



Department of Homeland Security Office of Inspector General

Annual Review of the United States Coast Guard's Mission Performance (FY 2009)



Office of Inspector General

U.S. Department of Homeland Security
Washington, DC 25028



Homeland
Security

AUG - 3 2010

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 annual review 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.

A handwritten signature in black ink that reads "Anne L. Richards".

Anne L. Richards
Assistant Inspector General for Audits

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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 2009. We did not verify the accuracy of Coast Guard-provided data.

According to the Coast Guard, the data show that in Fiscal Year 2009, for the eighth consecutive year, the Coast Guard dedicated more resource hours to homeland security missions than to non-homeland security missions. The data also show that the gap between homeland security and non-homeland security resource hours increased to 12% in FY 2009 from 10% in FY 2008. Coast Guard performance measurement information indicates that it met more non-homeland security mission performance measures than homeland security mission performance measures. Coast Guard-provided budget projections for Fiscal Year 2010 show a decrease in homeland security mission spending and a slight increase in non-homeland security mission spending from Fiscal Year 2009, and a narrowing of the gap between the two categories.

This report contains no recommendations.

Background

Coast Guard Missions. 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).

Resource Hours. 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) 2009. The Coast Guard-calculated baseline is an annual average of resource hours based on eight FY quarters preceding September 11, 2001. We did not

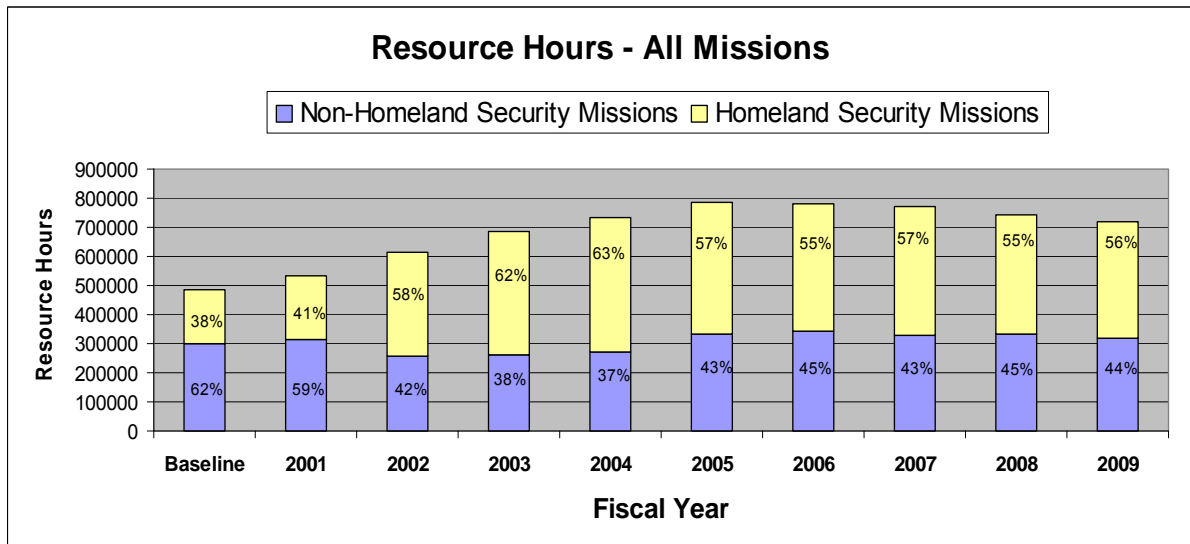
verify the resource hour data reported by the Coast Guard, nor did we validate whether the Coast Guard accurately classified resource hours used for each mission. We assessed total resource hours for the 11 individual missions in order to identify the changes in each.

Results of Review

Although we did not verify the accuracy of Coast Guard data, the data show that in FY 2009, for the eighth consecutive year, the Coast Guard dedicated more resource hours to homeland security missions than to non-homeland security missions. The data also show that the gap between homeland security and non-homeland security resource hours increased to 12% in FY 2009 from 10% in FY 2008. Coast Guard performance measurement information indicates that it met more non-homeland security mission performance measures than homeland security measures. Coast Guard-provided budget projections for FY 2010 show a decrease in homeland security mission spending and a slight increase in non-homeland security mission spending from FY 2009, and a narrowing of the gap between the two categories.

Resource Hours for Non-Homeland Security and Homeland Security Missions

Prior to FY 2001, the majority of resource hours were dedicated to non-homeland security missions. However, since FY 2002, the majority of resource hours have been dedicated to homeland security missions, as illustrated in the following chart.

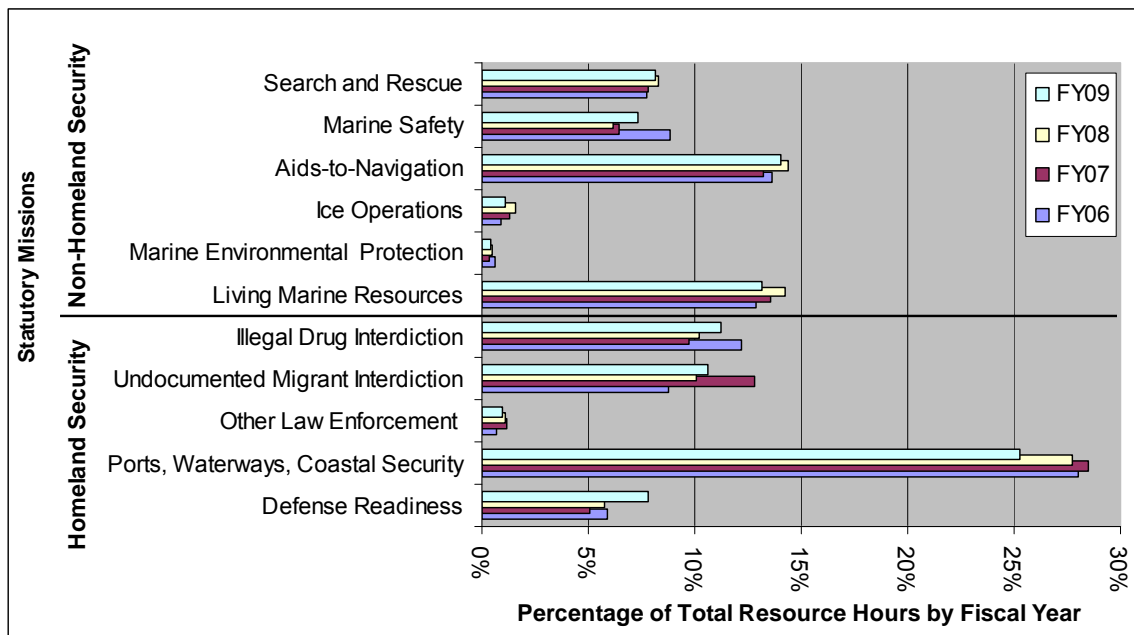


The Coast Guard data also show that the gap between resource hours for homeland security versus non-homeland security missions is narrowing from a 26% difference in FY 2004 (63% of resource hours used for homeland security missions versus 37% for non-homeland security missions) to 12% for FY 2009. Total 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 717,992 in FY 2009, declining 3.3% compared to 742,386 in FY 2008. Of that FY 2009 total, non-homeland security resource hours decreased to 317,250, decreasing 5.3% compared to 334,901 in FY 2008. In FY 2009, homeland security resource hours declined to their lowest level since FY 2002 at 400,742, decreasing 1.7% compared to 407,485 in FY 2008.

The following table shows that the largest percentage of all Coast Guard resource hours was utilized for the Ports, Waterways, and Coastal Security mission, accounting for 25.25% of total resource hours for FY 2009.

Mission	FY 06 Hours	% of Total Mission Hours	FY 07 Hours	% of Total Mission Hours	FY 08 Hours	% of Total Mission Hours	FY 09 Hours	% of Total Mission Hours
Non-Homeland Security								
Search and Rescue	59,914	7.74%	59,999	7.78%	61,321	8.27%	58,607	8.16%
Marine Safety	68,277	8.82%	49,379	6.41%	45,794	6.16%	52,579	7.32%
Aids-to-Navigation	105,566	13.64%	102,088	13.25%	106,638	14.37%	100,904	14.05%
Ice Operations	6,877	0.89%	10,230	1.33%	11,938	1.61%	8,033	1.12%
Marine Environmental Protection	4,509	0.58%	2,628	0.34%	3,441	0.46%	2,949	0.41%
Living Marine Resources	99,850	12.90%	104,293	13.53%	105,769	14.24%	94,178	13.12%
Subtotal	344,993	44.57%	328,617	42.64%	334,901	45.11%	317,250	44.18%
Homeland Security								
Illegal Drug Interdiction	94,116	12.16%	75,175	9.75%	75,892	10.23%	80,564	11.22%
Undocumented Migrant Interdiction	67,936	8.78%	98,899	12.83%	74,918	10.09%	76,100	10.60%
Other Law Enforcement	5,112	0.66%	9,213	1.20%	8,272	1.11%	6,686	0.93%
Ports, Waterways, and Coastal Security	216,595	27.98%	219,662	28.50%	205,715	27.71%	181,264	25.25%
Defense Readiness	45,360	5.85%	39,150	5.08%	42,688	5.75%	56,128	7.82%
Subtotal	429,119	55.43%	442,099	57.36%	407,485	54.89%	400,742	55.81%
Total	774,112	100.00%	770,716	100.00%	742,386	100.00%	717,992	100.00%

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 14 of its 24 performance measures in FY 2009, including meeting 8 of 11 non-homeland security performance measures and 6 of the 13 homeland security performance measures. In FY 2009, Coast Guard retired one homeland security performance measure and one non-homeland security performance measure. It also added one new performance measure for its Drug Interdiction mission, resulting in a total of 24 performance measures for FY 2009. The following table summarizes the Coast Guard’s success in meeting its performance measures.

Mission	Number of Performance Measures in FY 2009	Number of Performance Measures Met in FY 2009
Non Homeland Security		
Search and Rescue	1	1 of 1
Aids-to-Navigation	2	1 of 2
Ice Operations	1	1 of 1
Living Marine Resources	1	0 of 1
Marine Safety	3	3 of 3
Marine Environmental Protection	3	2 of 3
Total Non-Homeland Security	11	8 of 11
Homeland Security		
Ports, Waterways and Coastal Security	7	4 of 7
Drug Interdiction	1	0 of 1
Migrant Interdiction	1	1 of 1
Defense Readiness	3	0 of 3
Other Law Enforcement	1	1 of 1
Total Homeland Security	13	6 of 13
TOTALS	24	14 of 24

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

FY 2010 Budget Projections

According to the Coast Guard's FY 2010 budget projections presented in the Annual Performance Report,¹ during FY 2010 the Coast Guard expects to close the gap 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 largest percentage of Coast Guard resources will continue to be dedicated to its Ports, Waterways, and Coastal Security mission in FY 2010.

Management Comments and OIG Analysis

The Coast Guard had no comments to the OIG's analysis of the United States Coast Guard's Mission Performance for Fiscal Year 2009 report.

We included the formal reply from the Chief, Office of Budget and Programs for the Coast Guard in Appendix B.

¹ *Department of Homeland Security Annual Performance Report, Fiscal Years 2009–2011.*

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 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;
- *Coast Guard Deepwater Program Management Initiatives and Key Homeland Security Missions*, GAO-08-531T, March 5, 2008;
- *Coast Guard Preliminary Observations on Deepwater Program Assets and Management Challenges*, GAO-07-446T, February 15, 2007; and
- *Coast Guard Efforts to Improve Management and Address Operational Challenges in the Deepwater Program*, GAO-07-460T, February 14, 2007.

We analyzed the total number of resource hours reported by the Coast Guard prior to September 11, 2001, through FY 2009. 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 11 individual Coast Guard 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 2009–2011*. In addition, we reviewed our *Annual Review of the United States Coast Guard's Mission*

Appendix A

Purpose, Scope, and Methodology

Performance (FY 2008), dated October 2009, for performance measure data prior to FY 2009.

We conducted our review between January 2010 and May 2010 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



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7501

MEMORANDUM

JUL 23 2010

From: 
T.A. SOKALZUK, CAPT
COMDT (CG-82)

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

To: Anne L Richards
Assistant Inspector General for Audits

Subj: RESPONSE TO DHS OIG DRAFT REPORT, "ANNUAL REVIEW OF THE UNITED STATES COAST GUARD'S MISSION PERFORMANCE (FY2009)"

Ref: (a) DHS Inspector General (DHS OIG) Draft Report of June 14, 2010

1. This letter transmits the Coast Guard's response to the Department of Homeland Security Inspector General (DHS OIG) draft findings and recommendations in reference (a).
2. The Coast Guard has no comments on the draft report.
3. If you have any questions, my point of contact is Mr. Mark Kulwicki at (202) 372-3533.

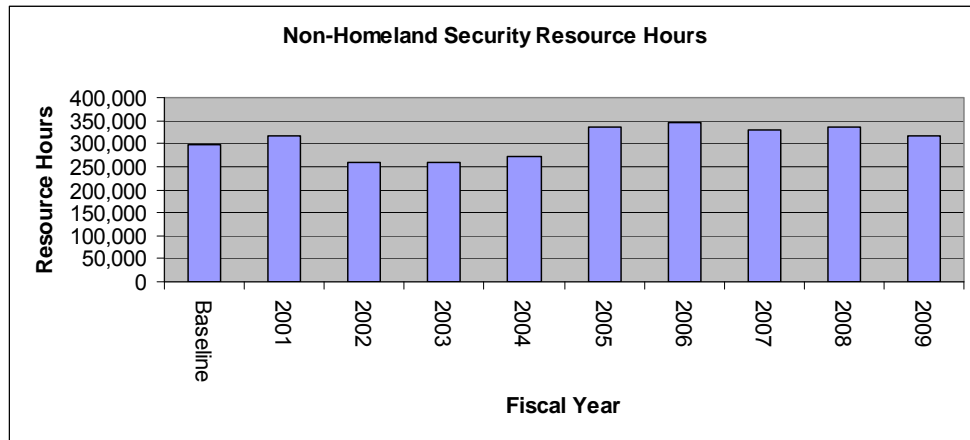
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Appendix C Non-Homeland Security Missions

Non-Homeland Security Missions

The Performance Measures and Results for Appendix C were taken from the FY 2009 Annual Performance Report, provided by the Department of Homeland Security.²

Resource Hours. The FY 2009 total non-homeland security resource hours were down 5.3% from FY 2008 reaching 317,250 for non-homeland security missions, as illustrated in the following graph.



Performance Measures and Results. For FY 2009, the Coast Guard met 8 of 11 performance measures for its 6 non-homeland security missions, compared with meeting 7 of 12 non-homeland security performance measures in FY 2008.

The performance measures and results for each non-homeland security mission are summarized below.

Search and Rescue

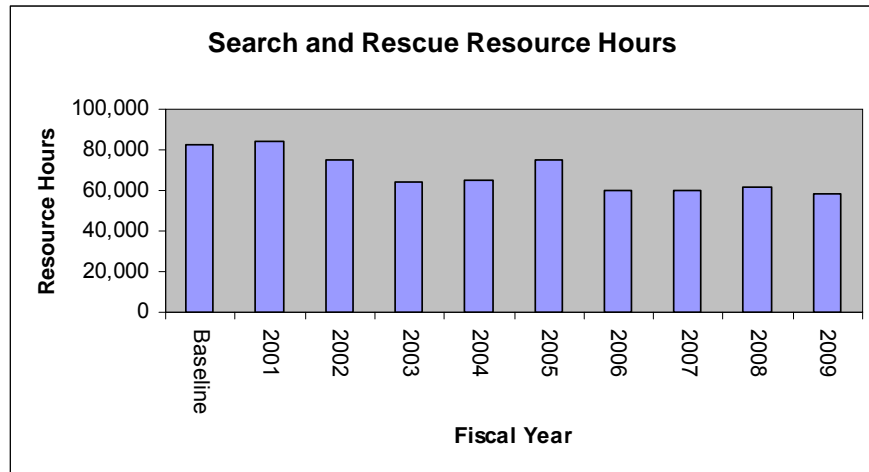
Minimizing the loss of life, personal injury, and property damage or loss by rendering aid to persons in distress and property in the maritime environment has always been a Coast Guard priority.

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 for the Search and Rescue

² Department of Homeland Security Annual Performance Report, Fiscal Years 2009–2011.

Appendix C
Non-Homeland Security Missions

mission increased by 14.8% in FY 2005 because of the Coast Guard’s response to Hurricane Katrina. Resource hours in FY 2009 decreased approximately 4% over FY 2008. The following graph shows the number of resource hours used by the Coast Guard for the Search and Rescue mission from the baseline period through FY 2009.



Performance Measures and Results. The one performance measure related to Search and Rescue was met in FY 2009. This measure was used for the first time in FY 2009; however, the Coast Guard also provided data for FY 2008.

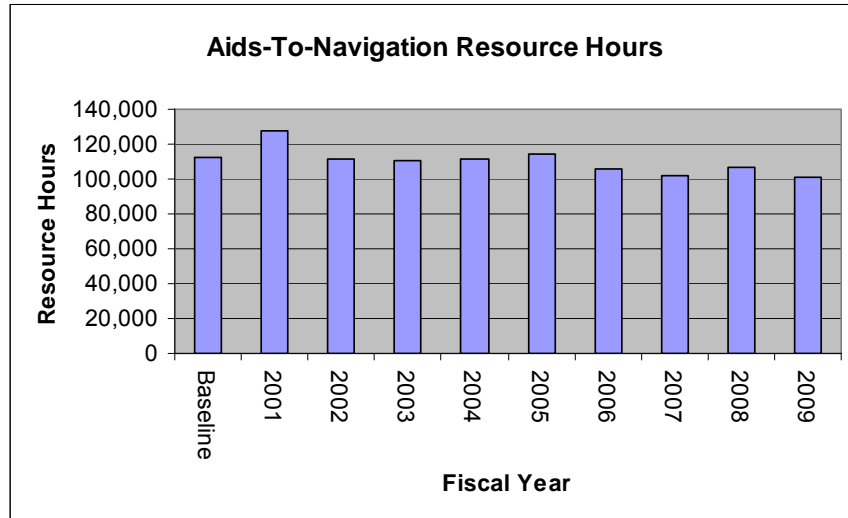
Search and Rescue									
Performance Measure – Percentage of people in imminent danger saved in the maritime environment									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target								76.0%	76.0%
Actual								76.8%	77.3%
Result								√ Met	√ Met

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.

Appendix C
Non-Homeland Security Missions

Resource Hours. The chart below shows FY 2009 resource hours decreased by 5.4% from FY 2008, constituting an approximate 10% decrease from the baseline level.



Performance Measures and Results. There were two performance measures related to Aids-to-Navigation in FY 2009. One measure was met and one was not met.

Aids-to-Navigation									
Performance Measure – Federal short-range aids-to-navigation availability									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	97.5%	97.5%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	98.3%	98.0%
Result								√ Met	√ Met

According to the Coast Guard, the availability of federal short-range aids-to-navigation declined slightly to 98%. This is nominally better than the FY 2010 and FY 2011 targets, which will be 97.5% for both years.

Appendix C
Non-Homeland Security Missions

Aids-to-Navigation									
Performance Measure – Five-year average number of collisions, allisions, and groundings									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	2,261	2,098	2,010	1,923	≤ 1,831	≤ 1,748	≤ 1,664	≤ 1,756	≤ 1,871
Actual	2,215	2,098	2,000	1,876	1,877	1,816	1,823	1,857	1,878
Result	√ Met	√ Met	√ Met	√ Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met

Note: The symbol ≤ is used to indicate less than or equal to.

According to the Coast Guard, the deviation from the target for the five year average number of collisions, allisions, and groundings was minor, and there was no effect on overall program performance. The Coast Guard’s Waterways Management program oversees this performance measure and has undertaken initiatives to reduce the risk of collisions, allisions, and groundings. These 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.

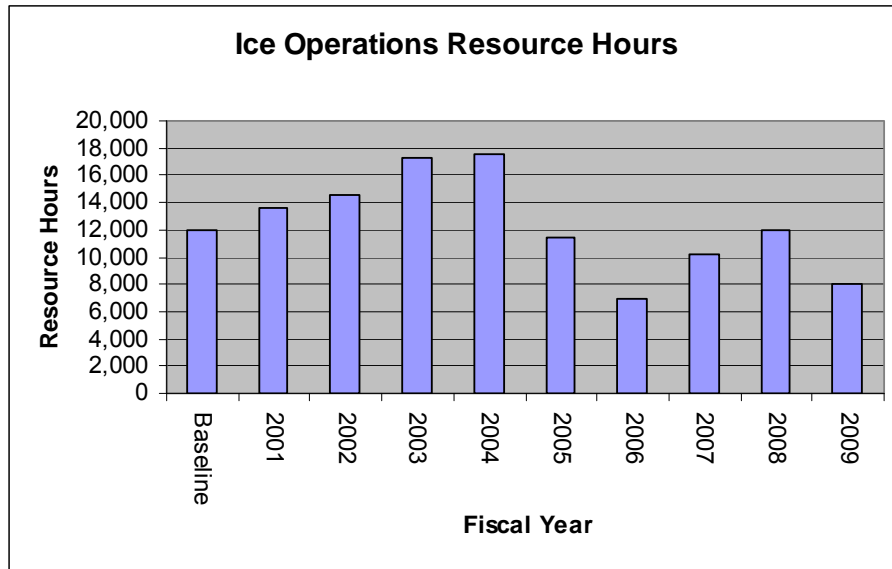
Ice Operations

This mission encompasses icebreaking activities in the Great Lakes, St. Lawrence Seaway, and Northeast.³ These activities facilitate the movement of bulk cargoes carried by regional commercial fleets during the winter months.

Resource Hours. Fluctuations in resource hours are not unusual, since this mission is dependent on ice accumulation, which varies on an annual basis. In FY 2009, resource hours decreased by approximately 32.7% from FY 2008, which is the same as the overall decrease from the baseline level.

³ 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 and is reimbursed for their operation and maintenance by the National Science Foundation. 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 2009, and it was met.

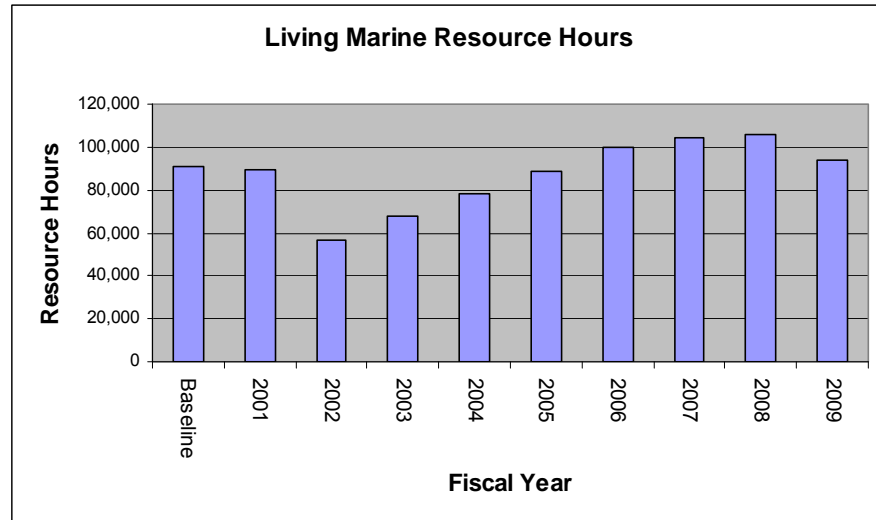
Ice Operations									
Performance Measure – Number of days critical waterways are closed due to ice									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	8	2	8	2	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe	2 avg. and 8 severe
Actual	7	7	7	4	0	0	0	0	0
Result	√ Met	X Not Met	√ Met	X Not Met	√ Met	√ Met	√ Met	√ Met	√ 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 2009 resource hours decreased 11% from FY 2008, but were higher than the baseline by 3.2%.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. There was one performance measure related to Living Marine Resources in FY 2009, and it was not met.

Living Marine Resources									
Performance Measure – Percentage of Coast Guard boardings at sea in which no significant violations are detected when domestic fisheries regulations apply									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	97%	97%	97%	97%	97%	97%	97%	97%	97%
Actual	98.6%	97.3%	97.1%	96.3%	96.4%	96.6%	96.2%	95.3%	96.7%
Result	√ Met	√ Met	√ Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met

According to the Coast Guard, there are several possible reasons for the large reduction in significant violations detected, including economic disincentives to fish, the significance of penalties, and the perception of increased enforcement. The reduction in boarding efforts is, in part, the result of changed procedures that more accurately capture the Coast Guard’s efforts to enforce living marine resource laws and regulations. While there is a deterrent relationship between Coast Guard presence and violations, other factors influence compliance, such as natural disasters, changing biomass distribution, market prices, fuel prices, regulatory complexity, and the perceived effectiveness of enforcement and prosecution. According to the Coast Guard, the deviation from the

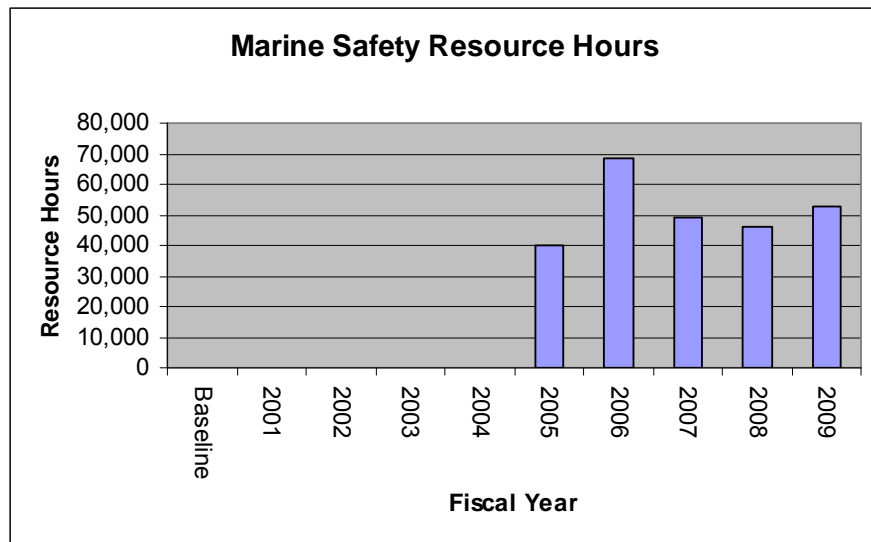
Appendix C Non-Homeland Security Missions

target was minor and there was no effect on overall program performance.

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. Resource hours for Marine Safety increased by approximately 14.8% from FY 2008 to FY 2009.



Performance Measures and Results. There were three performance measures related to Marine Safety in FY 2008, and all measures were met.

Appendix C
Non-Homeland Security Missions

Marine Safety									
Performance Measure – Five-year average number of commercial mariner deaths and injuries									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	<501	<529
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	494	475
Result								√ Met	√ Met

According to the Coast Guard, the five-year average number of commercial mariner deaths and injuries declined by about 4% from the revised average of 494 in FY 2008. The number of deaths and injuries reported in FY 2009 was about 22% fewer than average. This performance is better than FY 2010 and FY 2011 targets of fewer than or equal to 520 and fewer than or equal to 482 deaths and injuries, respectively.

Marine Safety									
Performance Measure – Five-year average number of commercial passenger deaths and injuries									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	<225	<251
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	250	228
Result								X Not Met	√ Met

The five-year average number of passenger deaths and injuries declined nearly 9% from the revised average of 250 in FY 2008, and the number of deaths and injuries reported in FY 2009 was about 36% fewer than average. This performance is better than the FY 2010 target of fewer than or equal to 248 deaths and injuries.

Appendix C
Non-Homeland Security Missions

Marine Safety									
Performance Measure – Five-year average number of recreational boating deaths and injuries									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	<4,252	<4,248
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	4,147	4,038
Result								√ Met	√ Met

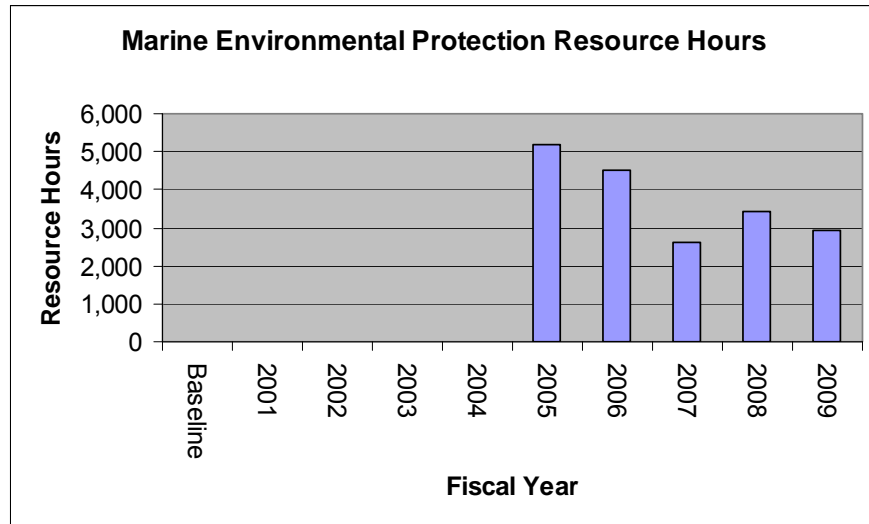
The five-year average number of recreational boating deaths and injuries declined by nearly 3% from the revised average of 4,147 in FY 2008, and the number of deaths and injuries reported in FY 2009 was about 13% fewer than average. This performance is better than the FY 2010 target of fewer than or equal to 4,185 deaths and injuries.

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. The Coast Guard did not report resource hours for this mission prior to FY 2005. Resource hours declined by 14.3% from FY 2008 to FY 2009.

Appendix C
Non-Homeland Security Missions



Performance Measures and Results. There were three performance measures related to Marine Environmental Protection in FY 2009. Two measures were met and one was not met.

Marine Environmental Protection									
Performance Measure – Five-year average number of chemical discharge incidents per 100 million short tons shipped									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	<26.6	<25.9
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	19.8	17.8
Result								√ Met	√ Met

According to the Coast Guard, the 5-year average number of chemical spills per 100 million short tons shipped declined by about 10% from the revised average of 19.8 in FY 2008, and the number of chemical spills reported in FY 2009 was 33% fewer than average. This performance is better than FY 2010 and FY 2011 targets of fewer than or equal to 22.8 and fewer than or equal to 22 chemical spills, respectively.

Appendix C
Non-Homeland Security Missions

Marine Environmental Protection									
Performance Measure – Five-year average number of oil spills per 100 million short tons shipped									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	<13.5	<13.5
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	12.7	11.8
Result								√ Met	√ Met

The 5-year average number of oil spills per 100 million short tons shipped declined by about 4% from the revised average of 13.2 in FY 2008, the number of oil spills reported in FY 2009 was 31% fewer than average. This better-than-expected performance is 2.5% less than next year’s target of fewer than or equal to 12.1 oil spills; which having been built from a reliable baseline, is still considered an appropriate expectation for FY 2010.

Marine Environmental Protection									
Performance Measure – Percentage of oil removed or otherwise mitigated as compared to the amount of oil released for reported spills of 100 gallons or more									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	15%	16%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No Data	No Data
Result								X Not Met	X Not Met

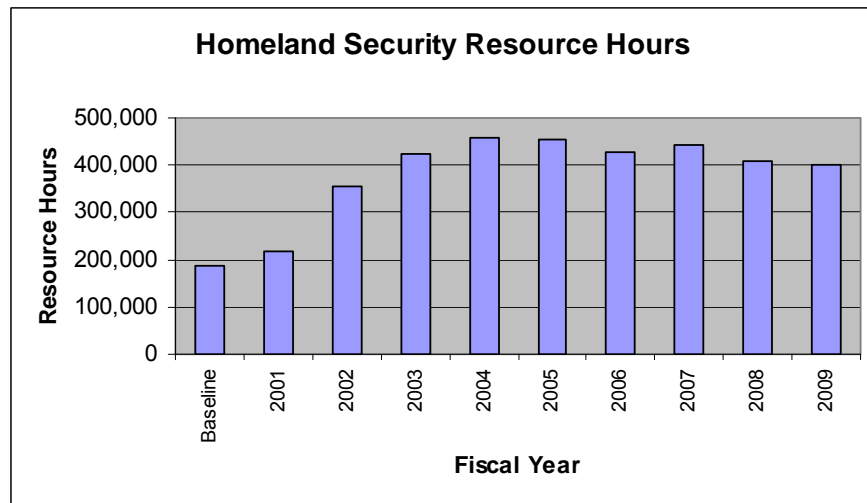
According to the DHS FY 2009 Annual Performance Plan, not all oil spills are “disasters,” as defined by the Secretary's priorities for the homeland security enterprise. The Coast Guard has determined that this measure is unsupportable. According to the Coast Guard, this measure has too much variability in evaluating clean-up effectiveness for minor spills and does not have an effective mechanism for recording the result of oil spill clean-ups. The Coast Guard is developing a new Marine Environmental Response measure for implementation in the FY 2011 Annual Performance Plan.

Appendix D Homeland Security Missions

Homeland Security Missions

The Performance Measures and Results for Appendix D were taken from the FY 2009 Annual Performance Report provided by the Coast Guard.⁴

Total resource hours for homeland security missions peaked in FY 2004, and resource hours decreased 1.7% from FY 2008 to FY 2009. However, the FY 2009 level remains 115% above baseline levels, as depicted in the chart below.



Performance Measures and Results. For FY 2009, the Coast Guard met 6 of 13 performance measures for its 5 homeland security missions, as compared with meeting 5 of 13 homeland security performance measures for FY 2008.

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

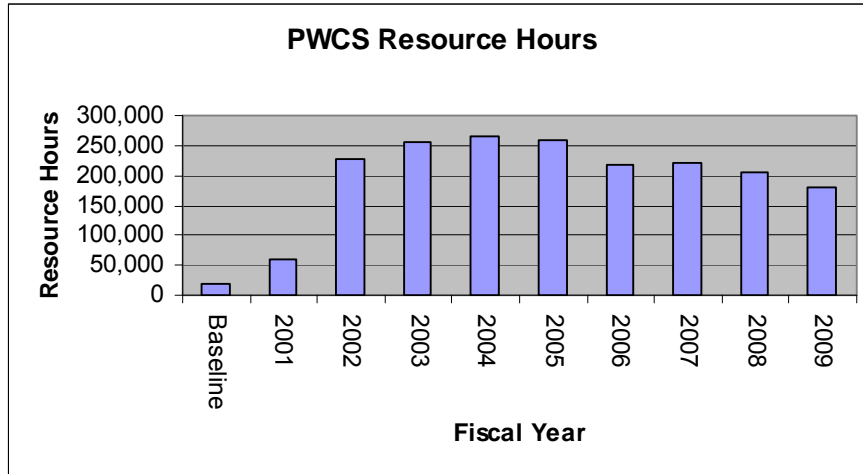
Ports, Waterways, and Coastal Security

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.

⁴ *Department of Homeland Security Annual Performance Report, Fiscal Years 2009–2011.*

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Resource Hours. Resource hours for Ports, Waterways, and Coastal Security rapidly increased in response to the events of September 11, 2001. Of all Coast Guard missions, this mission uses the largest percentage (25%) of resource hours. Resource hours for this mission have decreased by 31.7 % since FY 2004.



Performance Measures and Results. There are seven performance measures related to Ports, Waterways, and Coastal Security. Of the seven measures, four were met and three were not met in FY 2009.

Ports, Waterways, and Coastal Security									
Performance Measure – Critical infrastructure required visit rate									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	100%	100%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	69%	74%
Result								X Not Met	X Not Met

According to the Coast Guard, the 100% target reflects the optimal level of Coast Guard performance to reduce risk with existing resources. The Coast Guard utilizes risk-informed decision making to prioritize a suite of Ports, Waterways and Coastal Security activities on a daily basis. This is a contributing factor to the performance results, as certain activities were given higher

Appendix D
Homeland Security Missions

priority over critical infrastructure visits during FY 2009 based on risk assessments and other operational demands placed on Coast Guard multi-mission assets. This performance measure will be retired in FY 2010.

Ports, Waterways, and Coastal Security									
Performance Measure – 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									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	4%	3%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	12%	17%
Result								√ Met	√ Met

According to the Coast Guard, the data that comprises this measure comes from an annual quantitative self-assessment of the Coast Guard activities, such as maritime domain awareness, security regimes, and response activities that reduce the risk associated with a weapon of mass destruction entering the United States via the maritime domain. This performance measure gauges the Coast Guard’s estimated reduction in risk from an analytically determined baseline level of risk. The FY 2009 results for the percentage of risk reduction of a weapon of mass destruction entering the United States via maritime means were better than in FY 2008. According to the Coast Guard, this improved performance is attributable to expanded maritime domain awareness capacity in the Automatic Information System, Long Range Identification and Tracking Systems, and Rescue 21. This performance is better than FY 2010 and FY 2011 risk reduction targets of 12% and 11.8% risk reduction, respectively.

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Ports, Waterways, and Coastal Security									
Performance Measure – Percentage of reduction of all maritime security risk subject to Coast Guard influence									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	Est.	14%	15%	15%	21%
Actual	N/A	N/A	N/A	N/A	3.40%	17%	15%	20%	31%
Result					N/A	√ Met	√ Met	√ Met	√ Met

The data that comprises this measure comes from an annual quantitative self-assessment of the Coast Guard’s activities, such as maritime domain awareness, security regimes, and response activities with regard to risk reduction. This performance measure gauges the reduction in risk from an analytically determined baseline level of risk. The FY 2009 results for percentage of reduction in the maritime terrorism risk over which the Coast Guard has influence were better than in FY 2008, partly due to improvements made to the model and data collection process.

According to the Coast Guard, this improved performance is attributable to expanded maritime domain awareness capacity in the Automatic Information System, Long Range Identification and Tracking Systems, and Rescue 21. This performance is better than the FY 2010 and FY 2011 target of greater than 19%, for both years.

Ports, Waterways, and Coastal Security									
Performance Measure –Percentage of reduction of maritime security risk resulting from Coast Guard efforts to prevent a terrorist entering the United States via maritime means									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	21%	21%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	29%	42%
Result								√ Met	√ Met

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Homeland Security Missions

The data that comprises this measure comes from an annual quantitative self-assessment of the Coast Guard’s activities, such as maritime domain awareness, security regimes, and response activities that reduce the risk associated from a terrorist entering the United States via the maritime domain. This performance measure gauges the Coast Guard’s estimated reduction in risk from an analytically determined baseline level of risk. The FY 2009 results for percent risk reduction of a terrorist entering the United States via maritime means were better than in FY 2008. According to the Coast Guard, this improved performance is attributable to expanded Maritime Domain Awareness capacity in the Automatic Information System, Long Range Identification and Tracking Systems, and Rescue 21. This performance is better than the FY 2010 and FY 2011 targets of 29% and 27.9%, respectively.

Ports, Waterways, and Coastal Security									
Performance Measure – Number of Transportation Workers Identification Credential (TWIC) spot checks									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	30,000	94,500
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0	39,150
Result								X Not Met	X Not Met

This performance measure counts the number of Transportation Workers Identification Credential spot checks made during the year. For FY 2009, the data reflects less than a full year of spot checks because of an extension in the national compliance date to April 15, 2009. This measure is being retired in FY 2010 and a new measure has been developed to better capture the program’s outcomes and activities. The new measure will capture the Annual Transportation Worker Identification Credential compliance rate.

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Homeland Security Missions

Ports, Waterways, and Coastal Security									
Performance Measure – Risk reduction due to consequence management									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	6%	6%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	5%	9%
Result								X Not Met	√ Met

According to the Coast Guard, the data that comprises this measure comes from an annual quantitative self-assessment of the Coast Guard’s activities, such as maritime domain awareness, security regimes, and recovery operations, with regard to risk reduction. The performance measure gauges the Coast Guard’s estimated reduction in risk from an analytically determined baseline level of risk. The FY 2009 results for risk reduction due to consequence management were better than in FY 2008. According to the Coast Guard, this improved performance is attributable to expanded maritime domain awareness capacity in the Automatic Information System, Long Range Identification and Tracking Systems, and Rescue 21. The Coast Guard also attributes this improvement partly to improvements made to the model and data collection process. This performance is better than FY 2010 and FY 2011 risk reduction targets of 4% and greater than 3%, respectively.

Ports, Waterways, and Coastal Security									
Performance Measure – High-capacity passenger vessel required escort rate									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	100%	100%
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	58%	53%
Result								X Not Met	X Not Met

According to the Coast Guard, the 100% target reflects the optimal level of Coast Guard performance to reduce risk with existing

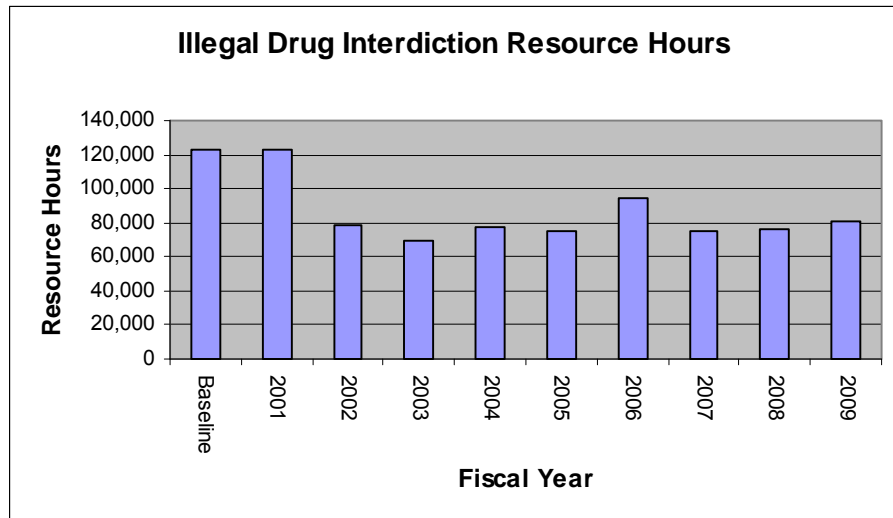
Appendix D Homeland Security Missions

resources. The Coast Guard utilizes risk informed decision making to prioritize a suite of Ports, Waterways, and Coastal Security activities on a daily basis. This is a contributing factor to the performance results, as certain activities were given higher priority over high-capacity passenger vessel escorts during FY 2009 based on risk assessments and other operational demands placed on Coast Guard multi-mission assets.

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 2009 resource hours for the Drug Interdiction mission increased by 6.2% from FY 2008, but are 34% below baseline levels.



Performance Measures and Results. There was one new performance measure related to Drug Interdiction for FY 2009, and it was not met.

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Drug Interdiction									
Performance Measure – Removal rate for cocaine from noncommercial vessels in a maritime transit zone									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target									15.7%
Actual									15.0%
Result									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 estimates rather than annual production and consumption-based estimates used by the Interagency Assessment of Cocaine Movement. According to the Coast Guard, the deviation from the target was minor and there was no effect on overall program performance. The Coast Guard has several initiatives under way to increase interdiction capability and capacity.

According to the Coast Guard, the second National Security Cutter (USCGC WAESCHE) and increased deployed days of Airborne Use of Force-capable helicopters will provide more capacity to help counter non-commercial maritime conveyances in FY 2010. The Coast Guard will also increase the size of the Law Enforcement Detachment program, which was responsible for 54% of the cocaine removed by the Coast Guard in FY 2009. Growing domestic partnerships and expanding bilateral agreements and international training programs are critical force-multipliers to counter the transnational drug threat. 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 Theater Security Cooperation initiatives.

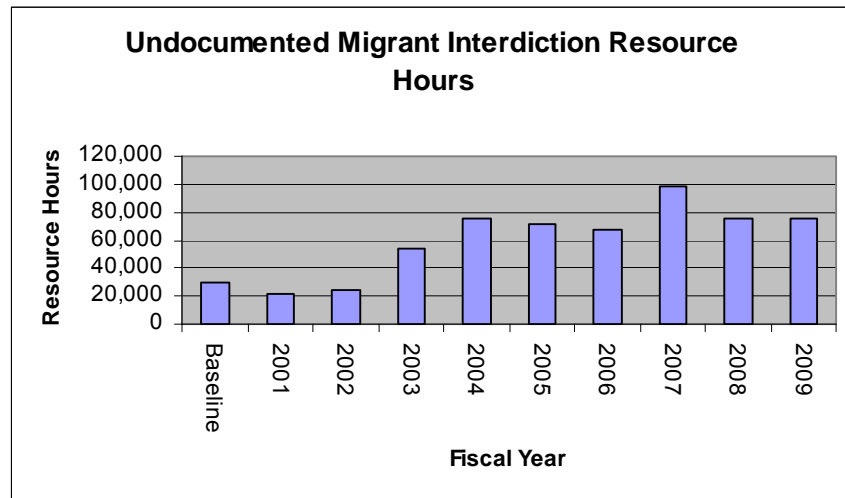
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Such engagements strengthen ties with source and transit zone partner nations⁵, increases their maritime law enforcement competency and capability, reduces the destabilizing effects of illicit drug smuggling, and enhances the movement of legitimate commerce within their territorial seas. According to the Coast Guard, this engagement includes the support of coordinated efforts to combat drug smuggling through joint and combined planning.

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 slightly by 1.6% from FY 2008 to FY 2009, and remained more than 150% above baseline levels.



Performance Measures and Results. There was one performance measure related to Migrant Interdiction for FY 2009, and it was met.

⁵ Transit zone partners are those partner nations located within the drug transit zone that cooperate and work closely with U.S. interdiction forces to deter and interdict drugs smuggled through the transit zone towards the U.S. These countries include those located within the transit zone corridors designated as Mexico–Central America and the Caribbean.

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Migrant Interdiction									
Performance Measure – Percentage of undocumented migrants who attempt to enter the United States via maritime routes “that are interdicted”									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target							N/A	65%	69.9%
Actual							65.20%	62.70%	84.4%
Result								X Not Met	√ Met

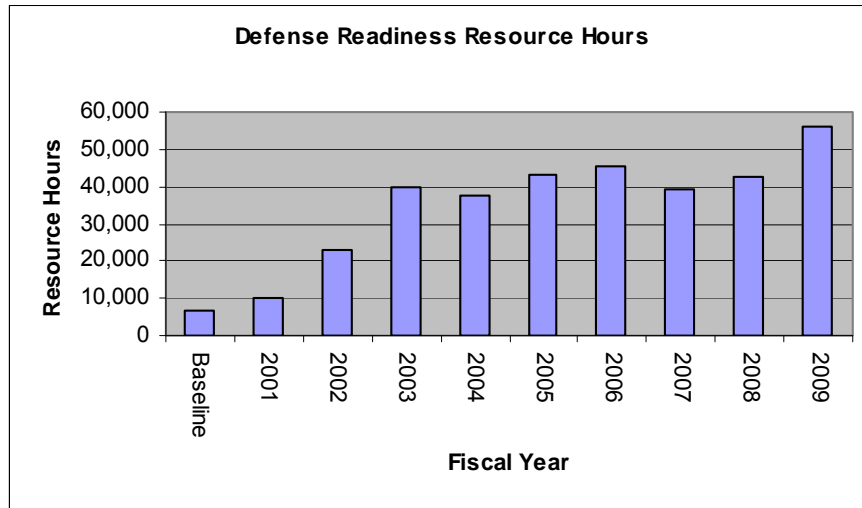
According to the Coast Guard, in FY 2009 the percentage of undocumented migrants who attempted to enter the United States using maritime means that were interdicted was at a record high and resulted in an 84.4% interdiction rate. Based on historical results, including FY 2009, the program’s interdiction rate has averaged approximately 70%. The program set a target for FY 2010 of 74%.

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, resource hours for Defense Readiness reached their highest level in FY 2009 in comparison with the baseline. Resource hours increased by 31% from FY 2008 to FY 2009.

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Performance Measures and Results. There were three performance measures related to Defense Readiness for FY 2009, and none of them were met.

Defense Readiness									
Performance Measure – Defense readiness of patrol boats									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target		N/A	N/A	N/A	N/A	N/A	N/A	100%	100%
Actual		N/A	N/A	N/A	N/A	N/A	100%	95%	94%
Result								X Not Met	X Not Met

According to the Coast Guard, it did not meet its target primarily because of asset availability of the aging patrol boat inventory. Patrol boat readiness is being addressed in part by Coast Guard acquisition programs to procure assets, such as the National Security Cutter, that will yield increased capability for Defense Readiness mission performance. This measure was retired in FY 2009 and will be replaced with one new performance measure, which is outlined at the end of this section.

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Defense Readiness									
Performance Measure – Defense readiness of Port Security Units									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target		N/A	N/A	N/A	N/A	N/A	N/A	100%	100%
Actual		N/A	N/A	N/A	N/A	N/A	N/A	24.45%	19.8%
Result								X Not Met	X Not Met

According to the Coast Guard, the low performance results are primarily attributable to personnel and training shortfalls between deployments for these reserve forces. Resolution of Port Security Unit personnel shortfalls along with unit training requirements should improve unit readiness. The Port Security Units have been placed under the command of the Deployable Operations Group, which should allow more focus on these reserve units to improve performance results. This measure was retired in 2009 and will be replaced with one new performance measure, which is outlined at the end of this section.

Defense Readiness									
Performance Measure – Percentage of time that Coast Guard assets included in the Combatant Commander Operational Plans are ready at a Status of Resources and Training System (SORTS) rating of 2 or better									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	100%	100%	100%	100%	100%	100%	100%	100%	100%
Actual	67%	70%	78%	76%	69%	62%	51%	56%	44%
Result	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met	X Not Met

According to the Coast Guard, Port Security Unit readiness remained below standards, largely because of personnel shortfalls and the demands of unit training requirements. Asset deficiencies are being addressed in part by Coast Guard acquisition programs, such as the National Security Cutter acquisition, which will yield essential system-wide capability improvements for maritime

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homeland security priorities and sustain operational performance. This measure was retired in FY 2009.

A new performance measure, “Defense Readiness Assessment of all Coast Guard high endurance cutters, patrol boats, and port security units,” will be instated in FY 2010 and will replace the three performance measures used in FY 2009. 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.

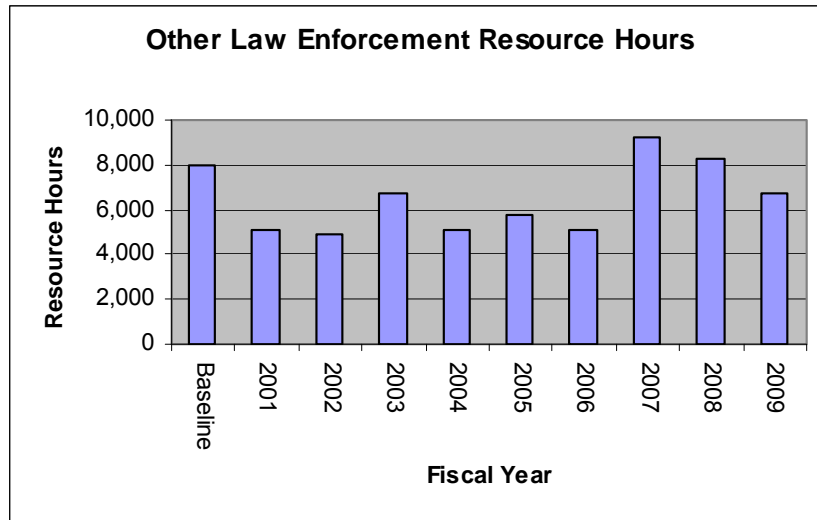
Other Law Enforcement

Other Law Enforcement is responsible for preventing illegal foreign fishing vessel encroachment in the United States Exclusive Economic Zone.⁶ 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 below baseline in every year before FY 2007. After increasing in FY 2007, resource hours decreased 19.2% in FY 2009 to below the baseline level.

⁶ 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 U.S. has the largest Exclusive Economic Zone in the world, encompassing more than 2.25 million square miles and 90,000 miles of coast line.

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Performance Measures and Results. There was one performance measure related to Other Law Enforcement for FY 2009 and it was met.

Other Law Enforcement									
Performance Measure – Number of incursions into the U.S. Exclusive Economic Zone									
	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Target	<202	<202	<202	<202	<200	<199	<199	<195	<195
Actual	212	250	152	247	171	164	119	81	112
Result	X Not Met	X Not Met	√ Met	X Not 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 190 incursions as an aggressive but achievable target.

Appendix E
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