



Department of Homeland Security Office of Inspector General

Annual Review of the United States Coast Guard's Mission Performance (FY 2010)





SEPT 26 2011

Preface

The Department of Homeland Security (DHS) Office of Inspector General (OIG) was established by the *Homeland Security Act of 2002* (Public Law 107-296) by amendment to the *Inspector General Act of 1978*. This is one of a series of audit, inspection, and special reports prepared as part of our oversight responsibilities to promote economy, efficiency, and effectiveness within the Department.

This report addresses the strengths and weaknesses of the United States Coast Guard's mission performance, as required by the *Homeland Security Act of 2002*. It is based on interviews with employees and officials of relevant agencies and institutions and a review of applicable documents.

We trust this report will result in more effective, efficient, and economical operations. We express our appreciation to all of those who contributed to the preparation of this report.

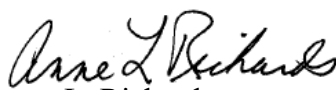

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Abbreviations

DHS	Department of Homeland Security
FY	fiscal year
GAO	Government Accountability Office
OIG	Office of Inspector General

OIG

Department of Homeland Security
Office of Inspector General

Executive Summary

This report presents our annual review of the United States Coast Guard's mission performance, as required by the *Homeland Security Act of 2002*. To address the Act's requirements, we reviewed the Coast Guard's performance measures and results for each non-homeland security and homeland security mission, as well as resource hours used to perform the various missions from fiscal years 2001 through 2010. We did not verify the accuracy of the Coast Guard-provided data.

Coast Guard data show that in fiscal year 2010, the Coast Guard dedicated about the same number of resource hours to both non-homeland security and homeland security missions. However, this parity was not by design but rather due to several major events, including the Deepwater Horizon oil spill in the Gulf of Mexico and Haiti earthquake relief efforts. In addition, the total number of resource hours available for all missions has been declining since fiscal year 2005. This is attributable, in part, to aging cutters and aircraft and increased support functions, such as training.

The Coast Guard performance measurement information indicates that it met more non-homeland security mission performance measures than homeland security mission performance measures. The Coast Guard's budget information for fiscal year 2011 and projections for fiscal year 2012 show a slight increase in homeland security mission spending and a slight decrease in non-homeland security mission spending from fiscal year 2010.

This report contains no recommendations.

Background

Section 888 of the *Homeland Security Act of 2002*, Public Law 107-296, dated November 25, 2002, directs the Inspector General to conduct an annual review that assesses the performance of all the Coast Guard missions, with a particular emphasis on non-homeland security missions. This section also defines the Coast Guard's 11 statutory missions as either non-homeland security missions or homeland security missions, as follows:

Non-Homeland Security Missions

- Marine Safety
- Search and Rescue
- Aids-to-Navigation
- Living Marine Resources
- Marine Environmental Protection
- Ice Operations

Homeland Security Missions

- Ports, Waterways, and Coastal Security
- Drug Interdiction
- Migrant Interdiction
- Defense Readiness
- Other Law Enforcement

In addition, Section 888 of the *Homeland Security Act of 2002* prohibits the Secretary from substantially or significantly reducing any of the Coast Guard's missions or its capability to perform those missions, subsequent to the transfer of the Coast Guard to the Department of Homeland Security (DHS).

The Coast Guard uses resource hours—generally, the number of flight hours (for aircraft) and underway hours (for boats and cutters) used to carry out a specific mission—to determine the amount of time expended on each of its non-homeland security and homeland security missions. During our review, we obtained data on the total number of resource hours reported by the Coast Guard from a baseline of pre-September 11, 2001 data, through fiscal year (FY) 2010. The Coast Guard-calculated baseline is an annual average of resource hours based on eight FY quarters preceding September 11, 2001. We did not verify the resource hour data reported by the Coast Guard, nor did we validate

whether the Coast Guard accurately classified resource hours used for each mission. We assessed total resource hours for the 11 individual missions in order to identify the changes in each.

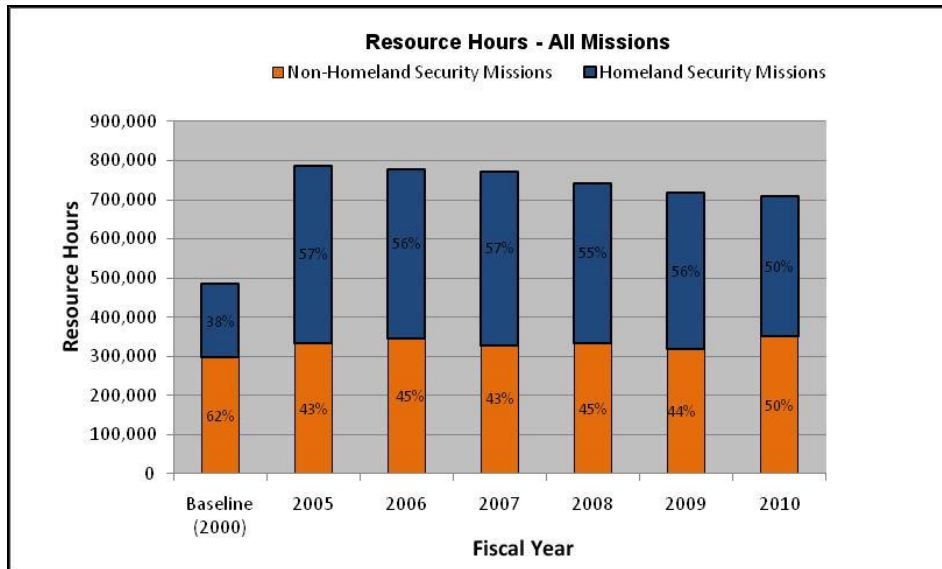
Results of Review

Although we did not verify the accuracy of the Coast Guard data, the data showed that FY 2010 was the first year that the Coast Guard dedicated about the same number of resource hours to non-homeland security missions as to homeland security missions. This increase in non-homeland security mission resource hours resulted from several major events, including the Deepwater Horizon oil spill in the Gulf of Mexico and Haiti earthquake relief efforts. During the Deepwater Horizon oil spill, the Coast Guard deployed more than 7,000 personnel, 46 cutters and boats, and 22 aircraft. The Coast Guard also deployed more than 890 personnel, 43 cutters, and 27 aircraft to Haiti earthquake relief efforts. These events diverted resources from various other homeland and non-homeland missions such as Ports, Waterways, and Coastal Security; Drug Interdiction; Aids to Navigation; and Marine Safety. In addition, the total number of resource hours for all missions has been on a steady decline since FY 2005, partially attributable to aging cutters and aircraft and additional support functions, such as training.

In FY 2010, resource hours dedicated to non-homeland security and homeland security missions were nearly the same (352,517 and 357,320, respectively). The Coast Guard performance measurement information indicates that it met more non-homeland security mission performance measures (7 of 10) than homeland security measures (2 of 5). The Coast Guard's budget information for FY 2011 and projections for FY 2012 show a slight increase in homeland security mission spending and a slight decrease in non-homeland security mission spending.

Resource Hours for Non-Homeland Security and Homeland Security Missions

Since 2005, the Coast Guard has dedicated the majority of resource hours to homeland security missions, except in FY 2010, as illustrated in the following chart.



The Coast Guard data also show that the gap between resource hours for homeland security versus non-homeland security missions has narrowed from a 14% difference in FY 2005 (57% of resource hours used for homeland security missions versus 43% for non-homeland security missions) to virtually no gap in FY 2010. However, the increase in non-homeland security mission resource hours for FY 2010 is mainly attributable to the increased resources the Coast Guard dedicated to responding to the Deepwater Horizon oil spill and earthquake relief efforts in Haiti.

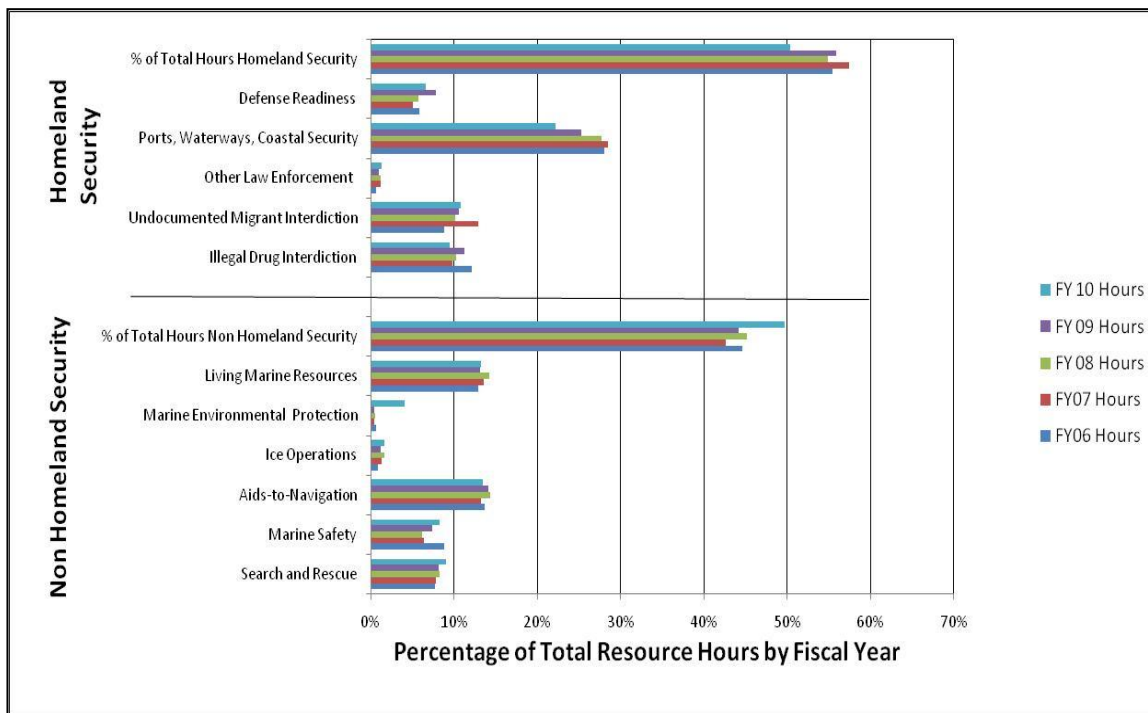
As illustrated in table 1, the total Coast Guard–reported resource hours, composed of the number of flight hours (for aircraft) and underway hours (for boats and cutters) used on a specific mission, dropped for the third straight year to 709,837 in FY 2010, declining approximately 8% compared to 770,716 in FY 2007. Further, the largest percentage of all the Coast Guard resource hours was utilized for the Ports, Waterways, and Coastal Security mission, accounting for 22.18% of total resource hours for FY 2010.

Table 1. FY 2010 Coast Guard Resource Hours

Mission	FY 2007		FY 2008		FY 2009		FY 2010	
	Hours	% of Total mission hours	Hours	% of Total mission hours	Hours	% of Total mission hours	Hours	% of Total mission hours
Non-Homeland Security								
Search and Rescue	59,999	7.78%	61,321	8.26%	58,607	8.16%	64,273	9.05%
Marine Safety	49,379	6.41%	45,794	6.17%	52,579	7.32%	58,828	8.29%
Aids to Navigation	102,088	13.25%	106,638	14.36%	100,904	14.05%	95,268	13.42%
Ice Operations	10,230	1.33%	11,938	1.61%	8,033	1.12%	11,639	1.64%
Marine Environmental Protection	2,628	0.34%	3,441	0.46%	2,949	0.41%	29,039	4.09%
Living Marine Resources	104,293	13.53%	105,769	14.25%	94,178	13.12%	93,470	13.17%
Subtotal	328,617	42.64%	334,901	45.11%	317,250	44.18%	352,517	49.66%
Homeland Security								
Illegal Drug Interdiction	75,175	9.75%	75,892	10.22%	80,564	11.22%	67,307	9.48%
Undocumented Migrant Interdiction	98,899	12.83%	74,918	10.09%	76,100	10.60%	76,848	10.83%
Other Law Enforcement	9,213	1.20%	8,272	1.11%	6,686	0.93%	8,708	1.23%
Ports, Waterways, Coastal Security	219,662	28.50%	205,715	27.71%	181,264	25.25%	157,427	22.18%
Defense Readiness	39,150	5.08%	42,688	5.76%	56,128	7.82%	47,030	6.62%
Subtotal	442,099	57.36%	407,485	54.89%	400,742	55.82%	357,320	50.34%
Total	<u>770,716</u>	<u>100.00%</u>	<u>742,386</u>	<u>100.00%</u>	<u>717,992</u>	<u>100.00%</u>	<u>709,837</u>	<u>100.00%</u>

According to Coast Guard officials, this decline in total resource hours is attributable, in part, to unavailability of aging cutters and aircraft resulting from unscheduled maintenance. There has also been increased use of these assets for support functions such as training. Support hours for the 11 statutory missions have increased 15% since FY 2007, thereby decreasing the total available resource hours for conducting missions.

The percentages of total resource hours by statutory mission areas are illustrated in the following chart.



Non-homeland security missions are summarized in appendix C, and homeland security missions are summarized in appendix D.

Coast Guard’s Mission Performance

The Coast Guard reported that it met 9 of 15 performance measures in FY 2010—7 of 10 non-homeland security performance measures and 2 of 5 homeland security performance measures. In FY 2010, the Coast Guard utilized 15 performance measures, compared with 24 performance measures in FY 2009. Appendix E summarizes the Coast Guard’s FY 2010 performance measures for its 11 missions.

As shown in table 2, in FY 2010, the Coast Guard retired two performance measures (one non-homeland security and one homeland security measure) and no longer publicly reports on eight homeland security measures that we reported on in FY 2009. In addition, the “Defense Readiness Assessment of all U.S. Coast Guard High Endurance Cutters, Patrol Boats, and Port Security Units” performance measure is being used in FY 2010 to simplify and consolidate the three Defense Readiness performance measures previously reported in FY 2009.

Table 2. Retired or Not Publicly Reported FY 2009 Performance Measures

<u>Mission</u>	<u>Measure</u>	<u>Retired/ Not Publicly Reported</u>
<u>Non-Homeland Security Missions</u>		
Marine Environmental Protection	<ul style="list-style-type: none"> Percentage of oil removed or otherwise mitigated as compared to the amount of oil released for reported spills of 100 gallons or more 	1
<u>Homeland Security Missions</u>		
Ports, Waterways, and Coastal Security	<ul style="list-style-type: none"> Number of transportation workers identification spot checks 	1
Total Non-Homeland Security and Homeland Security Performance Measures Retired		2
<u>Homeland Security Missions</u>		
Ports, Waterways, and Coastal Security	<ul style="list-style-type: none"> Critical infrastructure required visit rate 	1
	<ul style="list-style-type: none"> Percentage of risk reduction of maritime security risk resulting from Coast Guard efforts to prevent a weapon of mass destruction from entering the United States via maritime means 	2
	<ul style="list-style-type: none"> Percentage of reduction of maritime security risk resulting from Coast Guard efforts to prevent a terrorist entering the United States via maritime means 	3
	<ul style="list-style-type: none"> Risk reduction due to consequence management 	4
	<ul style="list-style-type: none"> High-capacity passenger vessel required escort rate 	5
Defense Readiness	<ul style="list-style-type: none"> Defense readiness of patrol boats 	6
	<ul style="list-style-type: none"> Defense readiness of port security units 	7
	<ul style="list-style-type: none"> Percentage of time that Coast Guard assets included in the combatant commander operational plans are ready at a status of resources and training systems rating of 2 or better 	8
Total Homeland Security Performance Measures Not Publicly Reported		8
Total FY 2009 Performance Measures Retired or Not Publicly Reported		<u>10</u>

The Coast Guard also compared baseline data with its mission execution and support activities, in conjunction with DHS, as part of the recent DHS Bottom-Up Review.¹ As part of this process, the Coast Guard identified six logical groupings of like activities within the 11 statutory missions, as reflected in table 3. The groupings formed the basis of the Coast Guard’s new structure within the overall construct of DHS

¹ Department of Homeland Security Bottom-Up Review Report (July 2010). The Bottom-Up Review provides the results of the department-wide assessment of DHS, to align the Department’s programmatic activities and organizational structure with the mission sets and goals identified in the Quadrennial Homeland Security Review.

programs as outlined in DHS' Future Year Homeland Security Program. These six programs, implemented through execution of the Coast Guard's 11 statutory missions, are critical to the Coast Guard achieving specific Quadrennial Homeland Security Review goals and objectives, and advancing national priorities that together define the six DHS missions.

Table 3. Coast Guard Statutory Missions Grouping with DHS Programs

DHS Programs	Statutory Missions
Maritime Security Operations	<ul style="list-style-type: none"> • Ports, Waterways, and Coastal Security – Operational Activities
Maritime Law Enforcement	<ul style="list-style-type: none"> • Drug Interdiction • Migrant Interdiction • Living Marine Resources • Other Law Enforcement
Maritime Prevention	<ul style="list-style-type: none"> • Ports, Waterways, and Coastal Security – Prevention Activities • Marine Safety • Marine Environmental Protection – Prevention Activities
Maritime Response	<ul style="list-style-type: none"> • Search and Rescue • Marine Environmental Protection – Response Activities
Defense Operations	<ul style="list-style-type: none"> • Defense Readiness
Marine Transportation System Management	<ul style="list-style-type: none"> • Aids to Navigation • Ice Operations

The performance measures and results for non-homeland security missions and homeland security missions are included in appendices C and D, respectively.

FY 2011 Budget Information

During FY 2011, the Coast Guard expects the gap to remain narrow between non-homeland security missions and homeland security missions by expending 48.2 % of its budget on non-homeland security missions and 51.8% on homeland security missions. The Coast Guard reported that the FY 2011 continuing resolution funding level corresponds to the FY 2010 enacted level. The largest percentage, about 21%, of the Coast Guard resources will continue to be dedicated to its Ports, Waterways, and Coastal Security mission in FY 2011 and FY 2012.

Management Comments and OIG Analysis

The Coast Guard agreed with the OIG's analysis of its mission performance for FY 2010. We include the formal reply from the Assistant Commandant for Resources and Chief Financial Officer for the Coast Guard in appendix B.

The Coast Guard provided technical comments on our draft report, and we addressed them, as appropriate, throughout the report.

Appendix A

Purpose, Scope, and Methodology

Section 888(f)(1) of the *Homeland Security Act of 2002* directs the Inspector General to conduct an annual assessment of the Coast Guard's performance of all its missions, with a particular emphasis on non-homeland security missions. The objective of this review was to determine the extent to which the Coast Guard is maintaining its historical level of effort on non-homeland security missions.

We reviewed the following Government Accountability Office (GAO) reports and testimonies:

- *Coast Guard Observations on Acquisition Management and Efforts to Reassess the Deepwater Program* (GAO-11-535T) April 13, 2011
- *Quadrennial Homeland Security Review: 2010 Reports Addressed Many Required Elements, but Budget Planning Not Yet Completed* (GAO-11-153R) December 16, 2010
- *Coast Guard Observations on the Requested Fiscal Year 2011 Budget, Past Performance, and Current Challenges* (GAO-10-411T) February 25, 2010
- *Coast Guard Observations on the Fiscal Year 2010 Budget and Related Performance and Management Challenges* (GAO-09-810T) July 7, 2009
- *Coast Guard Observations on the Fiscal Year 2009 Budget, Recent Performance, and Related Challenges* (GAO-08-494T) March 6, 2008

We analyzed the total number of resource hours reported by the Coast Guard prior to September 11, 2001, through FY 2010. We did not attempt to verify the resource hour data, nor did we attempt to validate whether the Coast Guard had accurately categorized such data. We assessed total resource hours for the Coast Guard's 11 individual missions to identify the changes in each.

We analyzed performance measures and targets to determine whether the measures for each of the Coast Guard's missions had been accomplished. We obtained information on performance from the *Department of Homeland Security Annual Performance Report, Fiscal Years 2010–2012* and the unpublished *United States Coast Guard Annual Performance Report for 2010*. In addition, we reviewed our *Annual Review of the United States Coast Guard's Mission Performance (FY 2009)*, dated August 2010, for performance measure data prior to FY 2010. We obtained target projections from the FY 2011 and FY 2012 President's Budget Request Strategic Context Congressional Submission for the Coast

Appendix A

Purpose, Scope, and Methodology

Guard. We also obtained budget information from the Department's FY 2011 and FY 2012 Budget-in-Brief. We held discussions with Coast Guard officials to obtain information on why the Coast Guard did not meet its performance targets for certain missions.

We conducted our review between March and July 2011 under the authority of the *Inspector General Act of 1978*, as amended, and according to the *Quality Standards for Inspections*, issued by the Council of the Inspectors General on Integrity and Efficiency. We relied on data provided by the Coast Guard and did not verify that data against original documentation.

We would like to extend our appreciation for the cooperation and courtesies extended by the Coast Guard to our staff during the review.

Appendix B Management Comments to the Draft Report

U.S. Department of
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United States
Coast Guard



Commandant
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7501

MEMORANDUM

SEP 01 2011

From: RDML S. P. Metrick
COMDT (CG-8)

Reply to: Audit Manager,
Attn of: Mark Kulwicki
(202) 372-3533

To: Anne L. Richards
Assistant Inspector General for Audits

Subj: DHS OIG REPORT ON ANNUAL REVIEW OF THE UNITED STATES COAST
GUARD'S MISSION PERFORMANCE (FY 2010)

Ref: (a) DHS OIG Draft Report dated August 18, 2011

1. Thank you for the opportunity to review and comment on Department of Homeland Security (DHS) Office of Inspector General's (OIG's) Draft Report 11-050-AUD-USCG entitled, "Annual Review of the United States Coast Guard's Mission Performance (FY 2010)."
2. The United States Coast Guard (USCG) appreciates the efforts of the OIG to document measures that can be taken by the USCG to enhance the program's overall effectiveness.
3. The USCG agrees with the findings of the report and recommends the following technical comments contained in the enclosure.
4. If you have any questions, my point of contact is Mr. Mark Kulwicki who can be reached at (202) 372-3533.

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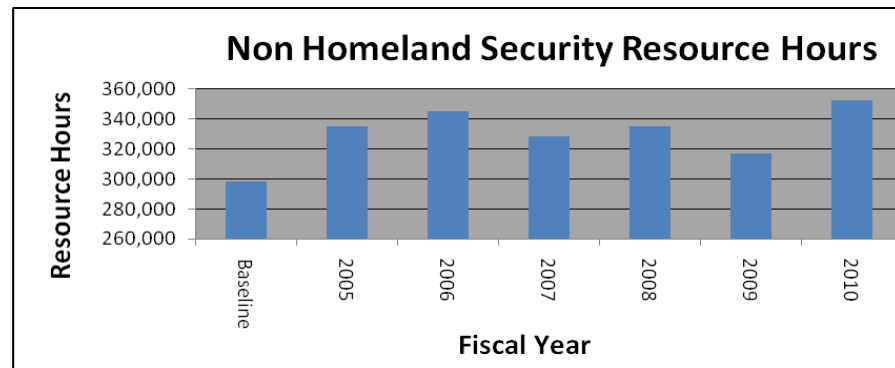
Enclosure: (1) USCG technical comments

Copy: Brooke Bebow, Director,
Sam Bellino, Audit Manager
Hortencia Francis, Program Analyst
Kevin Donahue, Auditor
Tammy Johnson, Management Analyst
Gwendolyn Priestman, Referencer

Appendix C
Non-Homeland Security Missions

Non-Homeland Security Missions

The FY 2010 non-homeland security mission resource hours totaled 352,517 and were up 11.12% from FY 2009. The following graph illustrates the trend in non-homeland security mission resource hours since 2005 compared with the baseline period.



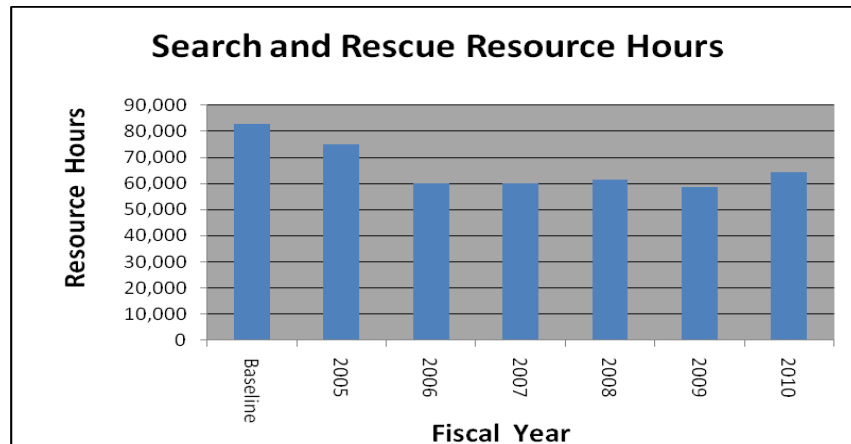
In FY 2010, the Coast Guard met 7 of 10 performance measures for its six non-homeland security missions, compared with meeting 8 of 11 performance measures in FY 2009. The resource hours and performance measures and results for each non-homeland security mission are summarized below.

Search and Rescue

Minimizing the loss of life, personal injury, and property damage or loss by rendering aid to persons in distress and property in the maritime environment has always been a Coast Guard priority.

Resource Hours. Search and Rescue is a demand-driven mission. Requirements for search and rescue services increase or decrease relative to the number of people at sea and their need for Coast Guard assistance. Resource hours in FY 2010 increased approximately 9.7% over FY 2009. The following chart shows the number of resource hours the Coast Guard used for the Search and Rescue mission from the baseline period through FY 2010.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. The one performance measure related to Search and Rescue was not met in FY 2010. This measure was used for the first time in FY 2009, but the Coast Guard also provided data from 2005. However, in FY 2011 the Coast Guard changed this performance target to saving 100% of people in imminent danger in the maritime environment. Coast Guard officials noted that this performance goal is not operationally attainable.

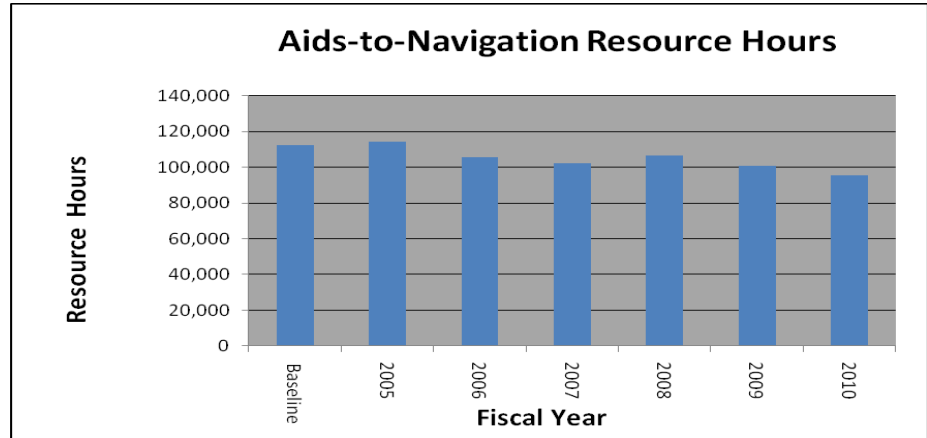
Search and Rescue						
Performance Measure – Percent of people in imminent danger saved in the maritime environment						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	76.0%	76.0%	76.0%
Actual	N/A	N/A	N/A	76.8%	77.3%	74.4%
Result				√ Met	√ Met	X Not Met

Aids-to-Navigation

The Aids-to-Navigation mission is a means for the Coast Guard to mark the waters of the United States and its territories to assist boaters in navigation and alert them to obstructions and hazards. This includes buoys, lighting, marking, and systems to monitor and coordinate vessel traffic.

Resource Hours. The chart below shows that FY 2010 resource hours decreased about 5.6% from FY 2009. This is about a 15% decrease from the baseline level.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. In FY 2010, there were two performance measures related to Aids-to-Navigation. One measure was met and one was not met. The wording in both measures was simplified, but they are calculated the same as in prior years. Specifically, the first measure (average number of navigational accidents) was previously reported as the “5-year average number of collisions, allisions, and groundings.” Collisions refer to involuntary contact between vessels underway, whereas allisions refer to involuntary contact between a vessel underway and an immobile object such as a bridge.

The Coast Guard’s Marine Transportation System Management program oversees this performance measure and has undertaken initiatives to reduce the risk of collisions, allisions, and groundings. The Coast Guard’s efforts include improvements in bridge clearances to prevent disruptions to marine and surface transportation; navigation safety risk assessments to identify factors that influence collisions, allisions, and groundings; and contingency planning for marine transportation during extreme conditions. Even though the average number of navigational accidents was not met, the Coast Guard’s performance was within 1% of its FY 2010 target.

Aids-to-Navigation						
Performance Measure – Average number of navigational accidents						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	≤1,831	≤1,748	≤1,664	≤1756	≤1,871	≤1,858
Actual	1,877	1,816	1,823	1,857	1,878	1,878
Result	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met

Note: The symbol ≤ indicates less than or equal to.

Appendix C
Non-Homeland Security Missions

The second measure, “Availability of maritime navigational aids,” was previously reported as “Federal short-range aids to navigation availability.” According to the Coast Guard, the availability of maritime navigation aids increased slightly, to 98.5%. This exceeded the FY 2010 and FY 2011 targets of 97.5%. This was accomplished even though 12 buoy tenders, or 40% of the fleet, assisted with the Deepwater Horizon oil spill.

Aids-to-Navigation						
Performance Measure – Availability of maritime navigation aids						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	97.5%	97.5%	97.5%
Actual	N/A	N/A	N/A	98.3%	98.0%	98.5%
Result				√ Met	√ Met	√ Met

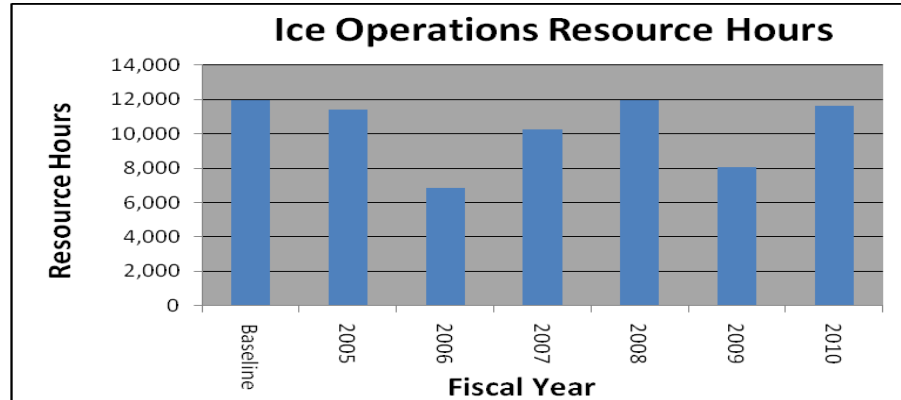
Ice Operations

This mission encompasses icebreaking activities in the Great Lakes, St. Lawrence Seaway, and Northeast.² These activities provide for the safe and efficient transportation of domestic and international maritime vessels.

Resource Hours. In FY 2010, resource hours increased by approximately 44.9% from FY 2009, which brings it only slightly lower than the baseline level. Fluctuations in resource hours are not unusual, since this mission is dependent on ice accumulation, which varies on an annual basis.

² In addition to domestic ice operations, the Coast Guard operates the only U.S.-controlled icebreakers capable of operations in the polar regions. The Coast Guard operates these cutters; however, budget authority for their operation and maintenance is held by the National Science Foundation and transferred to the Coast Guard. Resource hours for polar operations are included in the chart; however, only Coast Guard-directed domestic ice operations performance targets are measured.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. There was one performance measure related to Ice Operations in FY 2010, and it was not met. The Coast Guard met its performance target in all waterways it is responsible for except for one waterway that connects to the Great Lakes—the St. Claire River. The St. Claire River was closed for 6 days due to ice conditions, as opposed to the 2-day target for an average winter. This measure was reworded for clarity, but it is calculated the same as in prior years. Specifically, this measure was previously reported as “Number of days critical waterways are closed due to ice.”

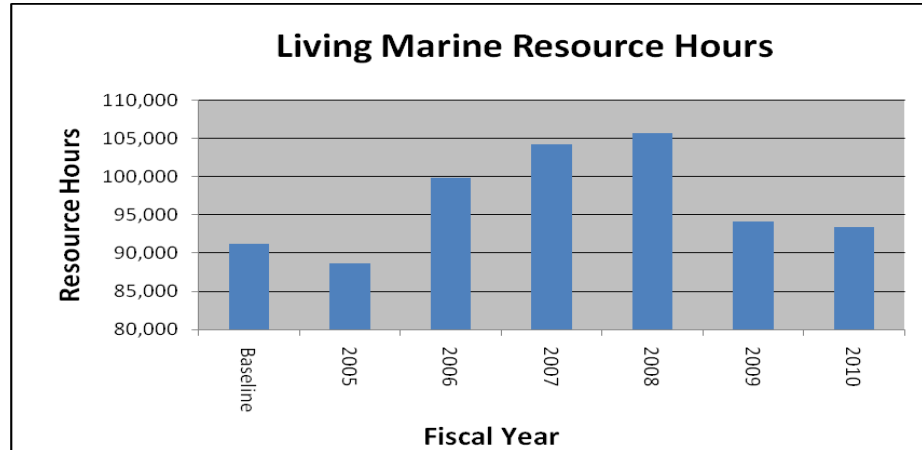
Ice Operations						
Performance Measure – Number of days critical waterways are closed to commerce due to ice						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe
Actual	0	0	0	0	0	6
Result	√ Met	√ Met	√ Met	√ Met	√ Met	X Not Met

Living Marine Resources

This program’s mission is to provide effective and professional at-sea enforcement of federal fisheries regulations and other regulations to advance national goals for the conservation and management of living marine resources and their environments.

Resource Hours. FY 2010 resource hours remained about the same, decreasing only .75% from FY 2009, but were higher than the baseline by 2.4%.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. There was one performance measure related to Living Marine Resources in FY 2010, and it was met. The FY 2010 fishing regulation compliance rate increased slightly from FY 2009, from 96.8% to 97.2%. Also, the 2011 performance target decreased to 96% compliance from 97% in FY 2010. The wording of this measure was simplified, but it is calculated the same as in prior years. It was previously reported as “Percentage of the Coast Guard boardings at sea in which no significant violations are detected when domestic fisheries regulations apply.”

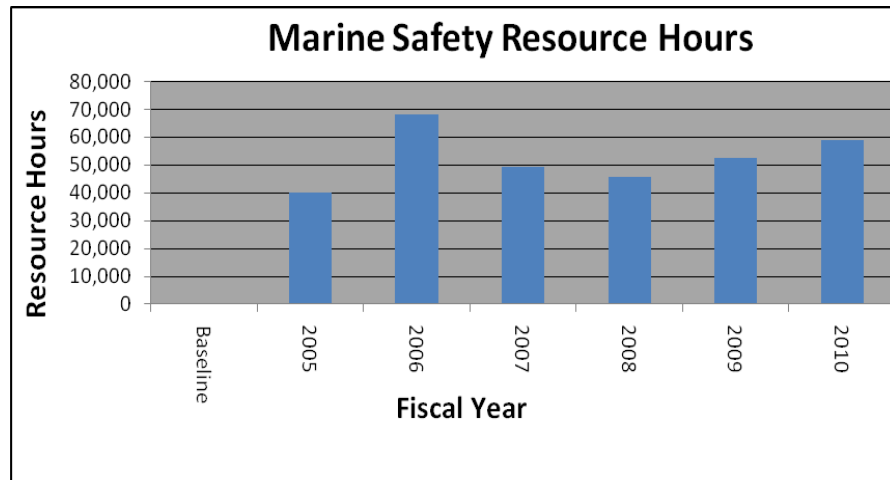
Living Marine Resources						
Performance Measure – Fishing regulations compliance rate						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	97%	97%	97%	97%	97%	97%
Actual	96.4%	96.6%	96.2%	95.3%	96.8%	97.2%
Result	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	√ Met

Marine Safety

The Marine Safety Program ensures the safe operation and navigation of United States and foreign-flagged vessels. The Coast Guard is responsible for providing safe, efficient, and environmentally sound waterways for commercial and recreational users. Domestic vessel inspections and port state control (foreign vessel) examinations are conducted in order to safeguard maritime commerce and international trade.

Resource Hours. The Coast Guard did not report hours for this mission prior to 2005. FY 2010 resource hours for Marine Safety increased by approximately 11.9% from FY 2009.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. There were three performance measures related to Marine Safety in FY 2010, and all measures were met.

Marine Safety						
Performance Measure – Five-year average number of commercial mariner deaths and injuries						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	<501	<529	<520
Actual	N/A	N/A	N/A	496	495	454
Result				√ Met	√ Met	√ Met

According to the Coast Guard, the 5-year average number of commercial mariner deaths and injuries declined by about 8.3% from the revised average of 495 in FY 2009. Also, the number of deaths and injuries reported in FY 2010 was 311, or about 31.5% fewer than average. This performance is better than the FY 2011 target of fewer than or equal to 475 deaths and injuries.

Appendix C
Non-Homeland Security Missions

Marine Safety						
Performance Measure – Five-year average number of commercial passenger deaths and injuries						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	<225	<251	<248
Actual	N/A	N/A	N/A	252	238	238
Result				X Not Met	√ Met	√ Met

While the 5-year average number of commercial passenger deaths and injuries did not change from the revised average of 238 in FY 2009, the actual number of deaths and injuries reported in FY 2010 was 188, or about 21% fewer than average.

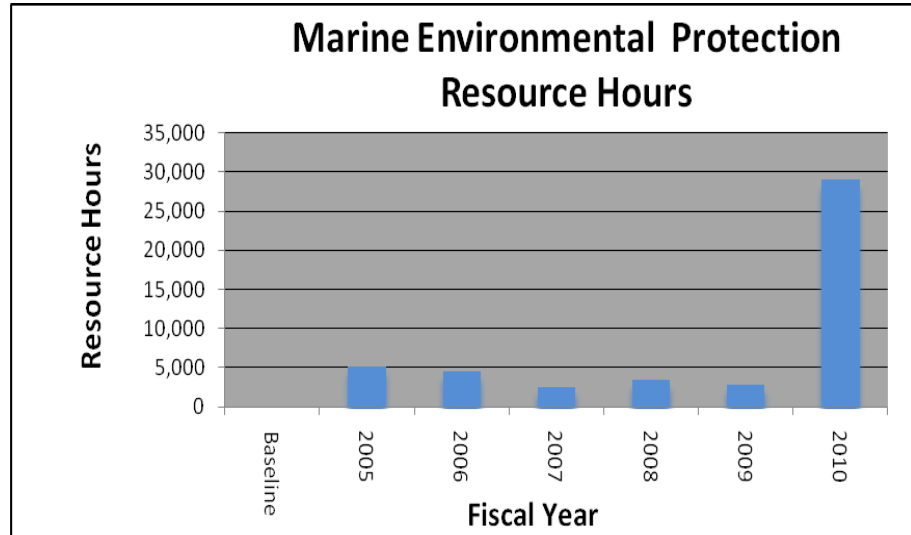
Marine Safety						
Performance Measure – Five-year average number of recreational boating deaths and injuries						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	<4,252	<4,248	<4,184
Actual	N/A	N/A	N/A	4,147	4,150	3,959
Result				√ Met	√ Met	√ Met

The 5-year average number of recreational boating deaths and injuries declined by nearly 4.6% from the revised average of 4,150 in FY 2009. While the 5-year average was 3,959, the actual number of deaths and injuries reported in FY 2010 was 3,162, or about 20% fewer than average.

Marine Environmental Protection

The Marine Environmental Protection Program falls under the Coast Guard’s stewardship role and is concerned with averting the introduction of invasive species, stopping unauthorized ocean dumping, and preventing the discharge of oil or hazardous substances into the navigable waters of the United States.

Resource Hours. In FY 2010, resource hours increased by about 900% from FY 2009. This increase is attributable to the Deepwater Horizon oil spill in the Gulf Coast area. The Coast Guard did not report resource hours for this mission prior to FY 2005.



Performance Measures and Results. There were two performance measures related to Marine Environmental Protection in FY 2010, and both were met. The wording for both measures was simplified, but they are calculated the same as in prior years. The first measure (average number of chemical discharge incidents in the maritime environment) was previously reported as the “5-year average chemical discharge incidents per 100 million short tons shipped.” According to the Coast Guard, the average number of chemical discharge incidents in the maritime environment was 16.9 and met the target of being less than or equal to 22.8. This performance is better than the FY 2011 target of fewer than or equal to 22 chemical discharges.

Marine Environmental Protection						
Performance Measure – Average number of chemical discharge incidents in the maritime environment						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	<26.6	<25.9	<22.8
Actual	N/A	N/A	N/A	20	18.2	16.9
Result				√ Met	√ Met	√ Met

The second measure (average number of oil spills in the maritime environment) was previously reported as the “5-year average oil spills > 100 gallons per 100 million short tons shipped.” The FY 2010 average number of oil spills in the maritime environment declined by about 7.4% from the revised average of 12.1 in FY 2009. This performance is 3.5% better than the FY 2011 target of fewer than or equal to 11.6 oil spills, which, because it was built

Appendix C
Non-Homeland Security Missions

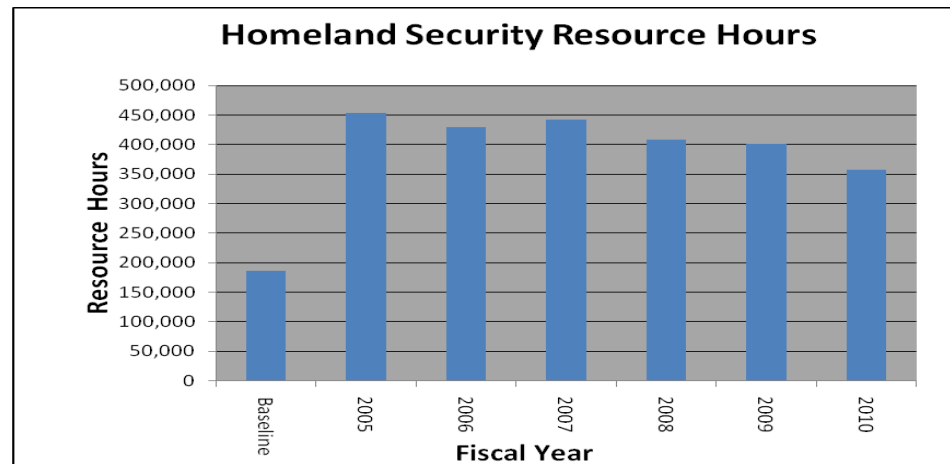
from a reliable baseline, is still considered an appropriate expectation for FY 2011.

Marine Environmental Protection						
Performance Measure – Average number of oil spills in the maritime environment						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	<13.5	<13.5	<12.1
Actual	N/A	N/A	N/A	13.3	12.1	11.2
Result				√ Met	√ Met	√ Met

Appendix D Homeland Security Missions

Homeland Security Missions

For FY 2005 through FY 2010, total resource hours for homeland security missions were the highest in FY 2005. Resource hours decreased 10.8% from FY 2009 to FY 2010. However, the FY 2010 level remains at 92% above baseline levels, as depicted in the following graph.



In FY 2010, the Coast Guard met 2 of 5 performance measures for its 5 homeland security missions, as compared with meeting 6 of 13 homeland security performance measures for FY 2009.

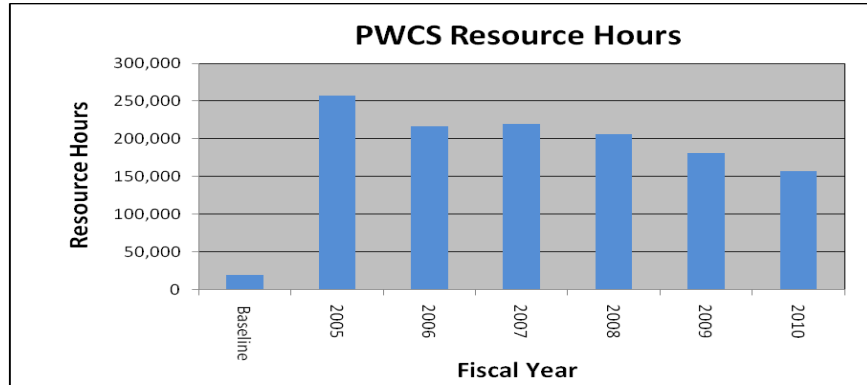
The resource hours and performance measures and results for homeland security mission are summarized below.

Ports, Waterways, and Coastal Security

The Ports, Waterways, and Coastal Security mission is to prevent and protect against maritime security threats, reduce America's vulnerability to those threats, and minimize the adverse consequences of maritime security incidents that occur.

Resource Hours. In FY 2010, resource hours for this mission decreased by 13% from FY 2009, primarily because resources were diverted to assist with the Deepwater Horizon oil spill and earthquake relief efforts in Haiti. Resource hours for Ports, Waterways, and Coastal Security rapidly increased in response to the events of September 11, 2001. Of all the Coast Guard missions, this one uses the largest percentage (22%) of resource hours. Historically, resource hours for this mission have decreased by nearly 40% from their high in 2004.

Appendix D
Homeland Security Missions



Performance Measures and Results. There is only one performance measure in FY 2010 relating to Ports, Waterways, and Coastal Security, compared with seven performance measures in FY 2009. This measure, “Percentage reduction in maritime terrorism risk over which the Coast Guard has influence,” was met. According to the Coast Guard, this measure will be retired in FY 2011 and will be replaced with a risk-based performance model that will more accurately represent its performance.

Ports, Waterways, and Coastal Security						
Performance Measure – Percentage reduction in maritime terrorism risk over which the Coast Guard has influence						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	Est.	14%	15%	15%	21%	19%
Actual	3.40%	17%	15%	20%	31%	28%
Result	N/A	√ Met	√ Met	√ Met	√ Met	√ Met

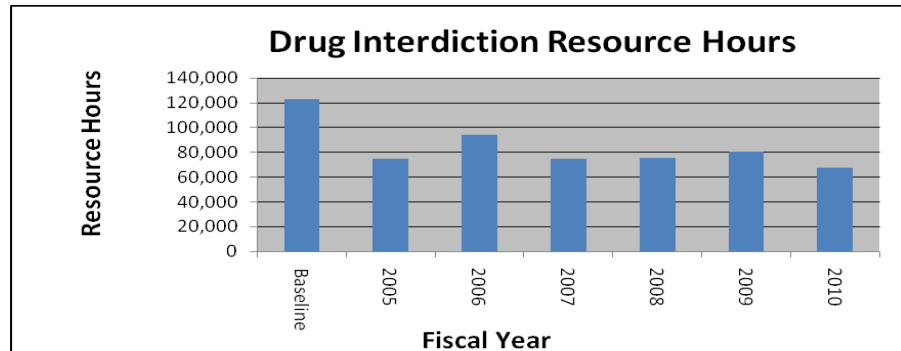
Drug Interdiction

The Coast Guard’s Drug Interdiction mission is key to combating the flow of illegal drugs into the United States. The Coast Guard is the lead federal agency for maritime drug interdiction and shares responsibility for air interdiction with U.S. Customs and Border Protection.

Resource Hours. As shown in the chart below, FY 2010 resource hours for the Drug Interdiction mission decreased by 16.5% from FY 2009, but are nearly 45% below baseline levels. The FY 2010 decrease is attributable to assets used for drug interdiction (High and Medium Endurance Cutters, marine patrol craft, and interdiction helicopters) being diverted to assist with both the Deepwater Horizon oil spill and Haiti earthquake relief efforts. Additionally, maintenance challenges prevented the High and

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Homeland Security Missions

Medium Endurance Cutter fleet from operating at designed capacity, thereby limiting the resource hours dedicated to this mission.



Performance Measures and Results. There was one performance measure related to Drug Interdiction for FY 2010, “Removal rate for cocaine from noncommercial vessels in a maritime transit zone.” The FY 2010 target for this measure was changed from 15.7% in FY 2009 to 18.5% in FY 2010, and it was not met. The Coast Guard attributes this partly to diversion of assets to Haiti earthquake relief efforts and to changing tactics by drug traffickers. The Coast Guard also noted that the load size of the drug seizures is significantly smaller, thereby impacting the results of this performance measure.

Drug Interdiction						
Performance Measure – Removal rate for cocaine from noncommercial vessels in maritime transit zone						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	N/A	15.7%	18.5%
Actual	N/A	N/A	N/A	N/A	15.0%	13.5%
Result					X Not Met	X Not Met

According to the Coast Guard, to improve its data, in 2009 it transitioned from the Interagency Assessment of Cocaine Movement to the Consolidated Counterdrug Database as the best source of cocaine movement estimates. The Consolidated Counterdrug Database uses quarterly, event-based, all confidence assessments, rather than annual production and consumption-based estimates used by the Interagency Assessment of Cocaine Movement. The Coast Guard has several initiatives underway to increase interdiction capability and capacity through its recapitalization efforts.

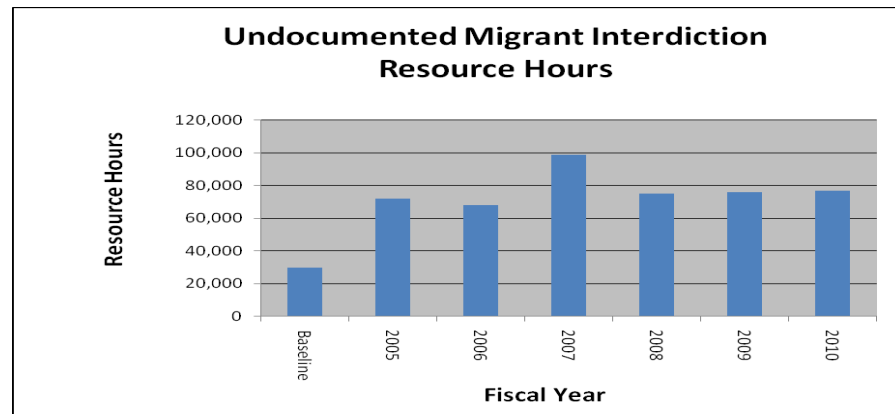
Appendix D Homeland Security Missions

Additionally, the Coast Guard reports that it will increase the size of the Law Enforcement Detachment Program in FY 2011. This budget action permitted the Coast Guard to manage its base and improve performance. Also, the Coast Guard reports that it provides critical force multipliers to counter the transnational drug threat by growing domestic partnerships and expanding bilateral agreements and international engagement programs. The Coast Guard will continue its international engagement through development and sustainment of these agreements, as well as the deployment of mobile training teams to support partner nation capabilities.

Undocumented Migrant Interdiction

The Undocumented Migrant Interdiction mission responsibilities consist of enforcing immigration laws at sea. To fulfill its responsibilities, the Coast Guard conducts patrols and coordinates with other federal agencies and foreign countries to interdict undocumented migrants at sea, denying them entry via maritime routes to the United States, its territories, and its possessions.

Resource Hours. Resource hours increased by 1% from FY 2009 to FY 2010, and remained more than 150% above baseline levels.



Performance Measures and Results. There was one performance measure related to Migrant Interdiction for FY 2010, and it was not met. According to the Coast Guard, this metric combines the efforts of the Coast Guard, other U.S. government agencies, and foreign partner maritime forces. The Coast Guard generally attributes not meeting this goal to the resource challenges facing its foreign partners. Although as a group, this metric was

Appendix D
Homeland Security Missions

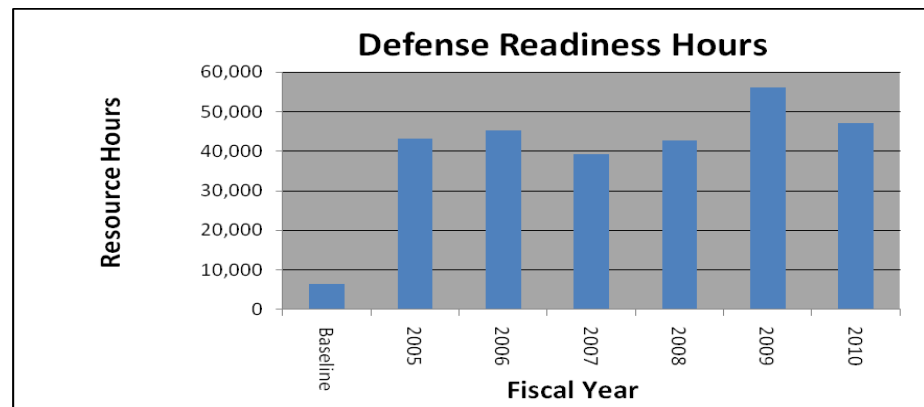
not met, the Coast Guard met its individual internal target of interdicting 43% of undocumented migrants.

Migrant Interdiction						
Performance Measure – Percentage of undocumented migrants who attempt to enter the United States via maritime routes that are interdicted						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	65%	69.9%	73.9%
Actual	N/A	N/A	65.2%	62.7%	84.4%	64.5%
Result				X Not Met	√ Met	X Not Met

Defense Readiness

The Defense Readiness mission provides essential capabilities to support national security and military strategies. Resource hours depict the execution of these defense missions, while the performance measures and results measure the Coast Guard’s readiness to perform the mission.

Resource Hours. As shown in the chart below, FY 2010 resource hours for Defense Readiness were still above the baseline, although resource hours decreased by 16.2% from FY 2009 to FY 2010. Again, assets were diverted to the Deepwater Horizon oil spill and Haiti earthquake rescue operation, thereby limiting the number of training exercises and drills that could be carried out to be operationally ready.



Performance Measures and Results. The Coast Guard had one performance measurement for Defense Readiness for FY 2010 to capture the readiness of all relevant assets. This measure basically combines the three performance measures in FY 2009. The combined performance measure is the Defense Readiness of all U.S. Coast Guard High Endurance Cutters, Patrol Boats, and Port

Appendix D
Homeland Security Missions

Security Units, and it was not met. Previously there were three measures—one for each asset listed above. This measure gauges whether these Coast Guard assets meet the minimum standards established in the Status of Resources and Training System, to assess deployment readiness for Department of Defense operations.

Defense Readiness						
Performance Measure – Defense readiness assessment of all U.S. Coast Guard high-endurance cutters, patrol boats, and port security units						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	N/A	N/A	N/A	N/A	N/A	35.9%
Actual	N/A	N/A	N/A	N/A	N/A	24.1%
Result						X Not Met

According to the Coast Guard, it did not meet its target primarily because of an overall decline in the readiness of its High Endurance Cutter fleet. This issue is being addressed by the Coast Guard’s acquisition of the National Security Cutter. A second National Security Cutter was commissioned in May and a third was christened in July 2010.

Other Law Enforcement

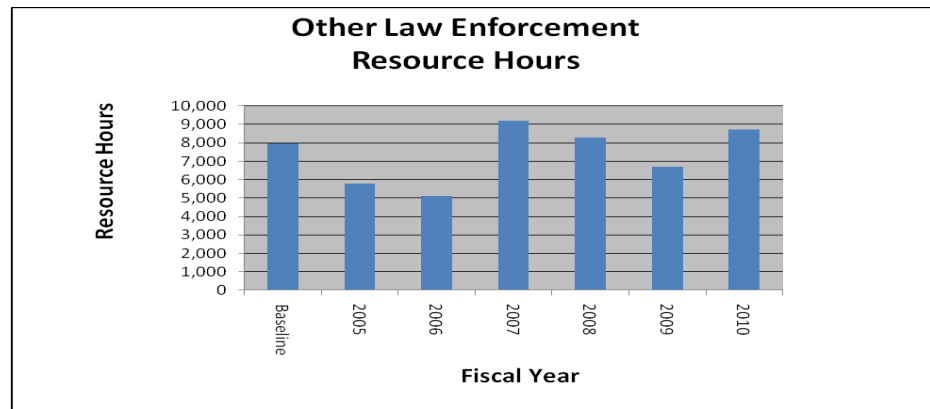
Other Law Enforcement is responsible for preventing illegal foreign fishing vessel encroachment in the United States Exclusive Economic Zone.³ The Coast Guard focuses on three high-threat areas for illegal foreign incursions: the United States–Mexican border in the Gulf of Mexico, the United States–Russian Maritime Boundary Line in the Bering Sea, and the eight noncontiguous Exclusive Economic Zones in the Western/Central Pacific.

Resource Hours. As shown in the chart below, the resource hours for the Other Law Enforcement mission were above baseline in FY 2007, FY 2008, and FY 2010. Resource hours increased 30.2% in FY 2010 from FY 2009. This increase is magnified since it follows FY 2009, which dropped 19.2% from FY 2008. FY 2010 resource hours represent 1.23% of total mission hours.

³ An Exclusive Economic Zone generally extends to a distance of 200 nautical miles (370 km) out from its coast. Within the Exclusive Economic Zone, the coastal state has sovereign rights for the purpose of exploring, exploiting, conserving, and managing natural resources, both living and nonliving, of the seabed, subsoil, and the subjacent waters; and with regard to other activities, for the economic exploitation and exploration of the zone. The United States has the largest Exclusive Economic Zone in the world, encompassing more than 2.25 million square miles and 90,000 miles of coastline.

Appendix D
Homeland Security Missions

This level is consistent with FY 2007 and FY 2008 percentages of 1.20% and 1.11%, respectively.



Performance Measures and Results. There was one performance measure related to Other Law Enforcement for FY 2010, and it was met. The wording for this measure was simplified, but it is calculated the same as in prior years. The FY 2010 measure was changed to Number of Detected Incursions of Foreign Fishing Vessels Violating U.S. Waters. The previous performance measure was reported as “Number of incursions into U.S. Exclusive Economic Zone.”

Other Law Enforcement						
Performance Measure – Number of detected incursions of foreign fishing vessels violating U.S. waters						
	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Target	<200	<199	<199	<195	<195	<180
Actual	171	164	119	81	112	82
Result	√ Met	√ Met	√ Met	√ Met	√ Met	√ Met

Based on historical data, anticipated increased success in detecting United States Exclusive Economic Zone incursions along the United States–Mexico maritime border in the Gulf of Mexico, and an anticipated increase in illegal encroachments into the Exclusive Economic Zone, the program plans to maintain its FY 2010 target of fewer than 180 incursions in FY 2011 as an aggressive but achievable target.

Appendix E
FY 2010 Performance Measure Summary

Summary of Coast Guard Performance Measures in FY 2010

Mission	Measure	Measure Met	Not Met	
<u>Non-Homeland Security Missions</u>				
Search and Rescue	• Percentage of People in Imminent Danger Saved in the Maritime Environment	1	x	
Aids-to-Navigation	• Availability of Maritime Navigation Aids	2	x	
	• Average Number of Navigational Accidents	3	x	
Ice Operations	• Number of Days Critical Waterways Are Closed to Commerce Due to Ice	4	x	
Living Marine Resources	• Fishing Regulation Compliance Rate	5	x	
Marine Safety	• 5-Yr Average Number of Commercial Mariner Deaths and Injuries	6	x	
	• 5-Yr Average Number of Commercial Passenger Deaths and Injuries	7	x	
	• 5-Yr Average Number of Recreational Boating Deaths and Injuries	8	x	
Marine Environmental Protection	• Average Number of Chemical Discharge Incidents in the Maritime Environment	9	x	
	• Average Number of Oil Spills in the Maritime Environment	10	x	
Total Non-Homeland Security Performance Measures		10	7	3
<u>Homeland Security Missions</u>				
Ports, Waterways, and Coastal Security	• Percentage Reduction in Maritime Terrorism Risk Over Which Coast Guard Has Influence	1	x	
Drug Interdiction	• Removal Rate for Cocaine from Non-commercial Vessels in Maritime Transit Zone	2	x	
Migrant Interdiction	• Percentage of Undocumented Migrants Who Attempt to Enter the United States Via Maritime Routes That Are Interdicted	3	x	
Defense Readiness	• Defense Readiness Assessment of all U.S. Coast Guard High-Endurance Cutters, Patrol Boats, and Port Security Units	4	x	
Other Law Enforcement	• Number of Detected Incursions of Foreign Fishing Vessels Violating U.S. Waters	5	x	
Total Homeland Security Performance Measures		5	2	3
Total Coast Guard Performance Measures		<u>15</u>	<u>9</u>	<u>6</u>

Appendix F
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Appendix G
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