."

Signalman First Class Douglas A. Munro (manning the machine gun in the foreground).

Captain Quentin R. Walsh

Navy Cross Citation

"For extraordinary heroism and distinguished service in the line of his profession as Commanding Officer of a specially trained U.S. Naval Reconnaissance Party assigned the mission of reconnoitering the Naval Facilities and Arsenal at Cherbourg, France, on 26 and 27 June 1944. A gallant and aggressive leader, Commander Walsh courageously engaged in active street fighting with the enemy as he led his party in the skillful penetration of the eastern half of the city and, while advancing through scattered pockets of resistance and extremely hazardous areas which were still subjected to hostile fire, accepted the surrender of approximately four hundred enemy forces at the Naval Arsenal and disarmed them. Subsequently receiving the unconditional surrender of three hundred and fifty other officers and men, he released fifty-two United States Army Paratroopers who were prisoners in the fort. Commander Walsh's brilliant initiative, inspiring leadership and successful accomplishment of a difficult mission reflect great credit upon himself, his command and the United States Naval Service."

Lieutenant Commander (later Captain) Quentin R. Walsh was a member of the logistics and planning section, U.S. Naval Forces in Europe during World War II. In preparation for Operation Overlord (D-Day), he participated in planning the liberation of Cherbourg, France, so that it could be used as a vital supply depot for the invading allied forces.
Lieutenant Commander Walsh's plan called for the formation of a specially trained 53-man naval reconnaissance unit to determine the condition of the port after its capture. While leading the special mission to the port of Cherbourg, he and his men met up with elements of the U.S. 79th Infantry Division and joined them in fierce house-to-house fighting against the Germans. The Allied forces quickly captured the eastern part of the port, while most of the Germans retreated to the western section of the city.

Lieutenant Commander Walsh personally led a 16-member unit of his special task force on a raid to an arsenal and adjacent waterfront in the western section. Armed with bazookas, hand grenades, rifles, and submachine guns, he and his party overcame sniper fire to capture underground bunkers and 485 Germans in the arsenal area. Lieutenant Commander Walsh's command went on to capture Fort Du Homet and its garrison. Upon entering the fort, he convinced the Germans that the city had already fallen. He then accepted the surrender of 350 German troops and liberated 53 American paratroopers of the 101st Airborne Division who had been prisoners since D-Day. Lieutenant Commander Walsh was awarded the Navy Cross for his heroic actions.

LORAN 1

LORAN 2

World War II expanded the Coast Guard's opportunities to experiment and innovate. It was a Coast Guard officer, Lieutenant Commander Lawrence M. Harding, who guided the development of a new electronic Long-Range Aid to Navigation—LORAN—and the subsequent deployment of the LORAN network.[38]

During the war, a few farsighted officers doggedly pursued the development of helicopters, initially to perform antisubmarine surveillance. While they did not achieve success against German and Japanese submarines, these helicopters demonstrated an immediate usefulness in SAR, foreshadowing the role for which they would become famous.

A Coast Guard-piloted HNS-1 helicopter takes off to watch over a convoy in January of 1944.

In addition to driving mission and technological innovation, the war had a major effect on the size, composition, and shape of the Service. During the war years, the Coast Guard experienced a nearly tenfold increase in personnel strength and continued a tradition established by its predecessor agencies of hiring or enlisting personnel to meet the needs of the Service regardless of prevailing views of gender and race. Like the other services, the Coast Guard recruited large numbers of women, but by the end of the war, the Coast Guard led in the efforts to fully integrate African-Americans into its ranks. The courage and willingness of individual leaders and serving personnel to challenge established social norms and boundaries has been a hallmark of the history of the Coast Guard.

The Roosevelt Administration also decided it would be convenient and cost-effective to temporarily transfer the Bureau of Marine Inspection and Navigation to the Coast Guard. The roots of this agency stretched back to 1838, when the Steamboat Inspection Service was created. In 1932, this agency had merged with the Bureau of Navigation, which had been created in 1884. Now called the Bureau of Marine Inspection and Navigation, this civilian agency joined the Coast Guard permanently in 1946. As a result, Coast Guard missions now touched every facet of domestic maritime activity. The Service's duties expanded overseas as well, as the United States took the lead in shaping the post-war world.

1947 to 1972: Sorting Out Roles and Missions

In the post-World War II period, the Coast Guard inherited new missions and once again saw its roles redefined and broadened. The farsighted Waesche created a committee in 1944 to develop a comprehensive post-war plan. The 1948 Ebasco Study, which determined that the Coast Guard was undermanned and underequipped to perform its many and wide-ranging missions, led to legislation that formally delineated the Coast Guard's duties. These included port management, control, and security functions; vessel traffic services; coastal security; and some military roles.

An International Role in Peacetime and in War

After the war, the Coast Guard maintained a significant global peacetime presence as part of its efforts to safeguard transoceanic navigation. The Service retained operational control over numerous LORAN transmitter sites and Marine Inspection Offices located around the world. To support the burgeoning post-war civil aviation, Coast Guard cutters continued to maintain a network of open ocean weather stations until 1977, by which time improvements in weather forecasting and aircraft navigation and safety made the service obsolete. On scene to provide weather information and communications support, cutters on ocean station duty also conducted several high profile at-sea rescues. Perhaps the most significant of these was the rescue of all sixty-two passengers and seven crewmembers from the ditched flying boat Bermuda Sky Queen by the cutter *Bibb* in 1947. Cutters continued to conduct international ice patrols as well, although this duty eventually became the province of Coast Guard aircraft detachments.

The Coast Guard's diverse capabilities and inherent flexibility allowed the Service to support even broader American political and military policies overseas in the post-war period. For instance, the Service helped establish the Japanese Maritime Safety Agency and the maritime forces of Korea and the Philippines. It also began the practice of participating in numerous military exercises with Central and South American navies and conducting training with small navies and coast guards around the world that continues today.

During the Vietnam War, the Coast Guard played a major role in "Operation Market Time," which involved the interdiction of trawlers used by North Vietnam for infiltration and re-supply

USCG in Vietnam War

Coast Guard patrol forces interdicted vessels engaged in North Vietnamese re-supply activities.

activities. In all, five large cutters and twenty-six 82-foot patrol boats and their crews were assigned to the operation. By the end of the Operation, the Coast Guard had boarded nearly a quarter of a million sampans and junks and destroyed more than 1,800 of them. The maritime border of South Vietnam was sealed, eliminating a re-supply route for communist forces.[39]

Expanding Civil Responsibilities

The Coast Guard's civil duties continued to expand in the period following World War II. In 1958, the Service developed AMVER, a ship reporting system able to identify other ships in the area of a vessel in distress so that assistance could be vectored to the site.[40] In 1965, the Service took responsibility for coordinating all SAR operations in U.S. waters, and that same year accepted responsibility for all of the Nation's icebreaking duties. Until then, both the Navy and the Coast Guard had performed icebreaking assignments.

Meanwhile, the Coast Guard's traditional maritime law and sovereignty enforcement role remained important. Circumstances in Cuba, for example, handed the Service a greater role in enforcing U.S. immigration policy and controlling the flow of seaborne migrants. The Coast Guard began patrols to enforce U.S. neutrality and to aid Cuban refugees in the Florida Straits in 1961. Then, in 1965, the Camarioca boatlift first tested the Service's ability to respond to a mass exodus. Repeated mass migrations from Cuba and Haiti over the next three decades would continue to hone Coast Guard capabilities in this area.

Camarioca Boatlift

Finding a New Home

As the Nation moved further into the 20th century the Coast Guard found itself in a familiar situation. The Service had come to perform so many types of maritime missions, in so many areas, and for so many purposes, that it did not fit perfectly in any one federal department. While the Coast Guard and most of its predecessors had been part of the Treasury Department since their founding, the traditional direct link between collecting revenue and the Service had faded. The result was President Lyndon Johnson's decision to incorporate the Coast Guard into the newly formed Department of Transportation in April 1967.[41]

1973 to 2001: Increasing Maritime Governance Focus

In the immediate post-Vietnam War era, the United States continued to face complex and varied threats around the world. Increasingly, the Coast Guard's unique status as a military service and law enforcement agency brought it to the forefront of U.S. maritime security efforts. For instance, social upheaval in the Western Hemisphere highlighted the critical importance of the Coast Guard's undocumented migrant interdiction mission. The Service faced the challenge of mass migrations from Cuba in 1980 and 1994, and from Haiti in 1992 and 1994.

The influx of illegal drugs also came to the fore as a national security problem in the 1970s. The Coast Guard took on the primary maritime interdiction role, and eventually expanded its Caribbean presence to disrupt the illegal drug trade. The Service's efforts effectively neutralized the seaborne importation of marijuana, which slowed to a trickle after a prolonged and concerted Coast Guard effort. Unfortunately, as the marijuana trade dried up, the shipment of cocaine began to increase.

The Coast Guard's environmental protection responsibilities grew as well. While the Revenue Marine had been tasked with protecting valuable natural resources as early as 1822 and defending the marine environment as a whole beginning with the Refuse Act of 1899, growing environmental awareness in the United States pushed the Coast Guard deeper into the pollution prevention realm.[42]

The *Torrey Canyon* and *Amoco Cadiz* tanker groundings led to the Federal Water Pollution Control Act of 1972, in which Congress

set a no-discharge standard for oil in U.S. navigable waters. The practice of discharging shipboard oily residues at sea led to an October 1973 convention adopted by the International Conference on Marine Pollution prohibiting oil discharges within 50 miles of shore.

Given responsibility for coordinating and administering oil spill cleanup in the maritime realm, the Coast Guard adopted a multifaceted strategy for responding to spills and identifying responsible parties. The Service developed techniques to detect spills from the air and to match samples of spilled oil to oil known to have come from suspected polluters. Three strike teams composed of Coast Guard personnel trained to operate special oil spill cleanup equipment were created. And each Captain of the Port identified a local network of contractors who could respond to spills.

Yet the spills continued. On December 15, 1976, the Liberian tanker, *Argo Merchant*, carrying 7.5 million gallons of oil, grounded off Nantucket Island, Massachusetts. While favorable winds drove the oil out to sea instead of onto the beaches of New England, this ecological near miss, together with the fourteen more tanker accidents that occurred in or near American waters during the next ten weeks, led to the Port and Tanker Safety Act of 1978. This legislation created a 200-mile pollution control zone and authorized the Coast Guard to prohibit substandard foreign tankers from calling on U.S. ports.

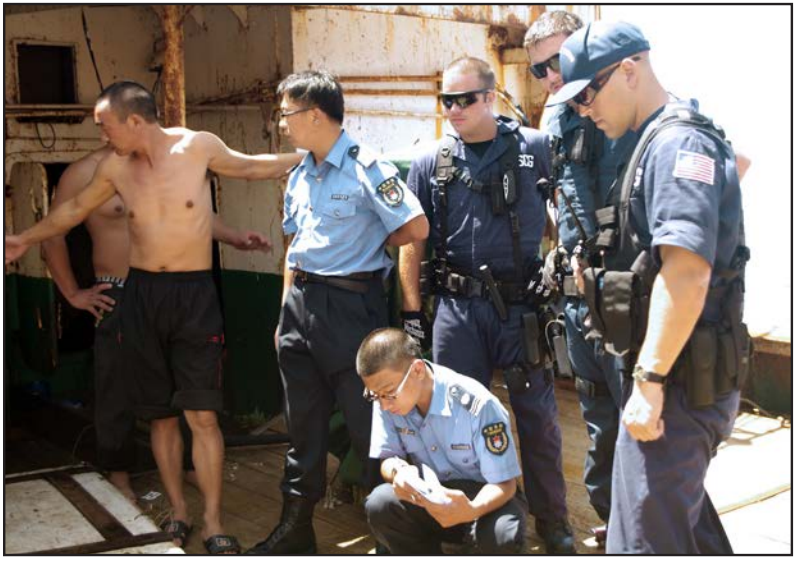
The Coast Guard led clean-up efforts after the grounding of the Exxon Valdez.

The 1989 *Exxon Valdez* oil spill in Prince William Sound, Alaska, had the greatest impact on the Coast Guard's role as protector of the marine environment. The Service would not only oversee the cleanup, but the Oil Pollution Act of 1990 (OPA 90) passed by Congress in the wake of the spill gave the Coast Guard one of its single largest legislative mandates in its history. OPA 90 assigned the Service a significantly increased role in spill response, vessel inspection, and the oversight of liability actions.

During the years following World War II, America also witnessed a number of serious hazardous material incidents. By 1973, the scope of the National Contingency Plan included the framework and regulatory requirements for responding to hazardous substance spills. This placed Coast Guard Federal On-Scene Coordinators and strike teams at the forefront of responding to all releases—not just maritime—in their areas of responsibility.

The experience gained over the next three decades established the Coast Guard as a leader in environmental incident preparedness and response.

Another rising concern pertained to the depredation of America's abundant fisheries resources by large foreign fishing fleets. Although International Conventions from the 1950s that protected certain fish stocks allowed the Coast Guard to document violations, they provided little direct enforcement authority. The 1964 Bartlett Act prohibited foreign fishing in U.S. territorial waters and authorized the seizure of foreign vessels in violation of the



U.S. Coast Guard and China Fishery Law Enforcement Command personnel inspect a fishing vessel suspected of illegally using drift nets on the high seas. Illegal, unreported, and unregulated fishing practices cause estimated annual global economic losses between $10 and $20 billion.

law. Later amendments expanded the protected area to include the contiguous zone, and increased the maximum penalty for violations.

Coast Guardsmen provided Port Security and other specialized capabilities in support of Operations Desert Shield/ Desert Storm.

In 1976, these protections were deemed inadequate. The Magnuson-Stevens Fishery Conservation and Management Act established a 200-nautical mile Exclusive Economic Zone and gave the Coast Guard primary responsibility for at-sea enforcement. In the ensuing decades, a series of legislative enactments and international agreements expanded the scope of protection for the Nation's living marine resources.

The Service played a role in post-Cold War military operations as well. Coast Guard Port Security Units were deployed to the Persian Gulf during Operations Desert Shield and Desert Storm in 1990–1991. At the same time, Captains of the Port ensured the safe transport of expeditionary troops and munitions. In recent years, the unified combatant commanders have requested—and been provided—assets and personnel to conduct maritime interception operations, peacetime military engagement, and other warfare-supporting tasks for deployed Navy Fleets. During Operations Support Democracy (November 1993–August 1995) and Uphold Democracy (October 1994–March 1995), Coast Guard cutters and Port Security Units supported United Nations-led operations to restore democratic institutions in Haiti.

The considerable expansion of Coast Guard responsibilities during this period was not accompanied by concomitant growth in the size of the Service. This situation prompted greater collaboration with others to achieve the shared goals of safe transportation, clean seas, and secure and efficient movement of commerce. Upon this foundation, the Coast Guard developed a well-managed and modern scheme of maritime governance that enables it to lead the maritime community by establishing clear priorities, preparing for and responding to a wide range of challenges, maintaining a coordinated forward presence, upholding the rule of law, fostering

a secure and environmentally responsible maritime environment, addressing hazards, managing risks, and coordinating the development of humanitarian assistance and disaster relief plans.

September 11, 2001, and Beyond: Preparing For All Threats, All Hazards

Mission Themes

- Mass Evacuation
- Ports, Waterways, Coastal Security and Critical Infrastructure, Key Resource Protection

A Dark Moment and New Chapter for the Coast Guard

In the immediate aftermath of the terrorist attacks of September 11, 2001, New York area Coast Guard personnel were among the first responders to the World Trade Center tragedy and assisted in evacuating more than half a million people by water from lower Manhattan. The Coast Guard also mobilized more than 2,700 reservists in the largest homeland defense and port security operation since World War II. These reservists, and their active duty counterparts, provided the manpower and expertise for cleanup efforts in New York City. They heightened security in ports and increased vigilance along the Nation's 95,000 miles of coastline, including the Great Lakes and inland waterways. The Coast Guard's National Strike Force was also at the forefront of a multi-agency response to anthrax cases in Washington, DC, and Florida. But even as these contingency operations gathered momentum, more far-reaching developments were already underway.

Coast Guard National Strike Force members responded to the terrorist attack on the World Trade Center.

9/11 Rogue Wave

Several initiatives begun after September 11, 2001, have changed the Coast Guard in a variety of ways. The Homeland Security Act of 2002 transferred the Coast Guard to the Department of Homeland Security as the maritime element of the Nation's new security organization.

The Coast Guard is now an official member of the interagency U.S. Intelligence Community. New national intelligence resources, including Maritime Intelligence Fusion Centers and field intelligence collectors located at Coast Guard Sectors across

Coast Guard Reservists played a vital role during Operations Iraqi Freedom/ Enduring Freedom.

the country, were created. The Coast Guard also organized and expanded its deployable specialized forces. Existing National Strike Force, Tactical Law Enforcement Teams, and dive locker capabilities were upgraded while a highly trained Maritime Security Response Team and strategically located Maritime Safety and Security Units were created. With these teams, the Coast Guard is capable of responding to a broad spectrum of high threat scenarios ranging from non-compliant and opposed vessel boardings to actual or potential attacks involving weapons of mass effect.

In Operation Iraqi Freedom in 2003, and throughout Operation Enduring Freedom, the Nation again relied upon the Coast Guard's expertise in maritime security and national defense. In addition to a variety of assets and active-duty personnel, nearly half of the Selected Reserves were brought on active duty to carry out homeland security and national defense missions at home and abroad.

Crisis Leadership: Hurricanes and Other Major Incidents
Hurricane Katrina struck the Gulf States on August 29, 2005, causing devastation to a 90,000 square mile area from Grand Isle, Louisiana, to Mobile, Alabama and inland. It was one of the worst natural disasters in U.S. history. The response that followed became the largest domestic SAR operation in recent U.S. history. Over 5,600 Coast Guard men and women deployed from around the country and rescued more than 33,500 people. They also responded to thousands of oil and hazardous material spills totaling over nine million gallons, repaired navigational aids, and restored waterways in and around some of the country's most vital ports. The Coast Guard's proven agility and significant experience in

integrated multi-agency operations makes it the natural choice to provide leadership during national and international crises. In the past decade, the Coast Guard has figured prominently in responses to hurricanes, tsunamis, earthquakes, and the largest marine oil spill in U.S. history following the explosion and sinking of the *Deepwater Horizon* offshore drilling platform.

Responding to natural and man-made disasters is a fundamental Coast Guard capability.

Disasters Index

Echoes From The Past

The modern Coast Guard has evolved into a highly adaptable service capable of addressing all threats and hazards related to the maritime domain. The Coast Guard's ability to quickly shift from one mission to the next using the same platform and crew is perhaps our most important strength. This multi-mission capability, an enduring Coast Guard quality, was achieved by consolidation, and in some cases federalization of the distinctive skill sets and assets of highly specialized predecessor agencies. It is enabled by highly versatile people with specialty skills employing adaptable assets within an agile command and control structure, and is supported by our broad legislative authorities and our relationships with governmental, commercial, and academic entities throughout the world.

After each consolidation, the personnel of one former component were soon performing a blend of duties that included those formerly associated with a different organizational component. Over time, the professional ideals of each component fused, forming a cadre of highly versatile specialists capable of mastering the nuances of many crafts, regardless of their specific technical rating. The Boatswain's Mate rating exemplifies the versatility of our people. Boatswain's Mates are capable of performing diverse tasks associated with navigating and operating cutters and boats, while supervising all personnel assigned to a cutter's deck force, boat station, or aids to navigation team. As coxswains, they are in charge of boats that conduct search and rescue, aids to navigation, law enforcement, short notice maritime response, and port security operations. As the operators of cranes, hoists, and winches, they become experts in weight handling and the use of ropes and cables under strain. They serve in every boat station and on every cutter.

The Coast Guard's buoy tender fleet presents a classic example of our adaptable assets. In addition to setting buoys to ensure the safe navigation of mariners, buoy tender crews deploy oil containment booms to protect the environment, break ice for

Coast Guard fixed and floating assets are designed to operate successfully even when mission demands change over time.

domestic maritime traffic, conduct naval warfare duties, interdict drugs and undocumented migrants, and perform SAR and law enforcement missions.

Coast Guard Sectors demonstrate an adaptable command and control structure by consolidating multi-mission authorities and capabilities under a single regional command authority. Sector personnel respond to mariners in distress, enforce federal laws, and support other federal, state, local, and tribal authorities. They also inspect vessels and facilities for compliance with safety, security, and environmental laws. They restrict access to vessels and facilities when necessary for national security or public safety purposes. They enforce pollution prevention statutes and respond to hazardous substance releases and discharges of oil and refuse into our navigable waters. Sector personnel also supervise or control vessel movement in America's ports and waterways, and investigate marine casualties.

The Coast Guard is the country's maritime first responder and always maintains a high degree of operational readiness.

As the country's maritime first responder, the Coast Guard always maintains a high degree of operational readiness. At the same time, we are the Nation's at-sea law enforcement arm, with the broad authority of Section 89 of Title 14 U.S. Code. Our reach extends to undocumented migrant interdiction, drug interdiction, and fisheries protection. Our versatile cutters stand the watch with a ready flight deck, a boat at the rail, and a trained boarding party always ready to enforce domestic law, observe international standards, and preserve individual human rights. An integral and essential component of the Department of Homeland Security with the distinction of being a "military service and a branch of the Armed Forces of the United States at all times," and a long, proud history of service to our Nation, the Coast Guard remains *Semper Paratus*—"Always Ready."[43]

PRISCILLA

3 The Enduring Nature of our Service

"These poor, plain men, dwellers upon the lonely sands of Hatteras, took their lives in their hands, and, at the most imminent risk crossed the most tumultuous sea…and all for what? That others might live to see home and friends."

—Annual Report of the U.S. Life-Saving Service, 1885.

The nature of our Service is deeply embedded in the Coast Guard motto, *"Semper Paratus."* The Service has built its reputation on being "Always Ready" to meet any maritime challenge by successfully and repeatedly adapting to the situation at hand. However, the evolution of the Coast Guard is characterized by the addition of new roles and missions from a variety of sources including executive orders, congressional action, and the absorption of several agencies. These additional roles and missions were assigned for a very pragmatic reason: we were able to perform them safely, effectively, and efficiently.

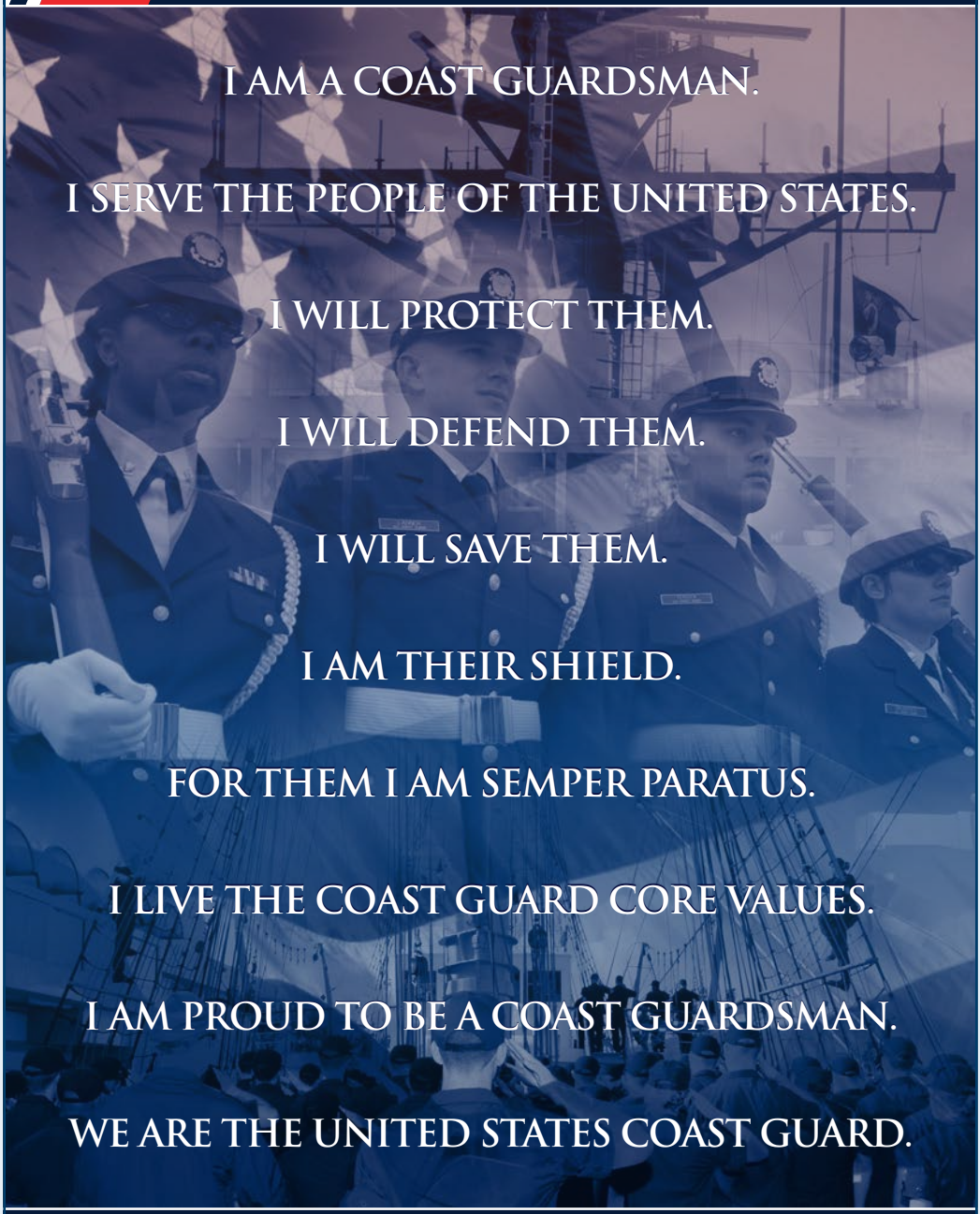
In assuming this succession of new duties, we also developed a unique and distinct character, one embodied by our ethos, shaped by our core values, and reflective of our heritage.[44]

Ethos

An ethos describes the character of a community or people. It is born of the collective reputation of an organization and conveys a credible sense of its ideals, based on its record and integrity.

The Coast Guard Ethos distinguishes us as both a military and humanitarian organization. We serve as defenders, shielding the Nation and its people from harm, and as responders, swiftly mobilizing when harm threatens those within the maritime domain. We are proud of our profession and of the duties we perform. At the heart of the Coast Guard Ethos is the recognition that every Coast Guardsman personally contributes to our reputation. This first-person perspective individualizes the manner in which our core characteristics contribute to our collective success. It expresses the personal commitment the Coast Guard and its members make to the Nation and its people to be "Always Ready" to protect them—now and in the future.

UNITED STATES COAST GUARD ETHOS



I AM A COAST GUARDSMAN.

I SERVE THE PEOPLE OF THE UNITED STATES.

I WILL PROTECT THEM.

I WILL DEFEND THEM.

I WILL SAVE THEM.

I AM THEIR SHIELD.

FOR THEM I AM SEMPER PARATUS.

I LIVE THE COAST GUARD CORE VALUES.

I AM PROUD TO BE A COAST GUARDSMAN.

WE ARE THE UNITED STATES COAST GUARD.

Homeland Security

Core Values

Core values of an organization are the accepted principles we hold that form the foundation on which we perform work and conduct ourselves. These values underlie how we interact with each other and form the basic elements of how we go about our work.

At Recruit Training Center in Cape May, New Jersey, Company Commanders indoctrinate new Coast Guardsmen in the Core Values.

Our core values of Honor, Respect, and Devotion to Duty are distilled from the legacy of service that distinguishes the U.S. Coast Guard.[45] Born of the integrity of Revenue Marine crews protecting a fledgling Nation from privateers and smugglers, the self-sacrifice of sturdy surfmen fighting howling gales to rescue shipwrecked mariners, the diligence of lighthouse keepers who saved countless lives by faithfully tending their lights and fog signals, and the gallantry of boat coxswains landing Marines at Guadalcanal, they have guided our Service for over 200 years. Embodied by the men and women of today who protect our Nation's waterways and ports, stop smugglers, rescue desperate migrants, and protect endangered marine species, our core values have been given merit by Coast Guard men and women who have embraced them and lived them.

Our core values are the bedrock upon which our organizational character and operating principles are built. They provide fundamental guidance for individual decisions and behavior, both on duty and in our private lives. They challenge us to live up to the high standards of excellence exhibited by our predecessors. Whether we are active duty, reserve, civilian, or auxiliary, our core values provide a common ground, binding us together and guiding our conduct, performance, and decisions.

Coast Guard Academy cadets and officer candidates learn navigation, seamanship, and "the ropes" aboard Coast Guard Cutter Eagle.

Coast Guard Core Values

Honor

Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all of our personal and organizational actions. We are loyal and accountable to the public trust.

Respect

We value our diverse workforce. We treat each other and those we serve with fairness, dignity, respect, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.

Devotion to Duty

We are professionals, military and civilian, who seek responsibility and accept accountability. We are committed to successfully achieving our organizational goals. We exist to serve. We serve with pride.

The proficiency of Coast Guardsmen is world renowned.

The Anchors that Define us as Coast Guardsmen

Proficiency in Craft

Coast Guardsmen continuously pursue mastery of the operational arts of our profession-seamanship, airmanship, maritime law enforcement, marine safety and security, and joint military and interagency operations. Operational success also requires proficiency in the mission support areas of logistics, finance, engineering, personnel, information technology, and other key enabling disciplines such as, intelligence, law, and external affairs. Proficiency is more than technical mastery. It also includes the practice of self discipline, adhering to the governing standards and rules of the profession at all times.

Continuous pursuit of proficiency assures us that we will be able to maintain our operational edge as our organization undergoes continuous change while sustaining a broad range of operations and support activities across a diverse array of missions. Proficiency begins with the individual, and extends to the team, the unit, and the organization. Becoming proficient is not an end state, but rather a continual journey towards mastering a specialty. The most familiar proficiencies are those acquired through training, study, education, practice, and hands-on experience.

Proficiency in Leadership

All Coast Guardsmen are leaders. Every member of a crew takes responsibility for self, fellow crewmembers, and accomplishing the mission safely and effectively in an inherently dangerous maritime environment. Proficiency in leadership requires the same commitment and sacrifice as proficiency in craft. Leadership at the team, small unit, and staff levels is vitally important and must succeed in thousands of places every day for the Coast Guard to function.

For Coast Guardsmen, leadership extends beyond authority, responsibility, and accountability. Leaders exhibit humility—placing the duty to serve those they lead, and the Coast Guard, before their own well being. They also exhibit courage—standing up for their people, taking risks when prudence dictates, and doing the right thing no matter the personal cost. They live the Coast Guard's core values and demand that others meet the same high standards.

He was a Leader!

If our plans and designs to keep our nation safe are to be anything other than hollow hope, if they are to be of any use to our service, our Department, or our Nation, there have to be selfless patriots who make the decision every day to answer the nation's call, to throw themselves into the breach, to say to every manner of evil that might confront us: "I will be your shield, I will stand the watch."

Terrell Horne was such a patriot. And I think patriot is the right word. The word patriot speaks to one who loves his country and his countrymen, and is prepared to defend them. And he was that. But honestly, he was much more.

There are other words I could use to describe the commitment and sacrifice of Senior Chief Horne. I could say hero. But we hear that term used so often these days, and, unfortunately, it is sometimes used too casually, in ways that don't merit the full weight of what that word is supposed to mean. And sometimes, because of that, I worry that the word has lost some of its impact, its import.

But make no mistake. Senior Chief Horne was, in every true sense of the word, a hero. His actions … saved the life of a shipmate. As his boat was about to be rammed, just prior to impact, he reached forward, without concern for himself, and pushed his coxswain to safety. Let me say that again. He reached forward. Towards the point of impact. And he pushed his coxswain to safety.

He did what leaders do. Instinctively. Reflexively. He put his crew before himself. He knew that those who lead in our Service hold the lives of their crew in their hands. And leadership like that – like Senior Chief Horne displayed on Sunday and throughout his career – that kind of leadership is the very soul of our service.

And maybe that is the really the best word I can use to describe Senior Chief Horne. He was a leader.

— Coast Guard Commandant Admiral Robert J. Papp
Remarks at the Memorial Service for BMCS Horne

BMCS
Terrell Horne, III

Boatswain's Mate Senior Chief Petty Officer Horne was killed December 2, 2012, from injuries sustained during law enforcement operations near Santa Cruz Island, California.

Coast Guard motor lifeboat crews train to ensure they are prepared to respond to distress calls and maritime emergencies during storms that bring high seas and heavy weather....

... including this rescue of two men whose fishing vessel sank approximately 20 miles offshore.

Disciplined Initiative

Discipline is the soul of a military service. It is learning what to do, how to do it, then doing it right. It begins with training to mold or correct the mental faculties or moral character to an established set of standards of behavior or conduct. Adherence to high standards in all matters, great and small, results in a disciplined Service capable of successfully conducting operations in a dangerous and unforgiving environment and returning safely to do it again.

Discipline is the fertile ground that initiative requires to flourish. Proficient Coast Guardsmen exercise initiative in a disciplined way—after considering policy and doctrine, weighing risks, and applying experience-based prudent judgment, they reach the best decision given the circumstances. They then act accordingly, knowing that judgment calls in difficult circumstances may deviate from doctrine when the risk is warranted.

Leaders do not control their subordinates' every action. Instead, they make sure subordinates fully understand the standards and expectations and how to meet them in a climate of mutual trust. The commander can't be physically present everywhere in the unit, but his or her leadership must be. Leaders hold themselves and their subordinates accountable for following standards in all things. In that environment, discipline establishes a climate of trust for initiative to take root.

Maritime Focus

The maritime region is the Coast Guard's domain. While Congress often employs the statutory phrase on "waters subject to the jurisdiction of the United States" when conferring new duties, the Coast Guard is also a key player internationally. We advance the Nation's lead role in developing and preserving global maritime governance by maintaining enduring relationships with international partners and frequently engaging the international community. We champion global and regional priorities to further worldwide safety, security, and stewardship. This linkage of our authorities and responsibilities with the maritime domain permeates everything we do. Whether at home or abroad, our Service has a maritime nexus.

Given America's historic and continuing dependence on the sea, the creation of a force focused on maritime—though not exclusively military—tasks was inevitable. Maritime trade has always played a key role in the Nation's economic health. Whether transporting dry bulk cargo, petroleum products, passengers, or containerized cargo, ships will continue to provide a cost-effective mode of transportation. Their safe and efficient movement will be an important necessity for the United States. Likewise, fish and fishing fleets have been crucial to the American diet and economy. As the Nation has grown more prosperous, cruise ships, floating casinos, and recreational boats have joined traditional commercial users of U.S. domestic waterways in ever-greater numbers.

U.S. Coast Guard personnel inspect shipping containers in ports around the world as part of the international cooperative effort to ensure the safety and security of the global maritime transportation system.

The Coast Guard Ceremonial Honor Guard at the Coast Guard World War Memorial in Arlington National Cemetery.

A Unique Service

Taken together, the Coast Guard's status as an armed force, its law enforcement authorities, and its reputation for humanitarian service, give it a singular breadth of access among the agencies of the United States. Because of this unique character, U.S. presidents have often found the Coast Guard to be a readily available and useful instrument for responding to national emergencies or enforcing federal policy. We play a critical role in maritime governance while affording a welcome national presence even in highly contested regions. In addition, because we speak the language of both military and civilian organizations. we help coordinate the actions of U.S. and foreign military forces and civilian agencies in the maritime arena. In sum, we can provide the needed presence, access, and influence in nations where humanitarian and constabulary skills are most needed.

Our status as a military force with many civilian duties and responsibilities was closely reviewed when Congress merged the Life-Saving Service and Revenue Cutter Service to form the U.S. Coast Guard in 1915. Captain-Commandant Ellsworth Price Bertholf— the last Commandant of the Revenue Cutter Service and the first Commandant of the newly formed U.S. Coast Guard— forthrightly discussed the nature of the newly created Service in his first annual report to Congress:

> *The Coast Guard occupies a peculiar position among other branches of the Government, and necessarily so from the dual character of its work, which is both civil and military. Its organization, therefore, must be such as will best adapt it to the performance of both classes of*

Damage Controlman Third Class Nathan B. Bruckenthal Bronze Star Medal (with combat "V") Citation

"For heroic achievement in connection with combat operations against the enemy while serving as Boarding Officer with USS Firebolt (PC 10) and United States Coast Guard Law Enforcement Detachment 403 during Operation Iraqi Freedom on 24 April 2004. While patrolling the security zone around the Al Basra Oil Terminal in Iraqi territorial waters, Petty Officer Bruckenthal detected a small, unidentified dhow proceeding towards the oil terminal. After maneuvering the team to screen the oil terminal, Petty Officer Bruckenthal approached the dhow to investigate its actions. As the boarding team drew alongside the dhow, the attacker on board the vessel, realizing he had been discovered, detonated explosives packed on board, mortally wounding Petty Officer Bruckenthal. The explosion alerted all in the area to an ongoing coordinated attack, allowing security forces to destroy two additional explosives laden vessels, thereby preventing massive casualties, irreversible environmental damage, and the destruction of the Iraqi peoples' major economic lifeline. By his zealous initiative, courageous actions, and exceptional dedication to duty, Petty Officer Bruckenthal reflected great credit upon himself and upheld the highest traditions of the Coast Guard and the United States Naval Service."

duties, and as a civil organization would not suffice for the performance of military functions, the organization of the service must be and is by law military. More than 120 years of practical experience has demonstrated that it is by means of military drills, training, and discipline that the service is enabled to maintain that state of preparedness for the prompt performance of its most important civil duties, which…are largely of an emergent nature.[46]

Captain-Commandant Bertholf's statement is no less true today. Coast Guard men and women perform well because they prepare well. In the final analysis, the Coast Guard is a military service, invested with unique law enforcement authorities and leavened with a well-earned reputation for humanitarian service. These singular attributes enable us to satisfy a broad, multi-mission mandate from our Nation. Our core values of Honor, Respect, and Devotion to Duty are key to fulfilling that mandate.

Charged with both military and law enforcement responsibilities, Coast Guardsmen protect the Nation in furtherance of both Homeland Security and Homeland Defense.

Lieutenant Colleen A. Cain

Lieutenant Colleen A. Cain became the Service's third female aviator and the first female helicopter pilot in June 1979. In her brief career, Lieutenant Cain flew many rescue missions and completed her qualifications as Co-pilot, First Pilot, and Aircraft Commander. In 1980, she received the Coast Guard Achievement Medal for saving a three-year-old boy involved in a boating accident.

In the early morning hours of January 7, 1982, while assigned to Air Station Barbers Point, Hawaii, Lieutenant Cain took flight in severe weather, heavy winds, and limited visibility in response to a distress call from a sinking vessel with seven persons on board. While en-route to the sinking vessel, the HH-52A helicopter she was co-piloting crashed into the side of a mountain in the Wailua Valley of Molokai, Hawaii, killing Lieutenant Cain and her two crewmembers, Lieutenant Commander Buzz Johnson and Aviation Survivalman David Thompson. Lieutenant Cain became the first female Coast Guard member killed in the line of duty. A Coast Guard officer wrote of Lieutenant Cain's reputation among her peers:

"Without fail, they regarded her as an exemplary Coast Guard officer, patriot, and human being."

Lieutenant Cain and her fellow crewmembers made the ultimate sacrifice in service to their nation and fellow countrymen, striving to protect life at sea. On October 25, 1985, the Coast Guard dedicated Cain Hall, a 100-room residence hall at Training Center Yorktown, Virginia, to her memory.

COAST GUARD

4 Principles of Coast Guard Operations

Our effectiveness depends in no small part on a set of key ideas about the way we operate. These principles trace their roots to the birth of the Revenue Marine (See **Appendix C**). They have strengthened over time and represent the essence of our Service culture. They describe our operating style and underpin our ability to perform successfully, both domestically and internationally.

The Coast Guard's operating principles encompass both the civil and military elements of our roles and missions. As a military service at all times, the Coast Guard subscribes to the Principles of Joint Operations codified in joint service doctrine. The principles of Coast Guard operations complement the principles of joint operations and accommodate the distinctions between war-fighting and our maritime governance duties.

The principles of Coast Guard operations discussed below apply across the range of Service roles and missions. At times, during engagements with clearly hostile forces for instance, the importance of some of these principles will decrease. Nevertheless, these principles guide our actions in the vast majority of situations we encounter. To be effective, we must remain vigilant and ready to respond to all situations as they arise, keeping in mind all of our principles of operations.

Principles of Coast Guard Operations

- **Clear Objective**
- **Effective Presence**
- **Unity of Effort**
- **On-Scene Initiative**
- **Managed Risk**
- **Flexibility**
- **Restraint**

The Principle of Clear Objective

Every operation should be directed toward a clearly defined and attainable objective. The most significant action a leader can take in planning and executing an operation is to express the overarching objective clearly to subordinates. This principle holds whether the objective is one that has been defined by our national leaders, or by the commander on-scene at an oil spill or some other operation. Once the objective has been defined, we must focus our operations, plans, and efforts on achieving it.

On average, Coast Guardsmen save 13 lives and carry out 64 SAR cases daily.

Some operations are short-lived, and the objectives are easily understood. Rescue the people. Prevent the spill. Clean up the spill. Seize the drugs. Other operations are of a long-term nature, and the objectives may not be as easily defined. For example, the primary focus of a cutter on patrol may be fisheries law enforcement. Yet, like a police officer on a beat, a cutter on patrol is also alert and well prepared to perform all other Coast Guard missions. Nonetheless, on-scene commanders must be able to communicate the central objective of the mission at hand.

The Principle of Effective Presence

At the most basic level, effective presence means having the right assets and capabilities at the right place at the right time. This principle traces its origins to the earliest days of the Revenue Marine. The first revenue cutters were designed specifically to be effective in their designated operating areas—rivers, harbors, and their coastal approaches—and they were assigned to the most strategically important ports. The first Revenue Marine officers came from the ranks of the colonial merchant fleet, former privateers, state naval flotillas, and the disbanded Continental Navy. They were selected because they understood their operating areas and the methods of their adversaries.

Revenue Marine founder Alexander Hamilton explained another aspect of the concept of effective presence in a Letter of Instruction to his officers in 1791:

[I]t will be necessary for you from time to time to ply along the coasts in the neighborhood of your station, and to traverse the different parts of the waters which it comprehends. To fix yourself constantly or even generally at one position, would in a great measure defeat the purpose of the establishment. It would confine your vigilance to a particular spot, and allow full scope to fraudulent practices, everywhere else.[47]

Hamilton was saying that to be effective, units must be active because the "right place to be" changes over time. This is reflected in the assignment of units to different operating areas depending on the anticipated need. Once assigned, cutters and aircraft primarily patrol offshore while boats and marine safety and security personnel patrol ports and waterways.

The Coast Guard's front-line operations have greatly expanded over the last decade with increased authority and responsibilities over a broader reach of the maritime domain. Today, in addition to having the right assets with the right capabilities present, they must also be available in sufficient numbers and in ready condition for both normal and surge operations.

Ensuring an effective presence also requires careful attention to sustaining our assets. Achieving near-term results by operating our assets beyond the level of long-term sustainability risks harming national interests by degrading our ability to respond effectively in the future. We operate our assets to the level—and only to the level—that the logistics system (i.e., people, parts, equipment, and funding) can sustain. We must continually invest in recapitalization and mission effectiveness programs to meet the mission demands of today and tomorrow.

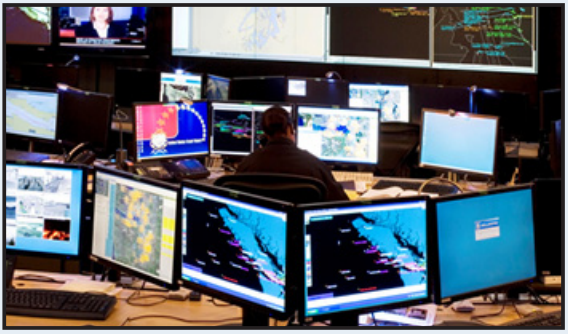
Periodic recapitalization is required to maintain mission effectiveness in light of the ever-changing threat environment.

The Essential Nature of Support to Coast Guard Operations

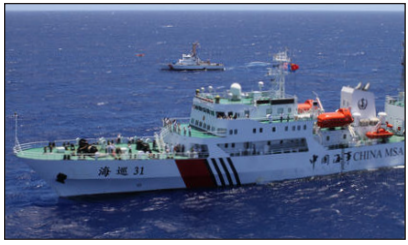
Mission success requires the performance and devotion to duty of all Coast Guardsmen. Support personnel are as critical to mission success as those sailing cutters, flying aircraft, boarding vessels, inspecting facilities, or any other operational activity.

Support functions include:

- Human Resources (including medical and dental care)
- Intelligence
- Engineering and Logistics
- Policy and Planning
- Command, Control, Communications, Computers, and Information Technology
- Capabilities Development
- Finance
- Acquisitions
- External Communications
- Law
- Strategy



A key factor in effective presence is acceptability. Foreign governments and non-governmental organizations often regard Coast Guard forces as welcomed and valued partners. Due to the combination of our military status, our law enforcement authorities, and our reputation for humanitarianism, the Coast Guard offers the United States unique forces with which to pursue national strategies and enforce national policy. Indeed, in many civil and military arenas worldwide, the Coast Guard is ideally suited to cooperate with and provide assistance to foreign governments, navies, coast guards, international organizations, and non-governmental organizations on a broad spectrum of issues.



The Coast Guard is frequently welcomed as a partner in maritime safety and stewardship, even in places where other U.S. Government representatives may not be present.

Coast Guard crews from different units routinely coordinate activities.

The Principle of Unity of Effort

Most Coast Guard operations are performed as a cooperative effort among multiple Coast Guard units working in coordination with diverse governmental and non-governmental entities. Achieving successful outcomes requires positive leadership to ensure clear understanding of the objective and the role that each individual, unit, or organization is expected to play in meeting that objective.

Transparency is a concept implicit in unified operations. Units must work with and around one another in an entirely open manner. Actions must be easily interpreted and understood. Lack of transparency can lead to doubt, confusion, or even mistrust. Any of these can cause a mission to fail.

The concept known as the "chain of command" is an essential element in achieving internal unity of effort. The chain of

Every Coast Guardsman in the chain of command has responsibility, authority, and accountability to their superiors, subordinates, and fellow Coast Guardsmen.

command embodies the principle that every person—and every unit—in a military organization reports to someone higher. A well defined chain of command has three primary characteristics. A clearly recognized span-of-control led by one commander (officer or enlisted) who is responsible for ensuring the needed resources get to the right place at the right time; an effective situation based decision making process; and, a timely, accurate and efficient information sharing process in which authority is passed down from the top and accountability flows upward.

Maintaining an effective and efficient chain of command requires constant attention, because we deploy multi-mission field units under higher-echelon commanders whose staffs are organized along mission or other specialty lines. This calls for a high degree of staff coordination. Respect for the chain of command, especially when coupled with proper staffing, contributes significantly to internal unity of effort.

Coast Guard, other U.S. Government, U.S. Virgin Islands, and industry emergency responders conduct an oil spill exercise in St. Croix.

Unity among organizations is the external counterpart to internal unity of effort. The challenge of external leadership is, in many respects, more demanding. The external entities with whom we deal generally are not under the Coast Guard's authority, and discerning lines of authority for those organizations may be difficult. Moreover, the Coast Guard frequently has to decide among the conflicting and divergent demands of various stakeholders, each of whom represents legitimate and worthy public or private interests.

The Coast Guard's response to the *Deepwater Horizon* oil spill has been instructive to our Service and our Nation. The *Deepwater Horizon* disaster was the Nation's first declared Spill of National Significance (SONS) and the first time in history that a National Incident Commander (NIC) was assigned. Working through the Department of Homeland Security, the Coast Guard led the administration's response, leveraging relationships with more than 47,000 federal, state, industry, non-profit, and volunteer responders

The Coast Guard often supports other U.S. Government agencies in both planned and unplanned incidents.

to recover 34.7 million gallons of oil-water mix, deploy 11 million feet of containment boom, and oversee efforts to clean up over 900 miles of shoreline.

The Coast Guard does not always have the lead or final authority to make decisions in all situations; we are also comfortable in a support role. Nevertheless, the responsibilities and authorities given to the Coast Guard by Congress, and the tendency of the President and the Secretary of Homeland Security to turn to the Coast Guard whenever difficult maritime issues arise, are testimonies to our history of providing effective leadership across diverse and competing interests.

The Principle of On-Scene Initiative

The nature of our operations demands that Coast Guardsmen engaged in front-line operations be given latitude to act quickly and decisively within the scope of their authority, without waiting for direction from higher levels in the chain of command. Disciplined initiative and creative thinking have always been crucial to the success of our Service. Direct operational control was never an option for the Revenue Marine, whose original ten cutters were based from Portsmouth, New Hampshire, to Savannah, Georgia, or for the nineteenth century Life-Saving Service, which relied on 148 remote stations along the U.S. coast.[48] Even today, while advances in technology have given our commanders the ability to exercise greater oversight over units in the field, the concept of allowing the person on-scene to take the initiative—guided by a

firm understanding of the national interests at stake and desired tactical objectives—remains central to the Coast Guard's view of its command relationships.

Many of our operations are of an emergent, unpredictable nature, and we frequently operate in environments in which communications are limited. Situations like these are best handled by personnel near or at the scene. Thus, we push both authority and responsibility to the lowest possible level. This culture is based upon the trust that operational commanders place in their subordinates' judgment. By exercising proficiency in leadership, commanders can be confident that the person on-scene will be proficient in craft and can be depended upon to exercise disciplined initiative.

While decisive action requires unity of effort in getting all parts of a force to work together, rapid action requires a large degree of decentralization, giving those closest to the problem the freedom to solve it. To reconcile these seemingly contradictory requirements, we use the tools known as the "commander's intent" and the "concept of operations." The commander's intent conveys the objective and the desired course of action, while the concept of operations details the commander's estimated sequence of actions to achieve the objective. The concept of operations also contains essential elements of a plan, i.e., what is to be done, and how the commander plans to do it. A significant change in the situation that requires new action will alter the concept of operations, but the commander's intent—their overriding objective—usually remains unchanged.

Coast Guard assets frequently operate in remote locations and under conditions that limit communications.

Waterside Evacuation of Lower Manhattan

Coast Guard boat forces assigned to Activities New York sped toward Lower Manhattan on the morning of September 11, 2001.

On the morning of September 11, 2001, Lieutenant Michael Day, assigned to Coast Guard Activities New York, was preparing to leave for a meeting at 1 World Trade Center when he learned that two planes struck the Twin Towers. With all airports, train stations, subways, bridges, and tunnels closed, the waterways provided the only available evacuation route for the hundreds of thousands of people trapped in Lower Manhattan. Many rushed to the waterfront to escape the effects of the collapsing buildings.

Recognizing that no pre-planned response had been created for this situation, Lieutenant Day grabbed the plan for OPSAIL 2000, because he knew it identified emergency vehicle staging areas and evacuation routes. As he was leaving for the waterfront, he met Andrew McGovern, the pilot of the 100-foot pilot boat New York. The two grabbed extra life jackets and a Coast Guard Ensign, and headed for the pilot boat.

To begin bringing order to the chaotic situation, Lieutenant Day dispatched other Coast Guardsmen to the piers in Lower Manhattan with handheld radios, and, after hoisting the Coast Guard Ensign on the New York, he initiated a marine radio broadcast asking all available boats willing to assist in the evacuation to assemble off the tip of Governors Island and await further instructions.

As burning debris thundered through downtown streets from the destruction of the Twin Towers, Coast Guard-led personnel calmed and directed masses of frantic and distraught people to evacuation points hastily established at the

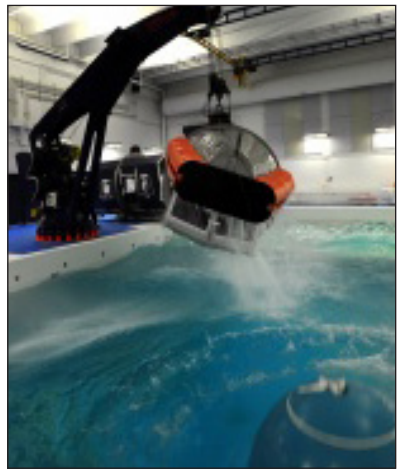
waters edge. Activities New York set up an impromptu vessel traffic control, directing the activities of more than one hundred government, commercial and private ferries, tugs, excursion boats, fireboats, and yachts who volunteered to evacuate survivors and bring relief supplies including water, food, medicine, tools, and equipment. Coast Guardsmen assisted in distributing relief supplies, creating and managing temporary medical and decontamination stations, and CGC Katherine Walker pumped firefighting water to New York City Firefighters battling blazes at ground zero.

To minimize the time needed to complete the evacuation, Activities New York sent its Marine Inspectors aboard high capacity ferries, and authorized them to waive pre-established capacity limits based on their on-scene assessment of safe loading conditions. Because of these initiatives more than 500,000 people were safely evacuated in just nine hours.

As the primary military presence defending the Port of New York and New Jersey, Activities New York mobilized a force of 1,500 active duty, reserve, (including elements of Port Security Unit 305 from Fort Eustis, Virginia), and auxiliary personnel, within 72 hours. To inspect and rapidly clear the large number of commercial vessels carrying critical supplies into one of the world's busiest ports, Activities New York augmented the 60 Coast Guard vessels present by posting joint marine inspection and law enforcement teams aboard pilot boats to conduct boardings at sea. Over the course of the next six weeks, the Activities New York-led "Guarding Liberty Task Force" boarded more than 500 vessels and inspected more than 5,000 containers and 100 port facilities.

The immense scope of the event and limited opportunity for communication with superiors meant that junior personnel on scene had little time to analyze information before making decisions. For their accomplishments, on-scene initiative, and teamwork, Activities New York and the "Guarding Liberty Task Force" received the Secretary of Transportation's Outstanding Unit Award with Operational Distinguishing Device.

The Principle of Managed Risk



The Coast Guard creates testing and training environments to reduce risks associated with our most dangerous operations.

Due to the dynamic and often dangerous environment in which the Coast Guard operates on a daily basis, safe and successful mission execution at all levels is dependent upon our sailors' proficiency in recognizing and managing risk. Coast Guard history is filled with selfless acts of courageous men and women who used their capabilities and wits under hazardous conditions to save the lives of others. This tradition continues today as we perform duties that routinely place us in harm's way. Only through a continuing and observable commitment to the safety of our forces can we minimize unnecessary risk and avoid jeopardizing the mission.

Similar to the principle of unity of effort, managed risk also operates internally and externally. The internal aspect involves the commander's obligations to ensure the unit is properly trained, equipped, and maintained for its mission. The commander must measure crew and equipment capabilities carefully against the operational scenario and desired outcome when assessing whether and how to execute a given mission. Externally, personnel on-scene must also do the same thing to account for changing conditions to make informed decisions that balance safety of life with the success of the mission.

One way we manage risk is through rigorous preparation and readiness to answer the call. Managing risk begins with a thorough understanding of the environment in which we operate and what it takes to be successful. Based on that understanding, we develop operational concepts, acquire appropriate equipment, and train our people. We build on that foundation by continually assessing training and operations to improve our skills, and the readiness of personnel and equipment. As our readiness increases, our risk to the safety of lives, equipment and property decreases.

Preparation alone, however, is not enough. Successful risk management also means knowing your limitations and the limitations of your crew and equipment. Responsible leaders must consider many factors, including the value of the tactical objectives, the capability of their forces, and the conditions likely to be encountered when deciding whether or not to attempt a particular operation. Likewise, crews on-scene do the same thing in order to ensure they remain properly equipped and capable of completing the operation. Through coordination and communication between every level in the chain of command, and by incorporating input from each group involved in the operation, the Coast Guard assesses and mitigates risk in a vertically and horizontally integrated way.

Conscious attention to time-tested and time-honored principles of safe operation is a necessity. In most cases, mismanaged risk is caused by people who are either complacent, overconfident in their own ability to accomplish a mission, or overzealous in their desire to succeed. These behaviors often underestimate or disregard the limitations of themselves, their equipment, and the complexity of the mission, all of which create a recipe for disaster. In even the most routine missions, there is no room for egos or showing off.

Coast Guardsmen train rigorously to reduce risks from even the most dangerous perils encountered in our operating environment.

Confidence is important, but it should be tempered with humility, teamwork, and conscious attention to established standards of safe operations.

When it comes to protecting our Nation, saving lives, or rescuing property in peril, the standard of response in today's Coast Guard remains consistent with our legacy. We regularly honor our heritage by casting off all lines or lifting off to perform a mission that nobody else can or will attempt. We accept the fact that not every risk is within our control, and understand that a successful outcome may rest on the courage and proficiency of our people. At the same time, we also recognize that such risk must be known, respected, and minimized to the furthest extent possible.

The idea of managing risks is not limited to Coast Guard response operations (consequence or incident management). In fact, managing risk through prevention (to reduce the probability of an adverse event) has also been a fundamental aspect of Coast Guard operations. Prevention includes such measures as placing aids to navigation in shipping channels; ensuring that commercial vessels are properly designed, built, and maintained; and providing courtesy marine exams and boating safety education for recreational boaters. Overseeing MTS preparations prior to major storms or hurricanes that approach the United States helps minimize exposure. We broadcast weather advisories, conduct SAR patrols, upgrade the material condition of units, and reposition forces. We also maintain the ability to respond quickly and effectively to adverse events. We deploy forces from across the nation in advance for improved preparations and keep them in place to support post-incident response operations. We acquire rugged ships, boats, and aircraft, and train our crews with prevention in mind. We also monitor unfolding operations, put plans in place, and then create backup plans to further minimize risk when the unexpected does occur.

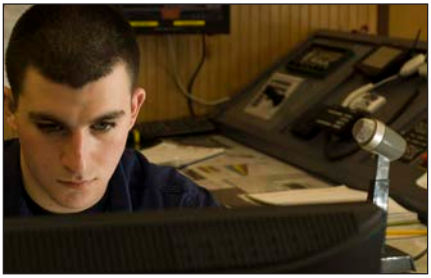
Coast Guard cutter and helicopter crews assess risks independently and jointly before conducting shipboard flight operations.

Finally, prevention and response activities, while focused on different aspects of risk management, are inextricably linked. Neither is superior to the other, and neither is adequate by itself to manage risk effectively. The Coast Guard's overall effectiveness depends on the synergy between these two very different means of achieving success: our operational strengths in the response arena make us more effective in the prevention arena, and vice versa. Preparation, prevention, and response are essential tools for Coast Guard success.

The Principle of Flexibility

This principle represents the expression of our multi-mission character. Arising from a combination of broad authority, diverse responsibilities, small size, and extremely limited resources, the principle of flexibility implies that in order to succeed we must be able to rapidly adjust to a wide variety of tasks and circumstances.

This principle also shares a place in our early history. In the late nineteenth and early twentieth centuries, the crew of the revenue cutter *Bear* conducted an incredible variety of tasks in the waters off Alaska and in the Arctic Ocean. They transported mail, conducted investigations, enforced laws, rescued distressed mariners, conducted soundings to improve charts of Alaskan waters, and provided medical care to natives, prospectors, missionaries and whalers. Most notably, *Bear* succeeded in effecting the greatest rescue of their time: the Overland Rescue of 1897, an arduous



The Coast Guard overcomes its small size through efficiency in operations and investment in highly adaptable people, assets, and systems.

Because the Coast Guard has no forces in garrison status, Coast Guardsmen from around the globe who possess essential skills respond to incidents on extremely short notice. In these situations, Coast Guardsmen work alongside employees and volunteers from other governmental and non-governmental entities.

rescue mission of marooned whalers near Point Barrow, Alaska, the first Arctic voyage ever attempted during the winter season. The ability to adapt their operations to answer the needs of the people they served is attributable to their training, experience, and can-do attitude.

Our units frequently face competing priorities as incidents unfold. Two examples illustrate the point. A cruise ship on fire and drifting toward the rocks is both a SAR case and a potential pollution incident. Similarly, an overloaded boat filled with migrants intent on reaching our shores is both a law enforcement and a potential SAR case. In each instance, responding units must adapt to the circumstances as they unfold, giving priority to the most critical aspect of the situation at the time. Competing priorities can also be unrelated, and there will be times when limited resources will require thoughtful planning to ensure the most critical operations are completed first.

Our most demanding challenges require that we conduct "surge operations"—high-intensity efforts launched on short notice-in response to an emergency situation. Significant examples of events requiring surge operations include the *Exxon Valdez* oil spill of 1989, the mass migrations from Haiti and Cuba in 1992 and 1994, and the massive port security effort following the terrorist attacks of September 11, 2001.

A more recent example involved the catastrophic explosion and subsequent sinking of the mobile offshore drilling unit *Deepwater Horizon* at the Macondo 252 well, located 45 miles off the coast of

Louisiana. The wellhead continuously discharged oil into the sea until capped more than three months later, releasing approximately 4.9 million barrels of crude oil threatening beaches and coastal ecosystems from Louisiana to southern Florida. The Coast Guard response resulted in the deployment of more than 150 assets and 7,000 personnel. For the Coast Guard, responding to large scale and broad scope natural or man-made disasters such as this one requires the equivalent of wartime mobilization.

Surge operations require the Coast Guard to re-allocate large numbers of people and assets to respond to these situations. This affects not only the people and units directly involved, but also demands that the entire Service adapt to find ways to meet the needs of the surge operation while still achieving critical day-to-day operations. When the Coast Guard surges people and equipment in response to a disaster, it may reduce or defer many planned activities such as Marine Transportation System management, law enforcement patrols, and ports, waterways and coastal security in other operating areas. Upon completion of the surge operation, the Coast Guard must then transition back to normal operations, a process that can take some time, as equipment that was destroyed, damaged, or worn out during surge operations must be repaired or replaced. Surge operations are very demanding, but our ability to flow forces in an emergency provides an enormous benefit to the Nation, and serves as a testament to our flexibility.

Our ability to be flexible accounts for our strategic, operational, and tactical success in all of our assigned responsibilities. It is why we are able to conduct operations in the most challenging environments, and is the means by which we maintain our readiness to answer the call.

Coast Guard buoy tender crews utilize oil skimming equipment during the response to the Deepwater Horizon *oil spill in the Gulf of Mexico.*

The Principle of Restraint

Coast Guard personnel have always been under a special obligation to exercise their powers prudently and with restraint. Section 89 of Title 14 U.S. Code confers on Coast Guard personnel an unparalleled level of law enforcement authority. Consequently, the portion of Treasury Secretary Hamilton's Letter of Instruction to Revenue Cutter officers, explaining the need for restraint and the standard to be met, remains as true today as in 1791:

> *[A]lways keep in mind that [your] countrymen are free men and, as such, are impatient of everything that bears the least mark of a domineering spirit…[Refrain, therefore,] with the most guarded circumspection, from whatever has the semblance of haughtiness, rudeness, or insult…[E]ndeavor to overcome difficulties, if any are experienced, by a cool and temperate perseverance in [your] duty—by address and moderation, rather than vehemence and violence.*[49]

The Coast Guard's legacy of public service has shaped our tradition of restraint and good judgment. The Life-Saving Service rescued distressed mariners. The Steamboat Inspection Service protected ships' crews, passengers, and cargo. The Lighthouse Service had similar humanitarian commitments. The Revenue Marine cruised offshore in winter to aid mariners. Today, we do all this and more. Our regulatory and law enforcement missions contribute to the safety and well-being of the American public. Restraint in Coast Guard operations is consistent with this fundamental and longstanding custom of the Service, and preserves the constitutional protections afforded the American people.

Coast Guard boarding teams inspect recreational and commercial vessels for compliance with safety and environmental regulations.

As in the case of unity of effort, transparency is an important element within the principle of restraint. Our actions should be as open as possible under the circumstances. Openness instills public confidence in our decisions and conduct.

Exercising the appropriate level of restraint is a conscious effort that requires good judgment, maturity, and respect for everyone we come in contact with. The majority of people with whom we interact are law-abiding maritime professionals or recreational boaters: fishermen, merchant mariners, port facility workers, families and friends. Few of those who violate federal law do so deliberately; most require no more than education to avoid future minor violations. These people represent the public eye, so it's important that we always exercise our authorities in ways that reflect positively on our Service.

Our restraint extends not only to Americans—it also covers how we treat citizens of other countries with whom we come in contact. Our sensitive handling of undocumented migrants demonstrates that Coast Guard forces can safeguard U.S. interests at sea while upholding the dignity and well-being of all people.

Our ability to balance restraint against the need for decisive and aggressive action in the defense of self and others, or in the interest of maritime safety, security and stewardship, identifies the Coast Guard as a model for the maritime world. We have a duty to enforce U.S. and international law, and must do so in a manner that honors the Constitution we swore to protect and defend.

Coast Guardsmen rescue five Iranian mariners found adrift in a life raft during a period of tension in the Arabian Gulf.

750
U.S. COAST GUARD

Conclusion

"[They] appeal to the interests and better instinct of man because they are symbolic of never ceasing watchfulness, of steadfast endurance in every exposure, of widespread helpfulness."

— George R. Putnam, the first Commissioner of Lighthouses, U.S. Lighthouse Service, 1906-1935, speaking of lighthouses and lightships.

The characteristics and attributes discussed in this publication define a remarkable institution of high purpose and enduring worth to America. We have developed a culture and sense of ourselves that defines who we are at the start of every day. We are public servants with a duty to benefit society by successfully fulfilling our roles and responsibilities. The Coast Guard is the recipient of public trust, and we must remain worthy of that trust. We recognize that few organizations afford their members as much responsibility and authority at junior levels as does the Coast Guard. Regardless of our rank, rate, or position, we are personally charged with careful stewardship of that authority and the resources that have been provided for our use.

Whether we are members of a large unit, a small station, or a crew at sea—whether active duty, reservist, civilian, or auxiliarist—we are one Coast Guard. Our Service is very small with short chains of command, permitting us to be agile and flexible, and change quickly with little effort. Our organization also thrives on the basis of trust among our people; and in turn, their loyalty, sense of responsibility, and professionalism motivate each of us to excel.

As Coast Guardsmen we enthusiastically embrace the heritage of Semper Paratus and our responsibility to live by the values of Honor, Respect, and Devotion to Duty. We are grateful to those who served before us for their day-to-day fidelity to these values. As heirs to this proud historical tradition, we are committed to building on the worldwide respect deservedly earned for the United States Coast Guard.

APPENDIX A

Glossary

These definitions, particularly the ones defining "territorial seas," "high seas," and "exclusive economic zone" are necessarily general in nature, and for most purposes will suffice in understanding the terms and concepts. However, the reader is cautioned that they are not intended to be, nor should they be understood as providing a comprehensive definition that is legally correct in all contexts.

Acceptable Presence – Forward presence by U.S. forces that other countries do not find threatening or objectionable.

Admeasure – To measure the various dimensions, capacities, and tonnage of a ship for official registration.

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

Armed Force(s) – An organized military force of a nation or group of nations.

Automated Mutual-assistance Vessel Rescue (AMVER) System – An international program led by the Coast Guard to provide assistance to any vessel in distress on the high seas. Participating merchant vessels provide sailing plans, periodic position reports, and a list of their vessels' capabilities to the Coast Guard. The AMVER center then supplies a surface picture to rescue centers that contains the position of participating ships in the vicinity of an emergency that can be used to assist a vessel in distress.

Battle Streamers – 2¾-inch wide by 4-foot long cloth ribbons that are attached to the ceremonial standard of our Coast Guard colors. They represent Coast Guard actions—often heroic—in naval engagements throughout the history of our Service. Our earliest battle streamer is for the Maritime Protection of the New Republic from 1790-1797. The Coast Guard started using battle streamers in 1968.

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

Combatant Commander – A commander of one of the unified or specified combatant commands established by the President. There are six Geographic Combatant Commands covering the globe which include:

- United States Africa Command (USAFRICOM)
- United States Central Command (USCENTCOM)
- United States European Command (USEUCOM)
- United States Pacific Command (USPACOM)
- United States Northern Command (USNORTHCOM)
- United States Southern Command (USSOUTHCOM)

There are also three functional unified combatant commands which include:

- Special Operations Command (USSOCOM),
- U.S. Strategic Command (USSTRATCOM) and its subordinate command U.S. Cyber Command (USCYBERCOM), and
- U.S. Transportation Command (USTRANSCOM).

The chain of command runs from the President to the Secretary of Defense to the combatant commanders.

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

Culture – The beliefs, customs, and institutions of an organization.

Cutter – The Royal Navy's definition of a cutter was a small warship capable of carrying 8 to 12 cannons. By general usage, the term cutter came to define any vessel of Great Britain's Royal Customs Service and the term was adopted by the U.S. Treasury Department at the creation of the Revenue Marine. Since that time, no matter what the vessel type, the Service has referred to its largest vessels as cutters. Today, among the U.S. Armed Forces, the term cutter uniquely refers to a Coast Guard vessel at least 65 feet in length overall.

Doctrine – Fundamental principles by which military forces or elements thereof guide their actions in support of national objectives. Doctrine is authoritative but requires judgment in application, and provides decision makers and personnel a standard frame of reference.
There are three levels of Coast Guard doctrine:

Principles and Culture: The overarching guidance communicating the intent, purpose, history, ethos, values, and reason for the existence of the Coast Guard, its missions, and its workforce. For example, principles and culture that drive Coast Guard activities and align them with national objectives are communicated within this document.

Organizational: A series of publications promulgated to communicate unity of effort and guide professional judgment. Organizational doctrine is authoritative but requires judgment in application and influences how forces are organized and trained, as well as how systems and equipment are procured and maintained.

Operational and Support:
Operational: Guidance on developing and performing mission execution processes and meeting operational standards. It provides operational guidance for subordinate commanders to follow in carrying out routine Coast Guard missions. It is intended to assist subordinate commanders in making resource apportionment decisions.

Support: Guidance on developing and performing mission support activities; delivering required capability; and meeting support standards informed by readiness, operational, and resource priorities. Guides the delivery of full life-cycle support to Coast Guard forces to enable and sustain mission execution.

Domestic – Pertaining to one's own or a particular country.

Exclusive Economic Zone (EEZ) – Waters, seabed, and the subsoil of the seabed seaward of a coastal state's territorial sea and

extending no further than 200 nautical miles from the baseline from which the territorial sea is drawn. In this zone, a coastal state may exercise jurisdiction and control over natural resources, both living and nonliving. For a more comprehensive definition of EEZ, see 33 CFR 2.30.

Federal On Scene Coordinator (FOSC) – The federal official responsible for monitoring or directing responses to specific oil spills and hazardous substance releases reported to the federal government for which the federal government has jurisdiction. The FOSC coordinates all federal efforts with local, state, tribal and regional response communities, and provides support and information to the same communities.

Function – The appropriate or assigned duties, responsibilities, missions, or tasks of an individual, office, or organization.

High Seas – All waters seaward of the territorial sea of the United States and other nations. For a more comprehensive definition of High Seas, see 33 CFR 2.32.

Humanitarian – An adjective describing actions or measures intended to ameliorate human distress or preserve lives and property, without reference to military or security objectives.

Intelligence Community (IC) – A federation of executive branch agencies and organizations that work separately and together to conduct intelligence activities necessary for the conduct of foreign relations and the protection of the national security of the United States.

Intermodal – An adjective that in the present context describes some manner of transition between different modes of transportation. An "intermodal connection" is a place where cargoes move from one mode of transportation to another, such as a container yard where shipping containers are transferred from ships to trucks or rail cars.

International – Between or among nations or concerned with the relations between nations.

International Maritime Organization (IMO) – A specialized agency of the United Nations consisting of 170 member states. IMO's main task has been to develop and maintain a comprehensive regulatory framework for shipping including safety, security, environmental, legal, and technical cooperation matters.

International Ship and Port Facility Security Code (ISPS) – A 2004 amendment to the Safety of Life at Sea (SOLAS) Convention (1974/1988) on minimum security arrangements that prescribes responsibilities to governments, shipping companies, shipboard personnel, and port and facility personnel to "detect security threats and take preventative measures against security incidents affecting ships or port facilities used in international trade."

Joint – Activities, operations, or organizations in which elements of more than one armed force of the same nation participate.

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

Maritime Domain – All areas and things of, on, under, related to, adjacent to, or bordering on a sea, ocean, or other navigable waterway, including all maritime-related activities, infrastructure, people, cargo, and vessels and other conveyances.

Maritime Domain Awareness (MDA) – The effective understanding of anything associated with the global maritime domain that could impact the security, safety, economy, or environment of the United States.

Memorandum of Agreement – An agreement between two or more agencies that governs the terms by which mutually supporting services and responsibilities will be administered.

Missions –
1. The mandated services the Coast Guard performs in fulfilling its fundamental roles. Synonym: Duties. The Homeland Security Act (HSA) of 2002 lists 11 Coast Guard missions:

- Marine Safety
- Search and Rescue
- Aids to Navigation (ATON)
- Living Marine Resources (domestic fisheries)
- Marine Environmental Protection
- Ice Operations
- Ports, Waterways and Coastal Security (PWCS)
- Drug Interdiction
- Migrant Interdiction
- Defense Readiness
- Other Law Enforcement (foreign fisheries)

2. Tasks or operations assigned to an individual or unit.

National Defense –
1. A collective term encompassing both the national defense and foreign relations of the United States. Specifically, the condition provided by a military or defense advantage over any foreign nation or group of nations.

2. A favorable foreign relations position.

3. A defense posture capable of successfully resisting hostile or destructive action from within or without, overt or covert.

National Defense Capabilities of the U.S. Coast Guard – from Memorandum of Agreement between the Department of Defense and the Department of Homeland Security on the Use of U.S. Coast Guard Capabilities and Resources in Support of the National Military Strategy–May 23, 2008

Military Environmental Response Operations – Response to oil discharges or hazardous material releases that could disrupt military operations of the U.S. and allied forces.

Port Operations Security and Defense – Operations conducted to ensure port and harbor areas are maintained free of hostile threats, terrorist actions, and safety deficiencies that would be a threat to deployment of military resources.

Theater Security Cooperation – All military activities involving other nations intended to shape the security environment in peacetime.

Coastal Sea Control Operations – Operations conducted to ensure the unimpeded use of designated offshore areas by U.S. and friendly forces and to deny enemy forces the use of those areas.

Rotary Wing Air Intercept Operations – The use of helicopters to support national Air Defense. It includes alert, interception, communication, surveillance, and escort activities.

Combating Terrorism Operations – Operations to prevent and respond to terrorist acts. These may include anti-smuggling, migrant interdiction, counter-piracy, rule of law, counter-proliferation, and port security.

Maritime Operational Threat Response Support – Support to the integrated national-level maritime command centers to achieve coordinated, unified, timely, and effective U.S. government planning for, and response to, the full range of maritime security threats.

National Fleet – Outlined in the National Fleet Policy dated March 3, 2006, the U.S. National Fleet consists of the integrated and interoperable combined multi-mission assets of the U.S. Navy and the U.S. Coast Guard including ships, boats, aircraft, and shore command-and-control nodes. The National Fleet combined assets provide joint force multipliers to support the broad spectrum of national security requirements from power projection to security and defense of the homeland.

North Atlantic Coast Guard Forum – Initiated in 2007 as a venue to foster multilateral cooperation across the North Atlantic with European countries, Russia, and Canada through the sharing of information on matters related to combined operations, exchange of information, illegal drug trafficking, maritime security, fisheries enforcement, illegal migration, and maritime domain awareness.

North Pacific Coast Guard Forum – Initiated in 2000 as a venue and a role model for multinational cooperation and partnerships. It has similar goals to the North Atlantic Coast Guard Forum. The current membership includes agencies from Canada, China, Japan, Korea, Russia, and the United States.

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

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

Search and Rescue (SAR) – The use of available resources to assist persons and property in potential or actual distress. The Coast Guard is the lead agency for Maritime SAR. The Commandant has divided the Maritime SAR Area into two sections, the Atlantic Maritime Area and the Pacific Maritime Area. The Atlantic Area Commander is the Atlantic Area SAR Coordinator, and the Pacific Area Commander is the Pacific Area SAR Coordinator.

Specified Command – A military command which has a broad, continuing mission and which is normally composed of forces from one military department. *JFSC Pub 1 2000*

Specialized Service – An armed force specialized for a certain type or class of duties. The Coast Guard operates as a specialized service when part of the Navy.

Territorial Sea – Twelve nautical miles wide, and refers to the waters adjacent to the coast of the United States and seaward of the territorial sea baseline, which is normally the mean low water line. With respect to other nations, it refers to waters adjacent to that nation's coast that have a width and baseline recognized by the United States (normally 12 nautical miles wide). For a more comprehensive definition of Territorial Sea, see 33 CFR 2.22.

Unified Combatant Commander – A military command which has a broad, continuing mission under a single commander and which is composed of forces from two or more military departments. *JFSC Pub 1 2000*

APPENDIX B

Alexander Hamilton's Report To The U.S. House Of Representatives (Section V)

In early 1790, the U.S. House of Representatives directed the Secretary of the Treasury to report any difficulties his department may be experiencing in the execution of the "several laws for collecting duties on the goods, wares, and merchandises, and on tonnage, and for regulating the coasting trade, together with his opinion thereupon." (*Journal of the House*, I, 143.)

Hamilton's report of April 22, 1790, represents his first formal proposal for the "…few armed vessels, judiciously stationed at the entrances of our ports…" envisioned in Federalist Paper No. 12. In his report he makes his case to Congress for the construction and commissioning of 10 cutters.

****

Report on Defects in the Existing Laws of Revenue

Treasury Department April 22nd, 1790.

[To the Speaker of the House of Representatives]

In obedience to the Order of the House of Representatives of the 19th Day of January last

The Secretary of the Treasury respectfully submits the following Report.

****

Section V. This Section [of the existing law] contemplates a provision of boats for securing the collection of the revenue; but no authority to provide them, is any where given. Information from several quarters, proves the necessity of having them; nor can they, in the opinion of

the Secretary, fail to contribute, in a material degree, to the security of the revenue; much more than will compensate for the expence of the establishment; the utility of which will increase in proportion as the public exigencies may require an augmentation of the duties. An objection has been made to the measure as betraying an improper distrust of the Merchants; but that objection can have no weight, when it is considered, that it would be equally applicable to all the precautions comprehended in the existing system; all which proceed on a supposition too well founded to be doubted, that there are persons concerned in trade, in every country, who will, if they can, evade the public dues, for their private benefit. Justice to the body of the Merchants of the United States, demands an acknowledgement, that they have very generally manifested a disposition to conform to the national laws, which does them honor, and authorizes confidence in their probity. But every considerate member of that body, knows, that this confidence admits of exceptions, and that it is essentially the interest of the greater number, that every possible guard should be set on the fraudulent few; which does not in fact tend to the embarrassment of trade.

The following is submitted as a proper establishment for this purpose.

That there be ten boats: two, for the coasts, bays and harbours of Massachusetts and New Hampshire; one, for the Sound between Long-Island and Connecticut; ne, for the Bay of New York; one, for the Bay of Delaware; two, for the Bay of Chesapeake; (these of course to ply along the neighboring coasts); one, for the coasts, bays and harbours of North Carolina; one, for the Coasts, bays and harbours of South Carolina; and one, for the Coasts, bays & harbours of Georgia.

Boats of from thirty six to forty feet keel, will answer the purpose, each having one Captain, one Lieutenant and six mariners, and armed with swivels. The first cost of one of these boats, completely equipped, may be computed at One thousand dollars.

The following is an estimate of the annual expence:

10 Captains	**@ 40. dollars per month**	**4,800**
10 Lieutenants	**@ 25. ditto per ditto**	**3,000**
60 seamen	**@ 8. ditto per ditto**	**5,760**
Provision		**3,000**
Wear and Tear		**2,000**
	Dollars	**18,560**

The utility of an establishment of this nature must depend on the exertion, vigilance and fidelity of those, to whom the charge of the boats shall be confided. If these are not respectable characters, they will rather serve to screen, than detect fraud. To procure such, a liberal compensation must be given, and in addition to this, it will, in the opinion of the Secretary, be advisable, that they be commissioned as Officers of the Navy. This will not only induce fit men the more readily to engage, but will attach them to their duty by a nicer sense of honor.

APPENDIX C

Alexander Hamilton's Letter Of Instruction

To The Commanding Officers Of Revenue Cutters — Circular Of June 4, 1791

No other service or agency of the federal government ever received clearer sailing directions than did the Coast Guard from its founder, Alexander Hamilton. It is known that Hamilton had a deep and abiding concern as to the conduct of the crews. This is evidenced by his superbly written June 4, 1791 "Letter of Instruction" to the Captains of the first Revenue Cutters.

As Captain Commandant Horatio Davis Smith wrote in his early history of the U.S. Revenue Marine Service, "the Circular embodied the views of the Secretary concerning the Service he had created, the success of which was problematical, and over whose fortunes he watched with considerable solicitude. He was ever ready to listen to suggestions of officers tending to improve the Corps, and stood ready to aid the elevation and improvement of the Service by personal influence and the ready eloquence, of which he was such a complete master."

Today's principles of Coast Guard operations can be traced back to Hamilton's Circular of 1791. Hamilton set forth the conduct and operations he expected of his captains, officers, and cutters, and in doing so established the fundamental character of the U.S. Coast Guard. Over two centuries later, his "instructions" remain relevant to the Coast Guard and define our unique culture.

The following is the original text of that letter with a side-by-side modern
English summary, by paragraph. **Coast Guard principles of operations are noted in bold.** The "Act" Hamilton refers to is the Act of Congress establishing the Revenue Marine, signed on August 4th, 1790—the date now recognized as the official birthday of the U.S. Coast Guard.

Alexander Hamilton's Letter of Instruction to the Commanding Officers of the Revenue Cutters

Treasury Department,

June 4th, 1791

Original Text of Letter	Modern English Summary
Sir:	Sir:
As you are speedily to enter upon the duties of your station it becomes proper briefly to point them out to you. Accordingly I send you a copy of the Act under which you have been appointed, and which are contained your powers and the objects to which you are to attend, and I shall add such observations as appears to me requisite to guide you in fulfilling the intent of that act.	Since you will soon begin your duties, I will briefly point them out to you. The enclosed Act contains your authorities and objectives. I will make some recommendations I believe will help guide you in fulfilling the intent of that act.
It may be observed generally that it will be in a partial manner, the province of the Revenue Cutter to guard Revenue laws from all infractions, or breaches, either upon the coasts or within the bays, or upon the rivers and other waters of the United States, previous to the anchoring of vessels within the harbors for which they are respectively destined.	As part of its job, the Revenue Cutter will enforce all Revenue laws upon the coasts, bays, rivers, or other waters of the United States prior to vessels anchoring in their port of arrival. **(Principle of clear objective)**
Hence, it will be necessary for you from time to time to ply along the coasts in the neighborhood of your station, and to traverse the different parts of the waters which it comprehends. To fix yourself constantly or even generally at one position, would in a great measure defeat the purpose of the establishment. It would confine your vigilance to a particular spot, and allow full scope to fraudulent practices, everywhere else.	Hence, it will be necessary for you to actively patrol the coasts and waterways near your home port, covering all areas. To remain constantly, or even generally, in one particular spot would defeat the purpose of the Revenue Cutters and allow unlawful acts to occur everywhere else. **(Principle of effective presence)**

The 63rd section of the act herewith transmitted, declared that the officers of the Revenue Cutters are to be deemed officers of the Customs, and enumerates certain powers with which they are to be invested. The 30th section treating of the same powers, that of demanding manifests and that of searching vessels, enters into some details concerning them. These sections require particular attention as marking the outline of authority and duty, but in the capacity of officers of the Customs you will possess some other powers, and be bound to perform some other duties which are not mentioned in those sections. You will have a right for examination, and it will be your duty to seize vessels and goods in the cases in which they are liable to seizure for breaches of the Revenue laws, when they come under your notice, but all the power you can exercise will be found in some provisions of the law and it must be a rule with you to exercise none with which you are not clearly invested. In every case of doubt you will follow the advice of the officer to whom you will be referred in a separate letter. On points of importance which admit of delay you may correspond with the Secretary of the Treasury.

Revenue Cutter officers are considered officers of the Customs. The Act gives you the authority to demand manifests and search vessels, but your capacity as officers of the Customs gives you some additional powers and duties. You have examination authority, and it will be your duty to seize vessels and goods, when appropriate, for violation of Revenue laws. All your authority comes from law, however, and you shall not act where you do not have clear authority. In every case of doubt you will follow the advice of the officer to whom you will be referred in a separate letter. [Note: These letters named local Collectors of Customs.] On urgent matters you may correspond directly with the Secretary of the Treasury.

(Principles of restraint and unity of effort)

The 9th, 10th, 11th, and 12th sections which relate to manifests will also require your particular attention. The clear observance of the provisions of these sections is considered as of material consequences to the Secretary of the Treasury, and ample time having been allowed for them to be generally known and complied with, it is now indispensable that they should be strictly enforced.

Full compliance with the laws pertaining to vessel manifests is critical to the Secretary of the Treasury. Enough time has passed that these laws should be generally known and vessels should be in compliance. Therefore they should now be strictly enforced.

You will perceive that they are only required in respect to vessels belonging wholly or in part to a citizen or citizens, inhabitant or inhabitants of the United States. It is understood that by inhabitant is intended any person residing in the United States, whether citizen or foreign. The reason of the limitation is that citizens and resident foreigners are supposed to be acquainted with the laws of the country but that foreign citizens residing in foreign countries, have not the same knowledge, and consequently ought not to be subjected to penalties in regard to a thing which they might not know to be necessary.

These laws pertaining to manifests apply only to vessels belonging wholly or in part to U.S. citizens, or resident foreign nationals. This does not include nonresident foreign citizens who cannot reasonably be expected to know, or be aware of, these laws.

But since you cannot be presumed to know beforehand what vessels are owned in whole or in part by citizens or inhabitants, it will, of course, be your duty to demand the manifests of all indiscriminately, and to report those from which you do not receive them, to the Collector of the District for which they are bound, and you will at the end of every month (pursuing the division of the year by the calendar) send me an abstract of your records.

But since you cannot know the actual ownership of a vessel at sea, it is your duty to demand the manifest of all vessels. You shall report those vessels that do not supply you a proper manifest to the Collector of your District and submit an abstract of your records the Secretary of the Treasury at the end of each month.

Careful attention is likewise due to the 13th and 14th sections of the act. It is of importance that vessels should not break bulk, or put out any part of their cargo even temporarily previous to a regular entry and permission obtained, except in cases of real necessity, to be duly reported and proved. You will observe that besides the penalties on the masters and mates of the vessels from on board of which any goods shall have been illegally removed, the master or commander of the vessel or boat into which they may be received, and all persons aiding in the removal, are liable to a forfeiture of treble the value of the goods removed, and the vessel

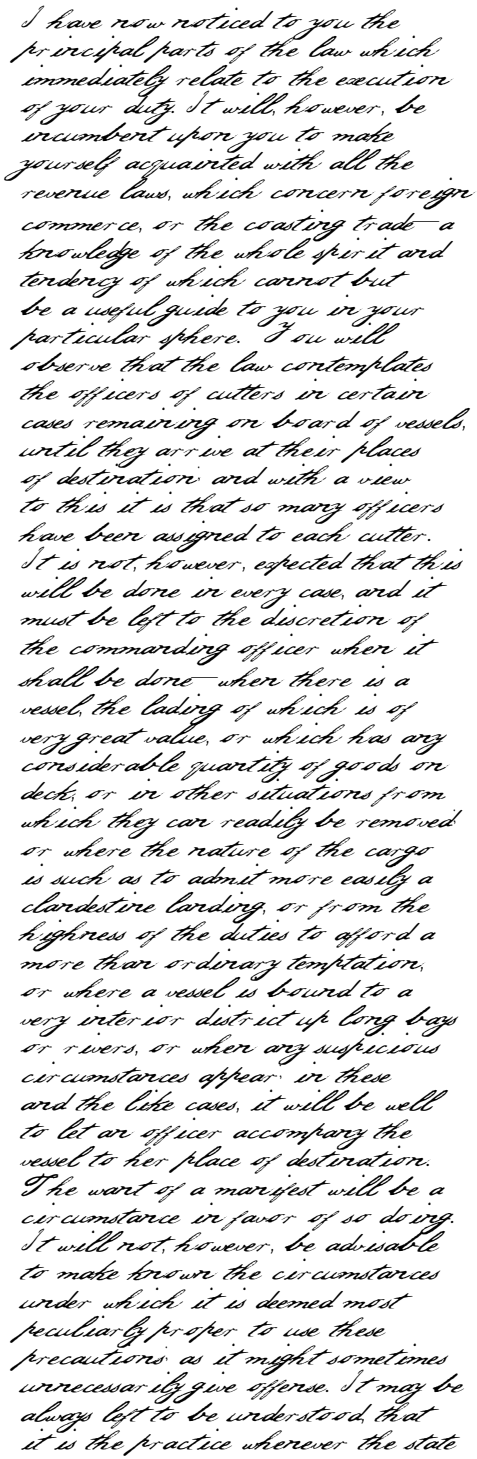
It is illegal for vessels to offload any part of their cargo to shore or another vessel prior to regular entry and clearance, except in cases of real necessity that are reported and verified. In addition to the penalties for masters and mates of the supplying vessel, all violators and accomplices on a receiving vessel are liable to forfeiture of three times the value of the goods removed and forfeiture of their vessel. These provisions require you to keep a careful eye on coastwise vessels without, however, interrupting trade or embarrassing them unless your strong suspicion requires that they be boarded and examined.

(Principle of restraint)

or boat into which they may be received is also subject to forfeiture. It is well known that one of the most extensive cases of illicit trade is that which is here intended to be guarded against—that of unlading goods before the arrival of a vessel into port, in coasters and other small vessels, which convey them clandestinely to land. Hence, the bare removal of goods from one vessel to another is made penal, though they may not have been landed. Nor will the pretext of their being intended to be replaced avail anything. The provisions of these sections admonish you to keep a careful eye upon the motions of coasting vessels, without, however, interrupting or embarrassing them unless where some strong ground of suspicion requires that they should be visited and examined.

The execution of the 15th section of the Act essentially depends on the Revenue Cutters. It is easy to see that it would be dangerous to the revenue for vessels to be permitted to go at pleasure from one part of the United States to another without announcing themselves to some proper officer. Hence, though each may proceed on her voyage from a more exterior to a more interior district to which she may be bound—yet none can go back from a more interior to more exterior Districts, or from one part of the United States to another without first reporting himself to the Collector of the District, in order that he may come under the notice and precautions of the law. Nor can this be deemed a hardship: seeing her report will not oblige her to unlade any part of her cargo, but she may afterwards proceed with it wheresoever she pleases.

Enforcement of law regarding the movement of vessels in U.S. waters depends on Revenue Cutters. We risk losing revenue if vessels move from one part of the United States to another, without proper notifications. Vessels may travel at will from more exterior Districts to more interior districts, but none can travel from more interior to more exterior Districts or from one state to another within the U.S. without first reporting to the Collector of the District.


I have now noticed to you the principal parts of the law which immediately relate to the execution of your duty. It will, however, be incumbent upon you to make yourself acquainted with all the revenue laws, which concern foreign commerce, or the coasting trade—a knowledge of the whole spirit and tendency of which cannot but be a useful guide to you in your particular sphere. You will observe that the law contemplates the officers of cutters in certain cases remaining on board of vessels, until they arrive at their places of destination; and with a view to this it is that so many officers have been assigned to each cutter. It is not, however, expected that this will be done in every case, and it must be left to the discretion of the commanding officer when it shall be done—when there is a vessel, the lading of which is of very great value, or which has any considerable quantity of goods on deck, or in other situations from which they can readily be removed or where the nature of the cargo is such as to admit more easily a clandestine landing, or from the highness of the duties to afford a more than ordinary temptation, or where a vessel is bound to a very interior district up long bays or rivers, or when any suspicious circumstances appear: in these and the like cases, it will be well to let an officer accompany the vessel to her place of destination. The want of a manifest will be a circumstance in favor of so doing. It will not, however, be advisable to make known the circumstances under which it is deemed most peculiarly proper to use these precautions as it might sometimes unnecessarily give offense. It may be always left to be understood, that it is the practice wherever the state

I have pointed out certain parts of the law and your duties, but you must become familiar with all the revenue laws that concern foreign commerce or coastwise trade. Knowledge of the whole letter and spirit of these laws will be useful to you in carrying out your duties. The law allows officers of cutters, in certain cases, to remain aboard vessels until they arrive at their destination. Cutters have been Crewed accordingly. However, this should not occur in every case and it is left to the discretion of the commanding officer when it shall be done, based on circumstances and risk of violation of revenue law. Factors affecting risk include value of the cargo, the high value of the potential tax that would tempt someone to smuggle, situations where the cargo can be easily removed and smuggled ashore, a long transit to an interior district that would make smuggling easier, or other suspicious circumstances. A missing manifest could also justify placing an officer on the vessel. You do not need to advise the master why you are placing an officer onboard since that might unnecessarily offend them. Rather, you should make it clear that is the standard practice of the Cutter, when appropriate. You may also affix seals on packages to identify them later.

(Principles of on-scene initiative and managed risk)

of the cutter renders it convenient. You are empowered, amongst other things, to affix seals on packages found in certain situations. For this purpose, proper seals will be prepared and transmitted. Till they are required, any other may be made use of. The principal design of this provision is to identify the packages found in such situations.

It will be expected that a regular journal be kept in each cutter, in the same manner, as far as circumstances are applicable, as is practiced in sea voyages, and that all occurrences, relative to the execution of the laws, and to the conduct of all vessels which come under their notice, be summarily noticed therein, and that a copy of this journal to the end of each month be regularly forwarded to the Treasury.

You shall keep a journal in each cutter that includes a summary of all law enforcement activities and the activity of all vessels contacted. A copy of this journal shall be forwarded to the Treasury at the end of each month.

It has also occurred that the cutters may be rendered an instrument of useful information, concerning the coast, inlets, bays and rivers of the United States, and it will be particularly acceptable if the officers improve the opportunities they have (as far as shall be consistent with the duties they are to perform) in making such observations and experiments in respect to the objects, as may be useful in the interests of navigation, reporting the result from time to time to the Treasury.

As time permits, you are requested to gather information concerning the coasts, inlets, bays, and rivers of the U.S. as may be useful for navigation. You shall report these observations to the Treasury.

(Principles of flexibility and unity of effort)

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

While I recommend that all officers be active, vigilant, and firm, they must also be prudent, moderate, and good tempered. These last qualities are as important as the former, and will ensure the success of the Service. Officers must keep in mind that some mariners will dislike their duties. The responsibility of officers in these duties is a delicate one and, if poorly managed, could

in which they are included. They cannot be insensible that there are some prepossessions against it, that the charge with which they are intrusted [sic] is a delicate one, and that it is easy by mismanagement, to produce serious and extensive clamour, disgust and odium.

easily upset people and result in complaints and condemnation.

(Principle of restraint)

They will always keep in mind that their countrymen are freemen, and, as such, are impatient of everything that bears the least mark of a domineering spirit. They will, therefore, refrain, with the most guarded circumspection, from whatever has the semblance of haughtiness, rudeness, or insult. If obstacles occur, they will remember that they are under the particular protection of the laws and that they can meet with nothing disagreeable in the execution of their duty which these will not severely reprehend. This reflection, and a regard to the good of the service, will prevent, at all times a spirit of irritation or resentment. They will endeavor to overcome difficulties, if any are experienced, by a cool and temperate perseverance in their duty—by address and moderation, rather than by vehemence or violence. The former style of conduct will recommend them to the particular approbation of the President of the United States, while the reverse of it—even a single instance of outrage or intemperate or improper treatment of any person with whom they have anything to do, in the course of their duty, will meet with his pointed displeasure, and will be attended with correspondent consequences.

Officers will always keep in mind that their fellow citizens are free, and, as such are impatient of anything that bears the least mark of a domineering spirit. They should carefully refrain from anything resembling arrogance, rudeness, or insult. If difficulties occur in the performance of their duties, they will remember they are under the protection of the laws and these laws will severely punish violators. Knowing this, and keeping in mind the good of the Service, will prevent feelings of irritation or resentment in others. They will strive to overcome difficulties by a cool and even-tempered perseverance in their duty—using conversation and moderation, rather than anger or violence. The former style of conduct is fully supported and encouraged by the President of the United States, while the latter—even a single instance of outrage, bad temper, or improper treatment of any person in the course of their duty—will meet with the President's pointed displeasure and will have corresponding consequences.

(Principle of restraint)

The foregoing observations are not dictated by any doubt of the prudence of any of those to whom they are addressed. These have been selected with so careful an

The previous observations do not mean I doubt the judgment of any of the officers addressed. They have been selected with careful attention to their character, to ensure

attention to character, as to afford the strongest assurance, that their conduct will be that of good officers and good citizens. But, in an affair so delicate and important, it has been judged most advisable to listen to the suggestions of caution rather than of confidence, and to put all concerned on their guard against those sallies to which even good and prudent men are occasionally subject. It is not doubted that the instructions will be received as it ought to be, and will have its due effect. And that all may be appr[i]zed [sic] of what is expected you will communicate this part of your orders, particularly, to all your officers, and you will inculcate upon your men a correspondent disposition.

their conduct will reflect good officers and good citizens. But since our duties are so sensitive and important, I am urging all to be on their guard against outbursts and bad behavior that even good and prudent people occasionally have. You will communicate this particular part of the orders to all your officers, and you will teach and impress upon them a proper bearing.

(Principle of restraint)

The 5th section of the Act, requires that all officers appointed pursuant to this Act, should take a certain oath therein specified. The Act of the 1st of June, 1789, requires that you should also take the oath to support the Constitution of the United States. These oaths, each of your officers must take before some Judge of the United States, if access can conveniently be had to one. If not, before some other magistrate, duly empowered to administer oaths, and a certificate from him, of the taking of it, must be transmitted to the Comptroller of the Treasury.

All Revenue Cutter officers must take the oath specified in this Act and must also take an oath to support the Constitution of the United States. These oaths must be taken before a Judge of the United States if one is convenient. If not, before some other magistrate empowered to administer oaths. A certificate of the taking of this oath must be sent to the Comptroller of the Treasury.

I am sir, your obedient servant,

Alexander Hamilton,
Secretary of the Treasury

I am sir, your obedient servant,

ALEXANDER HAMILTON,
Secretary of the Treasury

VIGILANT

APPENDIX

D Battle Streamers

Battle Streamers* Earned 1790–1865:
Revenue Protection and More

1790–1797: Maritime Protection of the New Republic**
1798–1801: French Quasi-War
1812: War of 1812
1820–1861: African Slave Trade Patrol
1822–1830s: Operations against West Indian Pirates
1835–1842: The Indian Wars
1846–1848: Mexican War
1861–1865: The Civil War

Battle Streamers Earned 1866–1914:
Expanding Duties for a Growing Nation

1898: Spanish-American War

Battle Streamers Earned 1917–1946:
A Service Forged by War, Crisis, and Consolidation

1917–1918: World War I
1926–1927, 1930–1932: Yangtze Service
1939–1941: American Defense Service
1941–1942: Philippine Defense
1941–1946: World War II – American Theater
1941–1946: World War II – Pacific Theater
1941–1945: World War II – European-African-Middle Eastern Theater
1944–1945: Philippine Liberation
1941–1942, 1944–1945: Philippine Independence and Philippine Presidential Unit Citation
1945: World War II Victory

Other World War II Awards:
Croix de Guerre (France)
Presidential Unit Citation
Navy Occupation Service

Battle Streamers Earned 1947–1972:
Sorting Out Roles and Missions.

1945–1957: China Service
1950–1954: Korean Service
1950–1954: National Defense Service Medal
1958–1965: Armed Forces Expeditionary

Battle Streamers Earned 1973–2001:
A Unique Instrument of National Security

1962–1975: Vietnam Service
1970–1974: National Defense Service
1990–1995: National Defense Service
1991–1995: Southwest Asia Service
1994: Department of Transportation
Secretary's Outstanding Unit Award

Other Vietnam Service Awards:
Navy Unit Commendation
National Defense Service
Army Meritorious Unit Commendation
Navy Meritorious Unit Commendation
RVN Armed Forces Meritorious Unit Commendation, Gallantry Cross w/Palm
RVN Meritorious Unit Citation, Civil Actions Medal First Class Color w/Palm

Battle Streamers Earned September 11, 2001, and Beyond:

1999–A closing date to be determined: Kosovo Campaign
2001–A closing date to be determined: National Defense Service
2001–A closing date to be determined: Global War on Terrorism Service
2001–A closing date to be determined: Global War on Terrorism Expeditionary
2001–A closing date to be determined: Afghanistan Campaign
2003–A closing date to be determined: Iraq Campaign
2005: Coast Guard Presidential Unit Citation

* For more information, look up "Battle Streamers" in the Glossary (**Appendix A**), and visit

Battle Streamers

** Awarded solely to the Coast Guard.

APPENDIX E

Further Reading

Headquarters Circular No. 126 of October 16, 1936 – There is a tendency to believe that current statements are original expressions of purpose and expectation, but in truth they are not. Coast Guard Publication 1 is not the first authoritative statement of Coast Guard doctrine. In 1936, for example, Headquarters Circular No. 126 laid down doctrine that (with minimum editing largely to update our mission set) would be as applicable today as it was then.

Strategic Planning Documents – Coast Guard Publication 1 describes what we do, why we do it, and who we are as an organization. It does not describe the challenges we face as a Nation and Service, our vision for the future, our goals to reach that future, or when and how we plan to reach our goals. These subjects are addressed in the following strategic planning documents:

- Current National Security Strategy
- Current National Military Strategy
- Current National Strategy for Homeland Security
- National Strategy for Maritime Security (and Supporting Plans) September 2005
- A Cooperative Strategy for 21st Century Seapower, October 2007
- Current Department of Homeland Security Strategic Plan
- Report of the Interagency Task Force on U.S. Coast Guard Roles and Missions. *A Coast Guard for the Twenty-First Century*. December 1999

Service Doctrine – The following two publications serve as capstone doctrine for the joint forces and U.S. Navy, respectively:

- *Joint Publication 1, Doctrine for the Armed Forces of the United States*, March 25, 2013
- *Naval Doctrine Publication 1 – Naval Warfare*, March 01, 2010

History – Chapter Two of Coast Guard Publication One provides a brief overview of the rich history of the Coast Guard and its predecessor organizations. A better knowledge of the history of the Coast Guard, as contained in the following recommendations, will enhance the reader's

understanding of our Service. The Coast Guard Historian's Office also maintains a list of the best books on Coast Guard history in print.

[See http://www.uscg.mil/history/uscghist/bib/generalbib.asp]

General Overviews

- Evans, Stephen H. *The United States Coast Guard, 1790-1915: A Definitive History*. Annapolis: U.S. Naval Institute Press, 1949.
- Johnson, Robert Erwin. *Guardians of the Sea: History of the United States Coast Guard, 1915 to the Present*. Annapolis: U.S. Naval Institute Press, 1987
- King, Irving H. *The Coast Guard Expands, 1865-1915*. Annapolis: U.S. Naval Institute Press, 1996.
- Kroll, C. Douglas. *A Coastguardsman's History of the Coast Guard*. Annapolis: U.S. Naval Institute Press, 2010.
- Tilley, John A. *The United States Coast Guard Auxiliary: A History*, 1939-1999. Washington, D.C.: US Government Printing Office, 2003

Ancestor Service Histories

- King, Irving H. *The Coast Guard Under Sail: The U.S. Revenue Cutter Service, 1789-1865*. Annapolis: U.S. Naval Institute Press, 1989.
- King, Irving H. *George Washington's Coast Guard: Origins of the U.S. Revenue Cutter Service, 1789-1801*. Annapolis: U.S. Naval Institute Press, 1978.
- Noble, Dennis L. and Truman R. Strobridge. *Alaska and the U.S. Revenue Cutter Service, 1867-1915*. Annapolis: U.S. Naval Institute Press, 1999.
- Noble, Dennis L. *Lighthouses & Keepers: The U.S. Lighthouse Service and Its Legacy*. Annapolis: U.S. Naval Institute Press, 1997.
- Noble, Dennis L. *That Others Might Live: The U.S. Life-Saving Service, 1878-1915*. Annapolis: U.S. Naval Institute Press, 1994.
- Shanks, Ralph, Wick York & Lisa Woo Shanks. The U.S. Life-Saving Service: Heroes, Rescues and Architecture of the Early Coast Guard. Petaluma, CA: Costaño Books, 1996.
- Short, Lloyd M. The Bureau of Navigation: Its History, Activities, & Organizations. Baltimore: The Johns Hopkins Press, 1923.
- Short, Lloyd M. *Steamboat-Inspection Service: Its History, Activities, & Organization*. New York: D. Appleton and Company, 1922.
- Smith, Darrell Hevenor & Fred Wilbur Powell. *The Coast Guard: Its History, Activities and Organization*. Washington: The Brookings Institution, 1929.
- United States Life-Saving Service Heritage Association. *They Had to Go Out: True Stories of American's Coastal Life-Savers From the Pages of "Wreck & Rescue Journal."* Hull: United States Life-Saving Service Heritage Association, 2007.
- Wright, David and David Zogby. *Fire on the Beach: Recovering the Lost Story of Richard Etheridge and the Pea Island Lifesavers*. New York: Oxford University Press, 2000.

Maritime Safety

- Beard, Barrett Thomas. *Wonderful Flying Machines: A History of U.S. Coast Guard Helicopters*. Annapolis: U.S. Naval Institute Press, 1996.
- Browning, Robert M., Jr. "The Coast Guard Captains of the Port." In *To Die Gallantly: The*

Battle of the Atlantic. Edited by, Jan M. Copes and Timothy Runyon. New York: Westview Press, 1994.
- Canney, Donald L. *In Katrina's Wake: The U.S. Coast Guard and the Gulf Coast Hurricanes of 2005*. Gainesville, FL: University of Florida Press, 2010.
- Clifford, Mary Louise and Dennis Noble. *Rescued By the U.S. Coast Guard: Great Acts of Heroism Since 1878*. Annapolis: U.S. Naval Institute Press, 2004.
- Frump, Robert. *Two Tankers Down: The Greatest Small-Boat Rescue in U.S. Coast Guard History*. Guilford: Lyons Press, 2008.
- Frump, Robert. *Until the Sea Shall Free Them*. Garden City: Doubleday, 2001.
- Galluzzo, John J. Editor. *RESCUE: True Stories of the U.S. Life-Saving Service*. Gwinn, MI: Avery Color Studios, Inc and Hull, MA: United States Life-Saving Service Heritage Association, 2011.
- Junger, Sebastian. *The Perfect Storm*. New York: W.W. Norton, 1997.
- LaGuardia-Kotite, Martha. *So Others May Live: Coast Guard Rescue Swimmers: Saving Lives, Defying Death*. Guilford: The Lyons Press, 2006.
- Noble, Dennis L. *Lifeboat Sailors: Disasters, Rescues, and the Perilous Future of the Coast Guard's Small Boat Stations*. Washington, D.C.: Brassey's, 2000.
- Thompson, Kalee. Deadliest Sea: The Untold Story Behind the Greatest Rescue in Coast Guard History. [F/V *Alaska Ranger* sinking]. New York: Harper Collins, 2010.
- U.S. Coast Guard. *International Ice Patrol*. Washington, D.C.: U.S. Department of Transportation, 1984.

Maritime Stewardship

- Canney, Donald. *The United States Coast Guard and the Environment*. Washington, D.C.: U.S. Coast Guard, 1992.
- Garofolo, John. *The United States Coast Guard: Protecting America's Fisheries*. Washington, D.C.: U.S. Coast Guard, 1998.
- President of the United States, Assistant to the President for Homeland Security and Counterterrorism. *Federal Response to Hurricane Katrina: Lessons Learned, February 2006*. Washington, D.C.: U.S. Government Printing Office, 2006.

Maritime Security and National Defense

- Canney, Donald. Rum War: *The U.S. Coast Guard and Prohibition*. Washington, D.C.: United States Coast Guard, 1989.
- Capelotti, P.J. *The U.S. Coast Guard on and After 9/11*. Washington, D.C.: United States Coast Guard, 2003.
- Ensign, Eric S. *Intelligence in the Rum War at Sea, 1920-1933*. Washington, D.C.: Joint Military Intelligence College, 2001.
- Galecki, Bryan. *Rum Runners, U-boats & Hurricanes: The Complete History of the Coast Guard Cutters Bedloe and Jackson*. Pine Belt Publishing, 2005.
- Larzelere, Alex. *The Coast Guard at War*. Annapolis: U.S. Naval Institute Press, 1997.
- Larzelere, Alex. *The Coast Guard In World War I: An Untold Story*. Annapolis, MD: Naval Institute Press, 2003.

- Noble, Dennis. *The U.S. Coast Guard's War on Human Smuggling*. Gainesville: University Press of Florida, 2011.
- Scotti,Paul C. *Coast Guard Action in Vietnam: Stories of Those Who Served*. Central Point, OR: Hellgate Press, 2000.
- Thiesen, William H. *United States Coast Guard: War of 1812: Revenue Cutter Operations and the Core Coast Guard Mission*s. Washington, D.C.: U.S. Coast Guard Historian's Office, 2011.
- Thompson, Robin J. *The Coast Guard & The Women's Reserve in World War II*. Washington: U.S. Coast Guard Historian's Office, 1992.
- Walling, Michael. Bloodstained Sea: *The U.S. Coast Guard in the Battle of the Atlantic, 1941-1944*. Camden, ME: International Marine/Ragged Mountain Press, 2004.
- Wiley, Ken. *Lucky Thirteen: D-Days in the Pacific with the U.S. Coast Guard in World War II*. Drexel Hill: Casemate Publishing, 2007.
- Willoughby, Malcolm F. *The Rum War at Sea*. Washington, D.C.: Government Printing Office, 1964.
- Willoughby, Malcolm F. *The U.S. Coast Guard in World War II*. New York: Arno Printing, 1980.

Biographies

- Kimball, Sumner I. *Joshua James: Life-Saver*. Boston: American Unitarian Association, 1909.
- Kroll, C. Douglas. *Commodore Ellsworth P. Bertholf: first Commandant of the Coast Guard*. Annapolis: U.S. Naval Institute Press, 2002.
- Noble, Dennis L. and Truman R. Strobridge. *Captain Hell Roaring Mike Healy: From American Slave to Arctic Hero*. Gainesville, FL: University of Florida Press, 2009.
- Skomal, Lenore. *The Keeper of Lime Rock: The Remarkable True Story of Ida Lewis, America's Most Celebrated Lighthouse Keeper*. Philadelphia: Philadelphia Running Press, 2003.
- Workman, Robert B., Jr. *Float Planes & Flying Boats: The U.S. Coast Guard and Early Naval Aviation*. Annapolis: Naval Institute Press, 2012.

Maritime Policy – The Coast Guard not only executes U.S. maritime policy, we also play a significant role in the development of that policy. The following are excellent books on maritime policy issues:

- *America's Living Oceans: Charting a Course for Sea Change*. Pew Oceans Commission, 2003.
- *An Ocean Blueprint for the 21st Century*. U.S. Commission on Ocean Policy, 2004.
- Baur, Donald. *Ocean and Coastal Law and Policy*. Chicago: American Bar Association, 2008.
- Freestone, David et.al. *The Law of the Sea*. Oxford Oxfordshire: Oxford University Press, 2006.
- Fuss, Charles M., Jr. and W.T. Leland. *Sea of Grass*. Annapolis: U.S. Naval Institute Press, 1996.
- McNicholas, Michael. *Maritime Security*. Oxford: Butterworth-Heinemann, 2007.
- Stevenson, Charles. *Warriors and Politicians*. New York: Routledge, 2006.
- Till, Geoffrey. *Seapower: A Guide to the Twenty-First Century*. London: Frank Cass, 2004.

Leadership – The Coast Guard has a long history of developing strong leaders. The following book describes how the Coast Guard creates, instills, and maintains leadership throughout the Service:

- Phillips, Donald T. and ADM James M. Loy, USCG (Ret.). *Character in Action: The U.S. Coast Guard on Leadership*. Annapolis: U.S. Naval Institute Press, 2003.

Other leadership books include:

- Abrashoff, D. Michael. *It's Your Ship*. New York: Warner Books, 2002.
- Bennis, Warren. *On Becoming a Leader*. Cambridge: Perseus Pub, 2003.
- Chernow, Ron. *Alexander Hamilton*. New York: Penguin Press, 2005.
- Collins, Jim. *Good to Great*. New York: Harper Collins Publishers Inc, 2001.
- Cowley, Michael and Ellen Domb. *Beyond Strategic Vision*. Newton: Butterworth-Heinemann, 1997.
- Ensher, Ellen A. and Susan B. Murphy. *Power Mentoring*. San Francisco: Jossey-Bass, 2005.
- Kaplan, Robert S. and David P. Norton. *The Strategy-Focused Organization*. Boston: Harvard Business School Press, 2001.
- Kotter, John P. and Dan S. Cohen. *The Heart of Change*. Boston: Harvard Business School Press, 2002.
- Malone, Dandridge. *Small Unit Leadership*. Novato: Presidio Press, 1983.
- Patterson, Kerry et.al. Crucial Confrontations. New York: McGraw-Hill, 2004.
- Peniston, Bradley. *No Higher Honor: Saving the USS Samuel B. Roberts in the Persian Gulf*. Annapolis: U.S. Naval Institute Press, 2013.
- Phillips, Donald and ADM James M. Loy. *The Architecture of Leadership*. Annapolis: U.S. Naval Institute Press, 2008.
- Phillips, Donald T. *The Founding Fathers on Leadership*. New York: Warner Books, 1998.
- Sample, Steven. *The Contrarian's Guide to Leadership*. San Francisco: Jossey-Bass, 2003.
- Wouk, Herman. *The Caine Mutiny: A Novel of World War II*. Boston: Little, Brown, 1992.

Legal Authorities – The Coast Guard has been granted broad legal authority to act. The following publication outlines the numerous sources of that authority:

- Coast Guard Legal Authorities, COMDTPUB P5850.2 (series)

Endnotes

[1] This estimate from the *2011 National Boating Safety Survey* includes both registered and unregistered boats. See United States Coast Guard, *2011 National Recreational Boating Safety Survey*, (Washington, D.C.: United States Coast Guard, 2013), 39.

[2] The prohibition is statutory for the Army and Air Force (Act of June 18, 1878, ch. 263, § 15, 20 Stat. L. 145, 152; codified at 18 U.S.C. § 1385) and it is a matter of Secretary of Defense policy for the Navy and Marine Corps (See DoD Directive 5525.5, "DoD Cooperation with Civilian Law Enforcement Officials," January 15, 1986). It does not apply to the Coast Guard.

[3] In March 2013, there were 42,633 Active Duty Coast Guard members and 8,617 full-time Coast Guard civilian employees. United States Coast Guard, *Coast Guard Business Cubes Database*, Accessed 22 March 2013.

[4] In March 2013, there were there were 8,617 Coast Guard reservists. Ibid.

[5] In March 2013, there were there were 30,093 Coast Guard Auxiliary members. Ibid.

[6] In June of 2012, there were 197,128 Active Duty U.S. Marines. United States Marine Corps, *The Marine Corps, A Young and Vigorous Force: Demographic Update*, (Arlington: USMC- Marine and Family Programs, 2012), 2.

[7] Dennis L. Noble, *Lighthouses and Keepers: The U.S. Lighthouse Service and its Legacy* (Annapolis: U.S. Naval Institute Press, 1997), 7. There were at least 11 lighthouses before the American Revolution, but it is generally agreed that Boston Light, located on Little Brewster Island in Boston Harbor, Massachusetts was the first lighthouse established in North America, Ibid., 5.

[8] Act of August 7, 1789 (1 Stat. L., 53).

[9] Stephen H. Evans, *The United States Coast Guard, 1790-1915: A Definitive History* (Annapolis: U.S. Naval Institute, 1949), 4.

[10] Ibid., 5.

[11] Quoted in Robert Erwin Johnson, *Guardians of the Sea* (Annapolis: U.S. Naval Institute Press, 1987), 1.

[12] Act of August 4, 1790 (1 Stat. L., 145, 175). The Act specified a 10 man crew for each cutter, consisting of one master, three mates, four mariners, and two boys.

[13] Act of July 7, 1797 (1 Stat. L., 523, 525).

[14] Johnson, *Guardians of the Sea*, 2.

[15] Act of December 22, 1837 (5 Stat. L., 208).

[16] Act of July 7, 1838 (5 Stat. L., 304); Quoted in Evans, *A Definitive History*, 29.

[17] Evans, *A Definitive History*, 29.

[18] Dennis L. Noble, A Legacy: *The United States Life-Saving Service* (Washington, D.C.: United States Coast Guard, 1989), 4-5, 20-21.

[19] Joshua M. Smith, "'So Far from the Eye of Authority': The Embargo of 1807 and the U.S. Navy, 1807-1809," in *New Interpretations in Naval History: Selected Papers from the Twelfth Naval History Symposium*, ed. William B. Cogar (Annapolis: U.S. Naval Institute Press, 1996), 132.

[20] Quoted in United States Coast Guard, Office of the Coast Guard Historian, *The U.S. Coast Guard: A Historical Overview*, [http://www.uscg.mil/history/articles/h_uscghistory.asp], Accessed March 23, 2013.

[21] Evans, *A Definitive History*, 76.

[22] President Lincoln invoked the provisions of section 98 of *An Act to Regulate the Collection of Duties on Imports and Tonnage* of March 2, 1799, which stated that "revenue cutters shall, whenever the President of the United States shall so direct, co-operate with the Navy of the United States, during which time, they shall be under the direction of the Secretary of the Navy…" See 1 Stat. L., 699-700.

[23] Evans, *A Definitive History*, 75, citing Army and Navy Journal (November 26, 1864). This claim was verified by Captain (E) J. H. Pulsifer, USCG (Ret.) in the *U. S.C. G. Association Journal* 1, no. 1 (1917).

[24] For many decades the Service had no official title, although "Revenue Marine" or "Revenue Service" seem to have been the most common appellations in the early 1800s. Not until 1863 did Congress actually call the Service by name. In that year, Congress used the name in *An Act in Relation to Commissioned Officers of the United States Revenue Cutter Service* of February 4, 1863. See 12 Stat. L., 639.

[25] Irving H. King, *The Coast Guard Expands, 1865-1915: New Roles, New Frontiers* (Annapolis: U.S. Naval Institute Press, 1996), 11-13.

[26] Ibid., 13.

[27] In 1872, the fleet consisted of 35 cutters, of which 25 were steamers; in 1881, the numbers were 36 and 31, respectively. Ibid., 14, 17.

[28] Joe A. Mobely, *Ship Ashore! The U.S. Lifesavers of Coastal North Carolina* (Raleigh, NC: North Carolina Department of Cultural Resources, Division of Archives and History, 1994), 26-27.

[29] For a more in-depth discussion of the USS *Huron* and SS *Metropolis* disasters and their effects see Mobley, *Ship Ashore!*, 53-90.

[30] Evans, *A Definitive History*, 169-72. In his letter to Congress, the President wrote:

> *On the 11th of May, 1898, there occurred a conflict in the Bay of Cardenas, Cuba in which the naval torpedo boat Winslow was disabled, her commander wounded, and one of her officers and a part of her crew killed by the enemy's fire. In the face of a most galling fire from the enemy's guns the revenue cutter Hudson, commanded by First Lieutenant Frank H. Newcombe [sic], [USRCS], rescued the disabled Winslow, her wounded commander and remaining crew. The commander of the Hudson kept his vessel in the very hottest fire of the action…until he finally [was able to tow] that vessel out of range of the enemy's guns, a deed of special gallantry.* Ibid., 171-2.

[31] Robert Erwin Johnson, *Guardians of the Sea* (Annapolis: U.S. Naval Institute Press, 1987), 232.

[32] King, *The Coast Guard Expands*, 232.

[33] Donald Canney, *Rum War: U.S. Coast Guard and Prohibition* (Washington, D.C.: United States Coast Guard, 1989), 12.

[34] United States Coast Guard. *Annual Report of the United States Coast Guard for the Fiscal Year Ended June 30, 1927.* (Washington, D.C.: Government Printing Office, 1927), 8-11. http://www.uscg.mil/history/disastersindex.asp.

[35] During World War II, even the reserves required augmentation in order to meet port security needs. In June 1942, the Coast Guard established a Temporary Reserve made up of men and women who were excluded from full-time military service. By 1944, 50,000 served, primarily as a part-time Volunteer Port Security Force. Robert M. Browning, Jr., *Captains of the Port* (Washington, D.C.: Coast Guard Historians Office, 1993), 15-16.

[36] Browning, *Captains of the Port*, 177.

[37] Ibid., 195-196.

[38] Ibid.,220-22. The acronym LORAN, adopted to conceal the project from our enemies, was a shortened version of "Long Range Navigation." Ibid., 221.

[39] Tulich, Eugene N. *The United States Coast Guard in South East Asia During the Vietnam Conflict* (Washington, D.C.: United States Coast Guard, 1986), passim. http://www.uscg.mil/history/articles/h_tulichvietnam.asp

[40] Originally known as the "Atlantic Merchant Vessel Emergency reporting System," AMVER became operational on July 18, 1958. See, United States Coast Guard, The History of the AMVER System, http://www.amver.com/amverhistory.asp.

[41] Robert Erwin Johnson, *Guardians of the Sea* (Annapolis: U.S. Naval Institute Press, 1987), 341.

[42] According to Evans, *A Definitive History*, 29, the Revenue Marine was charged with enforcement of the Timber Reserve Act of 1822, 3 Stat. L., 651 (February 23, 1822), which authorized the President to "employ so much of the land and naval forces of the United States" as necessary to preserve public lands of live oak, used to build the stout hulls of men-o'war, located in Florida. For the 1899 Refuse Act see Act of March 3, 1899, ch. 425, § 13 (30 Stat. 1152 codified at 33 U.S.C. § 407).

[43] See 14 U.S.C. § 1.

[44] President's Interagency Task Force on United States Coast Guard Roles and Missions, *The U.S. Coast Guard of the 21st Century* (January 2000), 1.

[45] United States Coast Guard, ALCOAST/ALDIST 039/94.

[46] E.P. Bertholf, *Annual Report of the United States Coast Guard for the Fiscal Year Ended June 30, 1915* (Washington, D.C.: Government Printing Office, 1915).

[47] Secretary Alexander Hamilton (Treasury Department), Letter of Instruction to Commanding Officers of the Revenue Cutter Service, June 4, 1791, ¶ 3.

[48] Irving H. King, *The Coast Guard Expands, 1865-1915: New Roles, New Frontiers* (Annapolis: U.S. Naval Institute Press, 1996), 8, 198.

[49] Hamilton, Letter of Instruction, ¶ 14.

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

www.uscg.mil