

UNITED STATES COAST GUARD



WESTERN
HEMISPHERE
STRATEGY



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THE U.S. COAST GUARD'S
VISION FOR OPERATING IN THE
WESTERN HEMISPHERE

*Ensuring a Secure Nation, Prosperous
Markets, and Thriving Oceans.*

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THE COMMANDANT OF THE UNITED STATES COAST GUARD



The U.S. Coast Guard is recognized worldwide for our ability to perform diverse maritime missions over vast geographic areas. Our value to the Nation resides in our enduring commitment to protect those on the sea, to protect the United States from threats delivered by the sea, and to protect the sea itself. As a military, law enforcement, regulatory, and humanitarian Service, the Coast Guard relies upon an array of unique authorities and partnerships to enhance our capability and capacity throughout the maritime domain.

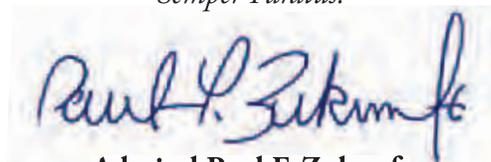
Although active in every region of the world, the Coast Guard's primary operating area will remain in the Western Hemisphere. As the premier maritime guardian in this dynamic region, the Coast Guard must confront a growing number of threats and challenges to ensure the safety, security, and stewardship of our Nation's waters. As new challenges continue to test our Nation's increasingly strained defense and national security resources across the globe, the Coast Guard must continually refocus our strategic efforts for effective maritime governance in areas closer to home.

As we engage these future challenges, we must think and act strategically. The convergence of Transnational Organized Crime networks and our continued reliance on a rising array of commercial maritime activities will require new and proven approaches. Globalization, advancements in technology, and the future impacts of climate change will also necessitate a refocusing of our efforts. We will meet these demands with a new and broad strategic focus.

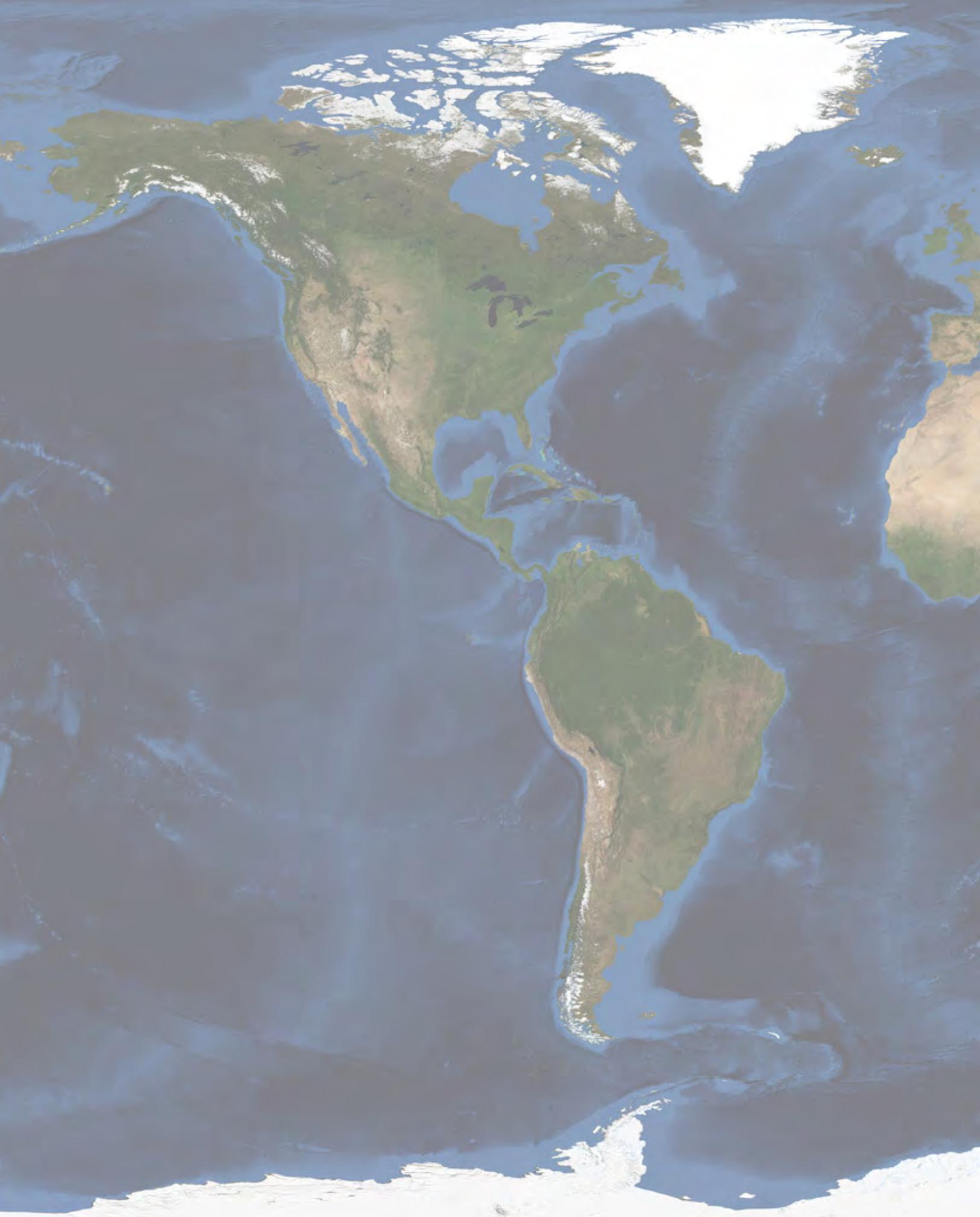
I am pleased to introduce the U.S. Coast Guard Western Hemisphere Strategy to guide our efforts in the region over the next 10 years. This strategy emphasizes our highest objectives through three broadly defined strategic priorities: **Combating Networks, Securing Borders, and Safeguarding Commerce**. It also identifies several critical enablers that will ensure our long-term success.

Beyond these priorities, the Coast Guard will continue to perform a host of additional services our Nation has come to expect. This strategy, however, provides the essential framework to achieve our most lofty vision for the Western Hemisphere: *"Ensuring a Secure Nation, Prosperous Markets, and Thriving Oceans."*

Semper Paratus.



Admiral Paul F. Zukunft
Commandant





I.

Introduction

This strategy addresses transnational threats and maritime challenges that threaten the security of our Nation, markets, and oceans over the next 10 years. As our mission space changes, we must prepare for the future.

The Coast Guard protects those on the sea; protects the Nation from threats delivered by sea; and protects the sea itself. These duties ensure the safety, security, and environmental stewardship of our Nation's waters through a core operational concept of "Prevent-Respond." In executing this concept, the Coast Guard leverages authorities, partnerships, and operational presence as a system to meet mission responsibilities. The "Prevent-Respond" framework can be applied in any region; however, implementation efforts must be tailored to distinct risks and threats.

Over the next decade, the Coast Guard must confront significant challenges to maritime safety, efficiency, and security in the Western Hemisphere. The rise of adaptive Transnational Organized Crime (TOC) networks and the future impacts of climate change will pose new threats to maritime security. Moreover, globalization and advances in technology will present challenges for maritime governance as free markets mature and broaden. These challenges are converging as they strengthen. If left unchecked, they could fuel a cycle of compounding loss that threatens economic growth and regional stability. The maritime domain in the Western Hemisphere represents a critical front in the ongoing effort against these and other challenges. The Coast Guard will adapt and confront emerging challenges with a new and broad strategic focus, ensuring our Nation, our markets, and our oceans remain secure and prosperous.

Oceans and seaports are gateways for economic growth, opportunity, and prosperity. America's economic strength is dependent on freedom of the seas as well as an efficient system of ports and waterways for commercial movement of people, cargo, and conveyances. The United States has the largest system of ports, waterways, and coastal seas in the world, which includes some 95,000 miles of coastline. Our Marine Transportation System (MTS) contains 26,000 miles of commercial waterways that serve 361 ports; 3,700 marine terminals (ranging from marinas to mega-ports); and 25,000 miles of inland and coastal waterways. The system also includes 1,500 miles of international maritime border with Canada, connecting population centers to the Atlantic Ocean through the Great Lakes and the St. Lawrence Seaway System.

This strategy is guided by direction from the President, including the National Security Strategy, National Military and Maritime Security Strategies, the Strategy to Combat Transnational Organized Crime, National Strategies for Homeland Security and Maritime Domain Awareness, the National Ocean Policy, as well as the Quadrennial Defense, Diplomatic, and Homeland Security Reviews.



This regional strategy provides a framework for addressing the greatest threats and challenges we expect in the Western Hemisphere over the next 10 years. To this end, the Coast Guard has identified three priorities for the region over the coming decade:

- **Combating Networks**
- **Securing Borders**
- **Safeguarding Commerce**

The strategy emphasizes offshore vessel and aircraft presence throughout, as well as several other enabling factors that are critical to meeting the strategic priorities. Effective presence enables effective governance, which in turn strengthens sovereignty. Specific priorities in this strategy also link to broader strategic concepts including capable governance, unity of effort, as well as effective international engagement and contingency response. This strategy is informed by research and experience gained through the disruption and defeat of criminal networks by U.S. interagency partners including other Department of Homeland Security (DHS) components, the Department of State (DOS), the Department of Justice (DOJ), and the Department of Defense (DOD).

This is a regional strategy for the U.S. Coast Guard's operations in the Western Hemisphere. It is not an implementation plan. Strategies drive deliberation over requirements which lead to front-line implementation. This strategy is the first step in a multi-year journey to accomplish our organizational objectives in the region. It builds upon the service's unique capabilities, authorities, and partnerships while keeping faith with the Coast Guard's priority to serve as the world's premier organization for maritime safety, security, and environmental stewardship. It is informed by more than two centuries of experience and will chart our course for years to come.

The U.S. Coast Guard's Vision for Operating in the Western Hemisphere:

Ensuring a Secure Nation, Prosperous Markets, and Thriving Oceans.



II.

Executive Summary

In the next ten years, the Coast Guard must confront significant challenges in the Western Hemisphere. Transnational Organized Crime (TOC) networks and the future impacts of climate change will pose new threats to maritime safety, security, and efficiency. Moreover, globalization and advances in technology will present challenges for maritime governance as free markets and commerce continue to expand. The Coast Guard must think and act strategically to succeed in this dynamic region. The Western Hemisphere Strategy provides a roadmap for our way ahead. It is a regional strategy that identifies three priorities over the next 10 years: *Combating Networks, Securing Borders, and Safeguarding Commerce*. These strategic priorities are framed in a more colloquial construct of “offense,” “defense,” and “special teams.” To meet these priorities, the strategy emphasizes the critical importance of offshore vessel and aircraft presence to support effective governance and sovereignty, as well as other strategic concepts to ensure long-term success.

In the next decade, some hemispheric countries will prosper and grow while others will struggle against increasing transnational threats. Initiatives to strengthen and fortify effective governance and cooperation in the Caribbean Basin, Central America, and Mexico must address the destabilizing impacts of violence, corruption, terrorism, natural disasters, and trafficking in drugs, humans, and arms. The success and profit of illicit networks represent a cycle of compounding loss to free nations and markets. *By some estimates, global yearly economic loss to TOC in illegal drugs, human trafficking, and illegal fishing (combined) exceeds \$750 billion.*¹ Moreover, networks that evolve and mature for one illicit purpose have shown an increasing propensity to diversify their nefarious activities. In the next decade, the lines between networks initially formed for illicit activities including drug smuggling, human trafficking, or terrorist activity will continue to blur.

Globalization continues to drive greater interdependence among nations and regions. Our Nation’s advanced economy faces increasingly competitive global markets. Of the 20 partner nations with which the U.S. has free-trade agreements (as of publication of this document), more than half are in the Western Hemisphere and account for over 50 percent of total U.S. exports. The U.S. Maritime Administration notes that if recent trends in international trade continue, foreign trade will account for 35 percent of U.S. Gross Domestic Product (i.e., output of the domestic economy) by 2020, and 60 percent by 2030.² A safe and efficient Maritime Transportation System (MTS) is vital for America’s future.

¹ Picard, J. (2013). *Can We Estimate the Global Scale and Impact of Illicit Trade?* In Miklaucic, M. & Brewer, J. (Eds.), *Convergence: Illicit Networks and National Security in the Age of Globalization* (pp. 37-60). NDU Press.

² United States Department of Transportation, Maritime Administration. (November 2007). http://www.marad.dot.gov/documents/Vision_of_the_21st_Century_10-29.pdf

Combating Networks. This *offensive* posture involves proactive engagement with domestic and international partners to identify, target, and defeat illicit networks. Such networks are an increasing threat in many regions of our hemisphere, and they continue to expand their activities in the maritime domain. Improving the integration and synchronization of intelligence and operations is crucial for success, as is maintaining an effective offshore presence to help detect and interdict TOC network activity. Our efforts in combating networks will focus on three areas: understanding networks and fostering network culture; identifying networks; and targeting and prosecuting networks. Specific concepts to support this priority will include enhanced intelligence, maturing/leveraging partnerships, and creating a better Coast Guard network to combat TOC activities.

Securing Borders. The *defensive* posture of this strategy sustains effective offshore interdiction capability and a comprehensive ability to detect threats and safeguard our homeland. This defensive plan emphasizes improving awareness, prioritizing threats, and establishing a layered defense that supports interdiction of threats far from U.S. interests and borders. Achieving effective security of our borders will also involve effective management of risk, to include clearer policy on acceptable risk to operators during high risk homeland security and defense scenarios.

Safeguarding Commerce. The *special teams*³ element of this strategy will endeavor to protect our most valuable assets and resources in the maritime domain. The Coast Guard will continue to promote a safe, secure, and resilient Marine Transportation System (MTS). Risk management and threat prioritization across our diverse mission space will remain essential to accomplishing our objectives of safety and security. This focused effort emphasizes the core competency of Search and Rescue (SAR), and will also help ensure the safe and productive use of our oceans' resources. Finally, the strategy will emphasize the role of effective incident management in response and recovery operations during events that threaten major commercial activity, the environment, or human life.

Ensuring Long-term Success. Many enabling concepts will be critical to the success of this strategy. Some of these enablers include:

Promote DHS Unity of Effort

The Coast Guard will unify effort with all DHS components and component agencies, including U.S. Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), Transportation Security Administration (TSA), and the Federal Emergency Management Agency (FEMA), to maximize effectiveness on the front lines of the Western Hemisphere. By working together with DHS components and capitalizing on the unique authorities and capabilities of partner agencies, the Coast Guard will meet evolving responsibilities with greater efficiency and efficacy. Ultimately, unity of effort, situational awareness, integration, and synchronization of planning will be essential at every level of coordination across the homeland security enterprise.

³ The "Special Teams" analogy is derived from the game of American football, which in addition to offensive and defensive phases of the game, includes a transitory phase known as special teams play. These plays occur when one team is transitioning from offense to defense, or vice-versa, and feature hybrids of offensive and defensive characteristics that can be likened to the variety of functions the U.S. Coast Guard performs during many of its missions.

Offshore Presence

The Coast Guard will maintain an effective, adaptable, and networked offshore presence to effectively service the three strategic priorities of Combating Networks, Securing Borders, and Safeguarding Commerce. An offshore capability that maintains operational and persistent presence across the high risk areas of the Western Hemisphere is essential; as is networked access to the most sensitive and actionable intelligence. Presence in these offshore areas will also increase intelligence gathering and support intelligence analysis of major maritime threats.

Integration of Operations and Intelligence

Intelligence will inform commanders and other decision makers by providing actionable knowledge about adversaries and threats in the maritime and cyber domains. Recognizing the fundamental importance of actionable intelligence, the Coast Guard will put increased emphasis on the sharing of information and the integration of its intelligence into Western Hemisphere operations.

Force Planning Construct

Some of the most complicated operational decisions involve long-range deployment of Coast Guard personnel and resources to support responses for surge events such as hurricanes, oil spills, or mass migrations. The Coast Guard will plan and resource the appropriate levels of staffing for a broad array of contingencies. The Coast Guard will also prepare to address future risks by ensuring the capability and capacity to respond simultaneously to (a) one nationally significant response operation, (b) one regional surge operation in a district, and (c) highest priority response operations locally.

System of Immigration and Citizenship

The safety, security, and environmental stewardship of U.S. waters require equitable and efficient systems of immigration and citizenship. As a lead Federal agency for maritime law enforcement, the Coast Guard prioritizes secure borders that protect our Nation from those who would enter illegally by sea. This endeavor presupposes an effective system of immigration that also reinforces the integrity of our maritime borders.

A Comprehensive and Integrated Cyber Program

The Coast Guard will develop more focused lines of effort and broader capabilities that are informed by a comprehensive cyber strategy. The strategy will more clearly define roles and responsibilities of Coast Guard programs and future initiatives in the context of lead and partner agency guidance outlined in governing strategies such as the National Strategy to Secure Cyberspace and the National Infrastructure Protection Plan (NIPP). The strategic effort will provide a clear framework ensuring effective Coast Guard network defense, protection of maritime cyber infrastructures in the public and private sectors, as well as appropriate programs and capabilities that will enhance operational effectiveness in meeting our strategic priorities.

These imperatives are discussed in greater depth in a separate section of this strategy which follows the strategic priorities.





III.

Today's Realities

This section provides readers with background on the Western Hemisphere and global trends that are shaping the region's economy, governance, and security. It serves as a scene-setter for the later articulation of Coast Guard strategic priorities and introduces the broad challenges experienced by individual nations, which subsequently impacts the entire Western Hemisphere.

Scope of Western Hemisphere

For the purpose of this strategy and associated implementation plans, the Western Hemisphere is defined as the geographic region spanning the area between the International Date Line and the Prime Meridian. It does not include the Polar Regions in either the Northern or Southern Hemispheres, and maintains a decided focus on our strategic priorities in the Americas.

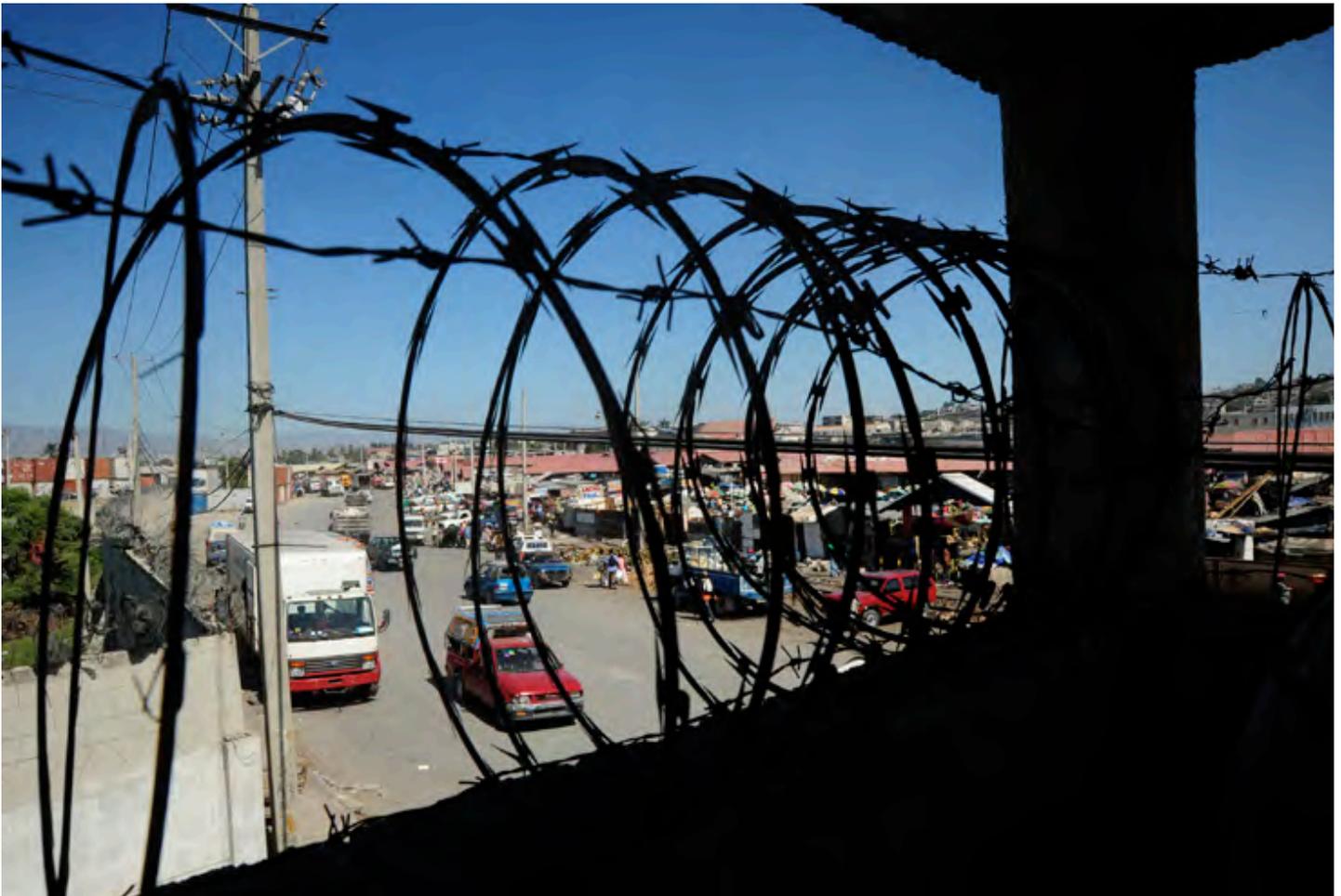
Globalization in the Western Hemisphere

Nations and markets continue to become more closely linked. They are also connected primarily by water. Increased globalization, the emergence of international economic systems, and advancements in world trade have led to a deepening of democratic principles throughout the world and realization that global peace and security requires global cooperation.

Globalization, essentially defined as worldwide integration and development, has led to the emergence of an interconnected global economy. International trade is a fundamental component of globalization. The exchange of capital, goods, and services across international borders represents a significant portion of many countries' gross domestic products. Technological advancements, industrialization, multinational corporations, and free-trade agreements have increased the volume and efficiency of maritime trade. Such trade lifts hundreds of millions of people out of abject poverty and promotes international prosperity and peace.

Global commerce is initiated through cargo trans-shipments across sovereign boundaries. Although transportation of goods can be accomplished via air and ground methods, transit by sea is often the only means possible to transport bulk cargoes. Marine transportation has also become the most economic means for transportation of containerized cargoes. Indeed, since the emergence of a more global marketplace, some 90 percent of all cargo has been shipped using maritime conveyance.⁴ The rise in marine traffic through international waters has generated a need for cooperation among nations to ensure the marine transportation system is safe, secure, and reliable. Nations, especially in the Western Hemisphere, rely on one another for competitive advantage in production of necessary goods and services. As a result, international partners must work together to ensure the protection of maritime resources and maritime transportation infrastructure. Not only will such partnerships and agreements help ensure the safety of life

⁴ International Maritime Organization. (March 6, 2012). International Shipping Facts and Figures-Information Resources on Trade, Safety, Security, Environment. Retrieved from: <http://www.imo.org/KnowledgeCentre/ShipsAndShippingFactsAndFigures/TheRoleandImportanceofInternationalShipping/Documents/International%20Shipping%20-%20Facts%20and%20Figures.pdf>



at sea and the continued success of maritime commerce, they will also allow nations within the Western Hemisphere to maintain competitive advantages with regional trading partners in Europe, Asia, and elsewhere.

Governance and Development

Within the Western Hemisphere, nations are interconnected through their economies, trade relations, and profiles of security. While almost every country has instituted democratic processes for electing national leaders, the manipulation of some electoral systems has led to corruption, efforts by ruling parties and groups to consolidate power, and the inability of some governments to earn and retain the trust of their citizens.⁵ In such situations, transparency and accountability is weak or nonexistent, and exacerbates internal tensions.

The Western Hemisphere is home to some of the wealthiest as well as some of the most indebted nations in the world. While certain countries in the Western Hemisphere have demonstrated strong economic growth, more than 30 percent of the population in the Caribbean, Central, and South America live below the poverty line, and income distribution in some of these nations is among the most unequal in the world.⁶ In addition, social inequality driven by ethnicity, gender, or religion results in select countries withholding full citizenship rights from significant portions of their societies. Domestic challenges of any one nation, whether due to corruption, social inequality, or lack of economic resources, may also result in adverse impacts on surrounding nations through the dynamics of political economics.

⁵ Department of Defense. (2012). Western Hemisphere Defense Policy Statement. Retrieved from: <http://www.defense.gov/news/WHDPS-English.pdf>

⁶ *Ibid.*

Global Challenges

In years past, threats such as organized crime and violence were more localized to specific nations. But today, globalization has resulted in a greater convergence of global threats. An interconnected Western Hemisphere and an increasing reliance on our neighbors for security and trade means that a global economy, criminal networks, influence from other regions, and our changing climate, present substantial challenges with hemisphere-wide impacts.

Global Economy

The creation of a global economy and increase in world trade has generated positive economic development among many nations within the Western Hemisphere. Colombia is attracting foreign investment and fostering commercial activity as a result of liberalized trade agreements and effective partnerships with the United States. Colombia's efforts combating Transnational Criminal Organizations (TCOs) have also garnered noticeable international attention.⁷ However, globalization has resulted in the growth of transnational threats that challenge the preventive security resources of any one nation. Moreover, the presence of unstable financial conditions in one region can now lead to the curbing of investments abroad, which exacerbates problems already felt in weakened economies relying upon foreign investments. While the Western Hemisphere contains some of the world's strongest economies, negative events in these markets will likely impact the rest of the world with greater frequency through the dynamics of economic contagion. The global financial crisis experienced in 2007-2009, considered by many economists to be the worst financial crisis since the Great Depression, is an example of contagion spreading across interconnected nations and markets. Although the crisis began in the United States, the financial institutions initially affected contained several international holdings. Housing and retail sectors suffered further from the consequences of a failed banking industry, and economies worldwide fell into prolonged global recession.

The emergence of a global economy makes nations more interdependent than they have ever been. As legal trade and a safe and secure global supply chain grow, so does the opportunity for illegal activity that can take advantage, subvert, exploit, and distort legitimate economic ventures. More multinational economic activity allows for a parallel of multinational crime, especially in the exchange of currency and shipment of goods. Ships today represent an increasingly attractive transportation mode for illicit actors; they are larger, carry more goods, and their cargoes move quickly through the global supply chain to final destinations almost anywhere in the world. In addition, cyber-crime allows criminals to attack multinational corporations and legitimate commercial interests, steal intellectual property and proprietary methods, and weaken global economic competitiveness and development. A global economy can also impact the long-standing ability of a powerful nation to influence smaller nations. Increased global competition for trade and influence challenges the ability of any one powerful nation to influence its neighbors, especially in a time when any nation can turn to partners elsewhere in the world for financial and political assistance.

Transnational Organized Crime

Criminal networks today seek to take advantage of those nations with a lack of economic resources and ability to provide the necessary level of security to prevent illicit activity. These networks use weaker economies to build resources and infiltrate stronger economies where a profitable market exists. They thrive in areas with poor and weak governance, and operate with impunity where corruption is commonplace. Such criminal activity has no regard for sovereign boundaries, making

⁷ *The White House. (2011). Strategy to Combat Transnational Organized Crime. Retrieved from: <http://www.whitehouse.gov/administration/eop/nsc/transnational-crime>*

these threats a common concern among all nations in the hemisphere.

Transnational Organized Crime (TOC) is defined as criminal activity that is coordinated across national borders, usually involving networks of individuals or groups working in multiple countries in an attempt to execute illegal business ventures. Methods of achieving profitable ventures usually involve corruption, violence, and terror. The most common examples of TOC found in the Western Hemisphere include the trade of illegal drugs and weapons, human smuggling and trafficking, terrorism, cyber-crime, and environmental crime. Recent academic analysis estimates the total value of the global black market at nearly \$2 trillion.⁸

The criminal organizations involved in TOC operate within adaptable business structures that continually leverage distributed networks of services offered by a growing number of actors. Business plans are well established, suppliers and products are diversified, and the organizations are able to quickly adapt to changes in their external environment, including everything from advances in technology to an increase in law enforcement activity. These sophisticated networks and their illicit activities undermine governance, disrupt trade and free market societies, exhaust national resources, and inhibit further development. As maritime trade and travel have grown, criminal organizations have taken to the sea, using complex operations and tactics to avoid detection while in transit. TOC networks seek to exploit established global trade routes and conveyances used for legitimate commerce. As a result, TOC has become a transnational issue that requires international cooperation and partnerships.

Global Influence

Despite globalization of world economies, many regional countries are growing more politically independent and no longer rely as much on their North American partners for assistance in addressing domestic challenges. As these governments become more distant, they are cultivating non-traditional allies. Russia and China are beginning to see progress in their efforts to engage Western Hemisphere nations.⁹ These relationships allow for greater distance from the United States and have been strengthened through financial support for economic and social projects. Anti-American movements in some South American countries are also gaining momentum in nations such as Bolivia, where there is little desire for a United States presence. This growing intolerance of American involvement has even extended to humanitarian agencies, including the U.S. Agency for International Development (USAID).¹⁰ Iran in particular has worked to increase its presence in South America and has cultivated relationships with several governments including Venezuela, Cuba, Ecuador, Bolivia, and Nicaragua. Hezbollah, a group that is included on the Department of State (DOS) Foreign Terrorist Organization List, has also established a presence in Latin America, and evidence suggests direct collaboration with TOC networks in the hemisphere.¹¹

Climate Change

Climate change will exacerbate many other transnational risks and threats in the region. An increase in average global temperatures is resulting in regional impacts such as rising sea levels, ocean warming and acidification, increases in the frequency and intensity of extreme weather events, and changes to available natural resources.¹² The health and livelihoods of island

⁸ Havocscope Global Black Market Information. (2013). *The World Black Market*. Retrieved from://www.havocscope.com/market-value/

⁹ Cope, J. & Mora, F. (2009). *Hemispheric Security: A New Approach*. Retrieved from Current History Website http://www.currenthistory.com/pdf_org_files/108_715_065.pdf

¹⁰ United States Agency for International Development. (2013). USAID Bolivia. Retrieved from: <http://www.usaid.gov/news-information/factsheets/usaid-bolivia>

¹¹ "A Line in the Sand: Countering Crime Violence and Terror at the Southwest Border," Report by the United States House Subcommittee on Oversight, Investigations and Management, U.S. House of Representatives, November 2012. Retrieved from: <http://homeland.house.gov/sites/homeland.house.gov/files/11-15-12-Line-in-the-Sand.pdf>

¹² Intergovernmental Panel on Climate Change. (2013). *Climate Change 2013: The Physical Science Basis*. <http://www.ipcc.ch/report/ar5/wg1/>



communities and populations living in coastal regions will be negatively impacted by rising sea levels which can result in erosion of coasts, destruction of property, and a growing population of refugees. Changes in precipitation patterns can cause flooding in some areas and intense drought in others, with potentially devastating impacts on water and food supplies in vulnerable areas. In addition, extreme weather events such as hurricanes, tropical cyclones, and severe storms can produce disastrous storm surges, disrupt trade routes, threaten lives, and drain national economic resources.

Climatic changes have also resulted in the reduction or migration of natural resources, such as fish stocks. As a result, fishermen in some regions have turned to illegal activity, including smuggling of drugs, weapons, and humans across international boundaries. Climate change also has the potential to exacerbate other forms of TOC, especially in countries where natural disasters can strain economies and increase political, economic and social instability. The potential increase in extreme weather events creates a unique window of opportunity for TOC networks to exploit weakened rule of law and effective governance that could follow in the wake of natural disasters.





IV.

Geo-Strategic Environment

This section explains how the region and our mission space is changing, regardless of the Coast Guard's presence or priorities. It outlines factors that must be considered when contemplating implementation of future imperatives.

The Western Hemisphere is home to a diversity of nations, economies, resources, and cultures. U.S. strategic dependence on Western Hemisphere nations has increased with globalization, and the region represents one of the most important geographies for trade and direct U.S. investment in the world. Of the 20 nations with which the United States has established free-trade agreements (FTAs), more than half are in the Western Hemisphere (as of the publication of this document).¹³ Direct U.S. investment within the hemisphere exceeds \$1 trillion, topping U.S. investment in Asia and second only to Europe.¹⁴ As globalization continues to drive greater interdependence between the hemisphere's nations and economies, positive trends, as well as threats, will have a much greater impact on our future security and prosperity. Whether our hemisphere continues to enjoy recent progress in international trade, effective governance, and shared prosperity, will likely be determined by our ability to counter significant transnational threats and maritime challenges in the coming years. Although many successes in the region (such as the economic prosperity brought on by expanding trade agreements) have promoted stability and security in some areas, Transnational Organized Crime (TOC) and illicit networks, along with other destabilizing factors, such as increased natural disasters due to climate change, continue to pose a significant danger to our hemisphere's future. This section examines sub-regional strategic trends within the hemisphere, and provides focus for the strategic threats and opportunities the Coast Guard will engage in the coming decade.

North America: United States, Canada, and Mexico

Commercial activity ushered in by the North American Free Trade Agreement (NAFTA) has made regional trade critical to U.S. security and prosperity. The U.S.-Canadian trade relationship is the largest between any two nations in the world,¹⁵ and Canada is America's largest single-country importer for oil, refined petroleum products, natural gas, electricity, and coal.¹⁶ Canada and Mexico are the top two importers of U.S. goods, respectively, accounting for a combined total of one-third of our total exports. In comparison, China is the third largest importer of U.S. goods, but Mexico (second) imports twice as many U.S. goods by value.¹⁷ Between 2010 and 2011, U.S. exports to Mexico increased by 21.6 percent.¹⁸ Although many of these goods travel by truck and rail, a 2006 DOT Report showed 35 percent of the total gross tonnage within this region moves

¹³ <http://export.gov/fta/>

¹⁴ Jackson, J. (2012). U.S. Direct Investment Abroad: Trends and Current Issues. Congressional Research Service Report RS21118. Retrieved from: <http://www.fas.org/sgp/crs/misc/RS21118.pdf>

¹⁵ Fergusson, I. (2011). United States-Canada Trade and Economic Relationship: Prospects and Challenges. Congressional Research Service Report RL33087. Retrieved from: <http://fpc.state.gov/documents/organization/174202.pdf>

¹⁶ Embassy of Canada in Washington (2013). Energy Relations. Retrieved from: <http://can-am.gc.ca/relations/energy-energie.aspx?lang=eng>

¹⁷ United States Census Bureau. (2013). Top Trading Partners: Total Trade, Exports, Imports. Retrieved from: <http://www.census.gov/foreign-trade/statistics/highlights/top/top1212yr.html>

¹⁸ *Ibid.*

by ship.¹⁹ Energy and resource exploration and extraction activities will continue to increase in the region over the next decade, with implications for maritime safety and stewardship. The dramatic rise in natural gas and oil production in the region will likely drive increased exports throughout the coming years, and advances in extraction technology and exploratory science will give rise to new safety and environmental risks in the Outer Continental Shelf (OCS).

The North American Region has significant security concerns, particularly with border security, and most presently with TOC-related violence in Mexico. In recent years, Mexico has seen its homicide rate jump by over 100 percent. In the period from 2000-2012, this telling measure of domestic security spiked from 10.3 homicides per 100,000 in population to 21.5 per 100,000. This increase is almost five times the rate of homicides in the United States.²⁰ For additional context, the Pan American Health Organization considers any homicide rate over 10 per 100,000 to be an “epidemic.”²¹

Although Mexico continues to wage a “historic campaign” against TOC and the violence and lawlessness it spawns, illicit networks in the hemisphere are expanding their operations beyond the drug trade into human and weapons smuggling and trafficking, making the United States more vulnerable. As these illicit networks broaden their activities, they could become mechanisms to be employed by secondary criminal or terrorist organizations and actors.²²

Despite cooperation with Mexico on many TOC and border initiatives to date, both the U.S. and Mexico will undoubtedly need to continue to balance independent sovereign interests with collaborative solutions to many unresolved security threats.

The Caribbean Basin and Central America

This incredibly diverse and expansive region includes more than 1,200 islands governed by more than 25 nations.²³ Fifteen Caribbean nations (mostly former British colonies) belong to the Caribbean Community (CARICOM), while seven Central American countries belong to the Central American Integration System (SICA).²⁴ Additional countries in the region include Cuba, Haiti, the Dominican Republic, territories that are part of the Netherlands and France, along with Puerto Rico and other islands under the jurisdiction of the United States.²⁵

The Global Economic Crisis along with recent hurricanes and the Haiti earthquake have exacerbated preexisting economic hardships. The Caribbean region is home to some of the most indebted nations in the world. Several of these nations have a debt to GDP ratio of over 100 percent and lack the resources to provide for the most basic of security needs. As a whole, the Caribbean has a lower economic growth rate than Africa.²⁶ Several nations have had to restructure debt or seek debt forgiveness.²⁷ Lack of economic resources in the region continues to be a major factor in the failure to prevent contraband from entering the international supply chain.²⁸ With a historic lack of state control and jurisdictional coordination challenges over vast areas of maritime borders, rising opportunities exist for TOC

19 United States Department of Transportation, Research and Innovative Technology Administration, Bureau of Transportation Statistics (May 2007). Retrieved from: http://www.rita.dot.gov/bts/sites/rita.dot.gov/bts/files/publications/special_reports_and_issue_briefs/special_report/2007_05/pdf/entire.pdf

20 United Nations Office on Drugs and Crime. (2013). Global Study on Homicide. Retrieved from: http://www.unodc.org/documents/gsh/pdfs/2014_GLOBAL_HOMICIDE_BOOK_web.pdf

21 Cope, J. & Mora, F. (2009). Hemispheric Security: A New Approach. Retrieved from Current History Website http://www.currenthistory.com/pdf_org_files/108_715_065.pdf

22 The White House. (2011). Strategy to Combat Transnational Organized Crime. Retrieved from: <http://www.whitehouse.gov/administration/eop/nsc/transnational-crime>

23 Cope, J. & Einaudi, L. (2013). The Building Emergency in the Caribbean Basin. Institute for National Strategic Studies Event Report. National Defense University

24 Ibid.

25 Ibid.

26 Ibid.

27 Ibid.

28 Ward, C. (2010). Regional Threats: Security Capacity Imperatives in the Caribbean. Joint Force Quarterly, 58(3rd Quarter), 26-31.



networks to smuggle and traffic drugs, weapons, and people.²⁹ In September of 2012, the U.S. Senate Caucus on International Narcotics Control noted a strong concern with the potential increase of drug trafficking patterns in the Caribbean as a result of increased interdiction efforts in Mexico, Central America, and the Eastern Pacific.³⁰

As a region, the Caribbean and Central America is one of the most violent in the world. Six of the top ten highest homicide rates globally are located throughout this area, with an additional two nations, Venezuela and Colombia (bordering the region), also appearing on the list.³¹ In Central America alone, the World Bank estimates that TOC and the associated violence can cost the region up to eight percent of its normal levels of GDP.³² The United Nations Office on Drugs and Crime (UNODC) and the World Bank have identified drug trafficking by illicit networks as the primary driving factor of violent crime.³³

The U.S. territory of Puerto Rico is susceptible to this regional trend, where homicide rates hit a record high of 26.5 per 100,000 in 2012.³⁴ From 2009 to 2010, the National Drug Intelligence Center reported that cocaine along maritime routes between Puerto Rico and the U.S. Virgin Islands tripled, and officials have estimated 75 percent of the homicides in Puerto Rico are drug and weapons trade related.³⁵

29 Cope, J. & Mora, F. (2009). *Hemispheric Security: A New Approach*. Retrieved from Current History Website http://www.currenthistory.com/pdf_org_files/108_715_065.pdf

30 United States Senate Caucus on International Narcotics Control. (2012). Preventing a Security Crisis in the Caribbean. Retrieved from: <http://www.drugcaucus.senate.gov/reports.html>

31 United Nations Office on Drugs and Crime. (2013). Global Study on Homicide. Retrieved from: http://www.unodc.org/documents/gsh/pdfs/2014_GLOBAL_HOMICIDE_BOOK_web.pdf

32 The White House. (2011). Strategy to Combat Transnational Organized Crime. Retrieved from: <http://www.whitehouse.gov/administration/eop/nsc/transnational-crime>

33 UNODC & The World Bank. (2007). Crime, Violence, and Development: Trends, Costs, and Policy Options in the Caribbean. Report No. 37820. Retrieved from: <http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/LACEXT/0,,contentMDK:21320803~pagePK:146736~piPK:226340~theSitePK:258554,00.html>

34 United Nations Office on Drugs and Crime. (2013). Global Study on Homicide. Retrieved from: http://www.unodc.org/documents/gsh/pdfs/2014_GLOBAL_HOMICIDE_BOOK_web.pdf

35 Cobiella, K. & Doran, M. (September 25, 2011). Drugs, Weapons Trafficking on the Rise in Puerto Rico. CBS News. Retrieved from: http://www.cbsnews.com/8301-18563_162-20111415.html

Regional efforts to address transnational challenges have gained some momentum in recent years, but cooperative initiatives and successes by the Organization of American States, CARICOM, and SICA have frequently focused more on trade liberalization than security.³⁶ The U.S. Caribbean Border Security Initiative (CBSI) is probably the most notable recent effort to combat TOC, drug-related violence and trafficking, as well as terrorism. Total funding for this project, managed by the Department of State and USAID, includes \$203 million spread across the region to combat violence and TOC activities. This program, launched in 2009, is the first major security aid program to the region since President Reagan's Caribbean Basin Initiative (CBI) in 1983.³⁷

Unfortunately, the Caribbean and Central America may suffer greater societal and economic pressures in the future due to climate change. A number of scientific studies on various environmental changes suggest there will be a rise in the severity and frequency of hurricanes and tropical storms in the region. Moreover, many models suggest population factors, coupled with climate change, will impose extreme stress in the region in the form of water scarcity and increased numbers of severe storms. In Haiti, where hundreds of thousands remained in tent cities for several years after the 2010 earthquake, these trends could be particularly worrisome. In the most recently published Global Trends study sponsored by the National Intelligence Council, a Sandia National Lab index was cited that identifies Haiti as a nation with one of the highest global risks of suffering a state failure.³⁸ Although current intelligence estimates rank the likelihood of a mass Haitian migration as unlikely due to slightly improving conditions and a stable U.S. repatriation policy, these conditions could change in the coming years. Historically, quickly changing geo-political conditions, as well as slight or even perceived changes in U.S. immigration or repatriation policy, have triggered unexpected mass migrations that have been difficult to foresee.

The Panama Canal Expansion project, which is set for completion in 2015, could drive significant changes in maritime shipping routes over the next decade. East coast ports in the Western Hemisphere have already begun port expansion projects in anticipation of increased maritime traffic and new routes for larger ships, particularly those arriving from Asia. Although current estimates on these future changes vary, this project will impact many existing ports and may significantly alter commercial shipping routes, creating new maritime risks for safety and security regimes.

South America

Several South American countries have experienced positive political, economic, and social trends in recent years, but destabilizing forces of future economic downturns, as well as transnational and domestic challenges, may threaten future gains.³⁹ Positive economic growth and a reduction in poverty fostered by multiple regional and extra-regional free-trade agreements (FTAs) have helped grow the middle class, fostering greater political participation by women, indigenous peoples, and previously disenfranchised groups who now benefit from greater access to social services.⁴⁰ The region is still the primary driving force in global cocaine production, and TOC and drug trafficking is expected to last for many years.⁴¹ Currently, virtually all known cocaine trafficked in the world is cultivated from three South American countries: Colombia, Peru and Bolivia.

After decades of internal conflict with terrorist organizations and drug cartels, Colombia has achieved remarkable positive gains in effective state control, security, and economic growth. Coupling positive pro-business approaches with an aggressive commitment to improving domestic security, Colombia

³⁶ Cope, J. & Mora, F. (2009). *Hemispheric Security: A New Approach*. Retrieved from Current History Website http://www.currenthistory.com/pdf_org_files/108_715_065.pdf

³⁷ Cope, J. & Einaudi, L. (2013). *The Building Emergency in the Caribbean Basin*. Institute for National Strategic Studies Event Report. National Defense University.

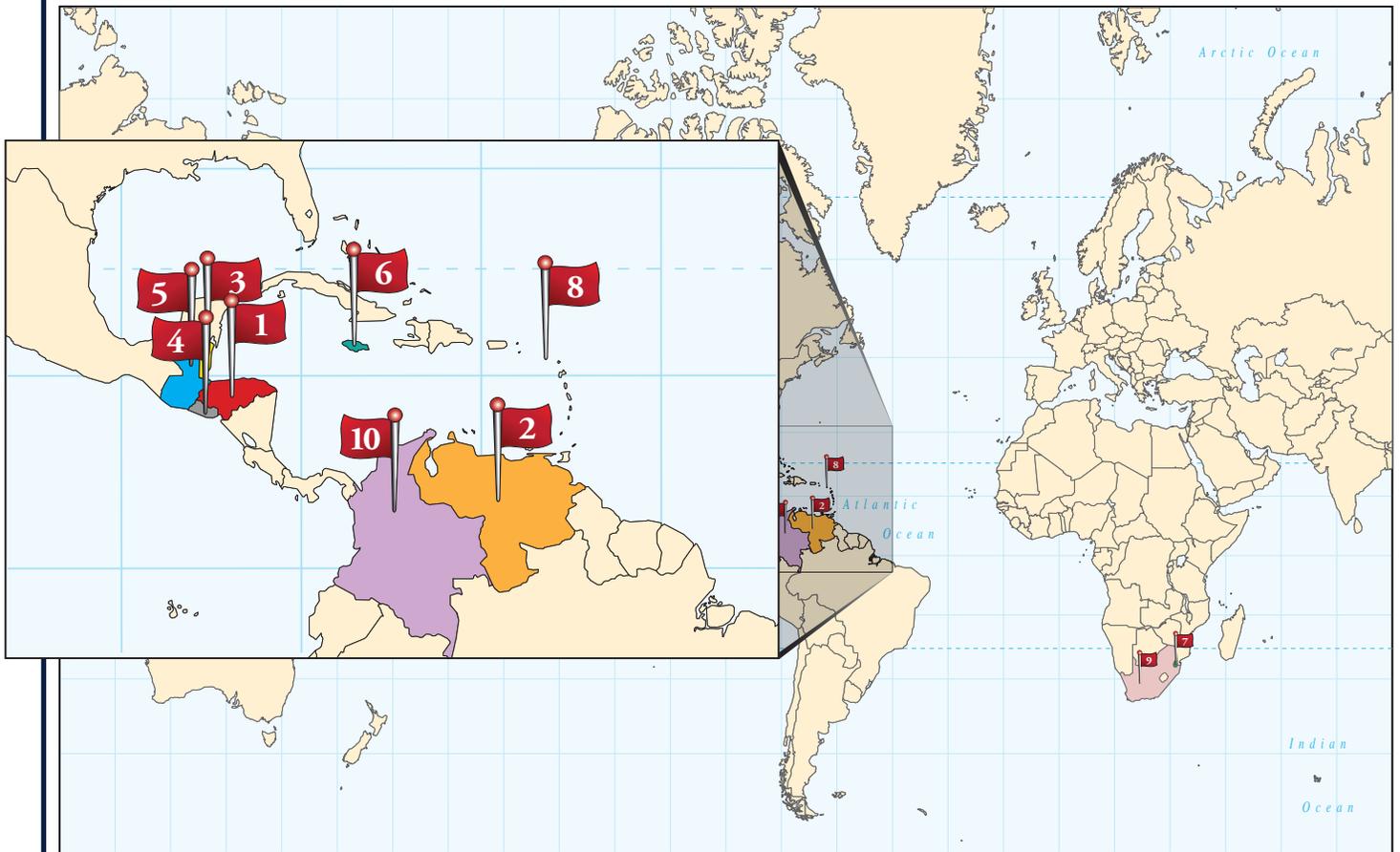
³⁸ *Ibid.*

³⁹ *Ibid.*

⁴⁰ *Ibid.*

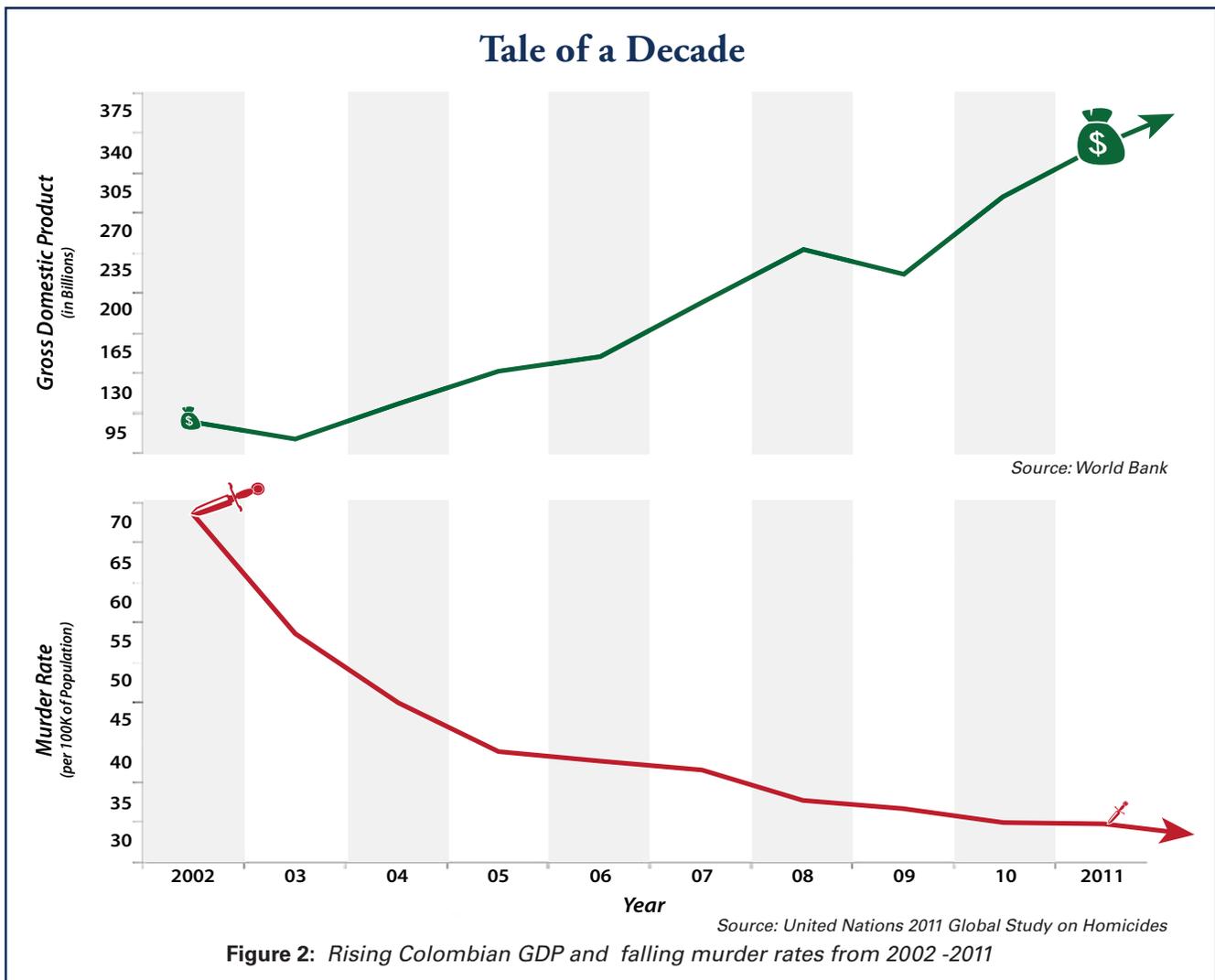
⁴¹ Clapper, J. (March 12, 2013). *Worldwide Threat Assessment of the U.S. Intelligence Community Statement for the Record*. Senate Select Committee on Intelligence. Retrieved from: <http://www.intelligence.senate.gov/130312/clapper.pdf>

Global Homicide Rates by Nation



		Nation	Rate per 100k	Total per year	Global Region
1		Honduras	90.4	7,172	Central America
2		Venezuela	53.7	16,072	South America
3		Belize	44.7	145	Central America
4		El Salvador	41.2	2,594	Central America
5		Guatemala	39.9	6,025	Central America
6		Jamaica	39.3	1,087	Caribbean
7		Swaziland	33.8	416	Africa
8		St. Kitts and Nevis	33.6	18	Caribbean
9		South Africa	31.0	16,259	Africa
10		Colombia	30.8	14,670	South America

Figure 1: United Nations Office on Drugs and Crime (UNODC) 2013 Global Study on Homicide report. UNODC defines intentional homicide as unlawful death purposefully inflicted on a person by another person. Rates are calculated per 100,000 inhabitants.



has seen a 500% increase in foreign investment over the last decade, fueling an unprecedented era of economic growth.⁴² A Free Trade Agreement with the United States was ratified by the U.S. Congress in 2011, which was preceded by almost a decade of strong economic performance.⁴³ During roughly the same period, the homicide rate in Colombia dropped from a high of 72 per 100,000 to 33 per 100,000.⁴⁴ Much of this success can be attributed to U.S. assistance in Colombian capacity building, an achievement the “United States aims to replicate with other partner nations.”⁴⁵

Colombia remains the major source country for cocaine destined to the United States. Despite this ongoing challenge, Colombia has made important gains in the fight against production and trafficking, and has had remarkable success against armed insurgents such as the FARC, which engages in TOC.⁴⁶ New groups are emerging, however, such as criminal bands referred to as *Bandas Criminales*, or *Bacrim*s.⁴⁷ Moreover, it is still a country that has one of the higher disparities of wealth in the world. According to the World Bank, Colombia’s “Gini” coefficient—a measure of wealth distribution—is one of the most uneven in all of Latin America.⁴⁸

42 Embassy of Colombia Washington, D.C. (2013). About Colombia’s Economy. Retrieved from: <http://www.colombiaemb.org/>

43 Central Intelligence Agency. (2013). The World Factbook. Retrieved from: <https://www.cia.gov/library/publications/the-world-factbook/>

44 United Nations Office on Drugs and Crime. (2011). Global Study on Homicide. Retrieved from: http://www.unodc.org/documents/data-and-analysis/statistics/Homicide/Globa_study_on_homicide_2011_web.pdf

45 The White House. (2011). Strategy to Combat Transnational Organized Crime. Retrieved from: <http://www.whitehouse.gov/administration/eop/nsc/transnational-crime>

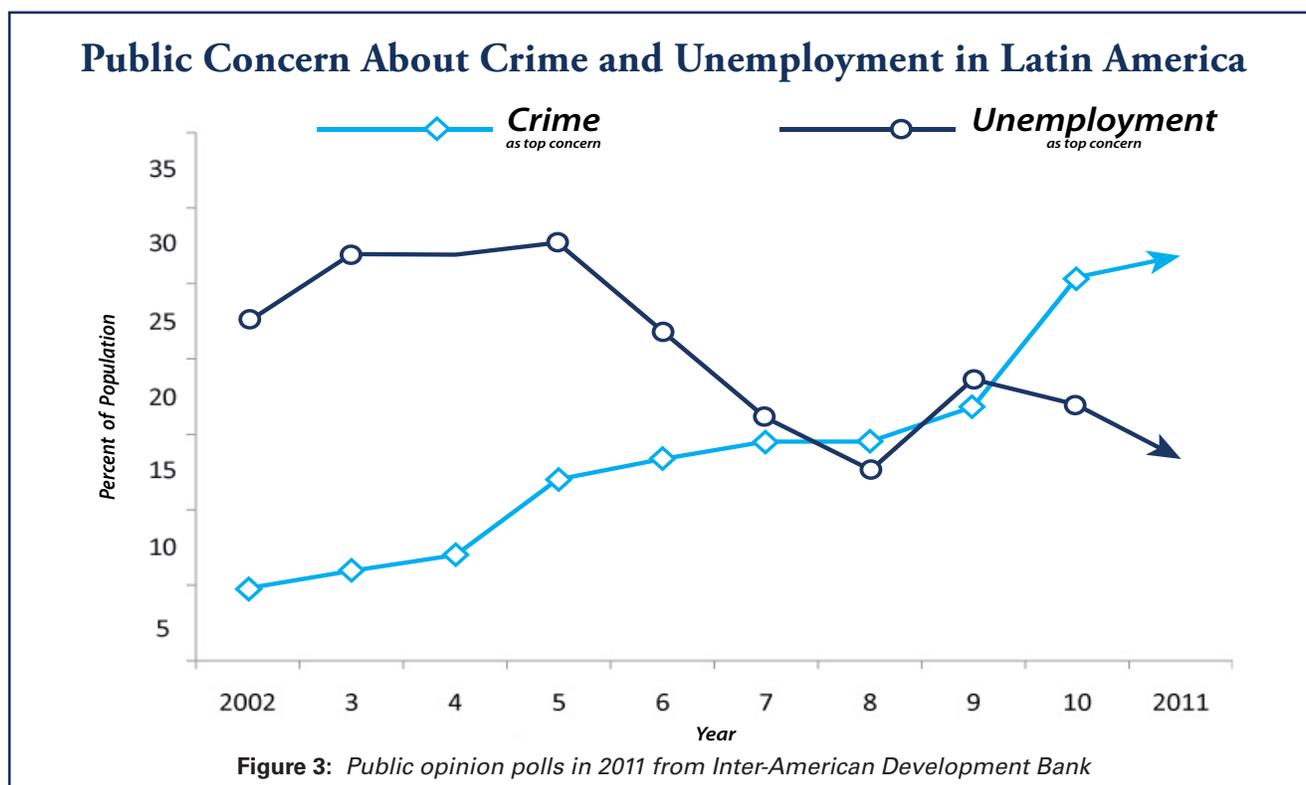
46 Ibid.

47 Ibid.

48 The World Bank. (2013). GINI Index. Retrieved from: <http://data.worldbank.org/indicator/SI.POV.GINI>

Brazil is a significant rising world economic power, and currently boasts the hemisphere's second largest economy. As the seventh largest economy in the world (ranking between Great Britain at six and the Russian Federation at eight), diplomatic partnerships with Brazil will be of increasing hemispheric and international importance.⁴⁹ Brazil is also the second largest market for cocaine in the hemisphere, and shares a border with the three major cocaine producing nations of Colombia, Peru, and Bolivia.⁵⁰ It also includes the Amazon River, a major maritime transshipment route for European cocaine supply.⁵¹ The Brazilian drug trade is controlled by large, violent TOC groups that operate throughout the country.⁵² Brazil has signed bilateral narcotics control agreements with the United States and every country in South America which provide the framework for capacity improvement, joint investigations, enforcement operations, and sharing of law enforcement information.⁵³ In 2012, Brazil expanded its counter-narcotics operations, launching a new cross-border cooperation strategy with Peru. Under this agreement, Brazilian Federal Police worked with Peruvian police to eradicate 900 hectares of coca fields located on Peruvian soil.⁵⁴

Major challenges remain in South America, most notably with drug production, transshipment, regional coordination, and the destabilizing effects of large TOC groups that promote violence and weaken economic development. High homicide rates across the entire continent average above 20 per 100,000 of population, with some of the highest rates coming from Venezuela, Colombia, and Brazil.⁵⁵ In 2011, a Corporacion Latinobarometro survey of Latin American countries indicated that "crime" was the top concern for a rising number of citizens in the region. From 2002-11, the number of people reporting crime as the most important problem in the region rose from seven percent to almost 30 percent, while the historically high rates of concern over "unemployment" dropped from a high of 30 percent in 2005 to a rate of 16 percent in 2011.⁵⁶



49 World Bank GDP Ranking Table, 2014. Retrieved from: <http://data.worldbank.org/data-catalog/GDP-ranking-table>

50 U.S. Department of State. (2013). 2013 INCSR: Country Reports – Afghanistan through Costa Rica. International Narcotics Control Strategy Report, (Report on Brazil). Retrieved from: <http://www.state.gov/j/inl/rls/nrcrpt/2013/vol1/204048.htm>

51 Ibid.

52 Ibid.

53 Ibid.

54 Ibid.

55 United Nations Office on Drugs and Crime. (2013). Global Study on Homicide. Retrieved from: http://www.unodc.org/documents/gsh/pdfs/2014_GLOBAL_HOMICIDE_BOOK_web.pdf

56 Latinobarometro 2011 Report (as cited in "Crime and Erosion of Trust," Inter-American Development Bank Working Paper Series No. IDB-WP-344, August 2012, Ana Corbacho, Julia Philipp, Mauricio Ruiz-Vega).





V.

U.S. Coast Guard in the Western Hemisphere

Our Mission

The Coast Guard's mission is to ensure the safety, security, and stewardship of the Nation's waters. The concepts of "prevent" and "respond" are central to this mission. Since 1790, the Coast Guard has safeguarded our people, our maritime interests, and our national resources in U.S. ports and inland waterways, along the coast, and on the high seas. The Coast Guard is at all times a military service, a Federal law enforcement agency, and a member of the intelligence community. Although our unique authorities and capabilities take us to every region in the world, the majority of our operations are focused on meeting our responsibilities and addressing threats and challenges within the Western Hemisphere.

Safety: The promotion of maritime safety at sea is a significant component of our mission. Coast Guard Search and Rescue (SAR) and Marine Safety operations protect those on the sea by minimizing the loss of life, injury, and loss of property. The Coast Guard maintains highly efficient incident response and recovery capabilities to effectively minimize the impact of disasters to people, the environment, and the economy. The Coast Guard's response to Hurricane Sandy and Deepwater Horizon are noteworthy examples of this mission focus. The Coast Guard's extensive efforts to prevent maritime accidents are guided by our emphasis and oversight on maritime regulations, inspections, and investigations and the development of global shipping safety standards through the International Maritime Organization. Coast Guard vessel inspections include a focus on both domestic and foreign vessels. At every major U.S. port the Coast Guard Captain of the Port (COTP) has broad legislative authorities to enforce regulations, and institute safety and security zones for the protection and security of vessels, harbors, and waterfront facilities. Coast Guard safety operations will continually adapt to increased energy exploration and production, commercial vessel activity, fishing, transit, and tourism.

Security: Coast Guard drug and migrant interdiction, and ports, waterways and coastal security operations protect the Nation from threats delivered by the sea by detecting, deterring, preventing, and disrupting illicit maritime activities, terrorist attacks and other criminal acts. These operations include antiterrorism, response and recovery operations, and related preparedness activities such as the establishment and oversight of a maritime security regime and maritime domain awareness programs. The Coast Guard's Defense Readiness mission supports National Military Strategy and Department of Defense operations globally. The Coast Guard engages through security cooperation and collaboration efforts in support of the overall U.S. strategic objectives. These engagements align with and support regional initiatives and strategic direction of the Department of State, Department of Homeland Security, and Department of Defense. Criminal and terrorist networks operating in the region, often

with direct nexus to the United States, pose a direct threat to citizen safety in the Nation and throughout the Western Hemisphere. Many of these networked groups use maritime means and exploit widespread corruption, underfunded government security efforts, and the region's role as a global transit zone for illicit movements of people, drugs, and other contraband.

Stewardship: Coast Guard ice operations, aids to navigation, waterways management, marine environmental protection, living marine resources activities, and other law enforcement operations promote a safe, secure, efficient, and environmentally sound waterways system. As maritime regions in the Western Hemisphere continue to experience competition for offshore energy production, fisheries, recreation, and transportation, Coast Guard stewardship efforts will become increasingly important. Safe marine transportation is fundamental to U.S. maritime interests in the region, and the Coast Guard will promote efforts to establish and maintain a Marine Transportation System capable of meeting the safety, security, and environmental protection needs of current and future stakeholders. As the lead Federal agency for oil and hazardous materials incident response in our Nation's coastal zone, the Coast Guard will spearhead efforts for effective response to all environmental threats under the National Oil and Hazardous Substance Contingency Plan.

Our Future

The Coast Guard is committed to ensuring safe, secure, and environmentally responsible maritime activity in the Western Hemisphere. This commitment requires an integrated and coherent strategy that focuses on three specific priorities:

- **Combating Networks**
- **Securing Borders**
- **Safeguarding Commerce**

The Coast Guard will continue to develop a knowledge base, through the development of shared best practices and lessons learned, as a result of exercises and actual events. The Western Hemisphere strategy is informed by national priorities and presidential directives, and implementation is expected to be shaped by future mechanisms as they emerge.

The three strategic priorities draw upon the Coast Guard's strengths as a military, multi-mission, maritime service, leveraging the full extent of our authorities, capabilities and partnerships. It will require flexible operational capabilities and relevant expertise within the international community to achieve an integrated, coherent approach to combat networks, secure borders, and safeguard commerce.

Combating Networks: The Coast Guard will aggressively pursue and target Transnational Organized Crime (TOC) networks in the Western Hemisphere. TOC networks represent a growing and unacceptable threat to the prosperity and security of free nations. TOC networks have expanded their enterprises beyond drug smuggling to include terrorist activities, human smuggling and trafficking, weapons smuggling, environmental crime (to include fisheries crimes), and piracy. The Coast Guard maintains unique capabilities and authorities to detect and engage TOC networks in areas where they are not only unchallenged by other partners, but where they are also most vulnerable to disruption. As the only military law enforcement organization which is a member of the national intelligence community, the Coast Guard bridges traditional authority gaps between military and law enforcement organizations, and maintains persistent presence in areas where other partners are unable to operate. As a uniquely capable national resource, the Coast Guard will engage in an offensive strategy to combat TOC networks. The first objective of this effort focuses on understanding TOC networks and

building stronger networks both within the Coast Guard and with our key partners. Secondly, the Coast Guard will build and improve our capabilities to identify networks and their activities, to include enhancing and focusing intelligence efforts and building key partnerships. Finally, the Coast Guard will target and prosecute TOC networks by strengthening our at-sea interdiction capabilities, building partnerships, and building capacity in our larger partner networks.

Securing Borders: Securing the vast maritime borders of the Nation will be one of the Coast Guard's greatest challenges over the next decade. While the spectrum of border threats will only widen in the next decade, the Coast Guard must adapt to these threats and provide a comprehensive defensive strategy to protect our Nation. In doing so, the Coast Guard will improve overall awareness of threats, prioritize threats based on risk and consequence, and develop the best defensive strategies and capabilities to interdict or deter these threats as far from our shores as possible.

Safeguarding Commerce: Within the Western Hemisphere, the United States faces a challenging array of potential maritime threats to people, cargo, conveyances, and the environment. There is a growing threat from Transnational Organized Crime (TOC), the ever-present threat of terrorism, and an ever-increasing importance of our Maritime Transportation System (MTS) and key national resources. To safeguard the commercial interests of the United States and help ensure secure global commerce, the Coast Guard will focus our strategic efforts on protecting lives at sea, ensuring a safe, secure and resilient MTS, and protecting our natural resources.







VI.

STRATEGIC PRIORITY: Combating Networks

Combating Transnational Organized Crime (TOC) networks is of paramount importance to the national security of the United States. In the recent Strategy to Combat Transnational Organized Crime, the President's guidance directed our national effort to employ "*all elements of national power to protect the citizens and U.S. national security interests from the convergence of 21st century transnational criminal threats.*"⁵⁷

Advancements in technology and communications equipment have allowed TOC networks to expand their illicit enterprises with increased mobility and anonymity.⁵⁸ TOC networks have now evolved to form a "crime-terror-insurgency nexus," with illicit activities that span drug trafficking, terrorism, human smuggling, trafficking in persons and weapons, piracy, environmental crime (including illegal fishery exploitation), intellectual property theft, and cyber-crime.⁵⁹

The expansion and diffusion of TOC networks and their activities has led to a dramatic rise in the impact these networks have on free nations and economies. By one recent estimate, global yearly economic loss to TOC networks in illegal drugs, human trafficking, and illegal fishing (i.e., combined totals of loss with Coast Guard mission relevance) exceeds \$750 billion.⁶⁰ Moreover, these networks represent a significant threat to institutions, governance, U.S. economic competitiveness, and strategic markets.⁶¹

The Coast Guard is a uniquely positioned resource in the coordinated fight against TOC networks in the Western Hemisphere. Leveraging a broad array of authorities and capabilities across diverse maritime missions coupled with a persistent at-sea presence, the Coast Guard is a versatile and critical resource in our Nation's larger battle against TOC networks. The Coast Guard also maintains unique capabilities and authorities to engage TOC networks in areas where they are not only unchallenged by other partners, but where they are also most vulnerable to disruption. Illicit network activities in the maritime domain represent significant threats in many Coast Guard mission areas, but the true impacts of these illicit activities are only beginning to be understood. Over the next decade, the Coast Guard will assume a more offensive posture against TOC networks and seek to understand the diverse impacts these networks have on our security, prosperity and marine environment. To accomplish this goal, the Coast Guard will leverage our extensive authorities, capabilities, dual status as a military service and law enforcement agency, and membership in the U.S. Intelligence Community to help lead and win this fight.

⁵⁷ *The White House. (2011). Strategy to Combat Transnational Organized Crime. Retrieved from: <http://www.whitehouse.gov/administration/eop/nsc/transnational-crime>*

⁵⁸ *Ibid.*

⁵⁹ *Ibid.*

⁶⁰ *Picard, J. (2013). Can We Estimate the Global Scale and Impact of Illicit Trade? In Miklaucic, M. & Brewer, J. (Eds.), Convergence: Illicit Networks and National Security in the Age of Globalization (pp. 37-60). NDU Press.*

⁶¹ *The White House. (2011). Strategy to Combat Transnational Organized Crime. Retrieved from: <http://www.whitehouse.gov/administration/eop/nsc/transnational-crime>*

"Criminal networks are not only expanding their operations, but they are also diversifying their activities, resulting in a convergence of transnational threats that has evolved to become more complex, volatile, and destabilizing. These networks also threaten U.S. interests by forging alliances with corrupt elements of national governments and using the power and influence of those elements to further their criminal activities. In some cases, national governments exploit these relationships to further their interests to the detriment of the United States."

*– President Barack Obama
July 19, 2011*

1. Understanding Networks and Fostering Network Culture

It takes a network to defeat a network. This universally accepted concept in combating TOC networks will guide the Coast Guard's over-arching effort to combat TOC. There are many enablers to effective network strategies, operations, and tactics. They begin with a broad understanding of the nature of networks, and an ability of an organization to mirror the network behavior of its adversaries. Additional critical concepts include: decentralized authority, highly adaptable members and practices, valuing competency above rank, perpetual self-analysis, shared "consciousness," developing partnerships with non-traditional actors, and achieving a national "unity of effort."⁶²

The Coast Guard has a history and culture that promotes many positive network concepts, but the nature of the task ahead requires a continual review of best practices, along with a commitment to adapt culture and behavior. The Coast Guard will not only review network practices and culture internally, but also seek to better understand our larger network team of partners, and actively promote the value of our Service can bring to this collective fight. To this end, the Coast Guard will:

- Explore with DHS partners the feasibility and usefulness of establishing a DHS TOC Network Threat Center of Excellence, to study transnational and homeland security network threat trends beyond current efforts focused primarily on targeting, to include network crime impact analysis, expansion trends, and best practices for combating TOC network threats to the homeland.
- Establish a headquarters division of network activities, to review and implement best practices for network disruptions service-wide, as well as develop policy and an adaptive organizational culture that will directly support our strategic priority of combating networks.
- Establish a TOC Network Innovation Cell at the operational level to directly engage TOC Networks, leveraging enhanced technological and cyber capabilities.
- Foster stronger networks between Coast Guard operations and intelligence personnel by establishing recurring, network-focused forums to discuss best practices and evaluate potential strategic, operational and tactical improvements in operations and intelligence integration.

⁶² Foreign Policy (March/April 2011). *It Takes a Network: The New Front Line of Modern Warfare*. Retrieved from: http://www.foreignpolicy.com/articles/2011/02/22/it_takes_a_network



- Build a stronger, more effective, and more cohesive network of Coast Guard personnel by conducting a full review of relevant internal Coast Guard authorities, administrative procedures, assignment and evaluation policies, as well as training programs to identify potential areas of improvement and opportunities to cultivate a more efficient and effective network culture.
- Coordinate with DOD to understand lessons-learned from recent challenges associated with organizational culture, systems interoperability, policy and process, and balancing network access and control.
- Explore establishing a Federal Advisory Committee, or leverage existing committees, to foster greater understanding of diverse and expanding TOC network activities in the maritime domain and the broader extent of their respective impacts, to continually inform cycles of strategic and resource planning.
- Develop awareness training for Coast Guard personnel in key international and interagency positions to emphasize the importance and impact of network communications, as well as specific reporting criteria for appropriate positions to improve critical information flows.
- Conduct a top-down review, to include a gap and opportunity analysis of key external partnerships, interagency working groups and initiatives, as well as recommendations for critical partnership opportunities abroad. The Coast Guard will explore these gaps and opportunities across every link of the interdiction continuum.
- Research and develop more mature risk models that will better approximate relative loss associated with diverse TOC network activity in the hemisphere, and incorporate outputs in strategic and operational planning cycles to help prioritize efforts and network focus in combating TOC network activity.

2. Identifying Networks

TOC networks in the Western Hemisphere are expansive and diverse, and constitute a growing threat throughout the region's maritime domain. To combat these threats, the Coast Guard will continually strive to identify TOC network actors and activities as they evolve and adapt. This task will require extensive leveraging of national, private, and international partnerships and capabilities, as well as creating new ones, particularly with leading nations in the hemisphere. It will also include enhanced Coast Guard capabilities in intelligence gathering, analysis, sharing, and dissemination. To achieve this, the Coast Guard will:

- Focus Human Intelligence (HUMINT) capabilities by reviewing current authorities, policy and programs for training, preparation, and assignment of Coast Guard personnel to ensure critical intelligence requirements for TOC networks are met.
- Focus Intelligence capabilities by ensuring state-of-the-art approaches and resources are optimally supporting deployed assets and operations, as well as access to national systems and resources within the National Intelligence Community.
- Actively engage in all-source national intelligence collection and information-sharing initiatives focused on identifying TOC networks, such as the interagency Threat Mitigation Working Group initiated by the White House Strategy to Combat Transnational Crime.
- Refine existing intelligence collection plans and collection plan cycles to be more responsive to highly adaptive and evolving threat environment.
- Evaluate the feasibility and usefulness of a Coast Guard - DOD - DOJ - DOS international training team program to increase partner nation capabilities in intelligence collection, analysis, dissemination, and sharing in the Western Hemisphere.
- Improve international networking activities by reviewing current Coast Guard-funded international engagements and overall force footprint (including Coast Guard operational units, international liaison and attaché billets, advisors, etc.) to determine optimal alignment for Western Hemisphere TOC network threats.

3. Targeting and Prosecuting Networks

As a military and law enforcement service with assets, capabilities, authorities, and partnerships throughout the Western Hemisphere, the Coast Guard will aggressively pursue the interdiction of TOC networks, and help lead our national effort in the continual cycle of their prosecution. The Coast Guard will maintain an effective interdiction presence, support ongoing and critical interagency operations, and engage in important international capability and capacity building programs to strengthen our partner nation network. To accomplish these goals, the Coast Guard will:

- Focus the efforts and interagency influence of The Interdiction Committee (TIC) under the Office of National Drug Control Policy on countering TOC through whole-of-government solutions to disrupt and defeat illicit drug networks. The TIC, an existing congressionally mandated forum of regularly assembling Agency Principals focused on countering the flow and gains from illicit narcotics, is also well-suited to apply their efforts against countering other illicit networks associated with its statutory mission. This unique forum of U.S. government interagency senior leaders offers a standing body of advocates and partners who may significantly advance U.S. strategic initiatives within the Western Hemisphere.
 - o Countering the impunity of power currently enjoyed by Transnational Criminal Organizations that benefit from the flow and sale of illicit narcotics is clearly a common priority approach of the majority of TIC members. It is also clear that proceeds from the sale of illicit narcotics are a core enabler of the most dangerous TOC networks that threaten U.S. security interests. As such, the nexus between TIC's focus of denying/disrupting the flow of illicit narcotics and combating

TOC has never been more complementary, and countering these criminal networks has potential to become a prominent feature of National Security Strategy.

- Strengthen Coast Guard interdiction capabilities by seeking legal and diplomatic approval to expand current international bilateral agreements beyond authorities which only apply to suspicion of narcotics smuggling, to include authorities to board vessels suspected of illicit TOC network activity. Review and pursue other measures to strengthen bilateral agreements to include information collection and sharing agreements for obtaining and disseminating biometric data on suspicious actors.
- Maintain an interdiction presence based on the availability of assets to deny TOC networks access to maritime routes and TOC network trafficking activity.
- Evaluate and explore opportunities for deployment of land-based Aerial Use of Force (AUF) assets in the U.S. and transit zone countries.
- Evaluate the potential effectiveness of deploying interdiction assets such as Law Enforcement Detachments (LEDETS) to non-traditional platforms and/or locations with increasing TOC network activity and threats.
- Seek approval and proceed with Coast Guard Support to Interdiction and Prosecution (SIP) program proposal, which will deploy Coast Guard Liaison Officers and Coast Guard Investigative Service Special Agents to transit-zone host countries in Central America to support interdiction and prosecutorial activities of TOC networks.
- Amplify Coast Guard vetting, screening, and targeting efforts with CBP and other interagency partners at DHS's National Targeting Center (NTC), including establishing a maritime cell at NTC-Cargo to identify, analyze, and cue operational and investigative responses to criminal and terrorist exploitation of the MTS and global supply chain.
- Expand the use of biometric tools for deployed units in high TOC network threat areas, to include capabilities for real-time identification of TOC network threats.
- Continue to be a leading partner of joint and interagency operations commands such as Joint Interagency Task Force (JIATF)-South.
- Support interagency and international efforts to combat TOC drug and other trafficking through increased cooperation and coordination, particularly with our justice sector.
- Continue to partner and support important diplomatic aid and security initiatives by DOS and others, including the Central American Regional Security Initiative and the Caribbean Basin Security Initiative, in order to build and sustain maritime security and interdiction capabilities with our Western Hemisphere partner nations.
- Build and expand competencies of partner nation forces and increase readiness of their interdiction assets, through effective programs such as the joint Coast Guard SOUTHCOM Technical Assistance Field Team (TAFT) program, which assists partner nations in the development of proven and sustainable maintenance and logistics schedules for interdiction assets, as well as expert assistance for parts procurement, logistics, and budgeting.
- Expand regional exercise programs such as TRADEWINDS, which includes classroom and at-sea training, practical drills, and scenario-based exercises to increase TOC network interdiction and coordination between partner nations.
- Expand semi-annual, multi-lateral Maritime Interdiction and Prosecution Summit to include Caribbean Basin Security Initiative partner nations, to ensure newly acquired assets and capabilities are optimally used by applicable partner nations.
- Advocate for and inform most efficient use of Excess Defense Articles to maximize partner nation capability and capacity building.





VII.

STRATEGIC PRIORITY: Securing Borders

The mandate to secure our maritime borders represents one of the Coast Guard's greatest challenges over the next decade. The marine areas under U.S. jurisdiction are enormous, covering over 4.5 million square miles of ocean area and 95,000 miles of coastline. The oceans contain vital national resources, and they are the essential conduit for maritime commerce that is critical to the prosperity of our Nation. These same thoroughfares, including coastal zones, are also susceptible to a growing array of transnational security concerns such as terrorism, smuggling and trafficking activity, as well as environmental crime.

In the next 10 years, threats to our maritime borders will increase, along with globalization and population growth which will expand maritime activity. Immigration policy reform and success in strengthening America's land borders could also increase the attractiveness and use of our maritime domain by TOC smuggling networks, terrorists, and other illicit actors. Moreover, changing political, social, and economic factors, coupled with stresses that accompany natural disasters, could increase the probability of mass maritime migrations in ways that are difficult to predict.

The Coast Guard will lead our national effort in securing maritime borders. To do this, the Coast Guard will develop a strategically defensive approach, based upon improving awareness, prioritizing threats, and maintaining an adaptable, defense in-depth interdiction posture. In all layers of this defensive approach, the Coast Guard will leverage partnerships with Federal, State, local, and tribal stakeholders, as well as with our international partners. Moreover, the Coast Guard will identify and acquire new technologies, obtain broader authorities, and ensure our force structure continues successful recapitalization and remains capable of providing adaptive and deployable force packages.

1. Improving Awareness

Meeting the challenges of early detection, information gathering, the recognition of anomalies, and the prioritization of threats, are vital to securing our coastal borders. Maritime Domain Awareness (MDA) is the principle objective of the National Strategy for Maritime Security.⁶³ Effective MDA relies on the collection, fusion, analysis, prioritization, and dissemination of information to the proper decision makers who must then apply the full response spectrum to thwart maritime threats.⁶⁴ In order to overcome border security challenges and improve awareness, the Coast Guard will:

- Support Coast Guard tactical and operational commanders, strategic planners, and decision makers at all levels with improved processes and capacity for intelligence collection, fusion, analysis, and dissemination.

⁶³ *The White House. (2005). The National Strategy for Maritime Security. Retrieved from: <http://georgewbush-whitehouse.archives.gov/homeland/maritime-security.html>*

⁶⁴ *The White House. (2005). National Plan to Achieve Maritime Domain Awareness. Retrieved from: <http://www.dhs.gov/national-plan-achieve-maritime-domain-awareness>*

- Learn from and build upon our success, creating a more robust intelligence presence, including criminal investigations, cyber, counterintelligence, and all-source analytic support to reduce existing intelligence gaps.
- Optimize communication networks, maritime tracking technologies, and other MDA capabilities by expanding and strengthening partnerships internationally; Federal, state, tribal, local, and territorial governments; as well as with academia, industry, and other non-governmental organizations.
- Integrate existing multi-sourced information streams, with emphasis on using available intelligence information more effectively and more efficiently (i.e. not growing collection requirements and intelligence feeds for the sake of gathering more data), to detect patterns and trends in border threat vectors.
- Demonstrate cooperation and partnership with border countries like Canada in the Beyond the Border Working Group (BBWG) to develop, implement, manage, and monitor security initiatives, standards, and practices.
- Support deployment of portable surveillance sensor packages on board Coast Guard assets to contribute to vessel awareness and enhance communications capabilities.

2. Prioritizing Threats

The Coast Guard uses threat-based analysis to focus efforts and resources toward managing critical maritime risks to our borders, no matter where they are. The vastness of the maritime domain, coupled with wide array of adaptive and evolving threats, necessitate the most informed approach possible. Our goal is to better understand the likelihood of events, and based on that understanding, accurately premeditate and shape our response options based on the actual risk those events pose. Embracing cutting-edge technology is crucial to our success in keeping our advantage. To help prioritize threats the Coast Guard will:

- Assess and periodically re-assess the anti-terrorism measures in foreign ports which serve vessels that call on the United States or which are determined to be a risk to international maritime commerce.
 - o Assess compliance with the International Maritime Organization (IMO) International Ship and Port Facility Security (ISPS) Code to determine whether a country maintains effective anti-terrorism measures.
 - o Continue to monitor countries and encourage them to remain in compliance with IMO ISPS Code. Identify countries in the Western Hemisphere that are good capacity building candidates to focus International Port Security (IPS) Program initiatives (e.g., Brazil, Guyana, and Nicaragua).
 - o Invite Western Hemisphere nations to visit the United States and review ISPS Code implementation during reciprocal visits. Work with the Organization of American States (OAS) and the Asia Pacific Economic Cooperation (APEC) in facilitating port security through technical assistance and capacity building engagements.
- Deliver Coast Guard Mobile Education and Training Team (METT) exportable capacity building training to international students in Western Hemisphere countries. Sharing knowledge and awareness with host countries will aid in threat detection, risk mitigation, and intelligence collection for prioritizing threats.

- Use the Technical Assistance Field Team (TAFT) to improve the operational capability of Eastern Caribbean maritime and security forces and expand its reach to include the Central American region or other areas to improve readiness and sustainment of U.S. Government donated vessels in Western Hemisphere regions. These collaborative efforts help increase maritime domain awareness and intelligence efforts to detect priority threats.
- Increase our intelligence capabilities through technologies such as Unmanned Aerial Vehicles (UAVs) and state-of-the-art Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) aboard our National Security Cutters and Offshore Patrol Cutters.
 - o The ability to exploit information on-scene, and exchange secure data via information networks, is a critical capability in the wake of a terrorist attack, a natural disaster, or to successfully interdict drug and human smuggling networks that benefit from increasing sophistication of IT systems.

3. Layered Defense and Effective Interdiction

The National Security Strategy calls for extending security to prevent, detect, and defeat threats as far from our shores as possible. To that end, the Coast Guard employs a combination of operating forces to identify and defeat maritime threats in the inland, coastal, and offshore arenas. Our initial layers of defense begin with programs such as the International Port Security (IPS) Program, which assesses the effectiveness of foreign port security and anti-terrorism measures. On the sea and in the approaches to the Nation, the Coast Guard relies on layered operating elements to conduct effective interdiction of threats. Effective Coast Guard operating elements in each layer are essential to our success, beginning with a robust offshore cutter capability. Our operational forces make up the Maritime Trident of Forces: (1) Maritime Patrol Forces, (2) Shore-based Forces, and (3) Deployable Specialized Forces. These forces are organized, trained, equipped, and are always ready to deploy. The Maritime Trident of Forces, along with our other governmental, law enforcement, and civilian partners, are crucial to our success.

Maritime Patrol Forces

Maritime patrol forces are assets that conduct extended offshore security operations, which include Coast Guard cutters and aircraft. In order to achieve more effective interdiction with maritime patrol forces, the Coast Guard will:

- Ensure cutters and maritime patrol aircraft (MPA) have the latest C4ISR systems to operate in a highly complex, network-centric environment.
 - o These systems must be interoperable with Department of Homeland Security (DHS), Department of Defense (DoD), North Atlantic Treaty Organization (NATO) allies, and Other Government Agencies (OGAs) at the highest levels of security classification.
 - o Ensure cutters and MPA are capable of receiving timely and accurate intelligence, while collecting potentially valuable information or intelligence. Adequately networked assets ensure more timely and effective response to threats, and serve as a vital forward intelligence collection asset for greater MDA. By receiving tactically actionable intelligence from supporting commands and organically collecting information to support their own operations, cutters maximize their situational awareness, expand their range of operational options to interdict adversaries and mitigate threats, and increase the effectiveness and relevance of their patrols. These systems allow cutters and the Nation to detect suspect vessels in the vast ocean and allow for successful interdictions.

Shore-based Forces

Coast Guard shore-based forces enhance our inshore border security via Sector commands and their subordinate units. In order to achieve more effective interdiction with shore-based forces, the Coast Guard will:

- Transition Sector Command Centers to Interagency Operations Centers (IOCs), per a DHS mandate stemming from the Security and Accountability for Every (SAFE) Port Act of 2006. The Coast Guard is tasked with improving multi-agency maritime security operations and enhancing cooperation among partner agencies at 35 U.S. ports.
 - o IOCs help port agencies collaborate for first response, law enforcement, and homeland security operations.
 - o IOCs also help port partners collaborate and jointly plan operations.
 - o Using these relationships and capabilities to more readily acquire and share information will improve intelligence support to shore-based forces:
 - Assignment of resources to meet mission demands;
 - Sharing targeting, intelligence, and scheduling information to improve situational awareness;
 - Uncovering gaps in planned and ongoing operations and reducing duplication of effort between agencies;
 - Developing real-time awareness, evaluating threats, and deploying resources to the right places through active collection of port activity information; and,
 - Minimizing the economic impact of any disruption, whether natural or manmade.

Deployable Specialized Forces

Deployable Specialized Forces (DSFs) are highly proficient teams of both active duty and Reserve members that employ specialized capabilities and Tactics, Techniques, and Procedures (TTP) to conduct a range of operations to achieve mission objectives in support of operational commanders. In order to achieve effective interdiction with DSFs, the Coast Guard will:

- Rapidly mobilize, deploy, and conduct maritime safety and security operations in concert with Coast Guard Shore-based Forces and Maritime Patrol Forces.
 - o Effective interdiction is enhanced by synchronizing DSF with Shore-based Forces and Maritime Patrol Forces, providing the operational commander with the agility, flexibility, capacity, and capability to execute missions effectively across the entire threat spectrum.
- Conduct joint and interagency operations with Department of Homeland Security, Department of Defense, Department of Justice and other interagency partners and forces.
- Deploy DSF aboard the NSCs and OPCs to interdict targets of interest and conduct boardings far from the densely populated and vulnerable U.S. coastline.

4. High Risk Mission Guidance

To better enable operational forces in the performance of their duties, the Coast Guard will develop enhanced use of force policy in the performance of high risk homeland security and homeland defense missions. This policy will include specific guidance for acceptable use of deadly force while performing homeland security and defense functions, as well as criteria, that when met, effectively authorizes operators to engage in activity that has a high probability of causing loss of life or serious bodily injury. In these so-called “no-fail mission” scenarios, the

Coast Guard recognizes that operators will not likely have time to seek approval through their operational commanders for needed action, and must rely on judgment informed by transparent and easily understood policies.

5. Expanding Partnerships

The Coast Guard collaborates and coordinates efforts with numerous Federal, State, and local partners, including key law enforcement agencies as well as our military partners in U.S. Southern Command (SOUTHCOM), U.S. Northern Command (NORTHCOM), and U.S. Special Operations Command (SOCOM). The Coast Guard also works closely with territorial and tribal partners and many foreign governments. The Coast Guard will continue to pursue the expansion of the following partnerships and initiatives:

- The Coast Guard will explore, in coordination with CBP, the use of Federal deputizing authority for State and local law enforcement agencies in key Southern and Maritime Border States, to increase capacity of interdiction and security forces.
- Participate in Border Enforcement Security Task Forces (BESTs), the Defense Enterprise Working (DEW) Group, International Association of Chiefs of Police (IACP), International Criminal Police Organization (INTERPOL), and other multi-agency venues.
 - The Integrated Cross-border Maritime Law Enforcement Operations (ICMLEO) Program is an example of how the Coast Guard is expanding cooperation with partners to secure our borders. ICMLEO is a joint law enforcement effort involving the Coast Guard and the Royal Canadian Mounted Police. It allows specially trained and designated officers to hold cross-border law enforcement authority. Transnational crime is a threat to public safety and national security, as well as a threat to legitimate trade. By establishing seamless operations that integrate law enforcement teams, ICMLEO is an innovative solution to combating and deterring criminal activity on the shared waterways along our borders.
- Develop information exchange protocols for countries where reaching a bilateral agreement is not feasible in order to achieve similar levels of cooperation.
 - Coast Guard is working with the Departments of Justice and State, initiating discussions with El Salvador to negotiate a bilateral agreement or set of exchange protocols between command centers with milestones identified.
- Implement Coast Guard Support to Interdiction and Prosecution Country Teams to visit countries in the Central American drug transit zone to provide a more robust capability and comprehensive approach to transnational interdiction efforts.
- Sponsor a semi-annual Multilateral Maritime Counter Drug Summit focused on strengthening international partnerships and disrupting illicit drug trafficking and associated violence in the transit zone.
- Work with European and African nations to stem trans-Atlantic flow of illicit trafficking into the Western Hemisphere through joint operations with DSF teams deployed on NSCs, OPCs, or U.S. Navy ships.
- Work with other DHS agencies to support the Homeland Security Task Force Puerto Rico to increase law enforcement mission effectiveness against Transnational Criminal Organizations engaged in maritime smuggling activity in Puerto Rico and the U.S. Virgin Islands.



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VIII.

STRATEGIC PRIORITY: Safeguarding Commerce

Our oceans, coasts, navigable waterways, inland rivers, and Great Lakes are among our Nation's most valuable resources. These waterways contain vital natural resources, serve as an integral part of the global highway for the Marine Transportation System (MTS), and support extensive commercial and recreational activities. Safeguarding commerce encompasses a broad set of missions that achieve several ends. Primarily, it ensures the safety of those who use the maritime domain for commercial and recreational endeavors, and helps to preserve the economic security of our Nation. The Coast Guard must also ensure the effective and responsible stewardship of our oceans' resources. By supporting the broad objectives of the prevention-response continuum, the Coast Guard will safeguard commerce in the Western Hemisphere, efficiently channeling limited resources toward a more targeted and effective response posture.

1. Protect Lives

The Coast Guard will apply our unique authorities, capabilities, and competencies in efforts to identify, deter, mitigate, and counter threats to maritime commerce. Commerce cannot be effectively safeguarded without protecting the lives of those who operate within the maritime environment, as unsafe conditions will discourage economic activity and impede commerce. Search and Rescue (SAR), a traditional mission of the Coast Guard, will continue to be a mainstay and core competency. To protect life, the Coast Guard will:

- Continue to sponsor and promote the Automated Mutual-Assistance Vessel Rescue (AMVER) system in order to provide reliable, additional offshore SAR coverage for mariners. Initiatives such as the AMVER program, involvement with the International Maritime Organization (IMO), and working with other coast guards increases the probability of an adequate response to an incident. Initiatives and partnerships such as these help the Coast Guard shape the maritime environment in a way that, while not always preventing incidents, certainly prevents them from becoming disastrous or catastrophic.
- Seek more sophisticated international and national regimes that pursue balancing the needs and rights of individual states while at the same time safeguard the world's shared maritime shipping lanes. Safety-related risk is a continuing issue for marine transportation due to the potential for high consequence impacts of single vessel incidents. Facing these challenges in the maritime domain will necessitate innovative and imaginative approaches, optimizing available enabling authorities and resources.
- Continue programs such as the Commercial Fishing Vessel Safety (CFVS) examination program. Programs such as this work to identify safety discrepancies that may result in a vessel requiring assistance miles from shore. Originally a voluntary program, the Coast

Guard Authorization Act of 2010 made CFVS inspections mandatory in order to increase safety and prevent the loss of life.

- Build upon existing engagement efforts with other responders in exercises and contingency preparedness efforts. Sharing knowledge and best practices with others broadens the spectrum of potential responders, and may diminish the likelihood of an incident occurring.⁶⁵
- Pursue opportunities to export our capabilities for safeguarding ports and waterways throughout the Western Hemisphere as a multi-national resource that can be adapted to support USAID response to catastrophic disasters. The goal is to reconstitute, as quickly as possible, basic port management services and restore basic port functions in affected Western Hemisphere ports.

Moreover, being in the right place at the right time increases the likelihood that responders are also capable of meeting the demands of multiple incidents, since they will be concentrated in the correct place. Focused response efforts, aided by increased detection, reporting, and monitoring technologies, minimize the risk that incidents receive no response.

2. Promote a Safe, Secure, and Resilient Marine Transportation System (MTS)

The modern world relies heavily on the sea for commerce, and that reliance grows stronger with time. Approximately 90 percent of world trade in goods is shipped by sea.⁶⁶ America's maritime interests reach across the oceans where cargoes destined for our ports are loaded. The maritime environment has evolved dramatically over the past few decades, to encompass potential virtual and cyber threats to our MTS infrastructure. As the MTS continues to expand, exploration and extraction activity on the Outer Continental Shelf (OCS) will also increase, necessitating increased awareness of OCS development, ship design technologies and industry innovation. To ensure a safe, secure, and resilient MTS, the Coast Guard will:

- Continue its leadership role, as a port state and flag state, at the International Maritime Organization, and other international forums, in the development of standards that ensure mitigation of risks beyond the U.S. border. These efforts will include the development of standards for the Polar Regions, use of LNG as fuel, air pollution, and expansion of alternative energy sources that will impact the MTS.
- Continue to use and improve Risk-Informed Decision Making (RIDM). The Coast Guard's primary RIDM tool for the ports, waterways, and coastal security programs and operations is the Maritime Security Risk Analysis Model (MSRAM). Closer to our shores, the Coast Guard will use its established marine safety regimes as a solid foundation for overlaying maritime security regimes. Embracing the Coast Guard's robust partnerships, Area Maritime Security Committees, Harbor Safety Committees, Area Committees, and Port Readiness Committees will continue as centerpieces of stakeholder mutual cooperation for establishing and implementing safety regimes, environmental response cooperative engagement, and Area Maritime Security response and recovery protocols and procedures.
- Continue to build interagency partnerships to support and improve the MTS through Coast Guard participation on the U.S. Committee on the Marine Transportation System (CMTS).
- Continue to support the International Port Security Liaison Officer (IPSLO) program. IPSLOs engage in multilateral efforts to improve security procedures, facilitate dialogue and share best practices in order to focus attention on enhanced port security worldwide. The Coast Guard will capitalize on our IPSLO program, seeking to safeguard the MTS by addressing security threats more comprehensively.

⁶⁵ In September of 2012, CGC GALVESTON ISLAND conducted a joint SAR exercise with the Chinese Maritime Safety Administration vessel HAIXUN-31 near Honolulu, HI. During this exercise, all aspects of SAR case prosecution were conducted. Rehearsing response techniques and working with partners before a crisis emerges prevents problems, should the need to work together in a genuine emergency arise.

⁶⁶ International Maritime Organization. (March 6, 2012). *International Shipping Facts and Figures-Information Resources on Trade, Safety, Security, Environment*. Retrieved from: <http://www.imo.org/KnowledgeCentre/ShipsAndShippingFactsAndFigures/TheRoleandImportanceofInternationalShipping/Documents/International%20Shipping%20-%20Facts%20and%20Figures.pdf>



- Continue and promote important international collaborative engagement forums, such as the U.S. Coast Guard-Canadian Coast Guard Annual Summit, to promote shared interests in a safe, secure, and resilient MTS.
- Consider measures to manage maritime risk systemically and develop programs to stress-test entities seeking to engage in higher risk maritime activities such as energy exploration and drilling in the OCS.
- Collaborate on the development of vessel routing measures and aids to navigation (ATON) to support future capacity of the MTS. Port Access Route Studies (PARS) and marine planning will be employed to support these efforts and new activities.
- Monitor developments and evolving risk to the MTS and global supply chain. Consistent with enabling authorities and available resources, the Coast Guard will explore future or expanded roles, missions, and activities to support resiliency and capacity building in the global supply chain.
- Apply the Customs and Border Protection and U.S. Coast Guard Joint Protocols for the Expeditious Recovery of Trade as needed to support national-level stakeholder coordination and sharing of recovery, carrier, and trade information.
- In conjunction with Department of State (DOS), Department of Defense (DOD), Department of Homeland Security (DHS), and other relevant partners, conduct capacity-building in nations where ineffective anti-terrorism measures exist or threaten to exist. Capacity-building should be focused on identified gaps in port security Maritime Domain Awareness (MDA), Operations, and Regimes. Capacity-building effectiveness should be measurable and show improvements.
- In 2015, begin development of a Coast Guard strategy for climate change which will address associated strategic challenges and impacts on Coast Guard and MTS infrastructure.

3. Preserve the Marine Environment

Restoration and conservation of our ocean, coastal, inland rivers, and Great Lakes ecosystems are crucial to sustaining products and services upon which our Nation's maritime commerce and other marine-related activities depend. As stewards of the marine environment, the Coast Guard will:

- Explore ways to increase the effectiveness of the enforcement and application of regulations and laws designed to preserve the marine environment. The Coast Guard is the Federal On-Scene Coordinator in the coastal zone where applicable, under the auspices of the National Oil and Hazardous Substance Pollution Contingency Plan (NCP), 40 CFR Part 300. The Coast Guard will also work with partner agencies to improve coordination of response efforts to environmental incidents. Additionally, the Coast Guard will engage in education and outreach initiatives to increase the capacity to respond, while also improving awareness of hazards and identification of threats to prevent future incidents.
- Continue our efforts as a leader and participant in international, regional, and local partnerships that promote marine environmental protection and preservation.
- Reduce and mitigate ecosystem impacts from air emissions and other pollution from vessels including exhaust, vessel discharges, marine debris from ships, oil spills, and invasive species introductions from ship hulls and ballast water.
- Preserve our environmental resources and promote sustainable development by enforcing pollution prevention laws and regulations, effectively managing living marine resources and maintaining a robust vessel inspection program.
- Continue to support the full implementation of the National Ocean Policy.
- Lead contingency exercises that integrate multiple agencies, stakeholders, and observers to enhance the Coast Guard's ability to respond in a timely and effective manner to actual incidents. By incorporating best practices and lessons-learned into response plans, the Coast Guard can achieve a more economic use of available response resources that will ensure the service's ability to sustain a response to a single significant event or surge to respond to multiple simultaneous events.
- Continue to partner with various other government agencies (OGAs) at the local, State, and Federal level, non-governmental organizations (NGOs), and commercial stakeholders to preserve fisheries resources. In 1992, the Coast Guard conducted an in-depth study and determined that the establishment of regional fisheries training centers was required in order to effectively train enforcement personnel. These training centers prepare personnel to enforce Fisheries Management Plans that are developed by regional Fisheries Management Councils, each of which have a non-voting Coast Guard member. The Coast Guard is responsible for enforcing regulations at sea, in conjunction with NOAA Fisheries enforcement ashore.
- Continue vital partnerships to protect marine mammals and endangered species under the Marine Mammal Protection Act (MMPA) and Endangered Species Act (ESA), respectively. By promoting the conservation of these resources, the Coast Guard preserves the existing ecosystem, thus ensuring the availability of resources in the future.
- Continue to work with the Department of State (DOS) to develop and enforce international fisheries agreements. Most notably, the Coast Guard enforces the United Nations High Seas Driftnet Moratorium in the North Pacific. This Convention is designed to protect marine species from indiscriminate harvest by large nets that are often set and left unattended for days.⁶⁷

⁶⁷ In August of 2012, CGC RUSH (WHEC-723) interdicted a Chinese fishing vessel suspected of driftnet fishing during a patrol of the driftnet threat area, which extends from the western part of the Western Hemisphere into the Eastern Hemisphere of the North Pacific Ocean.

4. Build and Share Incident Management Expertise

Proficient and expert incident management is critical to the effective application of the prevention-response continuum in the effort to safeguard commerce. The Coast Guard has demonstrated the ability to quickly and effectively respond to an incident (for a prolonged period, if necessary) for many years. The Coast Guard will share this core competency with other organizations, states, and stakeholders to build capacity for better coordinated responses at all levels. To this end, the Coast Guard will:

- Increase efforts to enhance its preparedness reach while at the same time sharing response skills with others. Personnel from the Office of Crisis and Contingency Management and Exercise have already taught Incident Command System (ICS) training programs in countries such as Brazil. These training programs improve the preparedness of responders. As responders become more proficient, they also identify gaps in the status quo that may lead to problems. Correction of these gaps assists in prevention of incidents.
- Continue to deploy Maritime Transportation System Recovery Units (MTSRUs) as needed. In 2006, the Coast Guard created MTSRUs to meet a requirement of the 2002 United States Maritime Transportation Security Act (MTSA). MTSRUs have been dispatched several times to assist in coordinating the response to incidents that affect maritime commerce. When a 7.0 magnitude earthquake devastated Haiti in January 2010, the Coast Guard was the first U.S. Federal agency on scene with air and surface assets deployed from bases in the southeastern United States and Puerto Rico. Over 800 Coast Guard men and women were involved in response and humanitarian relief efforts, including the evacuation of injured personnel, delivery of supplies, assessment of port facilities, and the recovery of port operations.
- Continue to support and improve incident response through use of offshore Coast Guard assets and enhanced capabilities. This may include the use of Coast Guard platforms to provide self-contained incident command posts, performing command and control functions for incident management in coastal ports and inland waterways, and providing self-supporting coordination centers for reconstitution of port and waterways management systems. Some of these capabilities were demonstrated during the response to the 2010 Haiti Earthquake, during which Coast Guard assets provided command, control, and coordination while simultaneously helping lead international response efforts to ensure the efficient flow of relief supplies and the safe restoration of critical maritime services.
- Use mutual agreements with international partners, such as Canada and Mexico, to share contingency preparedness and planning expertise to improve transparency and coordination during multinational responses.
- Share our incident management expertise domestically through partnerships with other Federal agencies, States, tribes, local government, and stakeholders. By improving the Nation's domestic capacity to mitigate these threats through effective, competent, and confident incident management, we will not only increase our ability to respond to multiple contingencies at home, but we will also increase capacity to support contingency response beyond our borders.





IX.

Ensuring Long-Term Success

Independent of the three strategic priorities, several additional concepts and imperatives are vital to ensuring the Coast Guard's long-term success in the Western Hemisphere:

Promote DHS Unity of Effort: DHS is taking a major leadership role in addressing the evolving threats in the Western Hemisphere. Climate change, the rise of TOC networks, and border security challenges, including those resulting from environmental refugees, will necessitate a more coordinated and efficient approach of partner agencies in the next decade. The Coast Guard will leverage established partnerships with other DHS components including U.S. Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), and the Federal Emergency Management Agency (FEMA) to bring a unified effort to the front lines. By working together and capitalizing on the unique authorities and capabilities of partner agencies, the Coast Guard, CBP, ICE, and FEMA will meet evolving responsibilities with efficiency and efficacy. Ultimately, unity of effort, situational awareness, integration, and synchronization of planning will be essential at every level of coordination across the homeland security enterprise.

Leveraging Federal Partnerships: The Departments of State (DOS), Defense (DOD), and Justice (DOJ) in particular bring distinct authorities and capabilities that serve as force multipliers for the Coast Guard in the Western Hemisphere. The Coast Guard will continue to collaborate and team with U.S. Southern Command, U.S. Northern Command, and U.S. Special Operations Command to increase awareness of threats, build competencies of partner nations by maintaining and expanding international training and exercise programs, and synergize strategies and operations for identifying and interdicting threats through established task forces. The Coast Guard will also seek to expand partnerships with DOJ, recognizing the significant impact of prosecutorial efforts in the battle against TOC networks, as realized through successful efforts in "Panama Express" interdiction and extradition efforts. Additionally, the Coast Guard will build upon and leverage DOS coordination with important regional security initiatives such as the Caribbean Basin Security Initiative, and look to expand international agreements and the resultant authorities to better enable Coast Guard forces to identify and interdict threats in high risk areas, particularly with leaders in the hemisphere, such as Mexico, Colombia and Brazil.

Criticality of Offshore Presence: An offshore cutter capability that maintains operational and persistent presence across the high risk areas of the Western Hemisphere is essential; as is networked access to the most sensitive and actionable intelligence. Presence in these offshore areas will also increase intelligence gathering and support intelligence analysis of major maritime threats. This active offshore presence will maximize opportunities for combating TOC network activity in all major transit zones, within the EEZ, and along U.S. shores. The offshore cutter capability in particular allows the Coast Guard to engage TOCs where other partners cannot, in areas where they are most vulnerable.

In its 1999 report, the Interagency Task Force on U.S. Coast Guard Roles and Missions verified the need for the Coast Guard to operate surface assets far offshore, with substantial endurance and capability to surveil, detect, classify, identify, and prosecute national interest on vessels. The report recommended that the Coast Guard maintain capabilities that can only be provided by legacy High Endurance Cutters or new National Security Cutters (NSC). The Quadrennial Homeland Security Bottom-Up Review validated mission sets for which the NSC is uniquely capable of carrying out.

The Concept of Layered Defense: A well-planned, defense-in-depth strategy deploys forces in mutually supportive layers based on asset endurance and capabilities. The Coast Guard's major cutter fleet attempts to meet its nationally mandated mission sets by projecting high-endurance NSC's into the major interdiction transit corridors, by complementing these forces with medium-endurance Offshore Patrol Cutters (OPC) cutters in the U.S. EEZ, and by providing a final back-stop of Fast Response Cutters (FRC), land-based helicopters, and local law enforcement assets closer to U.S. shores. These layered assets maximize opportunities for interdiction of threats to the homeland, including the smuggling of drugs and migrants, as well as terrorists, illegal weapons, and WMD weapons/materials. Each layer in the defense construct is critical to securing our maritime borders.

NSCs and OPCs -- Unique Roles in a Layered Defense: For all required mission sets, the NSC and OPC can uniquely project the Coast Guard's main batteries – law enforcement teams, rescue services, and ship-based aircraft – far offshore into areas where the Coast Guard would not otherwise be able to establish and maintain an effective presence. This outer layer of defense can only be accomplished with the NSC's and OPC's unique operational capabilities.

There are four primary, persistent-presence mission requirements for which the NSC and OPC are uniquely qualified:

- High seas, counter-drug interdictions in the long range Eastern Pacific (e.g., USCGC BERTHOLF's recent Eastern Pacific patrol which included the interdiction of 12,400 kilograms of cocaine valued at nearly \$400 million, destined for the United States).
- NSCs serve as a unique instrument of the National Military Strategy in Geographic Combatant Command Theater Campaign Plans. These Coast Guard cutters are able to project "soft power" in theaters that the Combatant Commanders may not desire to leverage the power of a major combatant (e.g., USCGC DALLAS's diplomatic deployment to the Republic of Georgia during the buildup of conflict with Russia in 2008).
- Patrolling the North Pacific Maritime Boundary Line, providing enforcement to protect the largest biomass in the world, and uniquely supporting critical Search and Rescue coverage in the harsh Bering Sea climate (e.g., USCGC MUNRO's rescue of 42 persons during the sinking of the fishing vessel Alaska Ranger in the Bering Sea in 2009).
- Enabling the Coast Guard's Deployable Specialized Forces to conduct counterterrorism operations by interdicting targets of interest and conducting boardings far from the densely populated United States coastline (e.g., USCGC HARRIET LANE supported by Maritime Safety and Security Team Boston interdicted the M/V WARM SEAS VOYAGER over 150 NM from the coast of North Carolina in 2006).

NSC for Long Range Security and Interdiction, as well as mobile Command and Control:

- The NSC's speed, endurance, sensors and aviation/small boat interdiction capabilities are keys to success in the transit zones off the coast of South America and in the Pacific allowing the Coast Guard to focus on the departure and choke points which offer the best probability of detection and seizure.
- The NSC capabilities, in combination with the Coast Guard's access to the international littorals, is a powerful instrument of international partnerships and border security unique to the Coast Guard.



- Sea-keeping, range, and on scene endurance make the NSC ideal for conducting operations in the harsh conditions of the Western Pacific and Bering Sea EEZ to protect U.S. resources, preserving billions of dollars annually while providing a robust Search and Rescue platform.
- NSCs provide global access to the ports of U.S. trading partners and developing nations necessary to conduct overseas contingency operations such as humanitarian assistance/disaster response.
- The NSC directly supports the CG statutory responsibility to perform the defense readiness mission and provide the only dual law enforcement/military layer to our homeland security/defense operations.

System of Immigration and Citizenship: The safety, security, and environmental stewardship of U.S. waters require equitable and efficient systems of immigration and citizenship. As a lead federal agency for maritime law enforcement, the Coast Guard prioritizes secure borders that protect our nation from those who seek to enter illegally. This endeavor presupposes a healthy system of immigration that reinforces the integrity of our maritime borders. Tools such as enhanced infrastructure, technology, and increased surveillance are necessary to secure U.S. borders from criminal or terrorist action. People living in the shadows of our nation are good for neither the economy nor our security. A future where fewer individuals attempt to cross into the United States illegally will not only help to ensure secure borders, but also generate economic growth and prosperity in a manner that is equitable for those who are in the United States legally. Such an immigration system will also strengthen our ability to apprehend and prosecute threats to our national security, while at the same time allowing for a streamlined, legal immigration process that creates a path to earned citizenship. Coast Guard support for a common-sense system of immigration and citizenship will help to ensure the United States lives up to its heritage as a nation of laws, as well as a nation of immigrants.

Accession to the Law of the Sea Convention: Adopted in 1982 and substantially modified by the 1994 Agreement relating to the deep seabed mining provisions, the 1982 Convention on the Law of the Sea (Convention) sets forth a comprehensive legal framework for activities on and in the sea, the seabed, and its subsoil as well as the protection of the marine environment and its natural and cultural resources. The Convention advances a broad range of U.S. interests, including critical freedom of navigation and overflight provisions and protection of offshore resources. Joining the Convention and protecting U.S. maritime interests are complementary actions. U.S. accession to the Convention would strengthen, enhance, and facilitate the Coast Guard's ability to protect those on the sea, protect the Nation from threats by the sea, and protect the sea itself. The Coast Guard remains committed to this legal framework and will continue to advocate for joining the Convention.

Emphasis on Intelligence: Intelligence must inform commanders and other decision makers by providing knowledge about adversaries and threats in the maritime and cyber domains. Recognizing the importance of good intelligence for everything we do, the Coast Guard will put increased emphasis on ensuring the integration of its intelligence and operations in the Western Hemisphere, and will continue to improve upon the following key attributes:

Mission Planning and Execution Support: Intelligence informs decision making by providing accurate, timely, relevant, and actionable knowledge about adversaries, threats, and the surrounding environment. Intelligence enables Coast Guard commanders to anticipate operations, visualize the maritime domain, and influence the outcome of operations by flowing coordinated, integrated, requirements-based information to those in positions to take action.



Detailed Understanding of Maritime Threats and Hazards: Coast Guard Intelligence specialists will use their broad understanding of maritime operations to identify anomalous activity which may reveal a broad range of threats to national security. Such threats include extremist use of the maritime domain, transportation of banned cargoes (including WMD or dual use technology), illegal criminal activity, and emerging natural and man-made hazardous conditions.

Situational Awareness: Provide graphic-rich, organized, and accurate information from public, private, governmental, and foreign sources. Provide decision makers timely and actionable warning of maritime threats, hazards, and potential disruptions.

Policy-making: Develop products that support policymaker efforts to prevent and deter adversaries, improve maritime system resiliency, and better prepare the Nation to recover following natural or man-made disasters.

Integration of Intelligence Activities with Operations: Integration will enable Coast Guard Intelligence to support operational commanders and execute intelligence operations in support of other U.S. priorities. Coast Guard intelligence specialists will systematically collaborate with other U.S. Government and foreign mission partners to detect and respond to threats within the maritime domain. Effective integration into Coast Guard operational activities is marked by:

Deployed Intelligence Capabilities: Collectors and analysts will be deployed within operational settings to the point of decision as part of an integrated enterprise approach.

Relationship-Building and Trust: Coast Guard intelligence personnel will conduct activities that establish and maintain trusted relationships with policy-makers and field operators. These relationships will lead to more effective decision-making.

Shared Operational and Intelligence Information: Coast Guard-derived information will be systematically shared with foreign governments, Federal civil agencies, and State, local, tribal, and private-sector partners using appropriate agreements and efficient dissemination systems.

Monitoring of Time-Sensitive Targets: Resources will be coordinated to sustain multi-discipline, high-fidelity collection on, and analysis of, time-sensitive targets.

A Comprehensive and Integrated Cyber Program: The Coast Guard will develop more focused lines of effort and broader capabilities that are informed by a comprehensive cyber strategy. The strategy will more clearly define roles and responsibilities of Coast Guard programs and future initiatives in the context of lead and partner agency guidance outlined in governing strategies such as the National Strategy to Secure Cyberspace and the National Infrastructure Protection Plan (NIPP). The strategic effort will provide a clear framework ensuring effective Coast Guard network defense, protection of maritime cyber infrastructures in the public and private sectors, as well as appropriate programs and capabilities that will enhance operational effectiveness in meeting our strategic priorities.

Force Planning Construct: Some of the most complicated operational decisions involve long-range deployment of Coast Guard personnel and resources to major surge operations such as hurricanes or oil spills. The Coast Guard must adequately plan and resource for a broad array of contingencies and appropriate levels of staffing. The Coast Guard will prepare to address future risks by ensuring the capability and capacity to respond simultaneously to (a) one nationally significant response operation, (b) one regional surge operation in every district, and (c) steady-state response operations locally. This effort will require policy support, extensive historical analysis, and detailed force planning to articulate service needs.





X.

Conclusion

The United States relies on the Coast Guard to serve as a premier service for maritime safety, security, and stewardship. Social and economic drivers continue to broaden public dependence on the maritime domain. Indeed, the oceans and waterways are critical pathways for economic growth, opportunity, and prosperity. With increasing dependence on the Maritime Transportation System comes increasing activity and a commensurate increase in risk. Global thoroughfares provide easy transport of threats directly to our borders. Safe, secure, and environmentally sound transportation systems within the Western Hemisphere are essential to eliminate these threats.

The Coast Guard is critical to ensuring the maritime domain in the Western Hemisphere is safe, secure and efficient. As such, the Coast Guard will modernize its focus to a globalized, macro approach to ensure we are always ready to operate within the Western Hemisphere. Our success can no longer be measured solely by traditional means. Drug seizures, safety violations, or even numbers of lives saved will never convey the Coast Guard's full value to our Nation. Indeed, these measures fall short of what the Coast Guard must accomplish in the coming decade; *a Secure Nation, Prosperous Markets, and Thriving Oceans*. Using this as our lens for success, the Coast Guard will work strategically and purposefully to remove barriers and fortify our offensive and defensive postures to protect our national interests.

This strategy aims to prioritize our operational focus regionally in order to address emerging and evolving threats, while striking a balance between commerce, security, and constitutional liberties. To these ends, this document establishes the Coast Guard's service strategy for operations within the Western Hemisphere, and to support decisional allocation of limited resources. The strategy creates a 10-year framework that outlines the Coast Guard's vision for the future; establishes strategic priorities of *Combating Networks; Securing Borders, and Safeguarding Commerce*; and identifies other tenets needed to ensure long-term success.

The next steps will be to implement the three strategic priorities by developing the competencies, capabilities, and partnerships needed to achieve them. The Coast Guard will face challenges directly to ensure that it fully realizes growing opportunities and mitigates overt and discreet threats to our Nation. However, the Coast Guard cannot successfully implement this strategy alone. Rather, the service will seek to develop new domestic and international partnerships and strengthen existing ones to help realize its vision:

“Ensuring a Secure Nation, Prosperous Markets, and Thriving Oceans.”



Appendix I

Glossary of Select Institutions, Organizations, and Agreements

Andean Community (AC) – The Andean Community is a customs union consisting of current members Bolivia, Colombia, Ecuador, and Peru; Associate members Argentina, Brazil, Chile, Paraguay and Uruguay; and observers Mexico, Panama, and Spain. The AC began in 1969 when five South American nations signed the Cartagena Agreement in order to jointly improve their citizens' standard of living through integration and economic and social cooperation. Today the AC seeks to guide efforts through the following areas of action: social and political; the environment; external relations; economics and trade; and institutional.

Association of Caribbean States (ACS) - The Association of Caribbean States is a union of nations centered around the Caribbean Basin. It is comprised of twenty-five member states and four associate members and was established on July 24, 1994. The ACS was formed with the goal of promoting consultation, cooperation, and concerted action among all nations of the Caribbean. Its framework provides a forum for political dialogue and allows members to identify areas of common interest or concern. The ACS has identified five areas of attention for the Association, which include: preservation and conservation of the Caribbean Sea; develop greater trade between nations; enhance transportation; develop sustainable tourism; and facilitate greater and more effective responses to local natural disasters.

Beyond the Border Initiative – The Beyond the Border Initiative promotes a shared approach to security in which the U.S. and Canada work together to address threats while expediting lawful trade and travel. An accompanying Action Plan established joint priorities for achieving a new long-term security partnership: addressing threats early; promoting trade facilitation, economic growth and jobs; strengthening cross-border law enforcement; and, protecting shared critical infrastructure, including enhancing continental and global cybersecurity. The Beyond the Border joint declaration was announced by President Obama and Prime Minister Harper on February 4, 2011.

Caribbean Basin Security Initiative (CBSI) – The Caribbean Basin Security Initiative is a U.S. security strategy that promotes citizen safety throughout the Western Hemisphere in cooperation with international partners. Members of the Caribbean Community (CARICOM) and the Dominican Republic have collaborated as partners in this initiative. Core objectives identified by initiative participants include the reduction of illicit trafficking, an increase in public safety and security, and the promotion of social justice.

Caribbean Community (CARICOM) - The Caribbean Community is an organization of 15 Caribbean nations and dependencies with Guyana serving as the Secretariat headquarters. CARICOM's three main roles are to promote economic integration and cooperation among its members, ensure the benefits of integration are equitably shared, and coordinate foreign policy. It fulfills these roles through the coordination of economic policies and development planning; devising and instituting special projects for the less-developed countries within its jurisdiction; operating as a regional single market for many of its members; and handling regional trade disputes.

Central America Free Trade Agreement-The Dominican Republic (CAFTA-DR) – The Central America Free Trade Agreement-The Dominican Republic was originally an agreement between the United States and the Central American countries of Costa Rica, El Salvador, Guatemala, Honduras, and Nicaragua. The Dominican Republic joined in 2004 and the agreement was renamed CAFTA-DR. The primary goal of the agreement is the creation of a free trade area, similar to the concept found under NAFTA, and the reduction of tariffs.

Central American Integration System (SICA) – The Central American Integration System is the institutional framework of regional integration in Central America, established by the signing of the Tegucigalpa Protocol on December 13, 1991. The Protocol was duly registered with the United Nations and as a result was widely support by the UN General Assembly. The dual registration of the Protocol also allows SICA's regional bodies and institutions to interact with the United Nations System. SICA was created by Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama. The Dominican Republic is involved as an Associated State while Mexico, Chile, Brazil, Argentina, Peru, and the United States take part as Regional Observers. Other countries participate as Extra Regional Observers. The headquarters of SICA's General Secretariat are located in El Salvador.

Central American Regional Security Initiative (CARSI) – The Central American Regional Security Initiative was created to respond to the threat of deteriorating security situations in Central America and its resulting impacts on citizen safety. CARSI operates in coordination with other nations, financial institutions, the private sector, civil society, and the Central American Integration System (SICA). CARSI's primary goals include the provision of safe streets, disruption of criminal activity within and between Central American nations, the support of strong and

accountable governments, an established security presence in at-risk communities, and the fostering of enhanced levels of coordination and cooperation among neighboring regions and international partners to combat security threats. Since 2008, the U.S. has provided \$496 million in CARSI assistance to Central American countries.

Force Planning Construct – The term Force Planning Construct relates to the full spectrum of capabilities that the Coast Guard will need in order to accomplish its missions now and in the future, i.e., the people, equipment, supply, training, information and infrastructure. Force planning also requires that decisions be made about the aggregate capacity of the force: that is, how many operations should the force be able to accomplish simultaneously if called upon, and what type of operations could be necessary. This force-sizing and force-shaping construct is a key part of strategy that provides a method by which to gauge the sufficiency of current and future forces. It is informed by the needs of our nation, assessments of threats and challenges that could confront us, the capability requirements of the force, and a sense of the overall level of resources that may be available and appropriate for the defense of the nation and its interests.

International Maritime Organization (IMO) – The International Maritime Organization was established in Geneva in 1948, and came into force 10 years later, meeting for the first time in 1959. Headquartered in London, the IMO is a specialized agency of the United Nations with 170 member states, three Associate Members, several indigenous groups, and observers. The IMO’s primary purpose is to develop a comprehensive regulatory framework for shipping. It focuses on marine safety, environmental concerns, legal matters, technical cooperation, maritime security, and the efficiency of global shipping.

Mercosur – Mercosur is an economic and political agreement among Argentina, Brazil, Paraguay, Uruguay, and Venezuela. It is a full customs union that promotes free trade and the fluid movement of goods, people, and currency. Examples of Mercosur efforts include the elimination of customs rights and lifting of nontariff restrictions on goods or services among member states and the coordination of macroeconomic and sectorial policies of member states relating to, among other things, foreign trade, industry, taxes, and exchange rates to ensure free competition.

National Security Strategy of 2010 – The Goldwater-Nichols Department of Defense Reorganization Act of 1986 directs each Administration to develop a National Security Strategy for a “common understanding” of the strategic environment and the Administration’s intent. President Obama issued the latest National Security Strategy on May 26, 2010. The document advocated increased engagement with the Russian Federation, China, and India. It identifies nuclear non-proliferation and climate change as priorities.

North Atlantic Free Trade Agreement (NAFTA) – The North Atlantic Free Trade Agreement is an agreement signed by Canada, Mexico, and the United States to eliminate barriers to trade and investment among all three nations, including import and export tariffs. NAFTA entered into force on January 1, 1994.

Organization of American States (OAS) – The Organization of American States is a regional organization founded on April 30, 1948 to further regional solidarity and cooperation among its member states. The OAS is composed of 35 independent states of the Americas and is headquartered in Washington, D.C. Since the end of the Cold War, and a resurgence of democracy to Latin America, the OAS has sought to reinvent its purpose with a more modern set of organizational priorities including: strengthening democracy, working for peace, defending human rights, fostering free trade, fighting the drug trade, and promoting sustainable development.

Partnership for Prosperity and Security in the Caribbean - The Partnership for Prosperity and Security in the Caribbean, also known as the “Bridgetown Accord,” is a regional-level dialogue with the stated purpose of providing greater cooperation on security and economic issues. Specifically, the Partnership focuses its efforts in the areas of trade, development, finance, the environment, justice, and security. Partners agree to support the Free Trade Area of the Americas and the goals of the World Trade Organization as well as assist in trans-regional illegal drug interdiction in cooperation with the United States. The Partnership was founded in Bridgetown, Barbados on March 10, 1997 by the United States, Antigua and Barbuda, the Bahamas, Barbados, Belize, Dominica, the Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Suriname, and Trinidad and Tobago.

Plan Colombia - Plan Colombia and its follow on programs such as the Colombian Strategic Development Initiative (CSDI) refers to the U.S. support of Colombia’s efforts to increase its security and counternarcotics capabilities. Recognizing that terrorism and illicit trade in Colombia are linked, the U.S. granted the Colombian government financial support that assisted in the reduction of violence throughout the country by illegally armed groups. Decreases in homicides, kidnappings, terrorist attacks, and attacks on infrastructure were also documented. Support has continued with socio-economic and humanitarian assistance to improve the livelihoods of the most vulnerable Colombian populations. Through U.S.-Colombia assistance programs such as CSDI, the Colombian Government plans to permanently recover the country’s rural areas from illegal armed groups and break historical cycles of violence.

Regional Fishery Management Organization (RFMO)

– A Regional Fisheries Management Organization is an international organization dedicated to the sustainable management of fishery resources in a particular region of international waters and/or of highly migratory species. An RFMO may focus on conservation of certain species of fish (e.g., tuna in the Atlantic) or of all fish stocks in a region (e.g., the Commission for the Conservation of Antarctica Marine Living Resources).

Strategy to Combat Transnational Organized Crime –

The Strategy to Combat Transnational Organized Crime was signed by President Obama on July 19, 2011. The Strategy is organized around a single unifying principle: to build, balance, and integrate the tools of American power to combat transnational organized crime (TOC) and related threats to national security and to urge foreign partners to do the same. The end goal is to reduce TOC from a national security threat to a manageable public safety problem in the United States and in strategic regions around the world through priority actions in several key areas. It begins by establishing what actions the U.S. can take to lessen the threat and impact of TOC domestically and internationally. Other priority actions include enhancing intelligence and information sharing; protecting the financial system and strategic markets against TOC; strengthening interdiction, investigations, and prosecutions; disrupting drug trafficking and its facilitation of other transnational threats; and, building international capacity, cooperation, and partnerships.

Third Border Initiative – The Third Border Initiative is a reference to the Caribbean region’s adjacent placement to the U.S. or the ideology that besides Mexico and Canada, the Caribbean region is a third sea based border of the U.S. The concept of a Third Border Initiative has led to efforts consisting of targeted packages of programs designed to enhance diplomatic, economic, health, education and law enforcement cooperation and collaboration. The term became popular during the Administration of President George W. Bush.

Union of South American Nations (UNASUR) -

The Union of South American Nations is an intergovernmental union attempting to promote regional integration on issues including democracy, education, energy, environment, infrastructure, security, and the elimination of social inequality and exclusions. In a continuing process of South American integration, UNASUR has united two existing trade groups – Mercosur and the Andean Community. The Treaty establishing UNASUR was signed on May 23, 2008 and entered into force with full legality on March 11, 2011. It was inspired and modeled after the European Union. Twelve countries are currently members of UNASUR and the General Secretariat is headquartered in Ecuador.

U.S. Coast Guard Strategy for Maritime Safety, Security, and Stewardship

– This document, promulgated by the Commandant of the Coast Guard on January 19, 2007, describes how the Coast Guard will work to safeguard the Nation against all threats, hazards, and challenges in the maritime domain, today and in the future. It discusses the Coast Guard’s enduring roles, future challenges and threats, and a systems approach for improving maritime governance. The Strategy then presents strategic priorities that build on the Coast Guard’s value proposition to the nation.

Western Hemisphere Travel Initiative (WHTI)

– The Western Hemisphere Travel Initiative is a law requiring all travelers to show a valid passport or other approved secure document when traveling to the U.S. from areas within the Western Hemisphere. The purpose is to strengthen border security and facilitate entry into the U.S. for legitimate U.S. citizens and foreign visitors. The WHTI is an outcome of the Intelligence Reform and Terrorism Prevention Act signed by President George W. Bush in 2004.

World Trade Organization (WTO)

– The World Trade Organization is an international organization established to supervise and liberalize world trade and as a result enhance economic welfare and reduce political tensions. It’s the successor to the General Agreement on Tariffs and Trade (GATT), created in 1947. Although the GATT was remarkably successful over several decades, calls were eventually made for a stronger multinational organization to monitor trade and resolve trade disputes. The WTO began operations on January 1, 1995 and functions with six key objectives: (1) to set and enforce rules for international trade, (2) to provide a forum for negotiating and monitoring further trade liberalization, (3) to resolve trade disputes, (4) to increase the transparency of decision-making processes, (5) to cooperate with other major international economic institutions involved in global economic management, and (6) to help developing countries benefit fully from the global trading system.

1982 Convention on the Law of the Sea

– The Convention is the international agreement negotiated under the auspices of the third United Nations Conference on the Law of the Sea from 1973 through 1982. The Convention defines the rights and responsibilities of nations in their use of the world’s ocean and coastal regions, establishing guidelines for commercial users, the environment, and the management of marine natural resources. The Convention replaced the four 1958 “Geneva Conventions” on different legal aspects of ocean uses. The United States is not a party to the Convention; however, the United States has accepted all but the provisions on deep seabed mining (Part XI) as customary international law.



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