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United States Coast Guard

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COMDTINST 16010.8

COMMANDANT INSTRUCTION 16010.8

Subj: COAST GUARD ANNUAL PERFORMANCE PLAN

1. PURPOSE. This instruction outlines the function of the Coast Guard's annual Performance Plan, and establishes its position in the larger Coast Guard planning architecture. It also provides guidance on how field input is integrated into the Performance Plan, and how the organization should use the plan. It is important for all Coast Guard men and women to be familiar with the Performance Plan and the high-level performance outcomes the Coast Guard strives to achieve.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, and Chief Counsel and special staff offices at Headquarters shall ensure that the information in this instruction is given the widest dissemination.
3. DIRECTIVES AFFECTED. None.
4. DISCUSSION.
 - a. General. The Performance Plan serves as the translator between the annual budget request and the performance outcomes that the Coast Guard seeks to achieve in a particular fiscal year. It highlights the linkage between budget resources, the mission activities funded by those resources, and the outcomes those activities produce. It is published as part of the budget submission to Congress each February. The plan communicates corporate-level performance information down through the Coast Guard organization. It should be used in the field as guidance in developing and executing the specific strategies and activities that produce outcomes in the maritime environment. The plan also communicates performance information to our external stakeholders - Congress, the Administration, and the public - for their use in making budget decisions and formulating public policy. The Performance Plan is part of a larger planning architecture that guides Coast Guard allocation and management of resources to achieve the most effective results in the most efficient manner.

- b. Coast Guard Planning Architecture. To understand the Performance Plan's place and utility within the organization, it is important to understand the hierarchical planning architecture that it is part of: the "Family of Plans" (Figure 1). This planning architecture allows for the systematic development of planning and resource management guidance at various levels of the organization. It provides a disciplined network for coordinating guidance between headquarters directorates that develop policies and resource levels, and communicating guidance to the district and area commanders who execute strategies. It also lays out an integrated set of operating and logistics plans and processes that strives to maximize performance while minimizing cost. However, the Family of Plans is only a tool, not an end: the ultimate outcome of planning is not a plan, but rather the performance improvements it leads to.

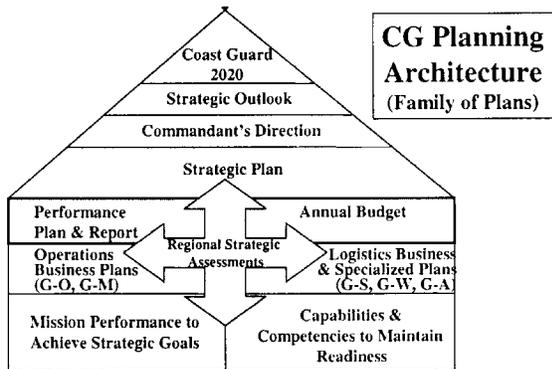


Figure 1

- (1) **Coast Guard 2020:** Outlines a broad, internal and external environmental scan, detailing probable challenges and opportunities the Coast Guard may face in the coming decades.
- (2) **Strategic Outlook:** Outlines a narrower internal and external environmental scan combined with broad strategies needed to succeed in the future, and serves as a bridge between Coast Guard 2020 and the Strategic Plan. It is a tool for senior management; not published as a plan.
- (3) **Commandant's Direction:** Establishes the personal priorities and areas of emphasis during a Commandant's tenure.
- (4) **Strategic Plan:** Serves as an implementation plan for CG 2020 and the Strategic Outlook. It establishes the Coast Guard's mission, vision, and strategic goals, as well as strategies for achieving the goals. It provides focus and alignment for the development of subordinate plans (operations and logistics) at other levels of the organization. (To be published in late 1999.)
- (5) **Performance Plan:** Establishes measurable operational performance goals aligned with the strategic goals. Links the annual budget request to specific performance goal targets.

- (6) **Performance Report:** Details the annual level of performance actually achieved compared to the goals established in the Performance Plan, and provides an analysis of the key factors that influenced the outcomes. The report mirrors the framework of the Performance Plan. (To be published in June 1999.)
 - (7) **Specialized Plans:** Establish strategic plans for each of the Coast Guard's major types of capital: workforce, physical assets, research and development, and information technology.
 - (8) **Operations/Logistics Business Plans:** Document the strategies, measures, objectives, and required resources each Headquarters directorate needs to implement the Coast Guard's mission, vision, and strategic goals.
 - (9) **Regional Strategic Assessments:** Outline area and district commanders' assessments of risk, threat, opportunity, demand, and required resources. RSAs provide input for incorporation into the business plans and strategic plan.
- c. Performance Plan Elements. Strategic and performance goals serve as the framework for the plan.
- (1) Strategic Goals. The Performance Plan is structured around the Coast Guard's strategic goals. The strategic goals are outcome goals: they are externally focused, and describe the results customers want the Coast Guard to achieve (i.e. fewer deaths in the maritime environment). Coast Guard Roles and Operating Programs (mission areas) describe the full range of activities we undertake every day to achieve these strategic goals (Figure 2). For example, a search and rescue case is an activity directed at maintaining safety on the water - an outcome described by our **Safety** strategic goal. All organizational effort and resources - both operational and logistical - are ultimately focused on producing these strategic goals. They are the common thread within the Family of Plans. There are 5 strategic goals:
 - (a) **Safety:** Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing, and recreational boating.
 - (b) **Protection of Natural Resources:** Eliminate environmental damage and natural resource degradation associated with maritime transportation, fishing, and recreational boating.
 - (c) **Mobility:** Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.
 - (d) **Maritime Security:** Protect our maritime borders from all intrusions by halting the flow of illegal drugs, aliens, and contraband into this country through maritime routes; preventing illegal fishing; and suppressing violations of federal law in the maritime region.

- (e) **National Defense:** Defend the nation as one of the five U.S. Armed Services. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities.

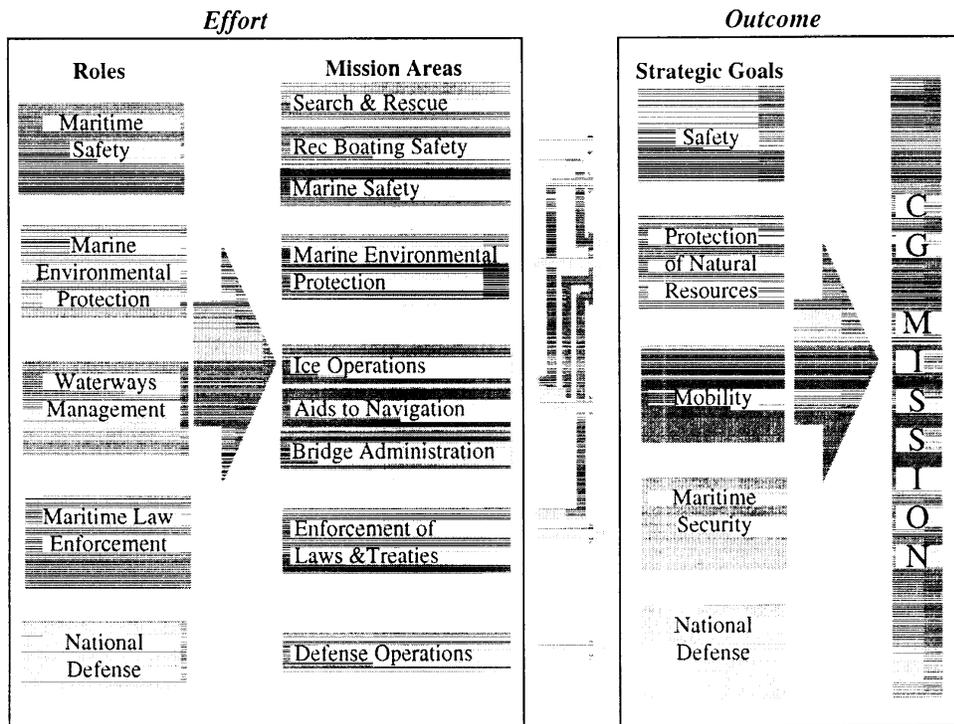


Figure 2

- (2) Performance Goals. To measure our progress in moving toward our strategic goals, the Performance Plan contains a set of performance goals that reflect critical, near-term challenges. These goals are not the only goals of the organization, nor do they denote the only important progress to be measured. Rather, they are a selected set of high-level goals that best communicate the Coast Guard's current priorities and desired outcomes that support each strategic goal. As priorities change, so will the goals. Headquarters programs, area commanders, and field units may develop variations of these goals, or additional goals specifically relating to important regional challenges or areas of emphasis. For example, districts may develop goals and measures that focus on specific fish species or habitats, or fatalities related to specific vessel types. The Performance Plan goals are not intended to restrict specialized measurement at other organizational levels, rather they guide the Coast Guard in focusing its efforts toward high-level priorities. The Performance Plan also establishes annual targets for the performance goals. These targets indicate the level of performance the Coast Guard strives to achieve, given external challenges and available resources. In addition to achieving the annual targets, the Coast Guard is ultimately concerned with creating long-term, positive performance trends that move us toward our strategic goals.

- d. Performance Plan Format. The performance plan format embodies the linkage between outcomes, activities, and resources. The format shows the reader what national interests we are trying to achieve; what factors we must address; what strategies we choose; how successful we have been in impacting the problem; what goals we set for the future; and how resources requested in our budget will help us achieve the goals. The Regional Strategic Assessments, as forecasts of external threats and demands, provide critical input for this format by identifying changes to national interests, key factors, and effective strategies. Program evaluations also provide key information in analyzing results and choosing strategies. Program evaluations are comprehensive, quantitative analyses that identify to what extent our activities have influenced the external environment, and how efficiently we have delivered the services and activities used to produce our results. In the plan format, each selected outcome area (ie. mariners in distress, drug interdiction) is divided into 7 sections:
- (1) **Why We Act:** The broad requirements on which we will act. What is the national interest being addressed? Why is the Coast Guard engaged in this issue? What conditions does the Coast Guard intend to affect?
 - (2) **Key Factors:** The root causes of the problems the Coast Guard is attempting to impact. Knowledge of causal factors is the key to developing effective strategies. There must be a clear logic model or relationship explaining how the primary program strategies are the most effective means of impacting key causal factors, and achieving our goals.
 - (3) **Strategies:** As discussed above, strategies must be crafted with specific causal factors in mind. There are many strategy mixes that the Coast Guard can deploy. The optimal mix of strategies is that which delivers the highest performance at the lowest resource cost. Strategies are selected from a range of options including, but not limited to prevention, response, regulation, facilitation, partnerships with other agencies or industry, the use of new technology or research and development products, and privatization or outsourcing of functions.
 - (4) **Coordination:** A description of how the Coast Guard interacts with private and public organizations to achieve common outcomes. For example, the Coast Guard coordinates aid to navigation activities with the Army Corps of Engineers to improve waterway mobility.
 - (5) **Performance Goal/Target:** The measurable level of performance to be achieved in addressing a particular outcome area.
 - (6) **Analysis and Evaluation:** A brief examination of past levels of performance. This analysis indicates what factors played a role in past performance results. Analysis includes reviews of performance data, case studies, mission analyses, and program evaluations.
 - (7) **Key Initiatives:** The budget, regulatory, and legislative initiatives that the Coast Guard proposes in order to execute strategies and influence outcomes. This section completes the link between resources, activities, and outcomes.

- e. Relationships to Other Plans. The Performance Plan most directly influences, and is influenced by the Strategic Plan and the Operations Business Plans. From above, the Strategic Plan establishes corporate-level goals and strategies; the Performance Plan projects the desired performance progress toward the strategic goals. From below, the Operational Business Plans (using input from the Regional Strategic Assessments) establish the specific strategies and resources needed to move toward the strategic goals; the Performance Plan integrates this information into the budget request. However, because there is a flow of information exchanged throughout the Family of Plans, the Performance Plan is linked to all the plans. For example, capital asset acquisition information from the Specialized Plans that impacts performance goal outcomes is fed to the Performance Plan through the Logistics and Operations Business Plans.

- f. Future Work. The Performance Plan continues to evolve: goals are continually refined, measures improved, and resource information more closely linked to goal outcomes. Operational commander input on current goals, along with proposals for alternative goals, is critical to improving performance outcomes. The Strategic Plan also continues to develop, and should be published towards the end of 1999. As the Regional Strategic Assessments and program evaluations continue to develop, they will become a larger source of input for the Performance Plan to draw on. Other future efforts under development include linking abstract of operations data and standard rates to performance goals in order to identify the costs expended toward each goal, and Headquarters directorate-level performance agreements that are aligned with the desired targets set in the Performance Plan. A more extensive and detailed view of the Coast Guard Planning Architecture and the associated plans will be presented in the forthcoming Resource Management Manual.

Encl: (1) Fiscal Year 1999 Performance Plan
(2) Fiscal Year 2000 Performance Plan

Encl (1) to COMDTINST 16010.8

United States Coast Guard
Fiscal Year 1999
Performance Plan

Nov 98

Revised Final Plan -- Opstage

**U.S. Coast Guard FY1999 Performance Plan
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Introduction

The Coast Guard's Performance Plan illustrates the broad range of services that the Coast Guard provides to the American public. These services greatly enhance our nation by improving economic vitality, maintaining law and order, ensuring safe and efficient maritime transportation, protecting natural resources, and contributing to citizen morale and confidence. The multimissioned character of the Coast Guard provides a unique national resource that strives to live up to its motto, "Semper Paratus - Always Ready" - in accomplishing its missions. The Coast Guard is a flexible force ready to respond in any national emergency. Yet everyday, its capital equipment and personnel are productively employed in delivering services to the public. U.S. taxpayers receive a double benefit: an effective defense force and crisis-response provider, as well as a cost-effective service that enhances national security and delivers vital services in its daily operations.

This performance plan establishes what the Coast Guard intends to achieve with the funding levels contained in the FY99 budget. Taken as a whole, the plan describes the linkage between our mission, strategic goals, performance goals, strategies/activities, and budget request.

Mission

The United States Coast Guard is a multimissioned maritime service and one of the Nation's five Armed Forces.

Our mission is to protect the public, the environment, and U.S. economic interests - in our ports and waterways, along our nation's coast, on international waters, or in any maritime region as required to support national security.

Strategic Goals

The Coast Guard has established a general goal for each of its major outcome areas:

Safety: Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing, and recreational boating.

Protection of Natural Resources: Eliminate environmental damage and natural resource degradation associated with maritime transportation, fishing, and recreational boating.

Mobility: Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.

Maritime Security: Protect our maritime borders from all intrusions by halting the flow of illegal drugs, aliens, and contraband into this country through maritime routes; preventing illegal fishing; and suppressing violations of federal law in the maritime region.

National Defense: Defend the nation as one of the five U.S. Armed Forces. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities.

Revisions to the FY 1999 Performance Plan

This is the revised final Performance Plan for FY 1999. A revised final plan, as defined by the Office of Management and Budget, shows the levels of performance that can be achieved given the final levels of funding appropriated by Congress. It also reflects modified goals or indicators based on exigencies that have occurred since submission of the initial plan with the Congressional-stage budget request.

This plan reflects a revision in the performance target for preventing oil spills that is based on a recalculation to the statistical baseline. This plan also reflects the inclusion of a seizure rate measure for illegal drugs. Additionally, there is a performance increase in drug interdiction based on changes in funding levels between the Congressional-stage budget request, and the Omnibus Consolidated and Emergency Supplemental Appropriations Act.

Original Goal: **P1** - Reduce the amount of oil and chemicals spilled into the water, from 7.76 gallons per million gallons shipped in 1993, to 6.21 in 1999.

New Goal: Reduce the amount of oil and chemicals spilled into the water, from 7.04 gallons per million gallons shipped in 1993, to 5.04 in 1999.

Explanation: The data for this goal has been refined since the initial FY99 plan was published. The new data produced a trendline below the one in the original FY99 plan. The original FY99 target of 6.21 matched the statistical trendline value for FY99. The new goal has been revised to match the new trendline value. This change is not based on additional resources.

Original Goal: **C1** - Reduce the flow of illegal drugs by reducing the smuggler success rate in maritime routes from an estimated 71% in 1995 to 38% by 2003, and to 10% by 2008. (Target for FY 99 had not been set.)

New Goal: Reduce the flow of illegal drugs by increasing the seizure rate in maritime routes from a 1995-97 averaged baseline of 8.7% to 12.5% by 1999, and to 18% by 2002. Reduce the flow of illegal drugs by reducing the smuggler success rate in maritime routes from an estimated 71% in 1995 to 55% by 1999.

Explanation: The new seizure rate goal aligns with ONDCP goals and targets. After the FY99 plan was developed, ONDCP published a government-wide performance measurement system as part of the National Drug Control Strategy that establishes a hierarchy of goals and measures. The following targets apply to Coast Guard operations:

Supply Reduction:

Target: The trafficker success rate in transit and arrival zones will be reduced by 10% by 2002, and 20 % by 2007. Trafficker success rate (TSR) is "the quantity of illicit drugs successfully moved through a particular zone relative to the total quantity entering that zone."

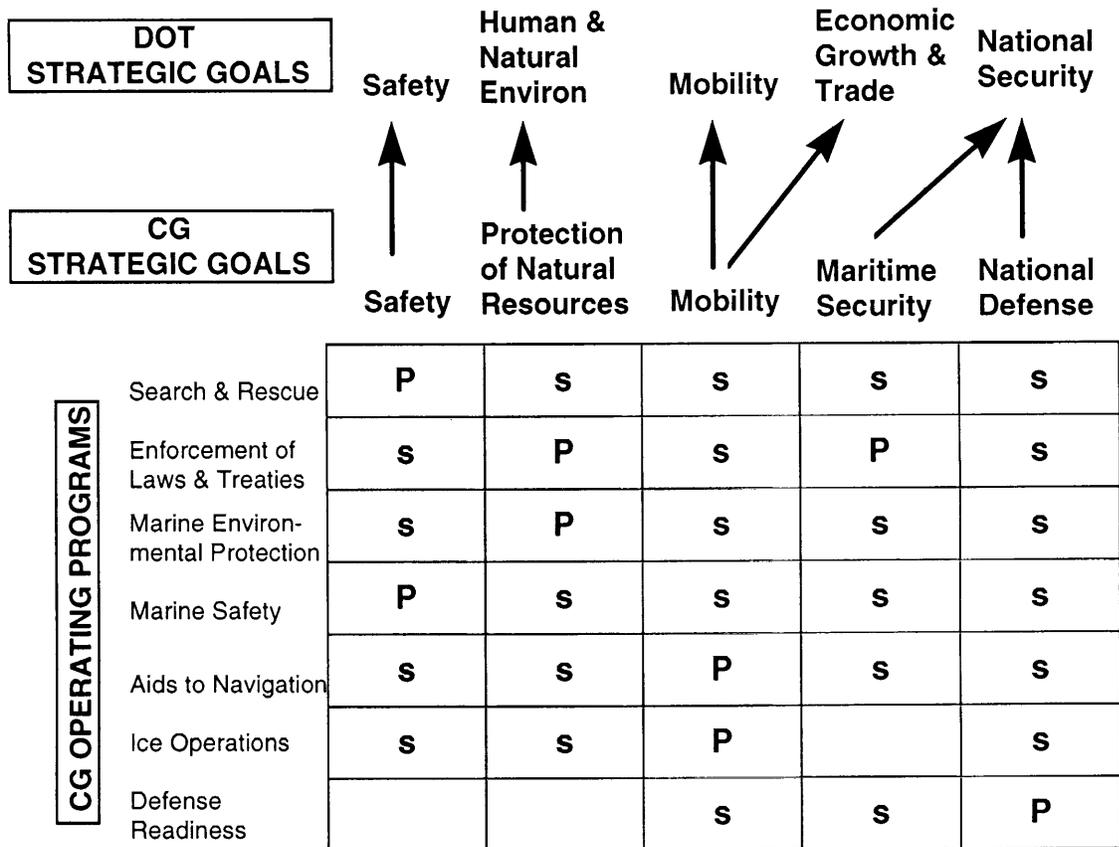
Goal 4 under Supply Reduction:

Impact target: By 2002 reduce the rate at which illegal drugs successfully enter the US from the transit and arrival zones by 10% as compared to the 1996 baseline year. By 2007 reduce this rate by 20% against the base year.

Impact Measure: The rate that illegal drugs in the transit and arrival zones are precluded entry into the US.

The overall appropriations for FY 99 represent an increase over the President's request. Based on analysis of historical performance, modeling of our deterrent effect, and assumptions on FY 99 OE and AC&I spending, drug interdiction performance targets project a 12.5% seizure rate and a 55% smuggler success rate. FY 99 is the second of five years needed to reach the long-term targets of 18% and 38%. The increase in effectiveness needed to reach the goal is exponential. AC&I comprises a significant part of the resources needed to meet the target. These assets will take up to 3 years to be fully implemented into counter drug operations. Thus, the greatest gains toward the goal target will be achieved in the fourth and fifth years (2001 and 2002.) The new seizure rate goal also relates to the existing smuggler success rate measure. The smuggler success rate is the additive result of the rate of deterrence and the seizure rate. For example, the FY2000 seizure rate target of 12.5% in conjunction with the projected target level of deterrence, produce the 55% success rate target.

**Relationship Between Strategic Goals
and Operating Program Structure**



P Denotes Primary Program Support
s Denotes Secondary Program Support

This diagram depicts the relationship between Department Of Transportation Strategic Goals, CG Strategic Goals, and the traditional program budget structure. Information in the budget presents the traditional program format, but should be read in terms of the overall mission achievement through the Coast Guard Strategic Goals. The program connections are not discrete - because the Coast Guard is a multimission organization, a mix of program activities contributes to each of the Strategic Goals. For example, the Search and Rescue, Aids to Navigation, Marine Safety, Marine Environmental Protection, Enforcement of Laws and Treaties, and Ice Operations programs all contribute to the Coast Guard's Strategic Goal of Safety. The matrix presents a simplified view of the level of support each program contributes to the strategic outcome areas.

**Summary of Coast Guard Performance Goals
Department Of Transportation Strategic Goals**

Safety	Human & Natural Environment	Mobility	Economic Growth & Trade	National Security
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Safety	Protection of Natural Resources	Mobility	Maritime Security	National Defense
S1: Save all mariners in imminent danger	P1: Eliminate oil discharged into the water	M1: Eliminate sources of delay to commercial mariners (EG&T)	C1: Reduce the flow of illegal drugs by denying maritime smuggling routes	N1: Achieve and sustain C2 level of military readiness
S2: Save all property in imminent danger	P2: Eliminate plastics and garbage discharged into the water	M2: Maximize vessel mobility within ports and waterways (Mobility)	C2: Eliminate the flow of undocumented migrants entering via maritime routes	N2: Provide core competencies to CINCs
S3: Eliminate crewmember fatalities on U.S. commercial vessels	P3: Eliminate oil spills greater than 10,000 gallons	M3: Eliminate vessel collisions, allisions, and groundings (Mobility)	C3: Eliminate illegal encroachment of the EEZ	N3: Achieve and sustain overall capability to respond to CINC requirements
S4: Eliminate the risk of passenger vessel casualties with major loss of life	P4: Eliminate the adverse impacts of pollution incidents	M4: Eliminate delays to commerce caused by ice and navigation hazards (EG&T)		N4: Protect and support all Seaports of Debarkation
S5: Eliminate recreational boating fatalities	P5: Improve the health of fish and other living marine resource stocks	M5: Maintain the navigation season in ice-bound areas of the Great Lakes (Mobility)		
	P6: Eliminate the loss of threatened or endangered species			

Coast Guard Goals

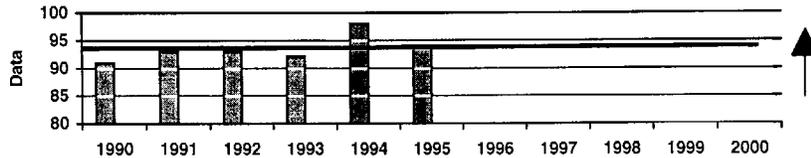
Format Guide for Reading Performance Goal Section

This format establishes a logical framework for linking together Coast Guard activities, strategies, budget funding levels, performance outcomes, and evaluation of performance.

Goal X1: Performance Goal - desired outcome.

FY99 Target: Measurable goal target for fiscal year. Target level and statistical baseline are indicated on the graph as a bold line. An arrow beside the graph indicates desired outcome is above the line.

Measure: Data/calculation used to quantify performance.



Measurement Issues: This is a discussion of a measure's validity as an appropriate gauge of performance. Data sources, accuracy, verification, and trends are included. Future improvements are also identified.

Selected Program Standards/Customer Service Standards: These are notional standards that define the level of service the Coast Guard must provide in order to achieve performance targets. For example, the target of saving 90% of mariners in distress is supported by a 2 hour response standard for search and rescue missions. This in turn, drives the tempo of operations for executing search and rescue missions, and dictates the level of resources for achieving that performance target. Some program standards are still being developed.

Causal Factors to be Addressed: These are the root causes of the problem or situation that the Coast Guard is attempting to impact. Causal factors must be analyzed and understood in order to develop effective strategies for achieving goals.

Strategies to Achieve Target: These are initiatives, policies, or projects that the Coast Guard plans to undertake to improve the current problem or situation.

New Resources that will Support Strategies: These are resources needed to improve performance, increase efficiency, or maintain current service levels. Some items are part of multi-year efforts, and will not fully contribute to performance in this FY. "Goal Contribution" indicates whether a resource's primary use is directed toward the performance goal, or if it is a secondary mission of that resource.

Acct	Item	Goal
OE	Cutter Follow-on	Secondary

Contribution: OE Cutter Follow-on Secondary

Acct	Item	Goal Contribution:
OE	Cutter Follow-on	Secondary

External Factors: These are factors beyond the Coast Guard's span of control that may mitigate the success in achieving a goal. While external factors are difficult to influence or predict, they are still included in the development of effective strategies.

Other Related Government Programs: These are other programs that are similar or complementary in focus to Coast Guard programs.

Evaluation Plan: Evaluation for the purpose of refining strategies and resource allocations, and thus improving effectiveness and efficiency, is the culmination of all the information contained in this performance plan. Several different types and levels of evaluation may be employed, including formal program evaluations or quick analyses of performance goal data.

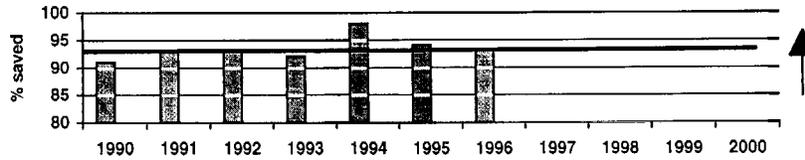
Safety Performance Goals

SAFETY

Goal S1: Save all mariners in imminent danger.

FY99 Target: Save at least 93% of all mariners reported in imminent danger.

Measure: Lives saved/lives saved + lives lost after Coast Guard notification.



Measurement Issues: The Coast Guard strives to save as many lives as possible. Data is obtained from the CG Search and Rescue Marine Information System. Program managers believe the data collection system slightly understates the number of lives lost. Thus, the denominator of the measure is understated, which produces a percentage of lives saved that may be higher than the actual percentage. The system is currently being updated to improve accuracy and reliability. The 1994 data is skewed upward by a surge of migrants interdicted at sea. Without migrant cases, the data point drops to 95%. FY94-96 data is currently being validated to remove discrepancies. This goal measures Coast Guard rescue response activities. Other goals cover Coast Guard prevention activities. Confidence level in measure is moderate.

Selected Program Standards/Customer Service Standards:

Search and Rescue unit ready to proceed within 30 minutes of notification of distress.

Search and Rescue unit on scene, at datum, or in the search area within 90 minutes of getting underway.

Causal Factors to be Addressed:

Severe weather.

Inability to communicate or delay in distress notification.

Unsafe operation of vessel (poorly loaded, poor navigation.)

Unsafe equipment.

Strategies to Achieve Target:

Ongoing Strategies:

Improve the knowledge and skills of mariners by conducting boardings, courtesy safety examinations, and public service message campaigns.

Increase carriage of additional distress notification, alerting, and locating equipment, and survival gear.

Improve rescue coordination and effectiveness by partnering with local state and international agencies that have response responsibilities.

Use research and development to improve search planning, including improvements to search theory models, analysis of current and wind variability, and night search tactics and sensor performance.

Develop waterway safety initiatives in cooperation with other agencies within the Waterways Management initiative.

New Strategies:

Modernize distress communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.

Efficiency Strategies:

Replace aging assets with more capable ones to reduce the overall number of assets, people, and maintenance resources required to provide the same level of performance.

Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution
AC&I	Deepwater Capability Replacement Analysis	Secondary
AC&I	47-Foot Motor Lifeboat	Primary
AC&I	Surface Search Radar Replacement	Primary
AC&I	Coastal Patrol Boat	Primary
AC&I	HH-65 Kapton Wire Replacement	Primary
AC&I	HH-65 Mission Computer Unit Replacement	Primary
AC&I	HC-130 Engine Upgrade	Primary
AC&I	HU-25 Avionics Improvements	Primary
AC&I	HH-60J Upgraded Navigation	Primary
AC&I	HC-130 Side Looking Radar Upgrade	Primary
AC&I	Ports & Waterways Safety Systems (PAWSS)	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	DGPS Phase III	Secondary
AC&I	COMMSYS 2000	Primary
AC&I	National Distress System Modernization	Primary
RDT&E	Improved Search and Rescue Capability	Primary

External Factors:

- Untimely notification of distress.
- Imprecise distress location data from which to plan searches or rescues.
- Severe on-scene weather conditions.
- Severe injury, making survival unlikely.
- Increase in demand for services due to increased maritime-related recreation.

Other Related Government Programs:

- State and local government emergency response and maritime safety programs - Coordinate with the Coast Guard.

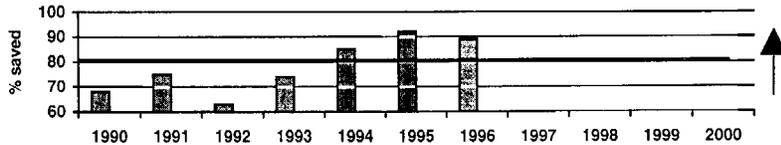
Evaluation Plan: The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

SAFETY

Goal S2: Save all property in imminent danger as a result of maritime accidents.

FY99 Target: Save at least 80% of all property reported in imminent danger as a result of maritime accidents.

Measure: Value of property loss prevented/property loss prevented + value of property lost.



Measurement Issues: The Coast Guard strives to save as much property as possible. There is some annual variation in the statistical data, with some years falling below target and some years exceeding target. The value of property loss prevented is an estimated amount of property loss that would have occurred had the Coast Guard not rendered assistance. Data is obtained from the Coast Guard Search and Rescue Marine Information System, and is validated by program managers. FY94-96 data is currently being validated to remove discrepancies that may have skewed the data upwards. Confidence level in measure is moderate.

Selected Program Standards/Customer Service Standards:

Search and Rescue unit ready to proceed within 30 minutes of notification of distress.

Search and Rescue unit on scene, at datum, or in the search area within 90 minutes of getting underway.

Causal Factors to be Addressed:

Severe weather.

Inability or delay in distress notification.

Unsafe operation of vessel (poorly loaded, poor navigation.)

Unsafe equipment.

Strategies to Achieve Target:

Ongoing Strategies:

Improve the knowledge and skills of mariners by conducting boardings, courtesy safety examinations, and public service message campaigns.

Increase carriage of additional distress notification, alerting, and locating equipment, and survival gear.

Improve rescue coordination and effectiveness by partnering with local state and international agencies that have response responsibilities.

Use research and development to improve search planning, including improvements to search theory models, analysis of current and wind variability, and night search tactics and sensor performance.

Develop waterway safety activities in cooperation with other agencies within the Waterways Management initiative.

New Strategies:

Modernize distress communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.

Efficiency Strategies:

Replace aging assets with more capable ones to reduce the overall number of assets, people, and maintenance resources required to provide the same level of performance.

Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Deepwater Capability Replacement Analysis	Secondary
AC&I	47-Foot Motor Lifeboat	Primary
AC&I	Surface Search Radar Replacement	Primary
AC&I	Coastal Patrol Boat	Primary
AC&I	HH-65 Kapton Wire Replacement	Primary
AC&I	HH-65 Mission Computer Unit Replacement	Primary
AC&I	HC-130 Engine Upgrade	Primary
AC&I	HU-25 Avionics Improvements	Primary
AC&I	HH-60J Upgraded Navigation	Primary
AC&I	HC-130 Side Looking Radar Upgrade	Primary
AC&I	Ports & Waterways Safety Systems (PAWSS)	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	DGPS Phase III	Secondary
AC&I	COMMSYS 2000	Primary
AC&I	National Distress System Modernization	Primary
RDT&E	Improved Search and Rescue Capability	Primary

External Factors:

- Untimely notification of property in danger.
- Imprecise distress location data from which to plan searches or rescues.
- Severe on-scene weather conditions.
- Severe property damage, making rescue unlikely.
- Increase in demand for services due to increased maritime-related recreation.

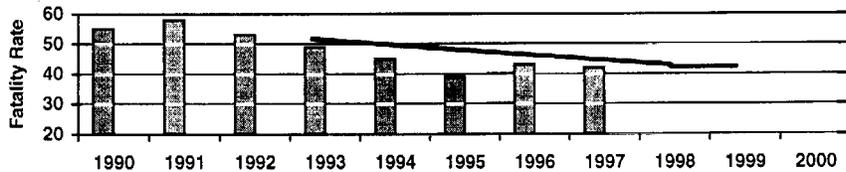
Other Related Government Programs:

State and local government emergency response and maritime safety programs - Coordinate with the Coast Guard.

Evaluation Plan: The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

SAFETY

Goal S3: Eliminate crewmember fatalities on U.S. commercial vessels.
FY99 Target: Reduce crewmember fatalities from maritime casualties by 20%, from the FY 93 baseline of 52 fatalities/ 100,000 workers to 42 fatalities/100,000 workers
Measure: Fatalities per 100,000 workers.



Measurement Issues: Baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve that was the most current available when goal was developed. 1997 number is a projection based on data through OCT. Fatality data obtained from Coast Guard Marine Safety Information System. Maritime employment estimates based on data provided by National Marine Fisheries Service, Bureau of Labor Statistics, and Mineral Management Service. Workers include all employees aboard U.S. vessels and platforms. Employment estimates have fluctuated dramatically from year to year. BLS statisticians indicate that substantial estimating error exists, particularly in the fishing industry. Injury data needs further refinement before a measure can be useful. Data from the Coast Guard Marine Safety Information System is validated by program managers. Confidence in measure is high.

Causal Factors to be Addressed:

- 64% of fatalities occur in the uninspected fishing industry.
- 80% of fatalities on uninspected towing vessels were due to personnel casualties such as a man overboard.
- Human error in vessel operation plays a role.
- Poor material condition of vessel or equipment plays a role.

Strategies to Achieve Target:

Ongoing Strategies:

- Promote fishing vessel safety activity and voluntary dockside boardings.
- Focus on reducing the impact of human error on accidents.
- Enforce applicable laws and regulations.
- Conduct the Merchant Marine Licensing and Documentation program.
- Develop waterway safety activities in cooperation with other agencies within the Waterways Management initiative.
- Execute research and development projects to improve search planning, reduce human error, and support interagency Ship Structure Committee (SSC) research. Application of this research results in improved design, materials, construction, and maintenance of ship structures which results in safer vessels that are less likely to suffer hull failure and better able to sustain damage.

New Strategies:

- Modernize distress communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.
- Enhance port safety by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS.)
- Improve mariner knowledge and skills by implementing Standards for Training Certification and Watchkeeping, a more effective system of training requirements.
- Pursue regulatory activity related to towing vessel safety that will improve fire suppression, and anchoring operations, and will ensure that operators have the proper training and qualifications to handle a tug and tow.
- Employ risk management and forecasting tools to identify the most pressing safety problems.

Efficiency Strategies:

Employ the "Prevention through People" philosophy to identify the human causal factors in accidents and focus on education of mariners and industry to reduce these factors without increasing resources. Partner with states, industry, and trade groups to improve mariner knowledge, identify causal factors in accidents. Partnerships promote industry self regulation. Partnerships include the Passenger Vessel Association, American Waterways Operators, U.S. Chamber of Shipping, International Council of Cruise Lines.

Implement the Alternative Compliance Program (ACP) to shift inspection responsibilities to classification societies such as the American Bureau of Shipping which already conduct inspections for insurance and business purposes.

Close Marine Safety Detachment Concord, CA which is no longer needed due to the Concord Naval Weapons Station's ability to move material in containers which do not need the same level of supervision.

Realign the Container Inspection Program for hazardous material. Capability to carry out inspections has been generated in other agencies including Customs, Agriculture, Defense, and the National Cargo Bureau, allowing the Coast Guard to make some reductions by concentrating inspections in strategic ports recognized under the National Port Readiness Network.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Ports & Waterways Safety Systems (PAWSS)	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	DGPS Phase III	Secondary
AC&I	COMMSYS 2000	Primary
AC&I	National Distress System Modernization	Primary
RDT&E	Improved Search and Rescue Capability	Primary
RDT&E	Marine Safety	Primary
RDT&E	Support Interagency Ship Structure Cmte	Primary

External Factors:

Limited ability to enforce standards in uninspected fleet.

Other Related Government Programs:

Department of Labor/OSHA: Vessel Health Standards - Coordinates with the Coast Guard.

National Transportation Safety Board: Accident Investigation - Coordinates with the Coast Guard.

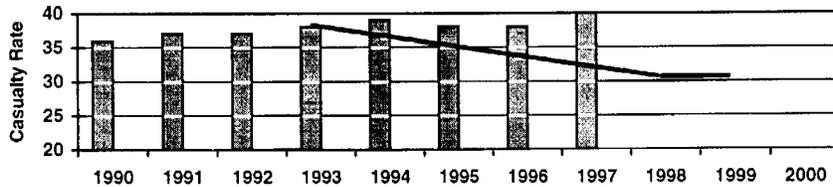
Evaluation Plan: The Coast Guard will conduct a program evaluation of the Port State Control Program and the Elimination of Substandard Vessels Initiative. The purpose of this evaluation is to determine the impact of the initiative on reducing oil spills and marine casualties by eliminating noncompliant foreign flag vessels from operating in U.S waters. Although the methodology is still being developed, the evaluation will likely take the form of a longitudinal analysis of spills and casualties before and after implementation of the Elimination of Substandard Vessel initiative. Estimated completion date is 2000. Evaluation of other areas of this performance goal will be developed.

The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

SAFETY

Goal S4: Eliminate passenger vessel casualties with major loss of life.
 FY99 Target: Reduce the number of high risk passenger vessel casualties by 20%, from the FY93 baseline of 38 casualties/1,000 vessels to 31 casualties/1,000 vessels

Measure: Number of "high risk" vessel casualties (fire, capsizing, flooding, collision, sinking, grounding) per 1,000 passenger vessels.



Measurement Issues: Baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve that was the most current available when goal was developed. Developing data that assesses level of risk of a major vessel casualty is a difficult task. Major passenger vessel casualties are rare occurrences, so a relevant proxy measure must be developed. The associated measure was changed from the FY98 measure "serious passenger vessel accidents" to "high risk vessel casualties" (allisions, capsizings, collisions, missing vessels, explosions, fires, floodings, sinkings, groundings.) This refinement is a better indicator of passenger vessel risk. The data trend for this measure is not moving toward the goal target level. This could be caused by several factors: external factors can eclipse Coast Guard impact; measurement data, or a measure itself, may be invalid, thus presenting an erroneous view of the real situation; Coast Guard activities may not be optimized to influence the outcome, and may need to be refined. Data is obtained from the Coast Guard Marine Safety Information System. Data is validated by program managers. Confidence in measure is moderate.

Causal Factors to be Addressed:

- Human error in vessel operation.
- Poor material condition of vessel or equipment.

Strategies to Achieve Target:

Ongoing Strategies:

- Improve mariner knowledge and skills by implementing the Standards for Training Certification and Watchkeeping, a more effective system of training requirements
- Focus on reducing the impact of human error on accidents.
- Enforce applicable laws and regulations.
- Conduct the Merchant Marine Licensing and Documentation program.
- Develop waterway safety activities in cooperation with other agencies within the Waterways Management initiative.
- Execute research and development projects to improve understanding of human error and fire safety; and support interagency Ship Structure Committee (SSC) research. Application of this research results in improved design, materials, construction, and maintenance of ship structures which results in safer vessels that are less likely to suffer hull failure and better able to sustain damage.

New Strategies:

- Modernize distress communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.
- Enhance port safety by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS.)
- Pursue regulatory activity to require onboard High Capacity Passenger Vessel Response Plans for emergency situations.
- Complete development of a risk management guide, in conjunction with the Passenger Vessel Association, that assists operators in applying effective solutions to the most pressing safety problems.

Efficiency Strategies:

Employ the "Prevention through People" philosophy to identify the human causal factors in accidents and focus on education of mariners and industry to reduce these factors without increasing resources.

Pursue legislation to exempt certain service and entertainment personnel employed aboard passenger vessels from Merchant Mariner Documentation requirements. This will eliminate issuing documents that do not add to marine safety.

Partner with states, industry, and trade groups to improve mariner knowledge, identify causal factors in accidents. Partnerships promote industry self-regulation. Partnerships include the Passenger Vessel Association, American Waterways Operators, U.S. Chamber of Shipping, International Council of Cruise Lines.

Implement the Alternative Compliance Program (ACP) to shift inspection responsibilities to classification societies such as the American Bureau of Shipping which already conduct inspections for insurance and business purposes.

Replace aging buoy tenders with more capable ones to reduce the overall number of assets, people, and maintenance resources required to provide the same level of performance. Buoy tenders maintain aid to navigation infrastructure which minimizes accidents such as collisions and groundings.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Secondary
AC&I	Coastal Buoy Tender (WLM) Replacement	Secondary
AC&I	Stern Loading Buoy Boat Replacement	Secondary
AC&I	Ports & Waterways Safety Systems (PAWSS)	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	DGPS Phase III	Secondary
AC&I	COMMSYS 2000	Primary
AC&I	National Distress System Modernization	Primary
AC&I	Waterways Aids to Navigation Projects	Secondary
RDT&E	Marine Safety	Primary
RDT&E	Support Interagency Ship Structure Cmte	Primary
OE	Commission 1 Coastal Buoy Tender	Secondary
OE	Commission 1 Seagoing Buoy Tender	Secondary

External Factors:

Economic health of the commercial marine industries may affect its focus on safety.

Other Related Government Programs:

Department of Labor/OSHA: Vessel Health Standards - Coordinates with the Coast Guard.

National Transportation Safety Board: Accident Investigation - Coordinates with the Coast Guard.

Evaluation Plan: The Coast Guard will conduct a program evaluation of the Port State Control Program and the Elimination of Substandard Vessels Initiative. The purpose of this evaluation is to determine the impact of the initiative on reducing oil spills and marine casualties by eliminating noncompliant foreign flag vessels from operating in U.S waters. Although the methodology is still being developed, the evaluation will likely take the form of a longitudinal analysis of spills and casualties before and after implementation of the Elimination of Substandard Vessel initiative. Estimated completion date is 2000. Evaluation of other areas of this performance goal will be developed.

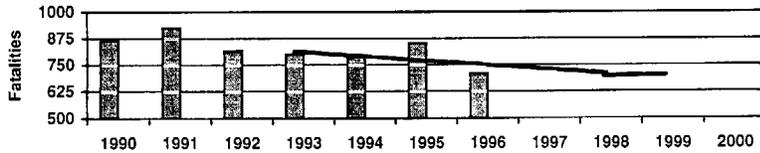
The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

SAFETY

Goal S5: Eliminate recreational boating fatalities.

FY99 Target: Reduce recreational boating fatalities by 10%, from FY93 baseline of 800 fatalities to 720 fatalities.

Measure: Number of fatalities.



Measurement Issues: Data obtained from the Coast Guard Boating Accident Report database, and is validated by program managers. The Coast Guard intends to normalize the data in the future by developing a denominator of exposure so that the level of risk in recreational boating can be compared from year to year without being skewed by the increase or decrease in the number of boats or boat usage. Confidence in the measure is high.

Selected Program Standards/Customer Service Standards:

Ensure that the states instruct 65% of the number of new boat operators annually.

Achieve 100% manufacturer compliance with boat construction regulations.

Ensure that volunteer organizations provide approved courses to 20% of new boat operators annually.

Causal Factors to be Addressed:

Lack of personal floatation device use.

Intoxication of operator.

Greater number of fatalities occur during fall and winter due to hypothermia.

80% of all boating fatalities occur on boats where the operator had no formal training.

Over 50% of fatalities occurred in conjunction with capsizing or falling overboard.

Primary causes of accidents were operator inattention, carelessness, and speeding.

Strategies to Achieve Target:

Ongoing Strategies:

Conduct public service initiatives including the National Boating Under the Influence Campaign and the Annual Safe Boating Campaign in cooperation with states, the insurance industry, and boating associations to promote personal floatation device use and improve boater behavior, skills, and knowledge.

Increase enforcement of boating under the influence statutes, and promote lowering the intoxication threshold to .08% for adults, and to a zero tolerance level for minors.

Conduct CG Auxiliary courtesy examinations to promote safety equipment and safe operation.

Develop waterway safety activities in cooperation with other agencies within the Waterways Management initiative.

Execute research and development projects to improve understanding reduce human error and improve mariner awareness.

New Strategies:

Enhance waterway safety by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS.)

Modernize distress communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.

Pursue regulatory activity that will facilitate examining the number and nature of injuries/deaths aboard rental boats that are caused by vessel propellers, and assist in determining effective strategies for reducing these incidents.

Efficiency Strategies:

Partner with state governments, industry, and trade groups to improve boater knowledge and skills. Partnerships assist the Coast Guard in causal factor analysis, and education, thus reducing workload.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Ports & Waterways Safety Systems (PAWSS)	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	DGPS Phase III	Secondary
AC&I	COMMSYS 2000	Primary
AC&I	National Distress System Modernization	Primary
AC&I	Waterways Aids to Navigation Projects	Secondary
RDT&E	Marine Safety	Primary

External factors:

Success, in part, dependent on effectiveness of state programs.
Boater behavior not completely influenced by activities.
Continuing population migration to coastal areas will increase marine recreation, waterway congestion, and demand for services.

Other Related Government Programs:

State and local government education programs - Coordinated with and supported by the Coast Guard.
Industry/trade group education programs - Active partnership with the Coast Guard to develop educational campaigns.

Evaluation Plan: The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

**Workload Data and Projected FY99 Activity Levels to Achieve
Safety Performance Goals**

The following workload data illustrate the type and level of activity that the Coast Guard undertakes in order to achieve its performance targets and advance toward its strategic goals.

SAR Caseload

	1996 actual	1997^(1) estimate	1998 estimate	1999 estimate
Responses to SAR cases	55,710	46,182	48,000	47,000
SAR Sorties	98,423	102,000	103,000	103,000
Time on sorties (hrs)	430,052	440,000	450,000	450,000
Lives saved	4,992	5,030	5,040	5,040
Persons otherwise assisted	84,248	92,000	93,000	93,000
Property loss prevented (\$000)	2,213,831	2,243,000	2,243,000	2,243,000
Value of property protected (\$000)	3,487,689	3,508,000	3,508,000	3,508,000

1. Fiscal year 1997 data collection not complete.

CG Auxiliary Caseload

Fiscal Year	Total	Auxiliary	Commercial	Public
1992	69,856	6,498	4,254	2,771
1993	69,710	6,433	4,253	2,738
1994	70,407	5,755	4,294	3,561
1995	63,683	5,406	4,012	3,064
1996	55,710	4,990	3,529	2,748
1997^1	46,1821	3,7682	2,6111	2,1071

1. Based on SAR National database as of 14 Jan 98. FY97 is not complete.
2. Based on Auxiliary Management Information System (AUXMIS) database as of 1 Nov 97.

Marine Safety Workload

	1993	1994	1995	1996	1997
U.S. Vessel/Barge Inspections	34,056	34,951	34,183	33,947	32,286
Foreign Vessel Inspections	16,450	19,810	20,854	18,797	19,798
Facility Inspections	10,525	9,858	7,416	6,802	6,898
Marine Casualty Investigations	7,559	8,293	8,130	8,203	6,981

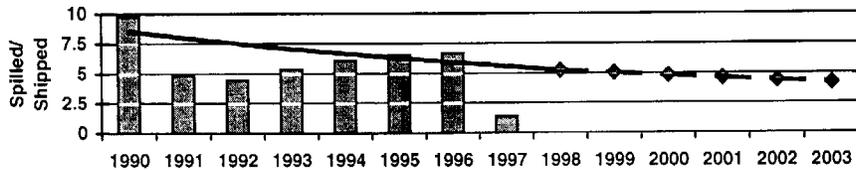
Partnerships: Industry partnerships are central to Coast Guard's efforts to reduce casualties and minimize environmental damage associated with waterborne transportation. The Coast Guard has formal partnerships with the American Waterways Operators (AWO), the Passenger Vessel Association (PVA), the International Council of Cruise Lines (ICCL), and a joint partnership with the American Petroleum Institute (API) and U.S. Chamber of Shipping (USCS). The 50% reduction in the towing industry fatality rate over the past five years is believed to be a direct result of the AWO partnership. The Coast Guard is committed to these efforts and expects to reduce the risks of marine casualties and loss of life further through continued cooperative efforts.

Prevention Through People Program: The Coast Guard initiative, Prevention Through People (PTP), is a systematic people-focused approach to reducing marine casualties and pollution. It addresses the root cause of over 80 per cent of accidents - the human element. From the PTP program's beginning in 1994, the Coast Guard and maritime industry have worked together to ensure that both government and industry needs are met. With the help of the PTP "Champions" (marine industry executives committed to safety and environmental protection), the Coast Guard developed a PTP strategic plan that focuses prevention efforts on casualties caused by human error. This initiative is instrumental in promoting Coast Guard and industry research that explores the human factor in accidents and suggests appropriate interventions.

**Protection of Natural Resources
Performance Goals**

PROTECTION OF NATURAL RESOURCES

Goal P1: Eliminate oil discharged into the water from maritime sources.
FY99 Target: Reduce the rate of oil discharged into the water from maritime sources by 20%, from the FY93 baseline of 7.04 gals spilled/million gallons shipped to 5.04 gals spilled/million gallons shipped.
Measure: Gallons discharged per million gallons shipped.



Measurement Issues: Baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve which was the most current available when goal was developed. 1997 number is a projection based on data through OCT. Data on oil spilled is obtained from the Coast Guard Marine Safety Information System. Data on waterborne shipments of oil obtained from Army Corps of Engineers "Waterborne Commerce Statistics." Oil spills of 1 million gallons or more are excluded from data. These spills are extremely rare (less than .1% of spills) and would have an inordinate influence on statistical trends. Only spills from regulated vessels and facilities are counted. Data obtained from the Coast Guard Marine Safety Information System is validated by program managers. Confidence in measure is high.

Causal Factors to be Addressed:

Tank barges are the major source of discharged oil, accounting for approximately 75%.

Strategies to Achieve Target:

Ongoing Strategies:

- Partner with industry trade groups to focus efforts on preventing pollution from tank ships and barges.
- Promote recommendations for reducing oil spills during operations such as oil transfers.
- Improve the knowledge, and skills of industry personnel.
- Focus on reducing the impact of human error on pollution incidents.
- Enforce applicable laws and regulations.
- Conduct the Merchant Marine Licensing and Documentation program.
- Execute research and development projects to improve prevention planning, management, and training; and support Interagency Ship Structure Committee (SSC) research. Application of this research results in improved design, materials, construction, and maintenance of ship structures which results in vessels that are less likely to suffer hull failure and better able to sustain damage, thus reducing the potential for oil discharge.

New Strategies:

- Modernize distress communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.
- Reduce pollution-causing accidents by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS.)
- Pursue regulatory activity to implement provisions of the Oil Pollution Act of 1990 that require tank vessel and facilities carrying/transferring bulk hazardous substances to develop and operate in accordance with an approved response plan.
- Pursue regulatory activity to establish a barge numbering system that would allow identification of barges owners, and help prevent abandoned barges that become pollution hazards.

Efficiency Strategies:

- Employ the "Prevention through People" philosophy to identify the human causal factors in pollution incidents and focus on education of mariners and industry to reduce these factors without increasing resources.
- Pursue risk management practices to optimize allocation of resources by prioritizing marine accidents.
- Partner with states, industry, and trade groups to improve mariner knowledge, identify causal factors in accidents. Partnerships promote industry self regulation. Partnerships include the Passenger Vessel Association, American Waterways Operators, U.S. Chamber of Shipping, International Council of Cruise Lines.

Implement the Alternative Compliance Program (ACP) to shift inspection responsibilities to classification societies such as the American Bureau of Shipping which already conduct inspections for insurance and business purposes.

Realign the Container Inspection Program for hazardous material. Capability to carry out inspections has been generated in other agencies including Customs, Agriculture, Defense, and the National Cargo Bureau, allowing the Coast Guard to make some reductions by concentrating inspections in strategic ports recognized under the National Port Readiness Network.

Replace aging buoy tenders with more capable ones that include built in oil skimming capabilities, to reduce the overall number of assets, people, and maintenance resources required to provide the same level of performance. Buoy tenders maintain aid to navigation infrastructure which minimizes pollution causing incidents such as collisions and groundings.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Secondary
AC&I	Coastal Buoy Tender (WLM) Replacement	Secondary
AC&I	Stern Loading Buoy Boat Replacement	Secondary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	Ports & Waterways Safety System (PAWSS)	Secondary
AC&I	National Distress System Modernization	Secondary
AC&I	Waterways Aids to Navigation Projects	Secondary
RDT&E	Marine Environmental Protection	Primary
RDT&E	Support Interagency Ship Structure Cmte	Primary
OE	Commission 1 Coastal Buoy Tender	Secondary
OE	Commission 1 Seagoing Buoy Tender	Secondary

External Factors:

Economic factors and government action affect regulation compliance by industry.

Other Related Government Programs:

Environmental Protection Agency: Pollution Prevention - Focuses on inland pollution, coordinates with the Coast Guard.
 Department of Transportation/Research and Special Projects Administration: Waterfront Facilities - Coordinates with the Coast Guard.

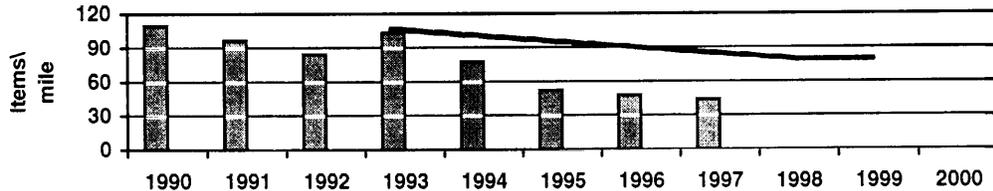
Evaluation Plan: The Coast Guard will conduct a program evaluation of the Port State Control Program and the Elimination of Substandard Vessels Initiative. The purpose of this evaluation is to determine the impact of the initiative on reducing oil spills and marine casualties by eliminating noncompliant foreign flag vessels from operating in U.S waters. Although the methodology is still being developed, the evaluation will likely take the form of a longitudinal analysis of spills and casualties before and after implementation of the Elimination of Substandard Vessel initiative. Estimated completion date is 2000. Evaluation of other areas of this performance goal will be developed.

PROTECTION OF NATURAL RESOURCES

Goal P2: Eliminate plastics and garbage discharged into the water from maritime sources.

FY99 Target: Reduce the rate of plastics and garbage discharged into the water from maritime sources by 20%, from the FY93 baseline of 101 items/mile shoreline to 81 items/mile shoreline.

Measure: Number of marine debris items recovered per mile of shoreline surveyed.



Measurement Issues: Baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve which was the most current available when goal was developed. 1997 number is a projection based on data through OCT. The associated measure was changed from "pounds of debris" to "number of marine debris items" for better measurement. Data on debris items obtained from the Center for Marine Conservation, "National Coastal Cleanup Results." A recent National Marine Fisheries Service study corroborated CMC data trends. Confidence in the measure is moderate.
Causal Factors to be Addressed:

- Trash items from fishing vessels, cruise ships, cargo ships.
- Galley waste.
- Fishing net fragments.

Strategies to Achieve Target:

Ongoing Strategies:

- Enforce MARPOL regulations.
- Promote educational initiatives such as the Sea Partners program which seeks to educate maritime users about the detrimental effects of maritime pollution, and the laws prohibiting discharge of plastic into the water.
- Promote use of port disposal facilities.

Efficiency Strategies:

- Develop risk and performance based standards to reduce garbage and plastics discharge.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
None		

External Factors:

- Number of debris items is affected by land-based debris sources.
- Economic factors affect regulation compliance by industry.

Other Related Government Programs:

- Environmental Protection Agency: Pollution Prevention - Focuses on inland pollution, coordinates with the Coast Guard.

Encl (1) to COMDTINST 16010.8

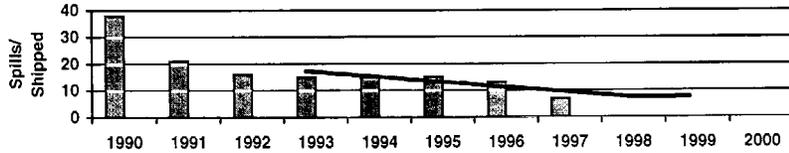
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PROTECTION OF NATURAL RESOURCES

Goal P3: Eliminate oil spills greater than 10,000 gallons.

FY99 Target: Reduce the total rate of oil spills over 10,000 gallons by 50%, from the FY93 baseline of 17 gals spills/billion tons shipped to 8 gals spilled/billion tons shipped.

Measure: Number of spills over 10,000 gallons per billion tons shipped.



Measurement Issues: Baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve which was the most current available when goal was developed. Data on oil spilled obtained from the Coast Guard Marine Safety Information System. Data on waterborne shipments of oil obtained from Army Corps of Engineers "Waterborne Commerce Statistics. Only spills from regulated vessels and facilities are counted. Data obtained from the Coast Guard Marine Safety Information System is validated by program managers and corrected to the extent possible, but some error exists. Confidence in measure is high.

Causal Factors to be Addressed:

- Tank barges are the major source of spills, accounting for approximately 40% of incidents, including 5 of 7 major spills.
- Tank ship accidents pose a threat of catastrophic pollution.

Strategies to Achieve Goals:

Ongoing Strategies:

- Partner with industry trade groups to focus efforts on preventing pollution from tank ships and barges.
- Promote recommendations for reducing oil spills during operations such as oil transfers.
- Improve the knowledge, and skills of industry personnel.
- Focus on reducing the impact of human error on pollution incidents.
- Enforce applicable laws and regulations.
- Conduct the Merchant Marine Licensing and Documentation program.
- Use research and development to improve planning, management, and training; and support Interagency Ship Structure Committee (SSC) research. Application of this research results in improved design, materials, construction, and maintenance of ship structures which results in vessels that are less likely to suffer hull failure and better able to sustain damage, thus reducing the potential for oil discharge.

New Strategies:

- Modernize distress communications to create a fully integrated system that permits distress, safety, and law enforcement interaction between the Coast Guard and mariners.
- Reduce pollution causing accidents by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS.)
- Employ risk management and forecasting tools.
- Pursue regulatory activity to implement provisions of the Oil Pollution Act of 1990 that require tank vessel and facilities carrying/ transferring bulk hazardous substances to develop and operate in accordance with an approved response plan.
- Pursue regulatory activity to establish a barge numbering system that would allow identification of barge owners, and help prevent abandoned barges that become pollution hazards.

Efficiency Strategies:

- Employ the "Prevention through People" philosophy to identify the human causal factors in pollution incidents and focus on education of mariners and industry to reduce these factors without increasing resources.
- Pursue risk management practices to optimize allocation of resources by prioritizing different types of marine accidents.

Partner with states, industry, and trade groups to improve mariner knowledge, identify causal factors in accidents. Partnerships promote industry self regulation. Partnerships include the Passenger Vessel Association, American Waterways Operators, American Petroleum Institute, U.S. Chamber of Shipping, International Council of Cruise Lines. Implement the Alternative Compliance Program (ACP) to shift inspection responsibilities to classification societies such as the American Bureau of Shipping which already conduct inspections for insurance and business purposes.

Realign the Container Inspection Program for hazardous material. Capability to carry out inspections has been generated in other agencies including Customs, Agriculture, Defense, and the National Cargo Bureau, allowing the Coast Guard to make some reductions by concentrating inspections in strategic ports recognized under the National Port Readiness Network.

Replace aging buoy tenders with more capable ones with built-in oil skimming capabilities, to reduce the overall number of assets, people, and maintenance resources required to provide the same level of performance. Buoy tenders maintain aid to navigation infrastructure that minimizes pollution causing incidents such as collisions and groundings.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Secondary
AC&I	Coastal Buoy Tender (WLM) Replacement	Secondary
AC&I	Stern Loading Buoy Boat Replacement	Secondary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	Ports & Waterways Safety System (PAWSS)	Secondary
AC&I	National Distress System Modernization	Secondary
AC&I	Waterways Aids to Navigation Projects	Secondary
RDT&E	Marine Environmental Protection	Primary
RDT&E	Support Interagency Ship Structure Cmte	Primary
OE	Commission 1 Coastal Buoy Tender	Secondary
OE	Commission 1 Seagoing Buoy Tender	Secondary

External Factors:

Economic factors and government action affect regulation compliance by industry.

Other Related Government Programs:

Department of Transportation/Research and Special Projects Administration: Waterfront Facilities -Coordinates regulation of facilities with the Coast Guard.

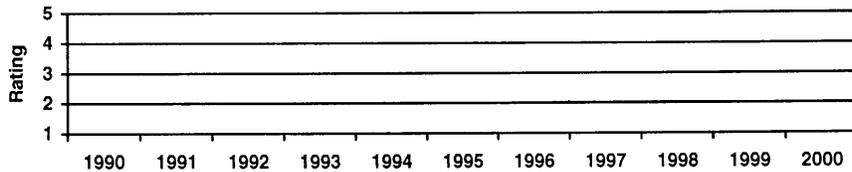
Evaluation Plan: The Coast Guard will conduct a program evaluation of the Port State Control Program and the Elimination of Substandard Vessels Initiative. The purpose of this evaluation is to determine the impact of the initiative on reducing oil spills and marine casualties by eliminating noncompliant foreign flag vessels from operating in U.S waters. Although the methodology is still being developed, the evaluation will likely take the form of a longitudinal analysis of spills and casualties before and after implementation of the Elimination of Substandard Vessel initiative. Estimated completion date is 2000. Evaluation of other areas of this performance goal will be developed.

PROTECTION OF NATURAL RESOURCES

Goal P4: Eliminate the adverse impact of pollution incidents on the marine environment.

FY99 Target: Achieve a pollution response rating of P3 for all Coast Guard federal on-scene coordinators..

Measure: Percentage of Coast Guard federal on-scene coordinators that meet a pollution readiness rating of P3.



Measurement Issues: This measure replaces the previous oil removal rate measure contained in the FY98 performance plan. Attempts over the past 4 years to use oil removal rates as a measure of response effectiveness presented significant validity problems. Spill removal data is susceptible to bias in the form of underestimated spill sizes and inflated removal amounts. Removal estimates are confounded by the dynamics of weathering. The problems that make removal rates a poor performance management measure have resulted in a reevaluation to develop a better indicator of pollution response effectiveness and readiness. A rating system consisting of a multi-factor matrix that calculates an overall preparedness value is being developed and will be implemented during FY98. This system will be similar to the DOD's Status of Readiness and Training System (SORTS). An additional measure evaluating the effectiveness of federal response to spills over 1000 gallons is also under development.

Causal Factors to be Addressed:

Tank barges are major source of spills, accounting for approximately 40% of incidents, 5 of 7 major spills.

Tank ship accidents pose a threat of catastrophic pollution.

Response organization among federal, state, and industry stakeholders must be unified.

Strategies to Achieve Target:

Ongoing Strategies:

Maintain a high level of response preparedness.

Employ the National Response System.

Continue international cooperative preparedness efforts.

Develop tools to assure better spill response.

Exercise agency ability to respond to a catastrophic spill (Spill of National Significance.)

Use research and development to improve pollution response, including developing predictive models for response equipment, and evaluation of in-situ burning as a response tool.

New Strategies:

Enhance data systems to support analysis preparedness level.

Employ alternate response technology in addition to traditional mechanical recovery.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	National Distress System Modernization	Secondary
RDT&E	Marine Environmental Protection	Primary

External Factors:

Success in the removal of spilled oil is dependent on type of petroleum product spilled, weather, sea conditions, local geography, and length of time oil is in water.

Location dictates removal rate: shoreside spills have high removal rates, offshore spills have lower rates.

Other Related Government Programs:

Environmental Protection Agency: Pollution Response - Focuses on inland pollution, coordinates with the Coast Guard.

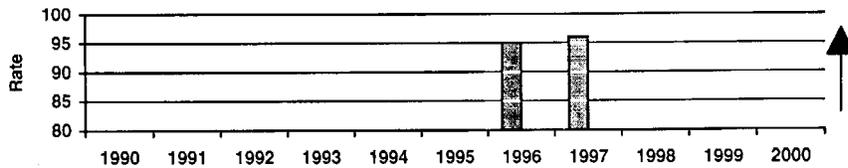
Federal Emergency Management Administration: Emergency Response - Coordinates with the Coast Guard.

PROTECTION OF NATURAL RESOURCES

Goal P5: Improve the health of fish and other living marine resource stocks.

FY99 Target: Maintain fish and other living marine resource stocks by maintaining a 95% or better compliance with federal regulations.

Measure: Observed rate of compliance with federal fisheries regulations.



Measurement Issues: The Coast Guard closely coordinates with the National Marine Fisheries Service (NMFS) to achieve the common outcome of improving and sustaining the health of our living marine resources. In this partnership, NMFS develops biologically effective living marine resource management plans and establishes regulations that guide the enforcement of these plans. The Coast Guard assists in developing the regulations and is the primary agency for carrying out enforcement activities. This is an interim measure that gauges Coast Guard enforcement performance; it seeks to measure the reduction in regulation violations due to Coast Guard activity. This measure supports the NMFS performance objectives "Maintain all stocks known to be healthy at levels that support the maximum sustainable yield" and "Increase observed compliance with spatial and temporal regulations for fisheries." The Coast Guard is working with NMFS to develop cross cutting goals that will measure success in achieving the outcome of improved living marine resources. The Coast Guard Data is collected from field units through the Coast Guard Planning and Assessment System; it is validated by program managers. Confidence in the measure is high. In the interim, until a more accurate indicator is developed, observed compliance rate will be used. This should be established in FY98.

Selected Program Standards/Customer Service Standards:

- Monitor high threat areas to detect 80% of all significant violations or suspected violations.
- Intercept every known suspect detected.
- Respond to all known significant violations in progress.

Causal Factors to be Addressed:

- Overfishing of stocks reduces overall health and abundance.
- Environmental factors, and pollution causes health to decline.

Strategies to Achieve Targets:

Ongoing Strategies:

- Enforce living marine resource regulations.
- Develop enforcement plans in conjunction with the National Marine Fisheries Service.
- Use research and development to improve vessel detection capability. This will facilitate monitoring and boarding of vessels and assist in ensuring compliance.

New Strategies:

- Acquire an additional cutter, and update sensors and equipment to maintain an effective presence in fishery areas to deter regulation violations.
- Pursue regulatory activity regarding ballast water management practices for ships, including ships claiming no ballast on board, that will help protect native living marine resources from harm by invasive species.

Efficiency Strategies:

- Partner with the National Marine Fisheries Service to pursue violations.
- Work with the fisheries industry to develop efficient and effective ways of management and enforcement.
- Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Primary
AC&I	USS EDENTON Conversion to USCG Cutter	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	Surface Search Radar Replacement	Secondary
AC&I	HH-65 Kapton Wire Replacement	Primary
AC&I	HH-65 Mission Computer Unit Replacement	Primary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Upgraded Navigation	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	Aviation Logistics Management Info System	Secondary
AC&I	National Distress System Modernization	Secondary
RDT&E	Comprehensive Law Enforcement	Primary
OE	Ex USS EDENTON Follow-on	Primary

External Factors:

Economic health of fishing industry affects propensity for compliance with regulations.

Content and wording of federal fishing regulation affects ability to enforce compliance.

Scientific errors in resource management estimates can degrade effectiveness of regulation enforcement.

Environmental factors can affect fisheries stock health.

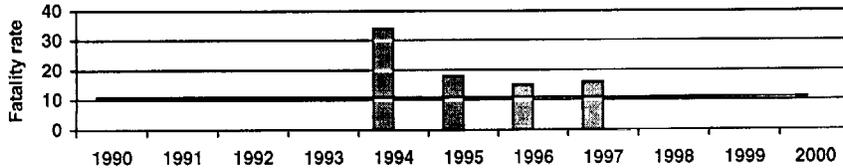
Other Related Government Programs:

Department of Commerce/National Marine Fisheries Service: Fisheries Enforcement - NMFS establishes fisheries management plans, and conducts primary shoreside enforcement of regulations. The Coast Guard provides input to the management plans and conducts at-sea enforcement of regulations.

State and Local enforcement organizations - Coordinate with the Coast Guard.

PROTECTION OF NATURAL RESOURCES

Goal P6: Eliminate losses of threatened or endangered species from fishing.
FY99 Target: Hold the loss rate of threatened or endangered species at or below a 10% fatality rate.
Measure: Fatality rate for Kemp-Ridley turtle.



Measurement Issues: The fatality rate for Kemp-Ridley turtles is an interim proxy measure for all endangered species. It was selected as a starting point because data was available for performance analysis. Data for this and other fatality rates will be further developed and aggregated in order to present a comprehensive measure of endangered species. Data is obtained from the National Marine Fisheries Service (NMFS). Confidence in the measure is moderate.

Selected Program Standards/Customer Service Standards:

- Respond to all known significant violations in progress.
- Monitor high threat areas to detect 80% of all significant violations or suspected violations.
- Annually board 20% of the U.S. fishing fleet operating in high threat areas.

Causal Factors to be Addressed:

- Illegal fishing of protected species.
- Unintentional by-catch of protected species.
- Environmental factors, and pollution causes fatalities.

Strategies to Achieve Targets:

Ongoing Strategies:

- Enforce living marine resource regulations.
- Develop enforcement plans in conjunction with the National Marine Fisheries Service.
- Use research and development to improve vessel detection capability. This will facilitate monitoring and boarding of vessels and assist in ensuring compliance.

New Strategies:

- Acquire an additional cutter, and update sensors and equipment to maintain an effective presence in fishery areas to deter regulation violations.
- Improve communications and sensors to increase capability to detect violations.
- Pursue regulatory activity regarding ballast water management practices for ships, including ships claiming no ballast on board, that will help protect native living marine resources from harm by invasive species.

Efficiency Strategies:

- Partner with the National Marine Fisheries Service to pursue violations.
- Work with the fisheries industry to develop efficient and effective ways of management and enforcement.
- Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Primary
AC&I	USS EDENTON Conversion to USCG Cutter	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Primary
AC&I	Surface Search Radar Replacement	Secondary
AC&I	HH-65 Kapton Wire Replacement	Primary
AC&I	HH-65 Mission Computer Unit Replacement	Primary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Upgraded Navigation	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	Aviation Logistics Management Info System	Secondary
AC&I	National Distress System Modernization	Secondary
RDT&E	Comprehensive Law Enforcement	Primary
OE	Ex USS EDENTON Follow-on	Primary

External Factors:

Economic health of fishing industry affects propensity for compliance with endangered species regulations.

Content and wording of federal fishing regulation affects ability to enforce compliance.

Environmental factors can affect fatality rates.

Other Related Government Programs:

Department of Commerce/National Marine Fisheries Service: Fisheries Enforcement - NMFS establishes fisheries management plans, and conducts primarily shoreside enforcement of regulations. The Coast Guard provides input to the management plans and conducts at-sea enforcement of regulations.

State and Local enforcement organizations - Coordinate with the Coast Guard.

**Workload Data and Projected FY99 Activity Levels to Achieve
Protection of Natural Resources Performance Goals**

The following workload data illustrate the type and level of activity that the Coast Guard undertakes in order to achieve its performance targets and advance toward its strategic goals.

Marine Environmental Protection Workload

	1993	1994	1995	1996	1997
U.S. Vessel/Barge Inspections	34,056	34,951	34,183	33,947	32,286
Foreign Vessel Inspections	16,450	19,810	20,854	18,797	19,798
Facility Inspections	10,525	9,858	7,416	6,802	6,898
Marine Casualty Investigations	7,559	8,293	8,130	8,203	6,981
Pollution Responses	16,363	18,273	16,741	16,098	13,654

Partnerships: Industry partnerships are central to Coast Guard's efforts to reduce casualties and minimize environmental damage associated with waterborne transportation. The Coast Guard has formal partnerships with the American Waterways Operators (AWO), the Passenger Vessel Association (PVA), the International Council of Cruise Lines (ICCL), and a joint partnership with the American Petroleum Institute (API) and U.S. Chamber of Shipping (USCS). The 50% reduction in the towing industry fatality rate over the past five years is believed to be a direct result of the AWO partnership. The Coast Guard is committed to these efforts and expects to reduce the risks of marine casualties and loss of life further through continued dialogue and cooperative efforts.

Prevention Through People Program: The Coast Guard initiative, Prevention Through People (PTP), is a systematic people-focused approach to reducing marine casualties and pollution. It addresses the root cause of over 80 per cent of accidents - the human element. From the PTP program's beginning in 1994, the Coast Guard and maritime industry have worked together to ensure that both government and industry needs are met. With the help of the PTP "Champions" (marine industry executives committed to safety and environmental protection), the Coast Guard developed a PTP strategic plan that focuses prevention efforts on casualties caused by human error. This initiative is instrumental in promoting Coast Guard and industry research that explores the human factor in accidents and suggests appropriate interventions.

	1997	1998	1999
Cutter operating hours:			
All fisheries enforcement	97,402	105,000	105,000
Aircraft flight hours:			
All fisheries enforcement	15,760	16,000	15,100
Fisheries enforcement boardings	12,449	13,000	13,000

Fiscal Year	CUTTER RESOURCE HOURS FOR FISHERIES LAW ENFORCEMENT (1)							
	1st District	5th District	7th District	8th District	11th District	13th District	14th District	17th District
TOTAL								
1992	24,146	6,430	4,946	8,561	6,596	7,700	4,063	22,965
85,407								
1993	24,578	5,356	5,222	9,416	8,312	8,179	6,548	24,958
92,569								
1994	21,987	5,474	5,599	9,035	7,999	7,797	8,023	25,886
91,800								
1995	24,473	7,816	7,450	14,126	8,005	11,058	9,374	26,190
108,492								
1996	19,420	5,698	7,159	11,757	7,072	10,076	13,433	30,583
105,198								
1997	22,915	7,439	5,485	8,703	6,573	8,834	9,742	25,678
95,369								

The noticeable decrease in the 7th and 8th district fisheries resource hours is the result of increased emphasis towards counter-drug law enforcement in the Atlantic Area.

1. Total does not include Great Lakes fisheries law enforcement, or international fisheries activities not captured within a district.

Fiscal Year	AIRCRAFT RESOURCE HOURS FOR FISHERIES LAW ENFORCEMENT (1)							
	1st District	5th District	7th District	8th District	11th District	13th District	14th District	17th District
TOTAL								
1992	1,722	303	693	1,097	5,019	1,935	966	3,540
15,275								
1993	1,475	304	278	1,055	4,864	2,249	979	3,977
15,181								
1994	1,856	310	583	1,313	5,552	1,934	1,223	3,574
16,345								
1995	2,286	706	759	1,911	4,012	1,319	1,576	3,537
16,106								
1996	2,225	1,143	386	1,861	2,975	1,088	1,744	4,228
15,650								
1997	2,698	1,094	305	1,400	2,052	1,263	1,738	4,317
14,867								

The overall increase in District Five aircraft hours is due to efforts to gain a baseline of fishing vessel activity in the Mid-Atlantic region.

1. Total does not include Great Lakes fisheries law enforcement, or international fisheries activities not captured within a district.

REGION	COAST GUARD FISHERIES VIOLATIONS					
	FY 1992	FY 1993	FY 1994	FY 1995	FY 1996	FY 1997
NORTHEAST: 1st and 5th Districts						
New England and Mid-Atlantic	465	441	387	273	256	309
SOUTHEAST: 7th and 8th Districts						
Atlantic, Caribbean, and Gulf of Mexico	208	431	530	460	278	239
NORTHWEST: 11th and 13th Districts						
Pacific Coast	201	253	153	14	40	21
SOUTHWEST: 14th District						
Hawaii, Western Pacific	41	96	120	36	17	20
ALASKA: 17th District	378	475	294	100	145	36
TOTAL	1,293	1,696	1,484	883	736	625

There has been a sharp decline in Southeast fisheries violations with respect to Turtle Excluder Device (TED) regulations. In Fiscal Years 1994 and 1995, the 8th District recorded 238 and 235 TEDS violations respectively. In FY 1996, only 65 TEDS violations were documented. This decrease can be attributed to the Coast Guard's and National Marine Fisheries Service's cooperative education efforts, open forums and pulse operations from 1994-1996, resulting in increased compliance. Southwest fisheries violations decreased as a result of the maturation of the vessel monitoring program on both foreign and domestic fishing vessels. Additionally, in 1996, crustacean fisheries in District Fourteen waters were closed.

The significant reduction in FY 1997 fisheries violations in the 17th District is attributed to the heavy emphasis placed on patrolling the U.S./Russian Maritime boundary as a result of unprecedented illegal foreign fishing in U.S. waters, north of the Donut Hole. Nearly constant patrolling of the boundary minimized coverage of offshore domestic fisheries in the Bering Sea and Gulf of Alaska.

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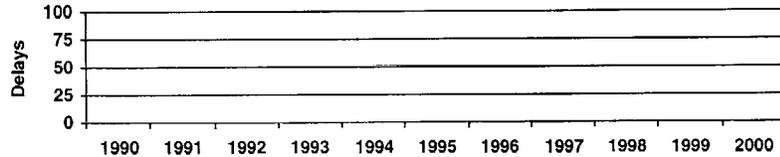
Mobility Performance Goals

MOBILITY

Goal M1: Eliminate sources of delay to commercial mariners.

FY99 Target: Reduce identified sources of delay to commercial mariners by X% from FY96 baseline.

Measure: Prioritized profile of waterway delay sources identified by commercial mariners.



Measurement Issues: Data to be developed. This is a revised measure based on a customer interaction survey of commercial mariners which identifies the most prevalent delays experienced, focuses Coast Guard activities on reducing these delays, and repeats the survey to measure any change. The initial survey was successfully tested the

Houston-Galveston area. Procedures for wider implementation of this concept are being developed.

Causal Factors to be Addressed:

- High maritime traffic volume.
- Aid to navigation outage or out of position.
- Depth of channel.
- Shoaling in channel.
- Vessels too large for channel.
- Special operations.
- Incidents which require Captain of the Port closure.
- Severe weather.

Strategies to Achieve Target:

Ongoing Strategies:

- Coordinate with other agencies and industry groups such as the Interagency Committee for Waterways Management to encourage joint problem solving.
- Continue to implement the Differential Global Positioning System (DGPS) for marine navigation.
- Coordinate with bridge owners to alter bridges that present an impediment to navigation.
- Develop bridge regulations that facilitate the movement of intermodal traffic.
- Use research and development to improve waterways management, including development of the computerized Waterways Evaluation Tool (WET), and a set of key navigational requirements for user groups.
- Develop the annual Federal Radionavigation Plan for the effective management of all federal radionavigation systems.
- Establish new and improved navigation marks to mark Corps of Engineers improved waterways and areas in need of additional marking.

New Strategies:

- Modernize communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.
- Enhance port safety by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS).
- Pursue regulatory activity to improve the aids to navigation system by consolidating and eliminating differences between the Uniform State Waterway Marking System and the U.S. Aids to Navigation System.

Efficiency Strategies:

- Replace the aging buoy tender fleet with new vessels, providing essential navigation services with less resources by leveraging technology.
- Automate Local Notice to Mariner service to make the availability of navigation information more efficient.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Primary
AC&I	Coastal Buoy Tender (WLM) Replacement	Primary
AC&I	Stern Loading Buoy Boat Replacement	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Secondary
AC&I	National Distress System Modernization	Secondary
AC&I	Ports & Waterways Safety System (PAWSS)	Primary
AC&I	COMMSYS 2000	Primary
AC&I	DGPS Phase III	Primary
AC&I	Local Notice to Mariners Automation	Primary
AC&I	Waterways Aids to Navigation Projects	Primary
RDT&E	Waterways Management & Aids to Navigation	Primary
OE	Commission 1 Coastal Buoy Tender	Primary
OE	Commission 1 Seagoing Buoy Tender	primary

External Factors:

Severe weather such as a hurricane that degrades an entire aids to navigation system in a particular area.
 Some sources of delay and disruption require action by other government agencies.
 The full benefit of DGPS implementation can only be realized with the continued cooperation of other agencies.

Other Related Government Programs:

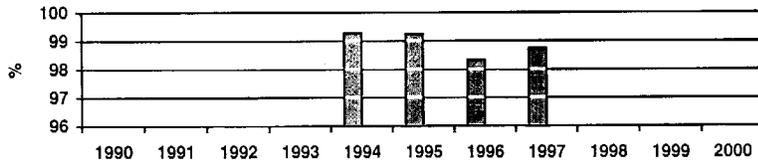
Department of Defense/Army Corps of Engineers: Navigation projects - Focuses on infrastructure such as dredging; coordinates with the Coast Guard through venues such as Interagency Coordination Committee on Waterways Management.
 Department of Transportation/Maritime Administration: Navigation projects - Focuses on shoreside infrastructure; coordinates with Coast Guard through venues such as Interagency Committee for Waterways Management.
 Department of Transportation/Federal Aviation Administration: Radionavigation - Coordinates with the Coast Guard. The nationwide Digital Global Positioning System being developed is a current coordination issue.
 State and Local Governments: Coordinate with the Coast Guard.

MOBILITY

Goal M2: Maximize vessel mobility within ports and waterways.

FY99 Target: Maintain navigation aid availability at 99.7%.

Measure: Aid station days - discrepancy days/aid station days.



Measurement Issues: Interim measure - outcome measure to be developed. Aid availability is a measure of the maintenance of established aids to navigation. It measures program effort, reliability of equipment, and personnel performance. This measure tends to overstate the discrepancy time of the aids to navigation system: a single aid outage usually does not degrade a waterway's entire aid system and vessels are still able to transit normally. Complete system outages are rare, and usually result from severe weather incidents such as hurricanes. While aid availability is not a true outcome measure, it does bear on the level of mobility through navigable waterways. Future measures may center more directly on movement of commerce, or accident prevention. Confidence in measure is moderate.

Causal Factors to be Addressed:

- Aid to navigation outage or out of position.
- Vessel allisions with aids.
- Poor channel markings.
- Obstruction in waterway.

Strategies to Achieve Target:

Ongoing Strategies:

- Coordinate with other agencies and industry groups such as the Interagency Committee for Waterways Management to encourage joint problem solving.
- Use research and development to improve waterways management, including the computerized Waterways Evaluation Tool (WET) and other projects for establishing the appropriate mix of navigation systems.
- Establish improved navigation marks for mobility and safety in locations of need.
- Develop the annual Federal Radionavigation Plan for the effective management of all federal radiaonavigation systems.

New Strategies:

- Commence projects to install, replace, and realign navigation aids in coordination with Corps of Engineers channel dredging projects.
- Highlights: Chesapeake Bay, and the Houston Ship Channel.
- Pursue regulatory activity to improve the aids to navigation system by consolidating and eliminating differences between the Uniform State Waterway Marking System and the U.S. Aids to Navigation System.

Efficiency Strategies:

- Replace the aging buoy tender fleet with new vessels, providing essential navigation services with less resources by leveraging technology. Buoy tenders maintain aid to navigation infrastructure which minimizes accidents such as collisions and groundings.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Primary
AC&I	Coastal Buoy Tender (WLM) Replacement	Primary
AC&I	Stern Loading Buoy Boat Replacement	Primary
AC&I	Waterways Aids to Navigation Projects	Primary
RDT&E	Waterways Management & Aids to Navigation	Primary
OE	Commission 1 Coastal Buoy Tender	Primary
OE	Commission 1 Seagoing Buoy Tender	Primary

External Factors:

Severe weather such as a hurricane that degrades an entire aids to navigation system in a particular area
Some sources of delay and disruption require action by other government agencies

Other Related Government Programs:

Department of Defense/Army Corps of Engineers: Navigation projects -
Focuses on infrastructure such as dredging;
Department of Transportation/Maritime Administration: Navigation projects - Focuses on shoreside infrastructure; coordinates with Coast Guard through venues such as Interagency Committee for Waterways Management.

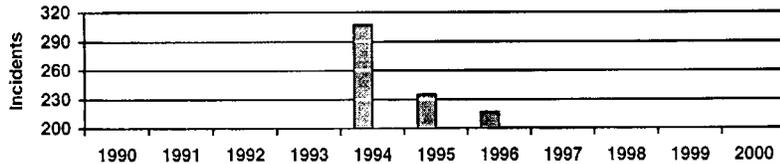
Evaluation Plan: The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, aids to navigation, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

MOBILITY

Goal M3: Eliminate vessel collisions, allisions, and groundings.

FY99 Target: Reduce the number of vessel collisions, allisions, and groundings by X% from the baseline.

Measure: Number of collisions, allisions, and groundings of freight and tank ships over 500 gross tons.



Measurement Issues: This is a new measure designed to gauge how well the Coast Guard prevents incidents detrimental to the efficient movement of vessels in ports and waterways. A goal target will be set once the historical data has been analyzed and a baseline has been established. Possible future refinements may include normalizing data against the number of vessel transits, excluding incidents not preventable by Coast Guard activities, and quantifying the number of Coast Guard interventions that prevented a dangerous incident from occurring. Data is obtained from the Coast Guard Marine Safety Information System. Data is validated by program managers. Confidence in measure is high.

Causal Factors to be Addressed:

- Human error.
- High maritime traffic volume.
- Aid to navigation outage or out of position.
- Poor channel markings.
- Obstruction in waterway.
- Lees than optimal bridge span placement or design.
- Shoaling in channel.
- Low visibility weather.

Strategies to Achieve Target:

Ongoing Strategies:

- Coordinate with other agencies and industry groups such as the Interagency Committee for Waterways Management to encourage joint problem solving.
- Partner with state governments, industry, and trade groups to improve mariner knowledge and skills and reduce human error.
- Continue to implement the Differential Global Positioning System (DGPS) for marine navigation.
- Coordinate with bridge owners to ensure bridges present a minimal impediment to navigation.
- Develop bridge regulations that facilitate the movement of intermodal traffic.
- Develop the annual Federal Radionavigation Plan for the effective management of all federal radiaonavigation systems.
- Use research and development to improve waterways management including development of the Port Operations Information for Safety and Efficiency (POISE) system that will improve transmission of key vessel traffic information.

New Strategies:

- Modernize communications to create a fully integrated system that permits distress, safety, law enforcement interaction between the Coast Guard and mariners.
- Enhance port safety by establishing Vessel Traffic Services as part of the Ports and Waterways Safety System (PAWSS).
- Enhance data systems used in the analysis of causal factors.

Efficiency Strategies:

- Replace the aging buoy tender fleet with new vessels, providing essential navigation services with less resources by leveraging technology. Buoy tenders maintain aid to navigation infrastructure which minimizes accidents such as collisions and groundings.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Primary
AC&I	Coastal Buoy Tender (WLM) Replacement	Primary
AC&I	Stern Loading Buoy Boat Replacement	Primary
AC&I	Marine Info for Safety & LE (MISLE)	Secondary
AC&I	National Distress System Modernization	Secondary
AC&I	Ports & Waterways Safety System (PAWSS)	Primary
AC&I	COMMSYS 2000	Primary
AC&I	DGPS Phase III	Primary
AC&I	Waterways Aids to Navigation Projects	Primary
RDT&E	Waterways Management & Aids to Navigation	Primary
OE	Commission 1 Coastal Buoy Tender	Primary
OE	Commission 1 Seagoing Buoy Tender	primary

External Factors:

Severe weather such as a hurricane that degrades an entire aids to navigation system in a particular area.
 The full benefit of DGPS implementation can only be realized with the continued cooperation of other agencies.

Other Related Government Programs:

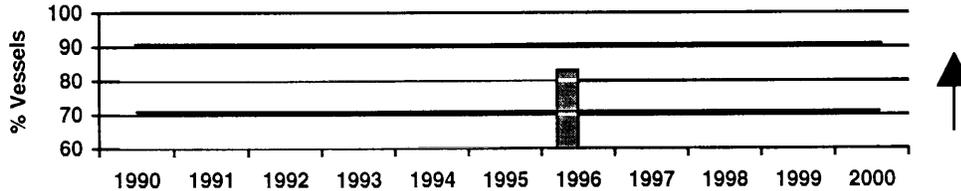
Department of Defense/Army Corps of Engineers: Navigation projects -
 Focuses on infrastructure such as dredging;
 Department of Transportation/Maritime Administration: Navigation projects -
 Focuses on shoreside infrastructure; coordinates with Coast Guard through venues such as Interagency Committee for Waterways Management.
 State and private sector: Pilot associations and private traffic services provide assistance that complements Coast Guard functions.

Evaluation Plan: The Coast Guard will conduct a program evaluation of its maritime safety programs. The purpose of this evaluation is to determine the impact that education, regulation, inspection, aids to navigation, and rescue activities have on maritime-related fatalities, injuries and property damage. The evaluation will allow the Coast Guard to assess the combined and disaggregated contributions of these activities, and provide information to determine the optimal mix of prevention and mitigation safety strategies.

MOBILITY

Goal M4: Eliminate delays to commerce caused by ice and navigation hazards.
 FY99 Target: Minimize delays to commerce caused by ice and navigation hazards by ensuring 90% of vessels are able to transit at 3 knots or better during average severity winters, or 70% of vessels during severe winters.

Measure: Percentage of vessel transits made at 3 knots or better in the St. Mary's River during the ice seasons.



Measurement Issues: This is a new goal and measure added to reflect the Coast Guard's contribution to Mobility from domestic ice breaking. St. Mary's River is a major passage for Great Lakes Shipping. Winter conditions are defined by a severity index (-6.2 or milder defines average severity; more than -6.2 defines severe; FY96 was a severe winter.) Data obtained from the Coast Guard and the Army Corps of Engineers. It is validated by program managers. Data for other Great Lakes locations to be developed.

Selected Program Standards/Customer Service Standards:
 Respond to requests from vessels beset or stranded in ice within 2 hours of notification.
 Relieve ice jams prior to water level exceeding flood stage with a minimum notification of 24 hours.

Causal Factors to be Addressed:
 Ice blockage reduces mobility and delays navigation.

Strategies to Achieve Target:

Ongoing Strategies:
 Conduct icebreaking escorts of commercial vessels.
 Establish and maintain ice-free tracks.
 Free vessels beset in ice.

Efficiency Strategies:
 Replace the aging buoy tender fleet with new vessels, providing essential navigation services with less resources by leveraging technology. Buoy tenders perform icebreaking as secondary missions.
 Lay up the icebreaking tug MORRO BAY. Current workload does not justify its operation in a highly constrained budget environment.

New Resources that will Support Strategies:		Goal Contribution:
Acct	Item	
AC&I	Seagoing Buoy Tender (WLB) Replacement	Secondary
AC&I	Great Lakes Icebreaking	Primary
OE	Commission 1 Seagoing Buoy Tender	Secondary

External Factors:
 Some sources of delay and disruption require action by other government agencies.
 Icebreaking performance is affected by ice thickness which is linked to the severity of winter weather patterns.

Other Related Government Programs:
 Canadian Coast Guard: U.S. and Canada operate under a cooperative agreement to meet icebreaking requirements in the Great Lakes and Saint Lawrence Seaway.
 Private sector: Very limited icebreaking capabilities provided by commercial tugs at the request of commercial carriers.

Encl (1) to COMDTINST 16010.8

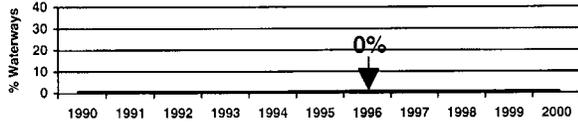
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MOBILITY

Goal M5: Maintain the navigation season in ice-bound areas of the Great Lakes where such service is in the national interest.

FY99 Target: 0% of designated critical waterways closed during the open shipping season.

Measure: Percentage of critical waterways closed for more than 2 days if winter is of average severity, or 8 days if winter is severe during the open shipping season.



Measurement Issues: This is a new goal and measure added to reflect the Coast Guard's contribution to Mobility from domestic ice breaking. Seven waterways have been identified as critical to Great Lakes icebreaking based on historical ice conditions, volume of traffic, and potential for flooding. FY96 data indicates 0% of waterways were closed for more than 8 days (FY96 was a severe winter.) Data for FY96 reflects initial measurement methodology; further data capture refinements will be developed. Winter conditions are defined by a severity index (-6.2 or milder defines average severity; more than -6.2 defines severe.) Data obtained from the Coast Guard and the Army Corps of Engineers. It is validated by program managers.

Selected Program Standards/Customer Service Standards:

Respond to requests from vessels beset or stranded in ice within 2 hours of notification.

Relieve ice jams prior to water level exceeding flood stage with a minimum notification of 24 hours.

Causal Factors to be Addressed:

Ice blockage reduces mobility and delays navigation.

Strategies to Achieve Target:

Ongoing Strategies:

- Conduct icebreaking escorts of commercial vessels.
- Establish and maintain ice-free tracks.
- Free vessels beset in ice.

Efficiency Strategies:

- Replace the aging buoy tender fleet with new vessels, providing essential navigation services with less resources by leveraging technology. Buoy tenders perform icebreaking as secondary missions.
- Lay up the icebreaking tug MORRO BAY. Current workload does not justify its operation in a highly constrained budget environment.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Seagoing Buoy Tender (WLB) Replacement	Secondary
AC&I	Great Lakes Icebreaking	Primary
OE	Commission 1 Seagoing Buoy Tender	Secondary

External Factors:

- Some sources of delay and disruption require action by other government agencies.
- Icebreaking performance is affected by ice thickness which is linked to the severity of winter weather.

Other Related Government Programs:

- Canadian Coast Guard: U.S. and Canada operate under a cooperative agreement to meet icebreaking requirements in the Great Lakes and Saint Lawrence Seaway.
- Private sector: Very limited icebreaking capabilities provided by commercial tugs at the request of carriers

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**Workload Data and Projected FY99 Activity Levels to Achieve
Mobility Performance Goals**

The following workload data illustrate the type and level of activity that the Coast Guard undertakes in order to achieve its performance targets and advance toward its strategic goals.

Aids to Navigation Workload

	1997 actual	1998 estimate	1999 estimate
Federal floating aids^1	14,059	14,200	14,500
Federal fixed aids	22,716	23,000	23,200
Private aids authorized	48,587	50,000	50,500
Total VTS transits	1,073,864	1,202,727	1,347,054
Bridge permits/regulation actions	837	879	999
Truman-Hobbs Bridge Alteration Investigations/Orders to Alter	0	2	2

1. Excludes aids on the Western Rivers and waters of the 8th Coast Guard District, which can vary widely in number because of fluctuations in river levels. This value fluctuates from between 8,000 to 15,000 aids in any given year. These aids are also unique in that, due to the nature of the operating environment, they have a very high loss rate and require higher than average replacement.

Truman-Hobbs Act: Order to Alter

The following major bridge projects are currently under an "Order to Alter" or have been congressionally declared obstructions to navigation under the Truman-Hobbs Act:

- Sidney Lanier Bridge, Burnswick River, Brunswick GA (Highway)
- Florida Avenue Bridge, Inner Harbor Canal, New Orleans LA (Highway/Rail)
- Limehouse Bridge, Stono River, Charleston SC (Highway)
- Chelsea Street Bridge, Chelsea River, Boston MA (Highway)
- Burlington Northern, Upper Mississippi River, Burlington IA (Rail)
- Atchison and Santa Fe, Upper Mississippi River, Fort Madison IA (Rail)
- EJ&E, Illinois Water Way, Pekin IL (Rail)
- Northern Western Company, Upper Mississippi River, Clinton IA (Rail)
- Northern Western Company, Illinois Water Way, Pekin IL (Rail)
- Canadian Pacific Bridge, Upper Mississippi River, Sabula, IA (Rail)
- Louisiana Railroad Bridge, Upper Mississippi River, Louisiana, Missouri.
- Bordeaux Bridge, Bordeaux, TN
- Sooline Bridge, Oshkosh, WI

Ice Operations Workload

	1997 actual	1998 estimate	1999 estimate
Polar Ice Ops Deployment Days	182	181	181
Domestic Ice Ops			
Cutter Operating Hours	4,641	5,000	5,000
Aircraft Operating Hours	336	350	350
Vessels Assisted	273	300	300
International Ice Patrol			
Aircraft Operating Hours	481	500	500

Encl (1) to COMDTINST 16010.8

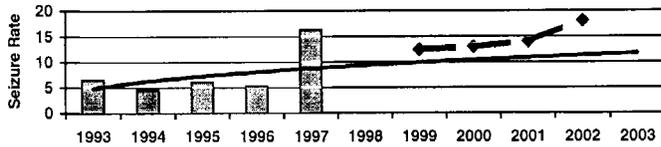
Maritime Security Performance Goals

MARITIME SECURITY

Goal C1: Reduce the flow of illegal drugs by denying maritime smuggling routes as part of the interagency effort to reduce the supply below the national demand level.

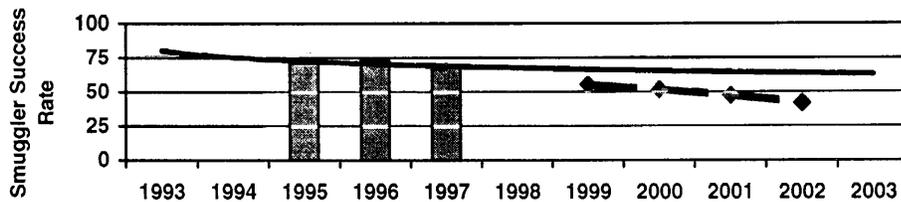
FY99 Target: Increase the seizure rate from the FY 95-97 averaged baseline of 8.7% to 12.5%. Reduce the smuggler success rate from the FY 95 baseline of 71% to 55%.

Measure: Seizure rate = amount of cocaine seized on noncommercial maritime routes/flow of cocaine bound via noncommercial maritime.



Measurement Issues: Seizure rate is one of two measures used to manage Coast Guard activity. It indicates the amount of cocaine seized by the Coast Guard over noncommercial maritime routes expressed as a percentage of the amount shipped to the U.S. via noncommercial maritime routes as determined by ONDCP analysis. This measure is part of the National Drug Control Strategy.

Measure: Smuggler success rate = amount of cocaine entering U.S. via noncommercial maritime/potential undeterred flow of cocaine bound via noncommercial maritime.



Measurement Issues: Baseline data for this measure was improved and refined since publishing the FY99 Performance Plan. Hence, the incremental targets shown here for FY99 are different than the targets in the FY99 Performance Plan. Smuggler success rate captures both the full impact of deterrence that law enforcement activity has on smuggler behavior, and the amount of illegal drugs that are seized as a result of interdiction activity. The smuggler success rate is the amount of cocaine entering the U.S. via non-commercial vessels, expressed as a percentage of all the cocaine that would be transported if the Coast Guard was not present to deter or seize it. Calculating the amount of cocaine that would be shipped with no Coast Guard deterrence is difficult, but the Coast Guard employed a 1989 study by Rockwell International: "Measuring Deterrence - Approach and Methodology" in conjunction with analyses of historical flow patterns, to establish a baseline potential flow figure. The Interdiction Committee has recommended ONDCP has approved an effort to complete follow-on areas of the Rockwell the effects of interdiction on deterrence. Future use of the smuggler success rate measure will be determined by the results of the follow-on study.

Cocaine flow is used in the measures because it is the standard agreed to by the Interagency Community and ONDCP. In dealing with the supply and demand of cocaine, the Coast Guard seeks to impact the supply/demand proportion that is shipped via noncommercial maritime routes. The supply of cocaine (the amount shipped) is obtained from the "Interagency Assessment of Cocaine Movement" (IACM) published semiannually by ONDCP. The proportional demand level of cocaine is calculated by taking ONDCP's official demand figure of 300 metric tons, and multiplying it by the proportion of the total cocaine flow that is shipped via noncommercial maritime routes. Based on data in the 13th edition IACM, an increase to a 18.7% seizure rate and a reduction to a 38% smuggler success rate begins to impact the supply of cocaine transported by noncommercial maritime routes to a proportional level below the national demand level. Confidence in the measure is moderate.

Selected Program Standards/Customer Service Standards:

Monitor high threat areas sufficient to detect 40% of all vessels engaged in or suspected of narcotics trafficking.
Intercept every known narcotics trafficker suspect aircraft and vessel detected.
Respond to all known events in progress.

Causal Factors to be Addressed:

Smuggling via maritime routes is a convenient and efficient method of transporting illegal drugs into the U.S.
Maritime borders are more difficult to control than ports of entry such as airports and highway border crossings.
Illegal drugs can be disguised as or included with legitimate maritime cargo.
Smuggling routes can easily be shifted between different maritime paths, or between land and air alternatives.
The Caribbean maritime routes are overlapped by numerous national jurisdictions which must coordinate strategies in order to develop an effective deterrent.
Other agency counter drug efforts create changes in maritime smuggling that must be counteracted.

Strategies to Achieve Targets:

Ongoing Strategies:

The Coast Guard has developed a 10 year Counterdrug Strategic Plan, aligned with the National Drug Control Strategy, that sets long-range goals, and performance targets. This strategic plan establishes the framework for a collection of individual campaign plans that target the maritime high threat areas. The Coast Guard has also developed a 5 year counterdrug budget forecast that supports the strategic plan, and serves as the basis for our counterdrug performance goal.
Continue to maintain a presence in the maritime environment to deter smugglers and reduce the flow of cocaine below the domestic demand level.
Deploy Coast Guard assets to source and transit zone nations for engagement and training to enhance regional forces' ability to prevent smuggling. Deployments will include UNITAS training and assistance cutter deployments with the U.S. Navy to the Caribbean, South America, and Central America; and training assistance to the Haitian Coast Guard and Peruvian armed forces.
Use research and development to improve detection capability, including identifying new technology to counter threats to CG detection and search devices, resulting in better probability of detecting illegal smuggling.

New Strategies:

Improve tactical effectiveness by employing a new aircraft mounted sensor system.
Establish a Caribbean International Support Tender to provide assistance to and enhance the operational capability of Caribbean regional maritime forces to better address smuggling.

Efficiency Strategies:

Update and rehabilitate assets to maintain current level of performance with less resources because of increased efficiency.
Reallocate available assets to focus on areas of highest threat in support of ONDCP's National Drug Control Strategy.
Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Surface Search Radar Replacement	Secondary
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Secondary
AC&I	HH-65 Kapton Wire Replacement	Secondary
AC&I	HH-65 Mission Computer Unit Replacement	Secondary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HC-130 Sensor Upgrade	Primary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Navigation Upgrade	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	COMMSYS 2000	Secondary
AC&I	Commercial Communication Satellite Upgrade	Primary
AC&I	Coastal Patrol Boats - Drugs	Primary
AC&I	TAGOS	Primary
AC&I	Cutter Comms and Sensors	Primary
AC&I	Deployable Pursuit Boats	Primary
AC&I	Specific Emitter Identification	Primary
AC&I	Maritime Patrol Aircraft	Primary
RDT&E	Comprehensive Law Enforcement	Primary
OE	Enhanced International Engagement in Carib	Secondary
OE	Increase Aviation Capability	Primary
OE	Increase Surface Capability	Primary
OE	Increase C4ISR/Logistics	Primary
OE	Use of Force From Aircraft Policy Initiative	Primary

External Factors:

Domestic and international socio-economic conditions influence the supply and demand of illegal drugs.

Diplomatic relations affects the level of coordination with source countries.

Other law enforcement agency efforts influence the amount of illegal drugs and number of illegal migrants transported via maritime routes. For example, a large pulse effort to decrease the flow across the U.S. southwest land border may cause smugglers to shift transit routes to the maritime region.

Other Related Government Programs:

Office of National Drug Control Policy: Coordinates overall drug policy for both supply and demand control. The Coast Guard's multi-year drug budget is certified by ONDCP, and its Counterdrug Strategic Plan is aligned with ONDCP. The Coast Guard participates in an interagency workgroup under ONDCP guidance to develop cross-cutting goals and measures. It also is working with ONDCP and USCS to validate the Rockwell Deterrence Study in an attempt to assess the deterrent effect of maritime interdiction activity.

Department of State: Coordinates with the Coast Guard to develop international agreements to assist in the interdiction of maritime smuggling, and advises on diplomatic matters relating to maritime smuggling.

Department of Defense: Coordinates with the Coast Guard by providing platforms for CG law enforcement personnel; and providing intelligence, logistics, and detection and monitoring support.

Department of Justice/Drug Enforcement Agency: Drug Enforcement - Coordinates with the Coast Guard where its operations involve maritime transportation. Limited maritime enforcement.

Department of Treasury/Customs Service: Drug Enforcement - Coordinates with the Coast Guard. Customs focuses on arrival zone enforcement within the 12 mile customs waters. The Coast Guard is responsible for all interdiction activity in the maritime transit and arrival zones.

State and Local organizations: Coordinate with the Coast Guard.

WORKLOAD DATA

	1997	1998	1999
	actual	estimate	estimate
Cutter operating hours:	105,224	79,400	79,400
Aircraft flight hours:	18,941	14,300	14,100
Drug-related seizures:			
Seizure cases	122	80	77
Pounds of marijuana	102,538	81,000	78,500
Pounds of cocaine	103,617	92,000	89,000

DRUG INTERDICTION RESOURCE HOURS

The following data reflects Coast Guard cutter and aircraft drug law enforcement resource hours for drug interdiction for fiscal years 1992 through 1997.

CUTTER RESOURCE HOURS

Fiscal Year	Hours
1992	81,468
1993	61,627
1994	39,8251
1995	59,467
1996	69,182
1997	105,224

AIRCRAFT RESOURCE HOURS

Fiscal Year	Hours
1992	15,302
1993	10,336
1994	6,331 ¹
1995	9,405
1996	10,469
1997	18,941

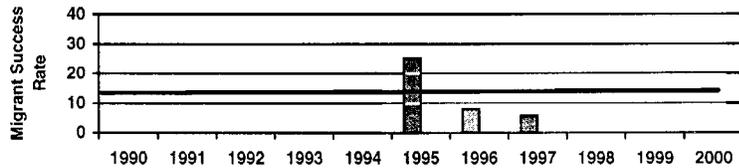
1. Aircraft and cutter hours dedicated to drug law enforcement in 1994 were lower than planned because cutter and aircraft resources were reallocated to respond to the extraordinary mass migrations from Cuba and Haiti.

MARITIME SECURITY

Goal C2: Eliminate the flow of undocumented migrants entering the U.S. via maritime routes.

FY99 Target: Hold the flow of undocumented migrants entering the U.S. via maritime routes to no more than 13% of potential entry attempts.

Measure: Migrant success rate = number of migrants entering U.S. via maritime/number potentially bound for U.S. via maritime.



Measurement Issues: Data obtained from Coast Guard data bases and the Immigration and Naturalization Service. It is validated by program managers. Confidence in the measure is moderate.

Selected Program Standards/Customer Service Standards:

- Monitor high threat areas sufficient to detect 40% of all vessels engaged in or suspected of alien smuggling.
- Intercept 90% of known alien smuggling events detected at sea.
- Respond to all known alien smuggling events in progress.

Causal Factors to be Addressed:

- Smuggling via maritime routes is a convenient and efficient method of transporting undocumented migrants into the U.S.
- Maritime borders are more difficult to control than entry points such as airports and highway border crossings.
- Undocumented migrants can be hidden aboard vessels engaged in legitimate trade or disguised as legitimate crewmembers.

Strategies to Achieve Target:

Ongoing Strategies:

- Establish agreements with source countries to assist in reducing migrant flow. For example, aircraft overflight authority granted by Dominican Republic in 1996, and the resulting deterrent effect, contributed significantly to the decrease in the Dominican migrant success rate.
- Continue to maintain a presence in the maritime environment to deter smugglers and reduce the flow of migrants.
- Deploy Coast Guard assets to source and transit zone nations for engagement and training to enhance regional forces' ability to prevent migrant smuggling. Deployments will include UNITAS training and assistance cutter deployments with the U.S. Navy to the Caribbean; and training assistance to the Haitian Coast Guard
- Use research and development to improve vessel detection capability, resulting in better probability of detecting illegal smuggling.

New Strategies:

- Improve tactical effectiveness by employing new aircraft mounted sensor system.
- Establish a Caribbean International Support Tender to provide assistance to and enhance the operational capability of Caribbean regional maritime forces to better address migrant smuggling.

Efficiency Strategies:

Update and rehabilitate assets to maintain current level of performance with less resources because of increased efficiency.
 Reallocate available assets to focus on areas of highest threat.
 Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Surface Search Radar Replacement	Secondary
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Secondary
AC&I	HH-65 Kapton Wire Replacement	Secondary
AC&I	HH-65 Mission Computer Unit Replacement	Secondary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HC-130 Sensor Upgrade	Primary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Navigation Upgrade	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	COMMSYS 2000	Secondary
AC&I	Commercial Communication Satellite Upgrade	Primary
AC&I	TAGOS	Secondary
AC&I	Cutter Comms and Sensors	Secondary
AC&I	Deployable Pursuit Boats	Secondary
RDT&E	Comprehensive Law Enforcement	Primary
OE	International Engagement in Caribbean	Secondary
OE	Increase Aviation Capability	Secondary
OE	Increase Surface Capability	Secondary

External Factors:

Socio-economic and political conditions in migrant source countries drive migrants entry attempts.
 The manner in which special exclusion is implemented by the U.S. government will affect how many resource hours are saved, and how well this law deters migrants from attempting to enter the U.S.

Other Related Government Programs:

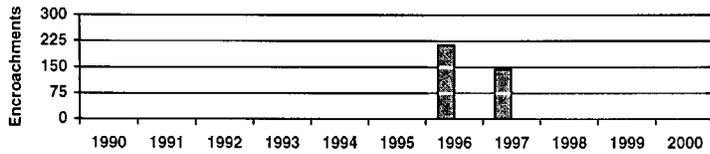
Department of Justice/Immigration and Naturalization Service:
 Immigration Enforcement - Coordinates with the Coast Guard. The Coast Guard provides at-sea enforcement of immigration laws, conducts seaborne repatriation of undocumented migrants. The disposition of undocumented migrants is coordinated with INS.
 Department of Treasury/Customs Service: Immigration Enforcement - Coordinates with the Coast Guard.
 State and Local organizations: Immigration Enforcement - Coordinate with the Coast Guard.

MARITIME SECURITY

Goal C3: Eliminate illegal encroachment of the 200 mile U.S. Exclusive Economic Zone by foreign fishing vessels.

FY99 Target: Reduce illegal encroachment of the 200 mile U.S. Exclusive Economic Zone by foreign fishing vessels by 5% from FY96 baseline of 213 encroachments to 202 encroachments.

Measure: Number encroachments.



Measurement Issues: Data obtained from the Coast Guard Planning and Assessment System and validated by program managers. FY97 data affected by reclassification of many Mexican fishing vessels that were previously identified as illegal fishermen and are now classified as drug carriers. Confidence in the measure is moderate.

Selected Program Standards/Customer Service Standards:

- Monitor high threat areas sufficient to detect all vessels engaged in or suspected of illegal encroachment.
- Intercept 90% of known suspects that are detected.
- Respond to all known incidents of illegal encroachment in progress.

Causal Factors to be Addressed:

- U.S. fisheries stocks within the Exclusive Economic Zone are valuable to foreign vessels that choose to illegally exploit them.
- The Exclusive Economic Zone border covers a large area and is difficult to fully monitor.

Strategies to Achieve Target:

Ongoing Strategies:

- Enforce Exclusive Economic Zone boundary and regulations.
- Develop enforcement plans in conjunction with the National Marine Fisheries Service.
- Use research and development to improve vessel detection capability, resulting in better probability of detecting illegal encroachments.

New Strategies:

- Acquire an additional cutter, and update sensors and equipment to maintain an effective presence in fishery areas to deter regulation violations.

Efficiency Strategies:

- Partner with the National Marine Fisheries Service to pursue violations.
- Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Surface Search Radar Replacement	Secondary
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Secondary
AC&I	HH-65 Kapton Wire Replacement	Secondary
AC&I	USS EDENTON Conversion to USCG Cutter	Primary
AC&I	HH-65 Mission Computer Unit Replacement	Secondary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HC-130 Sensor Upgrade	Primary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Navigation Upgrade	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	COMMSYS 2000	Secondary
AC&I	Commercial Communication Satellite Upgrade	Primary
RDT&E	Comprehensive Law Enforcement	Primary
OE	Ex USS EDENTON Follow-on	Primary

External Factors:

Economic condition of foreign countries and their fleets may drive the number of encroachment attempts.

Other Related Government Programs:

Department of Commerce/National Marine Fisheries Service: Fisheries Enforcement - NMFS establishes fisheries management plans, and conducts primary shoreside enforcement of regulations. The Coast Guard provides input to the management plans and conducts at-sea enforcement of regulations.

State and Local enforcement organizations - Coordinate with Coast Guard.

**Workload Data and Projected FY99 Activity Levels to Achieve
Maritime Security Performance Goals**

The following workload data illustrate the type and level of activity that the Coast Guard undertakes in order to achieve its performance targets and advance toward its strategic goals.

Workload Data:

	1997 actual	1998 estimate	1999 estimate
Cutter operating hours:			
Drug enforcement	105,224	79,400	79,400
Fisheries enforcement	97,402	105,000	105,000
Migrant Interdiction	32,912	45,000	45,000
Other law enforcement	4,377	8,000	8,000
Total	239,915	237,400	237,400
Aircraft flight hours:			
Drug enforcement	18,941	14,300	14,100
Fisheries enforcement	15,760	16,000	15,650
Migrant Interdiction	5,777	9,500	9,300
Other law enforcement	95	200	200
Total	40,573	40,000	39,250
Fisheries enforcement boardings	12,449	13,000	13,000
Drug-related seizures:			
Seizure cases	122	80	77
Pounds of marijuana	102,538	81,000	78,500
Pounds of cocaine	103,617	92,000	89,000
Migrant Interdictions Operations			
Interdiction cases	113	125	125
Persons interdicted/assisted	2,193	3,000	3,000

DRUG INTERDICTION RESOURCE HOURS

The following data reflects Coast Guard cutter and aircraft drug law enforcement resource hours for drug interdiction for fiscal years 1992 through 1997.

CUTTER RESOURCE HOURS

Fiscal Year	Hours
1992	81,468
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AIRCRAFT RESOURCE HOURS

Fiscal Year	Hours
1992	15,302
1993	10,336
1994	6,331 ¹
1995	9,405
1996	10,469
1997	18,941

1. Aircraft and cutter hours dedicated to drug law enforcement in 1994 were lower than planned because cutter and aircraft resources were reallocated to respond to the extraordinary mass migrations from Cuba and Haiti.

Fiscal Year	CUTTER RESOURCE HOURS FOR FISHERIES LAW ENFORCEMENT (1)							
	1st District	5th District	7th District	8th District	11th District	13th District	14th District	17th District
TOTAL								
1992	24,146	6,430	4,946	8,561	6,596	7,700	4,063	22,965
85,407								
1993	24,578	5,356	5,222	9,416	8,312	8,179	6,548	24,958
92,569								
1994	21,987	5,474	5,599	9,035	7,999	7,797	8,023	25,886
91,800								
1995	24,473	7,816	7,450	14,126	8,005	11,058	9,374	26,190
108,492								
1996	19,420	5,698	7,159	11,757	7,072	10,076	13,433	30,583
105,198								
1997	22,915	7,439	5,485	8,703	6,573	8,834	9,742	25,678
95,369								

The noticeable decrease in the 7th and 8th district fisheries resource hours is the result of increased emphasis towards counter-drug law enforcement in the Atlantic Area.

1. Total does not include Great Lakes fisheries law enforcement, or international fisheries activities not captured within a district.

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AIRCRAFT RESOURCE HOURS FOR FISHERIES LAW ENFORCEMENT (1)								
Fiscal	1st	5th	7th	8th	11th	13th	14th	17th
Year	District							
TOTAL								
1992	1,722	303	693	1,097	5,019	1,935	966	3,540
15,275								
1993	1,475	304	278	1,055	4,864	2,249	979	3,977
15,181								
1994	1,856	310	583	1,313	5,552	1,934	1,223	3,574
16,345								
1995	2,286	706	759	1,911	4,012	1,319	1,576	3,537
16,106								
1996	2,225	1,143	386	1,861	2,975	1,088	1,744	4,228
15,650								
1997	2,698	1,094	305	1,400	2,052	1,263	1,738	4,317
14,867								

The overall increase in District Five aircraft hours is due to efforts to gain a baseline of fishing vessel activity in the Mid-Atlantic region.

1. Total does not include Great Lakes fisheries law enforcement, or international fisheries activities not captured within a district.

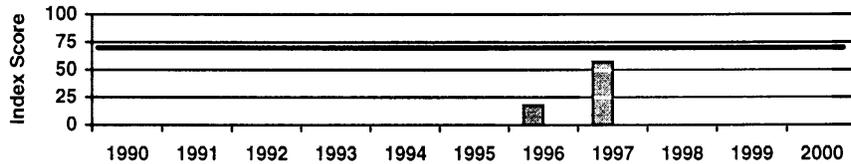
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National Defense Performance Goals

NATIONAL DEFENSE

Goal N1: Achieve and sustain complete military readiness for CG units as required by Department of Defense.

FY99 Target: Achieve a readiness index score of 72. Attaining this score indicates that all required high endurance cutters and patrol boats, and one out of seven required Port Security Units will achieve a C2 rating.
Measure: Weighted index of percentage of high endurance cutters, patrol boats, and Port Security Units (PSU) that meet an average SORTS (Status of Readiness and Training System) rating of C2 or higher.



Measurement Issues: FY96-97 data was developed by sampling specific time periods; methodology for better annualizing the data will be developed. The SORTS readiness rating is determined by a multi-factor matrix that calculates an overall readiness value: C1 is the highest rating, C5 lowest. The readiness index is calculated by determining the percentage of required units meeting C2 and weighting these percentages (.25 for cutters, .25 for patrol boats, .5 for PSUs) to arrive at an aggregated index score. Data is obtained from the Status of Readiness and Training System maintained by the Department of Defense. Confidence in the measure is high.

Causal Factors to be Addressed:

Coast Guard is required to operate as a branch of the U.S. Armed Forces.
Defense readiness requires operations that are uniquely suited to Coast Guard capabilities and expertise.

Strategies to Achieve Target:

Ongoing Strategies:

Seek ways to improve current logistics and maintenance systems to increase readiness.

New Strategies:

Increase interoperability with DOD by implementing a new communications system for message traffic.

Efficiency Strategies:

Update and rehabilitate assets to maintain current level of performance with less resources because of increased efficiency.
Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Surface Search Radar Replacement	Secondary
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Primary
AC&I	Configuration Management	Primary
AC&I	HH-65 Kapton Wire Replacement	Secondary
AC&I	HH-65 Mission Computer Unit Replacement	Secondary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HC-130 Sensor Upgrade	Secondary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Navigation Upgrade	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	Aviation Logistics Management Info System	Primary
AC&I	Fleet Logistics System	Primary
AC&I	COMMSYS 2000	Secondary
AC&I	Defense Message Service Implementation	Secondary
AC&I	Commercial Communication Satellite Upgrade	Secondary

External Factors:

Level and operational tempo of national security operations.

Other Related Government Programs:

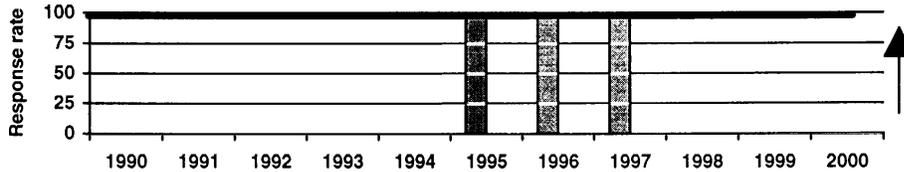
Department of Defense: Defense Readiness - The Coast Guard is responsible for specific defense roles which are coordinated with DOD. It also responds to specific requests for coordinated operations with DOD.

NATIONAL DEFENSE

Goal N2: Provide core competencies (Maritime Interception Operations, Deployed Port Operations, and Environmental Defense) when requested by the Department of Defense or Department of State.

FY99 Target: Provide core competencies (Maritime Interception Operations, Deployed Port Operations, and Environmental Defense) as requested or currently planned by DOD or DOS 100% of the time.

Measure: Number of operations/number of requests.



Measurement Issues: Data obtained from Coast Guard sources. Confidence in the measure is high.

Causal Factors to be Addressed:

Coast Guard is required to operate as a branch of the U.S. Armed Forces. Defense readiness requires operations that are uniquely suited to Coast Guard capabilities and expertise.

Strategies to Achieve Target:

Ongoing Strategies:

Maintain capability to execute contingency and war plan commitments.
Plan for defense and non-defense contingency operations.
Participate in readiness exercises around the world, such as FOAL EAGLE that supports military forces in Korea.
Deploy Coast Guard cutters and other forces in support of Peacetime Engagement and Enlargement under the National Security Strategy.
Engagement will include UNITAS training and assistance cutter deployments with the U.S. Navy to the Caribbean, South America, and Central America; cutter deployments to the Mediterranean and Black Seas; and training assistance to the Haitian Coast Guard and Peruvian armed forces.

New Strategies:

Increase interoperability with DOD by implementing a new communications system for message traffic.
Establish a Caribbean International Support Tender to provide assistance to and enhance the operational capability of Caribbean regional maritime forces.

Efficiency Strategies:

Update and rehabilitate assets to maintain current level of performance with less resources because of increased efficiency.
Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Polar Icebreaker Replacement	Secondary
AC&I	Surface Search Radar Replacement	Secondary
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Primary
AC&I	HH-65 Kapton Wire Replacement	Secondary
AC&I	HH-65 Mission Computer Unit Replacement	Secondary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HC-130 Sensor Upgrade	Secondary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Navigation Upgrade	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	Aviation Logistics Management Info System	Secondary
AC&I	COMMSYS 2000	Secondary
AC&I	DGPS Phase III	Secondary
AC&I	Defense Message Service Implementation	Secondary
AC&I	Commercial Communication Satellite Upgrade	Secondary
OE	Cutter HEALY Follow-on	Secondary
OE	International Engagement in Caribbean	Secondary

External Factors:

Level and operational tempo of national security operations.

Other Related Government Programs:

Department of Defense: Defense Readiness - The Coast Guard is responsible for specific defense roles which are coordinated with DOD. It also responds to specific requests for coordinated operations with DOD.

NATIONAL DEFENSE

Goal N3: Achieve and sustain overall capability to respond to Commander in Chief operating plan requirements for Major Theater War (MTW) and Small Scale Contingencies (SSC).

FY99 Target: Achieve and sustain overall capability to respond to Commander in Chief operating plan requirements for Major Theater War (MTW) and Small Scale Contingencies (SSC).

Measure: Profile of issues and concerns relating to CG capability requirements.

Measurement Issues: Data to be developed.

Causal Factors to be Addressed:

Coast Guard is required to operate as a branch of the U.S. Armed Forces.

Defense readiness requires operations that are uniquely suited to Coast Guard capabilities and expertise.

Strategies to Achieve Target:

Ongoing Strategies:

Maintain capability to execute contingency and war plan commitments.

Plan for defense and non-defense contingency operations.

Participate in readiness exercises around the world, such as FOAL EAGLE that supports military forces in Korea.

Deploy Coast Guard cutters and other forces in support of Peacetime Engagement and Enlargement under the National Security Strategy.

Engagement will include UNITAS training and assistance cutter deployments with the U.S. Navy to the Caribbean, South America, and Central America; cutter deployments to the Mediterranean and Black Seas; and training assistance to the Haitian Coast Guard and Peruvian armed forces.

New Strategies:

Increase interoperability with DOD by implementing a new communications system for message traffic.

Establish a Caribbean International Support Tender to provide assistance to and enhance the operational capability of Caribbean regional maritime forces.

Efficiency Strategies:

Update and rehabilitate assets to maintain current level of performance with less resources because of increased efficiency.

Continue the Coast Guard's Deepwater project to award up to three contracts to develop an integrated system of surface, air, command and control, intelligence, and logistics systems to provide the functional capability to carry out the Coast Guard's statutory mandates in the deepwater area of responsibility. Concurrent with this effort, the Administration will begin a Presidential Roles and Missions review of future Coast Guard missions. The Coast Guard will avoid one-for-one replacement of its existing assets, and achieve efficiencies by capitalizing on better technology.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Polar Icebreaker Replacement	Secondary
AC&I	Surface Search Radar Replacement	Secondary
AC&I	Coastal Patrol Boat	Secondary
AC&I	Deepwater Capability Replacement Analysis	Primary
AC&I	HH-65 Kapton Wire Replacement	Secondary
AC&I	HH-65 Mission Computer Unit Replacement	Secondary
AC&I	HC-130 Engine Upgrade	Secondary
AC&I	HC-130 Sensor Upgrade	Secondary
AC&I	HU-25 Avionics Improvements	Secondary
AC&I	HH-60J Navigation Upgrade	Secondary
AC&I	HC-130 Side Looking Radar Upgrade	Secondary
AC&I	Aviation Logistics Management Info System	Secondary
AC&I	COMMSYS 2000	Secondary
AC&I	DGPS Phase III	Secondary
AC&I	Defense Message Service Implementation	Secondary
AC&I	Commercial Communication Satellite Upgrade	Secondary
OE	Cutter HEALY Follow-on	Secondary
OE	International Engagement in Caribbean	Secondary

External Factors:

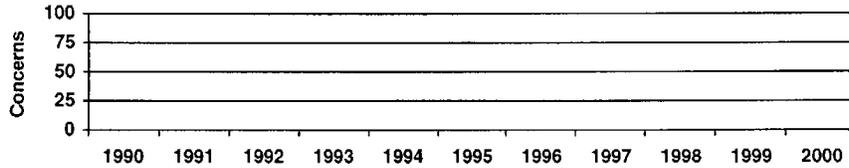
Level and operational tempo of national security operations.

Other Related Government Programs:

Department of Defense: Defense Readiness - The Coast Guard is responsible for specific defense roles which are coordinated with DOD. It also responds to specific requests for coordinated operations with DOD.

NATIONAL DEFENSE

Goal N4: Protect and support all Seaports of Debarkation (SPOD) during Major Theater War (MTW) and Small Scale Contingencies (SSC).
 FY99 Target: Protect and support 38% (5 of 13) of Seaports of Debarkation (SPOD) during Major Theater War (MTW) and Small Scale Contingencies (SSC).
 Measure: Number of SPODs CG can protect/number of SPODs CG required to protect.



Measurement Issues: Data obtained from Coast Guard sources. Confidence in the measure is high.

Causal Factors to be Addressed:

Coast Guard is required to operate as a branch of the U.S. Armed Forces. Defense readiness requires operations that are uniquely suited to Coast Guard capabilities and expertise.

Strategies to Achieve Target:

Ongoing Strategies:

- Maintain capability to execute contingency and war plan commitments.
- Plan for defense and non-defense contingency operations.
- Improve protection of domestic waterways that could affect military operations in the Maritime Defense Zone.
- Manage aid to navigation infrastructure, communications, and information services to enhance port safety and mobility for defense operations.

New Strategies:

Increase interoperability with DOD by implementing a new communications system for message traffic.

Efficiency Strategies:

Replace assets with more capable ones to maintain current level of performance with less resources because of increased efficiency.

New Resources that will Support Strategies:

Acct	Item	Goal Contribution:
AC&I	Coastal Patrol Boat	Secondary
AC&I	Ports & Waterways Safety Systems (PAWSS)	Secondary
AC&I	COMMSYS 2000	Secondary
AC&I	Defense Message Service Implementation	Secondary

External Factors:

Level and operational tempo of national security operations.

Other Related Government Programs:

Department of Defense: Defense Readiness - The Coast Guard is responsible for specific defense roles which are coordinated with DOD. It also responds to specific requests for coordinated operations with DOD.

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**Workload Data and Projected FY99 Activity Levels to Achieve
National Defense Performance Goals**

The Coast Guard's national security role extends broadly beyond national defense to include mission areas that sustain the Nation's economic, social, and environmental well-being. The Coast Guard - whether interdicting drug smugglers, conducting Persian Gulf boardings in support of a United Nations blockade, participating in naval warfare exercises, stopping illegal migrants bound for the United States, or leading the cleanup of a major oil spill - is essential to sustain the vital national security interests of the United States.

Under 14 USC, the Coast Guard is required to "maintain a state of readiness to function as a specialized service of the Navy in time of war," and specifically authorized to assist the Department of Defense (DOD) in performance of duties for which the Coast Guard is especially qualified.

The Secretaries of the Department of Defense and Department of Transportation signed a memorandum of agreement in October 1995 acknowledging that Coast Guard active duty and reserve components provide unique capabilities not available from other military services: maritime interception operations, environmental defense operations and deployed port security and defense operations. These Coast Guard capabilities were demonstrated during Operation Uphold Democracy (Haiti) where Coast Guard aircraft, cutters, and port security units played a vital role. The Coast Guard continues to play a role supporting national interests in the Persian Gulf. In FY97 a Coast Guard cutter conducting maritime intercept operations to enforce the United Nations embargo against Iraq repatriated a vessel back to Iraq for the offload of illegal oil. A similar deployment is scheduled to occur in FY98.

The Coast Guard also plays a key role in Maritime Defense Zone (MDZ) operations. Coast Guard field commanders conducting MDZ operations are components of the U.S. Navy defense structure. These operations were formalized in a March 1984 memorandum of agreement between the Secretaries of the Department of Defense and Department of Transportation. The MDZ mission is to provide harbor defense, port security, and coastal sea control of littoral areas employing expeditionary forces composed of Coast Guard and Navy active and reserve units.

The Coast Guard is one of the five armed services and a full partner on the joint national security, national defense team. The Coast Guard's multi-missioned ships, aircraft, and shore units bring complementary and unique capabilities to this team. The Coast Guard's defense missions are intertwined among its Maritime Safety, Maritime Law Enforcement, and Marine Environmental Protection roles. These roles are complementary and contribute to the Coast Guard's unique niche within the national defense community. Unlike the other four military services, the Coast Guard does not concentrate primarily on national defense. However, the Coast Guard's peacetime maritime safety, law enforcement, polar ice breaking, aids to navigation, and marine environmental protection capabilities are largely not duplicated in the Department of Defense, and therefore the Coast Guard may be called on to conduct these normally peacetime roles in support of the National Military Strategy.

For example, the Coast Guard's involvement in Operations Restore Democracy and Uphold Democracy in Haiti included 1,000 personnel in multiple air, floating, and shore units which provided search and rescue coverage for the U.S. Army and Marine Corps helicopters transiting from the United States to the theater. The Coast Guard coordinated theater port security and harbor defense using 2 port security units with 185 people, 1 harbor defense command with 19 people, 5 law enforcement detachments with 26 people, 6 marine safety officers and 3 navigation advisors. Using 5 cutters with 500 people, the Coast Guard restored and established aids to navigation and provided logistics support. Using 7-8 cutters with 600 people, the Coast Guard conducted simultaneous alien migration interdiction operations in Operation Able Manner off the Haitian Coast. All five of the nation's armed services brought unique national defense capabilities to these operations, but this is most true for the Coast Guard. There is no substitute for Coast Guard mission capabilities within DoD.

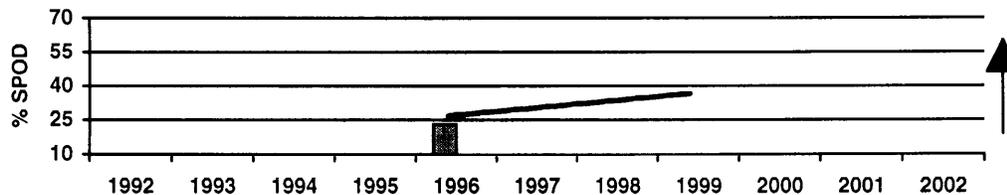
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Management Strategies and Issues

This plan describes the expected performance outcomes based on a particular level of funding. Performance outcomes are largely impacted by the points within a problem or situation at which the Coast Guard decides to intervene, and by the particular strategies and activities undertaken. However, the Coast Guard's internal management goals and strategies also greatly influences how well the Coast Guard can achieve performance goals, especially in this era of constrained budgets.

The challenge is not just to achieve the Strategic Goals, but to meet them as efficiently as possible. Efficiency is pursued through internal management goals that address workforce skill, technological development, and quality management. Management goals are not performance goals, but rather serve to more efficiently achieve performance goals. Efficiency through management goals is not free, however; it requires carefully planned investment to save. Establishing the appropriate strategy to guide activities, while managing for efficiency can be summed up as doing the "RIGHT THINGS RIGHT." The Coast Guard is committed to providing outcomes the public expects in the most efficient manner possible.



Management Strategies

The Commandant of the Coast Guard has established eight management goals to steer the Coast Guard toward fulfilling its Mission and achieving its Strategic Goals. The principles identified through these goals and further defined in the Commandant's Direction are used in all planning, and are reflected in daily decision making.

Goal 1: Provide leadership and a working environment to enable all of our people to reach their full potential.

Goal 2: Place diversity in the Coast Guard at center stage.

Goal 3: Meet the mandate to streamline with no reduction in essential services.

Goal 4: Maintain a strong response capability; always ready as a military service to meet multi-mission requirements.

Goal 5: Enhance and extend our reputation as the world's premier maritime service.

Goal 6: Engage the Coast Guard as an intermodal partner in the implementation of the DOT Strategic Plan, particularly in the areas of infrastructure, safety, and security.

Goal 7: Ensure that the Coast Guard epitomizes the best in quality management practices and performance.

Goal 8: Pursue and exploit new technologies to achieve gains in productivity and enhance mission performance.

Management Issues

In order for the Coast Guard to provide the internal efficiency necessary to achieve its outcome goals, certain management issues must be addressed.

Streamlining: The Coast Guard has been at the forefront in Federal Government streamlining, with a major initiative completed in 1996. The FY99 Operating Expenses request contains nearly \$50 million in recurring savings, resulting in part from the last phase of the National Streamlining Plan. Further savings and efficiencies must be predicated on additional investments to save.

Recapitalization: Replacing aging, maintenance-intensive ships, planes, and shore infrastructure is critical to sustaining operational capability, implementing Presidential Initiatives, and providing taxpayers with highly efficient service. In a recent comprehensive study, the GAO wrote about reduced levels of AC&I funding and the resultant project deferrals: "A deferral can also represent a source of increased expenditures for operations because of the higher maintenance costs involved with aging equipment. The continued use of aging capital equipment may also place other limitations on the level of services that can be provided." The FY1999 AC&I request is critical to the recapitalization effort.

Year 2000 Compliance: The Year 2000 problem affects maritime safety, law enforcement, and environmental protection software applications, as well as command and control systems, critical electronics, databases, and major personnel, logistics, and financial applications. We have taken a very proactive response in dealing with the issue in order to maintain effective services.

The Coast Guard has developed a Year 2000 Management Plan which outlines the federal "best practices" approach. It provides strategic guidance for all information technology that faces Y2K problems, and outlines the timelines for managing the efforts in a five phase approach - awareness, assessment, renovation, testing, and implementation.

The Coast Guard has created a Y2K database to capture all systems and applications that are affected. The database identifies systems that are critical to accomplishing the Coast Guard's missions.

The Coast Guard is concerned that suppliers of critical parts and supplies may fail due to their own Y2K problems. To protect against inadequate on-hand supplies which may prevent mission execution, the Coast Guard is developing contingency plans for ensuring adequate on-hand stocks through the Year 2000. The Coast Guard is following a strict compliance reporting system that requires program managers and product owners of Y2K-affected mission-critical systems to repair or replace them and then certify when each item becomes Y2K-compliant.

Fixing the problem within the Coast Guard is expected to cost about \$7.6 million.

For FY99, the Coast Guard is advancing the implementation phase for all mission-critical systems to coincide with the Office of Management and Budget's goal target date of March 1999.

The Coast Guard is working with the Maritime Association Port of NY/NJ to sponsor a Year 2000 conference geared to the maritime industry. Initial Y2K assessments on ships and oil platforms, and with port operations facilities indicate failures will occur unless this issue is properly addressed.

Chief Financial Officers Audit: The Coast Guard is committed to obtaining an unqualified "clean" opinion on its FY99 Chief Financial Officers Act audit of its financial statements. This requires that the Coast Guard resolve material weaknesses primarily in management, documentation, capitalization, and tracking of assets as identified in its FY96 financial statements audit. Additionally, the Coast Guard needs to develop integrated financial systems to allow subsidiary ledgers to reconcile to its general ledger. To achieve a "clean" opinion over the next 18 months the Coast Guard is:

- Conducting "wall to wall" inventories of Operational Material and Supplies.
- Defining and establishing capitalization policy for all asset classes.
- Imaging all real property records into a centralized database.
- Establishing a centralized asset database at its Finance Center using commercial off the shelf (COTS) applications (ORACLE Assets.)
- Moving to centralized bill paying and financial documentation at its Finance Center.
- Instituting COTS (ORACLE Financials suite and ORACLE Project & Inventory.) applications to improve and integrate financial systems and reporting.

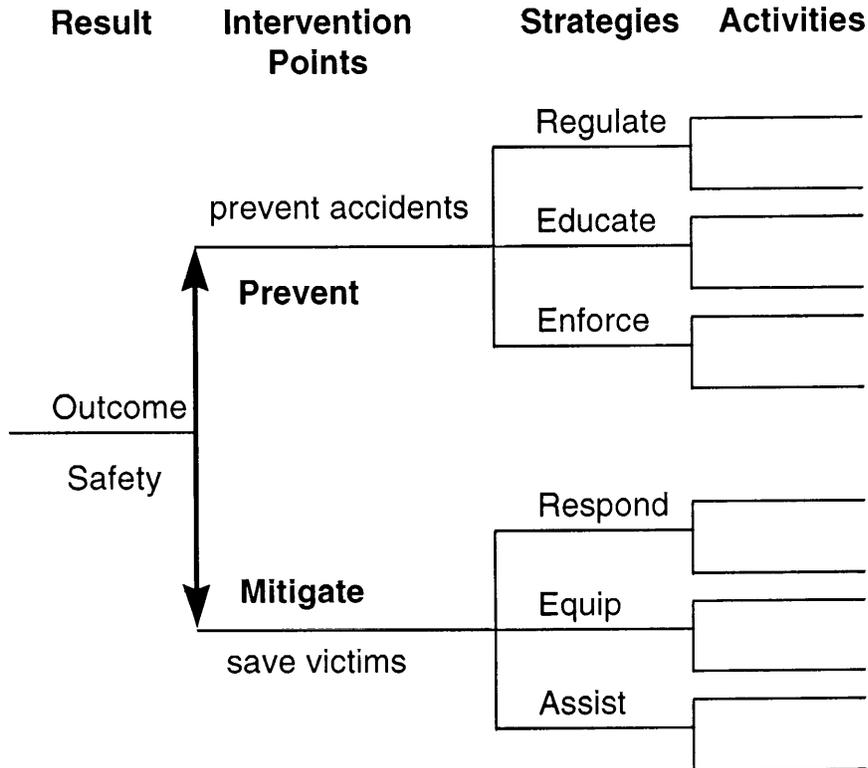
Federal Manager's Financial Integrity Act (FMFIA): The Coast Guard maintains an active program for ensuring that the objectives of FMFIA are being met. No major discrepancies were noted in the FY97 FMFIA Year-End Assurance Statement.

GAO Reports: The Coast Guard seeks to improve its management and effectiveness through taking corrective actions in response to GAO audits and reports. The Coast Guard is moving toward completion of corrective action on two GAO audits:

"Additional Actions Needed to Improve Cruise Ship Safety" - Develop a cruise ship safety program component of the Marine Safety Network in order to consistently document and analyze the results of cruise ship safety examinations. The Coast Guard is developing a module within the Marine Safety Information System (MSIS) to capture this data. The module should be released with the next update to MSIS in FY98. In the interim, a preliminary system has been implemented.

"Management of the Research, Development, Test, and Evaluation Program Needs Strengthening" - Continue efforts to acquire a management information system for the Research and Development (R&D) Center that will provide accurate and timely information for program decision making. The Coast Guard is implementing the R&D Management Information System (RADMIS) which will include project management, and document tracking tools. The system should be fully functioning in FY99.

**Evaluation of Strategies for Achieving Outcomes:
Selecting Intervention Points**



Determining strategies to achieve goals requires an understanding of the causal factors and system behaviors that create a given problem or situation. Using evaluation to isolate these behaviors and risk factors, an organization can determine the optimum balance of intervention strategies - prevention and mitigation - that will best achieve a desired outcome. The key is to identify the intervention points where an agency effectively contributes to outcomes without creating large undesired impacts.

The strategic outcome area of Safety illustrates the above model. Government can provide safety by intervening with both prevention and mitigation strategies. The Coast Guard has responsibility for both preventing and mitigating safety-impacting marine incidents. The Marine Safety program (MS) conducts activities such as developing regulations and inspecting vessels that prevent incidents from occurring. The Search and Rescue program (SAR) mitigates the effects of incidents by rescuing victims. Prevention activities may prove to be more cost efficient in saving lives and providing safety, however, some level of mitigation activities must be conducted to impact those incidents that are not prevented. By collecting data, measuring performance, and evaluating results, the Coast Guard can determine the optimum mix of strategies to provide safety. These strategies in turn dictate what activities to execute.

Systematic performance evaluation for the purpose of refining strategies and resource allocations, and thus improving effectiveness and efficiency, is the culmination of all the information contained in this performance plan.

Coverage of Program and Financing (P&F) Lines by Performance Goal

Program & Financing Line Items	Safety	Protection of Natural Resources	Mobility	Maritime Security	National Defense
OE, AC&I, RDT&E					
<i>Search and Rescue</i>	S1: Save all mariners in imminent danger S2: Save all property in imminent danger S3: Eliminate crewmember fatalities on U.S. commercial vessels S4: Eliminate passenger vessel casualties with major loss of life S5: Eliminate recreational boating fatalities				
<i>Enforcement of Laws & Treaties</i>		P5: Improve the health of fish stocks P6: Eliminate the loss of endangered species		C1: Reduce the flow of illegal drugs C2: Eliminate the flow of undocumented migrants C3: Eliminate illegal encroachment of the EEZ	

Program & Financing Line Items	Safety	Protection of Natural Resources	Mobility	Maritime Security	National Defense
<i>Marine Environmental Protection</i>		P1: Eliminate oil discharged P2: Eliminate plastics and garbage discharged P3: Eliminate oil spills greater than 10,000 gallons P4: Eliminate the adverse impacts of pollution incidents			
<i>Marine Safety</i>	S3: Eliminate crewmember fatalities on U.S. commercial vessels S4: Eliminate passenger vessel casualties with major loss of life S5: Eliminate recreational boating fatalities		M3: Eliminate vessel collisions, allisions, and groundings		

Program & Financing Line Items	Safety	Protection of Natural Resources	Mobility	Maritime Security	National Defense
<i>Aids to Navigation</i>			M1: Eliminate delays to commercial mariners M2: Maximize vessel mobility within ports and waterways M3: Eliminate vessel collisions, allisions, and groundings		
<i>Ice Operations</i>			M4: Eliminate delays caused by ice M5: Maintain the navigation season in ice bound areas		
<i>Defense Readiness</i>					N1: Achieve and sustain military readiness N2: Provide core competencies N3: Achieve and sustain overall capability N4: Protect and support seaports of debarkation

Program & Financing Line Items	Safety	Protection of Natural Resources	Mobility	Maritime Security	National Defense
Environmental Compliance & Restoration		P1: Eliminate oil discharged P3: Eliminate oil spills greater than 10,000 gallons P4: Eliminate the adverse impacts of pollution incidents EPA goals			
Alteration of Bridges			M1: Eliminate delays to commercial mariners M3: Eliminate collisions, allisions, and groundings		
Boating Safety					
<i>State Boating Safety</i>	S5: Eliminate recreational boating fatalities				
<i>CG Operating Expenses</i>	S5: Eliminate recreational boating fatalities				

Program & Financing Line Items	Safety	Protection of Natural Resources	Mobility	Maritime Security	National Defense
Oil Spill Recovery					
<i>Emergency Fund</i>		P4: Eliminate the adverse impacts of pollution incidents			
<i>Payment of Claims</i>		P4: Eliminate the adverse impacts of pollution incidents			
<i>Prince William Sound</i>		P4: Eliminate the adverse impacts of pollution incidents			

The following accounts provide funding for programs and activities that contribute to all the performance goals contained in this plan. For example, Reserve Training funds are part of the personnel costs of reservists who contribute to operations that impact all Coast Guard performance goals.

Retired Pay, Reserve Training, and Miscellaneous Funds

Encl (2) to COMDTINST 16010.8

**United States Coast Guard
Fiscal Year 2000
Performance Plan**

**U.S. Coast Guard FY2000 Performance Plan
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Introduction

This Performance Plan illustrates the broad range of services the Coast Guard provides to the American public. These directly enhance the national interest by improving economic trade and vitality, protecting the environment and natural resources, ensuring safe and efficient maritime transportation, and maintaining law and order. The Coast Guard's unique, multi-mission capabilities are characterized by its motto, "Semper Paratus - Always Ready". Highly flexible, the Coast Guard routinely responds to a variety of national emergencies: natural disasters such as floods or hurricanes; transportation incidents such as airline or rail crashes; environmental disasters like oil spills, and national defense crises around the world. Yet everyday, its capital equipment and personnel are productively employed in delivering routine services to the public. U.S. taxpayers receive a double benefit: an effective defense force and crisis-response provider, as well as a cost-effective service that enhances national security and delivers vital services in its daily operations. This performance plan establishes what the Coast Guard intends to achieve with the funding levels in the FY2000 budget. The plan describes the linkage between our mission, strategic goals, performance goals, strategies/activities, and budget request.

Mission

The United States Coast Guard is a multimissioned maritime service and one of the Nation's five Armed Forces. Our mission is to protect the public, the environment, and U.S. economic interests - in our ports and waterways, along our nation's coast, on international waters, or in any maritime region as required to support national security.

Strategic Goals

The Coast Guard has established a general goal for each of its major outcome areas:

Safety: Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing, and recreational boating.

Protection of Natural Resources: Eliminate environmental damage and natural resource degradation associated with maritime transportation, fishing, and recreational boating.

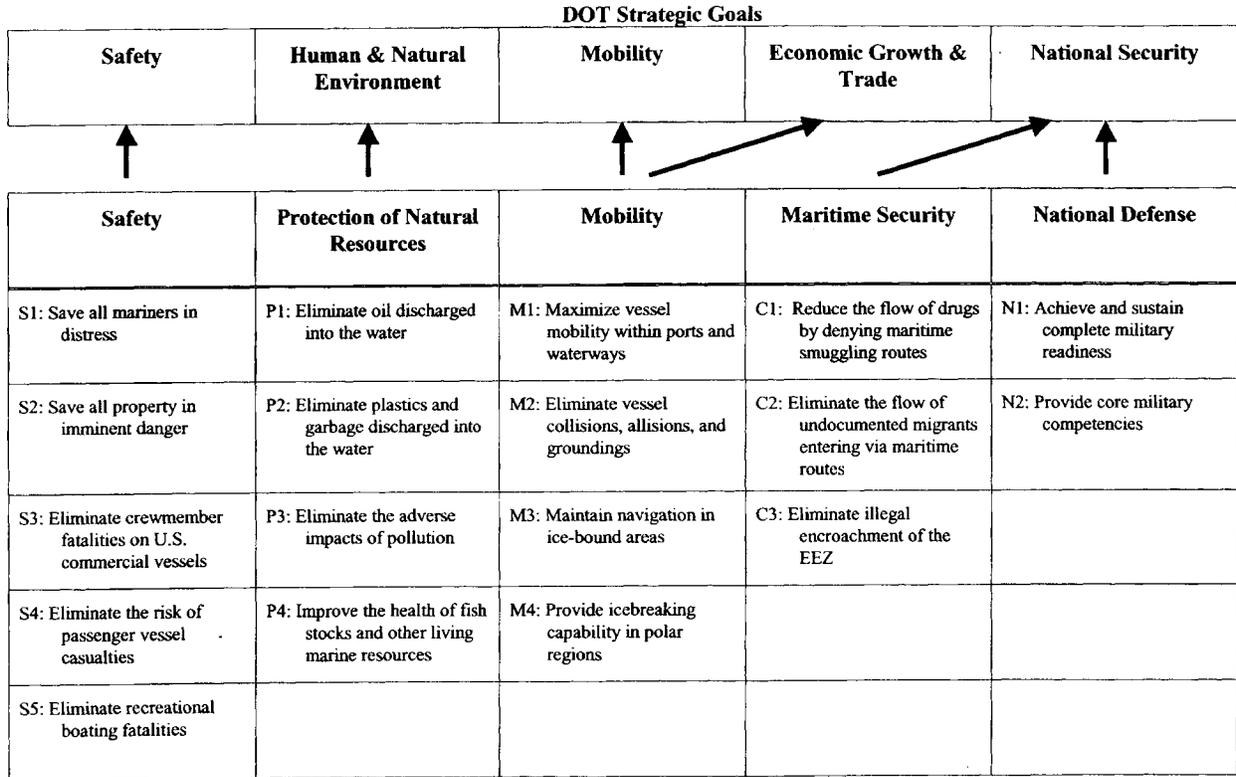
Mobility: Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.

Maritime Security: Protect our maritime borders from all intrusions by halting the flow of illegal drugs, aliens, and contraband into this country through maritime routes; preventing illegal fishing; and suppressing violations of federal law in the maritime region.

National Defense: Defend the nation as one of the five U.S. Armed Forces. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities

Summary of Coast Guard Performance Goals
 DOT Strategic Goals

Summary of Coast Guard Performance Goals



Safety Performance Goals

Search and Rescue - Lives Saved

Why We Act

Over 50,000 search and rescue cases occur annually. These cases involve the Coast Guard saving the lives of approximately 5,000 mariners in imminent danger, and providing some form of emergency assistance to nearly 100,000 mariners. No other government agency or private organization has the expertise, assets, and 24 hour-a-day on-call readiness to conduct search and rescue missions in all areas of the maritime region.

Key Factors

Several factors compound the difficulty of conducting a successful response: untimely distress notification, incorrect or unknown information about the distress, poor communications with the mariners in distress, severe weather at the distress location, and severe injuries which reduce the chances of mariner survival. The number of recreational and commercial marine users continues to rapidly grow as more people move to coastal regions, and global trade increases. Current Coast Guard search and rescue readiness will be strained to meet future demand.

Strategies

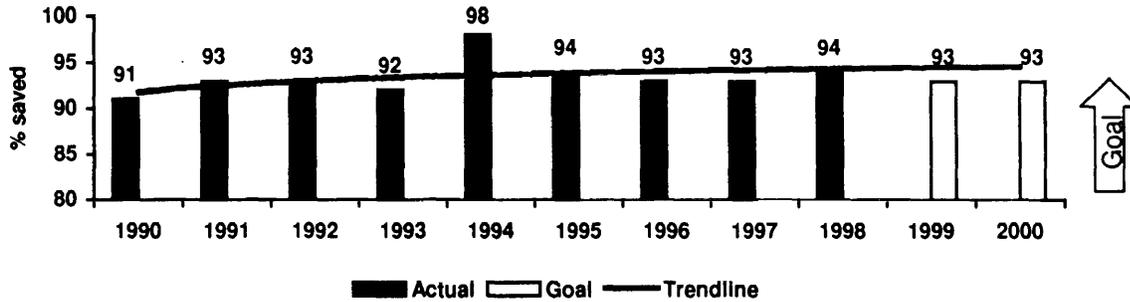
The Coast Guard seeks to prevent distress cases from occurring by conducting safety boardings, Coast Guard Auxiliary courtesy safety examinations, and public service campaigns that serve to improve mariner knowledge and skills. The Auxiliary conducts about 40,000 classes for 240,000 boaters each year. To maximize survival chances in incidents that do occur, we maintain a continuous response capability in coastal and deepwater areas using shore stations, boats, cutters, and aircraft. We operate a VHF-FM distress network providing extensive coverage of inland and coastal waters. Our search and rescue personnel are experts in search techniques, and rescue procedures. We employ advanced search sensors and search planning models and require mariners to carry effective distress locating and survival equipment. We work with the international search and rescue community to implement new technology such as the Global Maritime Distress and Safety System that will greatly improve the ability of mariners to notify others of their distress. We also maintain AMVER, a vessel tracking system that allows us to divert nearby commercial vessels to render assistance.

Coordination

The Coast Guard partners with international, national, state, and local agencies that have response expertise and responsibilities. We work with the International Maritime Organization to implement standards that improve the survival chances of mariners in distress. At the federal level, the Navy and Air Force also maintain limited rescue capabilities. Each agency assists the others depending on need, and the best response capability for a particular location and situation.

Goal S1: Save all mariners in imminent danger.

Target: Save at least 93% of all mariners reported in imminent danger as the number of mariners on the water continues to grow.



Analysis and Evaluation

The percentage of lives saved has been increasing slightly over the past several years. This is largely due to better distress notification and position equipment, along with better mariner awareness. The 1994 data is abnormally high due to the inclusion of migrants rescued at sea. This data was not included in other years

FY00 Key Initiatives

Coast Guard Auxiliary Support (OE): Expands the Auxiliary's ability to assist in search and rescue, and safety education activities. Personnel Protective Equipment (OE): Improves the safety of rescue personnel in order to increase their ability to save mariners in distress.

47-Foot Motor Life Boat Replacement (AC&I) Expands our capability to meet heavy weather SAR demand in the coastal zone. Coastal Patrol Boat Replacement (AC&I); Coastal Patrol Boat Follow-on (OE): Replaces the aging 82' patrol boat and provides for increased operation and maintenance costs associated with the higher number of operational hours that CPBs will provide over old 82' patrol boats. This ensures continued effective SAR services in the coastal zone.

Deepwater Capability Replacement Analysis (AC&I): Develops a system of surface, air, command and control, intelligence, and logistics systems to carry out SAR in the remote and often dangerous deepwater region. The rescue of several vessels and an Air National Guard helicopter during the infamous 1991 Storm of the Century would not have been possible without Coast Guard deepwater assets.

National Distress System Modernization (AC&I): Improves the ability of mariners in distress to notify the Coast Guard - a critical factor in saving more lives. Current system is taxed by a growing boater population. Improved Search and Rescue Capability (RDT&E): Seeks to develop new search planning tools that help assign the optimal ships and aircraft to a mission, improve our ability to predict the location of search objects affected by current, wind, and improve our ability to determine accurate search areas.

Search and Rescue - Property Saved

Why We Act

Over 50,000 search and rescue cases occur annually. In these cases, the Coast Guard saves over \$2.5 billion in property. No other government agency or private organization has the expertise, assets, and 24 hour-a-day readiness to conduct search and rescue missions in all areas of the maritime region.

Key Factors

Saving lives always takes priority over property. To the extent that both can be accomplished, the Coast Guard makes the effort to secure the safety of property. The same factors that make saving lives difficult also impact property: untimely notification, incorrect or unknown information, and severe weather. The number of recreational and commercial marine users continues to rapidly grow as more people move toward coastal regions and global trade increases. Current Coast Guard search and rescue resources will be strained to meet future demand.

Strategies

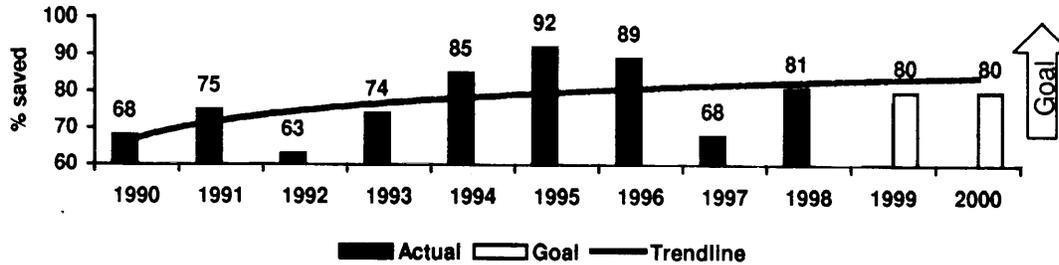
The Coast Guard seeks to prevent distress cases from occurring by conducting safety boardings, Coast Guard Auxiliary courtesy safety examinations, and public service campaigns that serve to improve mariner knowledge and skills. To maximize property loss chances in incidents that do occur, we maintain a continuous response capability in coastal and deepwater areas using shore stations, boats, cutters, and aircraft; maintain a VHF-FM distress network providing extensive coverage of U.S. coastal waters. Our search and rescue personnel are experts in search techniques, and rescue procedures. We employ advanced search sensors and search planning models and require mariners to carry effective distress locating and survival equipment. We work with the international search and rescue community to implement new technology such as the Global Maritime Distress and Safety System which will greatly improve the ability of mariners to notify others of their distress. We also maintain AMVER, a vessel tracking system that allows us to divert nearby commercial vessels to render assistance.

Coordination

The Coast Guard partners with international, state, and local agencies that have response expertise and responsibilities. We work with the International Maritime Organization to implement standards that improve our ability to save property. Within the U.S., the Navy and Air Force also maintain limited rescue capabilities. Each agency assists the others depending on need, and the best response capability for a particular location and situation.

Goal S2: Save all property in imminent danger as a result of maritime accidents.

Target: Save at least 80% of all property reported in imminent danger as a result of maritime accidents, as the number of mariners on the water continues to grows.



Analysis and Evaluation

The percentage of property saved has been increasing slightly over the past several years. This is largely due to better distress notification and position equipment, along with better mariner awareness. The Coast Guard will continue to seek ways to take the search out of search and rescue, and prevent more incidents from occurring.

FY00 Key Initiatives

Coast Guard Auxiliary Support (OE): Expands the Auxiliary's ability to assist in search and rescue, and safety education activities. *Personnel Protective Equipment (OE):* Improves the safety of rescue personnel in order to increase their ability to save mariners in distress.

47-Foot Motor Life Boat (MLB) Replacement (AC&I): Expands our capability to meet heavy weather SAR demand in coastal zone. *Coastal Patrol Boat Replacement (AC&I); Coastal Patrol Boat Follow-on (OE):* Replaces the aging 82' patrol boat and provides for increased operation and maintenance costs associated with the higher number of operational hours that CPBs will provide over old 82' patrol boats. This ensures continued effective SAR services in the coastal zone.

Deepwater Capability Replacement Analysis (AC&I): Develops a system of surface, air, command and control, intelligence, and logistics systems to carry out SAR in the remote and often dangerous deepwater area of responsibility. The rescue of several vessels and an Air National Guard helicopter during the infamous 1991 Storm of the Century would not have been possible without Coast Guard deepwater assets. *National Distress System Modernization (AC&I):* Improves the ability of mariners in distress to notify the Coast Guard - a critical factor in saving more property.

Improved Search and Rescue Capability (RDT&E): Seeks to develop new search planning tools that help assign the optimal ships and aircraft to a mission, improve our ability to predict the location of search objects affected by current, wind, and other environmental conditions, and improve our ability to determine accurate search areas.

Maritime Worker Fatalities

Why We Act

Working in the marine environment can be a dangerous occupation. Although the number of fatalities is relatively small, maritime workers have one of the highest fatality rates in the transportation field. Alaskan fishermen, for example, have an occupational fatality rate 20 times the national average. This loss of life also has negative economic impacts on the industries, towns, and families involved. The Coast Guard has the expertise and personnel to minimize these fatalities through education, regulation, and enforcement.

Key Factors

Human error plays a significant role in worker fatalities; poor material condition of vessels or equipment plays a lesser role. The largest portion of fatalities occurs in the fishing industry. Accidents in this industry involve falls overboard, entanglement, collisions, hull failures, groundings, and capsizings. The variable nature of this industry makes it difficult to develop universal fishing safety regulations - vessels vary greatly in size and operate in diverse locations and climates. Hazards to personnel have also been endemic to the tug and barge industry. Crewmembers working to attach a barge to a tug, or to free a grounded vessel are at risk of being crushed in an accident, or falling overboard - the single greatest cause of fatalities in this industry.

Strategies

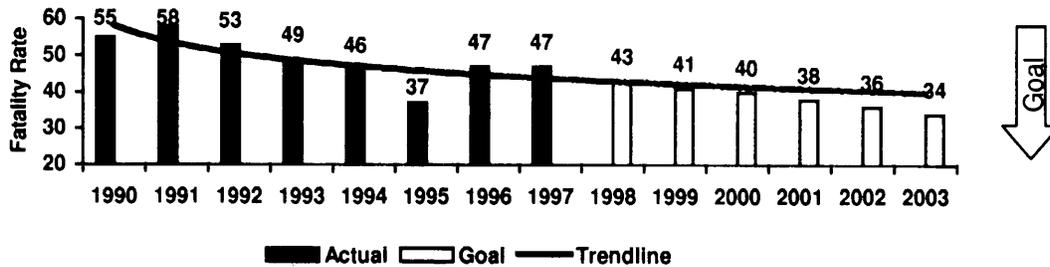
The Coast Guard seeks to prevent fatalities by reducing human error and improving material conditions of vessels and facilities. To accomplish this, we develop safety regulations, licensing requirements, and risk-based training programs; inspect for compliance; and partner with industry to educate companies and individual mariners on safety risks. For vessels not required to be inspected by the Coast Guard, we focus on education and voluntary action. The Coast Guard also aggressively enforces the new International Safety Management (ISM) Code. This code changes the philosophy of safety from a regime based on technical requirements to one that gives equal importance to the human element. Research and development efforts are utilized to improve safety equipment and reveal how human decisions play a role in accidents. For those incidents that do occur, the Coast Guard maintains a search and rescue capability to minimize loss of life.

Coordination

The Coast Guard coordinates with the Occupational Safety Health Administration in developing vessel safety standards for equipment such as deck machinery to reduce the risk of injury and fatalities. We work with the National Transportation Safety Board to investigate major maritime accidents and use the investigation results to develop better safety strategies. We investigate less serious incidents to determine causes and identify trends. In cooperation with private industry, we promote the Prevention Through People initiative which takes a people-focused approach to reducing casualties. We partner with the American Waterway Operators, International Council of Cruise Lines, and the Passenger Vessel Association - the partnership with AWO has already produced a decline in towboat worker deaths.

Goal S3: Eliminate crewmember fatalities on U.S. commercial vessels.

Target: Reduce the crewmember fatality rate from the FY 98 statistical baseline of 43 fatalities per 100,000 workers to 40.



Analysis and Evaluation

The overall rate has declined over several years. This is due in part to partnerships with industry that promote better awareness of safety risks. Although 1998 data has not finalized, it appears the fatality rate dropped slightly; however, the fishing vessel rate appears to have increased.

FY00 Key Initiatives

Seagoing Buoy Tender Replacement; Stern Loading Buoy Boat Replacement (AC&I); Seven Coastal Buoy Tenders/Buoy Tender Infrastructure Support (OE) Provides assets that establish safe waterway markings and minimize accidents. *Ports and Waterways Safety Systems (AC&I)* Replaces the existing Valdez, Alaska VTS and performs surveys in three additional ports to ensure that the risk of accidents such as groundings and collisions are minimized.

Marine Information for Safety and Law Enforcement (AC&I): Replaces the obsolete and unsupportable Marine Safety Information System. The new system will provide an improved capability to track trends and support analysis of safety incidents. *Waterways Aids to Navigation Infrastructure (AC&I):* Improves aids to navigation in conjunction with Corps of Engineers projects to reduce accidents.

Marine Safety (RDT&E): Supports research projects into allocating resources based on risk factors, developing standards for distress calls, evaluating crew fatigue and human error, and evaluating the fire resistance of fiberglass compartment divisions. *Support Interagency Ship Structure Committee (RDT&E):* Supports research into vessel design, construction, maintenance and operation to improve personnel safety by reducing the risk of structural failure, and improving structural ability to withstand damage.

Passenger Vessel Casualties

Why We Act

Every year, millions of Americans are transported aboard passenger vessels for vacations, sightseeing, and commuting. As newer vessels are put into use with much higher passenger capacities and speeds, the risk for a major catastrophe involving a passenger vessel increases, as does the potential for loss of life. The Coast Guard actively promotes safety onboard these passenger vessels through education, regulation and inspection.

Key Factors

Of the passenger vessel casualties that occurred in 1997, 44% were collisions or allisions, 34% were groundings, 8% were shipboard fires, 8% were due to flooding, and 5% were sinkings or capsizings. Training, planning, preventative maintenance and other human factors continue to play a central role in nearly every passenger vessel casualty. For example, collisions, allisions, and groundings can all generally be traced to inadequate vessel management, poor navigation, or failure to maintain a proper watch. Furthermore, passenger vessels transport people who are often unfamiliar with the procedures for reacting to these dangerous incidents. Since most cruise ships are foreign flagged, the Coast Guard does not have complete inspection authority; flag state regulators and classification societies make up the other oversight sources.

Strategies

The Coast Guard actively participates in the development of international safety standards dealing with fire protection, management practices, watchkeeping, and emergency drills. We provide consultations to maritime interests on the revised Standards for Training Certification and Watchkeeping.

We also administer a Control Verification program that monitors the safety of all vessels that embark passengers from U.S. ports. The program consists of an initial examination as well as quarterly and annual examinations. The new International Safety Management Code is aggressively enforced. Research and development efforts are utilized to improve safety equipment and reveal how human decisions play a role in accidents. For those incidents that do occur, the Coast Guard maintains a search and rescue capability to minimize loss of life.

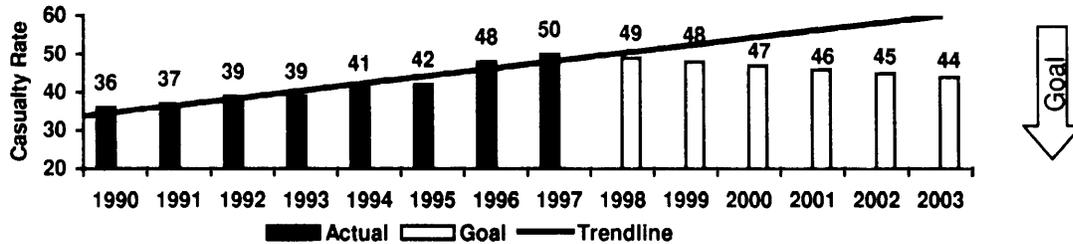
Coordination

The Coast Guard coordinates with OSHA in developing vessel health standards that reduce the risk of casualties. The Coast Guard also works with the National Transportation Safety Board to investigate major maritime accidents and use the investigation results to develop better safety strategies; it investigates less serious incidents to determine causes and identify trends. The Coast Guard works with the International Maritime Organization to improve the level of safety standards on a worldwide basis.

Through the Prevention Through People initiative, the Coast Guard has a partnership with the Passenger Vessel Association to identify and mitigate safety risks. The Coast Guard has also established several Outlines of Cooperation with Classification Societies. These organizations serve to regulate the industry and reduce the risk of accidents. Lloyd's Register of Shipping is a well known classification society.

Goal S4: Eliminate passenger vessel casualties with major loss of life.

Target: Reverse the upward trend, and reduce the number of high-risk passenger vessel casualties from the FY98 statistical baseline of 49 casualties per 1,000 passenger vessels to 47.



Analysis and Evaluation

Because incidents involving major loss of life occur infrequently, a proxy measure "high risk casualties" is employed. The upward trend in high risk passenger vessel casualties could indicate a growing risk of a major passenger vessel accident. The Coast Guard is seeking ways to halt and reverse this trend, mainly by attempting to reduce human error.

FY00 Key Initiatives

Staff VTS New Orleans; VTIS LA/LB Watchstanders (OE): Provides funding to optimally staff vessel traffic systems that exercise positive control over transiting vessels and reduce the chances of collisions and groundings - the two predominant types of passenger vessel casualties.

Seagoing Buoy Tender (WLB) Replacement; Stern Loading Buoy Boat (BUSL) Replacement (AC&I); Seven Coastal Buoy Tenders/Buoy Tender Infrastructure Support (OE) Provides assets that establish safe waterway markings and minimize groundings and collisions.

Marine Information for Safety and Law Enforcement (AC&I) Replaces the obsolete and unsupportable Marine Safety Information System. The new system will provide an improved capability to track trends and support analysis of safety accidents.

Ports and Waterways Safety Systems (AC&I): Replaces the existing Valdez, Alaska VTS and performs surveys in three additional ports to ensure that the risk of accidents such as groundings and collisions are minimized.

Waterways Aids to Navigation Infrastructure (AC&I): Improves aids to navigation in conjunction with Corps of Engineers projects to reduce accidents.

Marine Safety (RDT&E) Supports research projects on allocating resources based on risk factors, developing distress call standards, evaluating crew fatigue and human error, and evaluating the fire resistance of fiberglass compartment divisions.

Support Interagency Ship Structure Committee (RDT&E): Supports research into vessel design, construction, and operation to improve personnel safety by reducing the risk of structural failure, and improving structural ability to withstand damage.

Recreational Boating Fatalities

Why We Act

For modes of transportation, recreational boating is second only to highway travel in the annual number of related fatalities. The number of recreational boaters continues to grow as more people move to the coastal regions, and the water becomes a more popular place for recreation. In 1998, there were 78 million boaters taking to the water in 20 million craft. Around 800 boaters, including about 40 children, die in boating accidents each year - mostly as a result of drowning.

Key Factors

The largest factor in recreational boating fatalities is lack of personal floatation device (PFD) use. 80% of boaters do not use PFDs. The number one cause of fatalities is drowning - this could be vastly reduced by increased PFD use. The primary causes of accidents were operator inattention, carelessness, and excessive speed. Operator intoxication is also a significant factor. 80% of all boating fatalities occur on boats where the operator had no formal training. The Coast Guard works with state agencies to implement boating safety programs - success in reducing fatalities is partly dependent on effectiveness of the state's education and enforcement programs.

Strategies

The Coast Guard conducts public service campaigns with states, safety organizations, and industry to promote personal floatation device use, operator training, and good boating behavior. Our annual Safe Boating Campaign is kicked-off in late May, right before the start of the boating season. We also conduct on-the-water safety boardings, while the Coast Guard Auxiliary conducts boating safety courses, and dockside courtesy examinations.

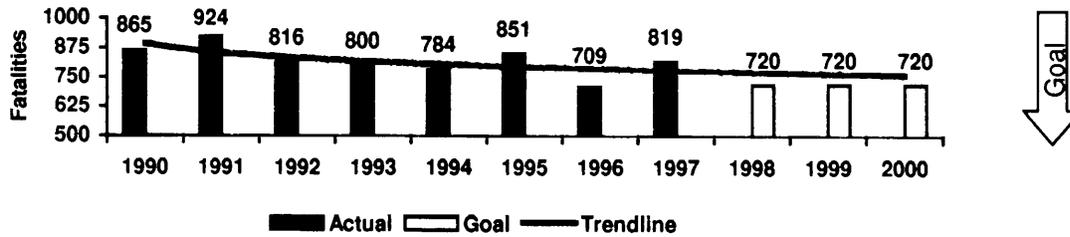
We will provide \$59 million in grant funding to state recreational boating safety education and training programs, a \$4 million increase over last year. This mandatory appropriation, in place for the next 6 years, assists states in implementing effective boating safety programs. We continually work to increase personal floatation device effectiveness by improving their wearability and reliability. We enforce boating under the influence statutes and promote lowering the intoxication threshold to .08% for adults, and to a zero tolerance level for minors. Our research and development projects seek to reduce human error and improve mariner awareness. The Coast Guard also maintains a search and rescue capability to minimize the loss of life for accidents that do occur.

Cooperation

The Coast Guard and Coast Guard Auxiliary work with state and local governments and safety organizations such as Boat/U.S. and the U.S. Power Squadron to provide boating education and training programs. We assist boaters in finding the right class for their needs. We also partner with the National Safe Boating Council, National Association of State Boating Law Administrators, Safe America Foundation, insurance industry, and boat manufacturer to promote public service safety messages and distribute information on boating equipment safety recalls.

Goal S5: Eliminate recreational boating fatalities.

Target: Reduce recreational boating fatalities from the FY97 baseline of 819 fatalities to 720 fatalities or less.



Analysis and Evaluation

Recreational boating fatalities have been decreasing over the long term, however fatalities have not yet been consistently reduced below our target of 720. Increased personal floatation device use has contributed to the long-term reduction: drownings have dropped from 1,604 in 1973 to 586 in 1997. Of those 586, 521 were not wearing life vests. Further increases in personal floatation device use should continue to drive fatalities downward below 720. The Coast Guard is conducting an evaluation of the relationship between PFD usage rates and changes in wearability as the result of design improvements. This will assist in further design improvements to boost usage. Prevention efforts and an active Coast Guard Auxiliary education program will assist in reducing situations where boaters are at risk. Continued rescue improvement will save more boaters that do find themselves in trouble.

FY00 Key Initiatives

47-Foot Motor Life Boat Replacement (AC&I): Expands our capability to meet heavy weather SAR demand in coastal zone.

Coastal Patrol Boat Replacement (AC&I); Coastal Patrol Boat Follow-on (OE): Replaces the aging 82 foot patrol boat and provides for increased operation and maintenance costs associated with the higher number of operational hours CPBs provide over old 82 foot patrol boats. This allows the Coast Guard to continue providing effective SAR services in the coastal zone where most recreational boaters operate.

National Distress System Modernization (AC&I): Improves the ability of boaters in distress to notify the Coast Guard - a key factor in saving lives.

Improved Search and Rescue Capability (RDT&E): Seeks to develop new search planning tools, and improved sensor technologies.

State Recreational Boating Safety Programs (BS): Provides funds for the administration of the coordinated State Boating Safety Grant Program that seeks to educate boaters and enforce safety standards.

**Safety Programs Profile
Search and Rescue**

	1994	1995	1996	1997	1998^3	1999^3	2000^3
Workload							
Responses^1	70,328	63,672	55,710	52,141	61,700	61,500	61,200
Sorties^1	70,334	63,680	98,423	91,722	82,800	82,700	82,700
Auxiliary Sorties^2	6,283	5,857	3,143	3,426	4,400	4,300	4,200
Lives Saved	7,889	4,411	4,992	3,836	5,100	5,100	5,200
Persons Assisted	115,622	100,425	84,248	74,740	93,800	92,400	91,200
Property Saved							
(\$ Million)	1,452.4	2,448.6	2,213.8	8,77.5	1,300	1,330	1,360
Sortie Hours^4	325,590	340,804	430,052	402,541	378,600	385,200	391,500
Resource Hours^4	101,308	92,500	83,419	79,164	73,400	69,000	65,000
Funding (\$ million)							
OE	349.8	348.0	328.6	328.3	345.8	327.8	340.8
AC&I	25.3	41.2	28.2	41.0	50.2	47.1	66.9

- Responses are reaction by any unit to a SAR incident; sorties are action of a unit's resource in rendering assistance, each action comprises one sortie (each unit may have a single response to an incident and multiple sorties).
- Auxiliary sorties are a subset of the sorties category
- Data for 1998 through 2000 are estimates.
- Sortie Hours reflect the total time of all segments of the SAR System (USCG, DOD, other federal, state, local, volunteer, etc) as reported to and by the Coast Guard in responding to SAR incidents; includes not only underway assets (aircraft, cutters, boats) but also coordination, communication and other personnel only involvement. (source: Search and Rescue Management Information System) Resource Hours reflect the time spent by Coast Guard assets (aircraft, cutters, boats) in responding to SAR incidents. (source: USCG Abstract of Operations Reports)

Resource hours have generally been decreasing over the long term due to better search planning tools, and wider use of electronic positioning beacons that decrease the time needed to locate mariners in distress.

Marine Safety

	1994	1995	1996	1997	1998	1999	2000
Workload							
Inspections							
U.S. Vessel/Barge	34,951	34,183	33,947	32,286	36,211	34,316	34,316
Foreign Vessel	19,810	20,854	18,797	19,789	18,030	19,456	19,456
Facility	9,858	7,416	6,802	6,898	8,743	7,943	7,943
Investigations	8,293	8,130	8,203	6,981	5,589	7,439	7,439
Funding (\$ million)							
OE	340.9	362.5	347.3	376.1	384.6	385.1	403.3
AC&I	26.6	24.2	29.8	22.5	36.9	29.3	25.2

- 1999 and 2000 values are estimates

Boating Safety Appropriation

	1994	1995	1996	1997	1998	1999	2000
Funding (\$ million)	32.3	25.0	20.6	35.0	35.0	*	*

- No discretionary appropriations are required in FY99 and 00; the Transportation Equity Act (TEA) for the 21st Century includes permanent appropriations of \$64 million annually beginning in FY99.

**Protection of Natural Resources
Performance Goals**

Oil Spills

Why We Act

The U.S. imports over 7 million barrels of crude oil a day, most of it via maritime transportation. Petroleum products are also transported within the U.S. over its inland and coastal waterways. Discharge of oil into U.S. waters, particularly in accidents like the Exxon Valdez oil spill, can have devastating effects on coastal area environments, which in turn produce serious repercussions on local tourist and fishing industries.

Key Factors

Over 90% of the total volume of oil spilled is the result of a few large oil spills. These spills are mostly the result of groundings, collisions, and fires. Tank barges are the major source of discharged oil, accounting for approximately 75% of the volume spilled, 40% of all spill incidents, and most major spills. Tank ships are also a significant source of pollution, especially in terms of the number of major and medium oil spills. Furthermore, tank ship accidents pose a threat of catastrophic pollution. Economic factors and government action can affect regulation compliance by industry. As the amount of petroleum products shipped by maritime carriers continues to increase, the Coast Guard must be ready to ensure these shipments don't lead to accidents that harm the environment.

Strategies

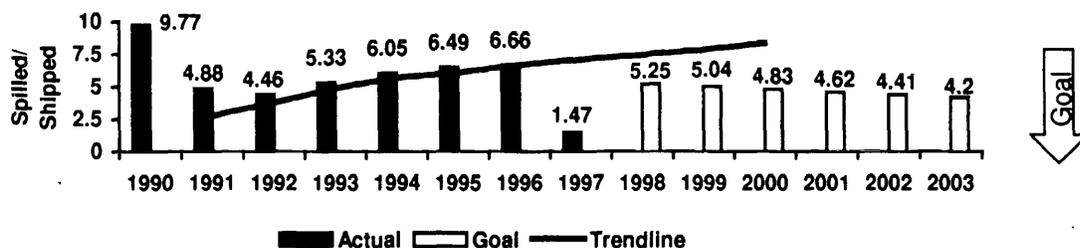
The Coast Guard develops pollution prevention standards, enforces pollution regulations, and educates mariners on pollution prevention strategies and procedures. We employ the "Prevention through People" philosophy to identify the human causal factors in pollution incidents and focus on education of mariners and industry to reduce these factors. We investigate pollution accidents and analyze the cause for remedial action. The Coast Guard Research and Development Center works to fingerprint spill samples in order to identify the source of the spill. The Coast Guard pursues regulatory activity to implement Oil Pollution Act of 1990 provisions that require tank vessel and facilities carrying or transferring bulk hazardous material to operate in accordance with an approved response plan. We work to establish a barge numbering system that will allow identification of barges owners, and help prevent abandoned barges that become pollution hazards. The Coast Guard also maintains vessel traffic systems, and aids to navigation systems to reduce the risk of collisions and groundings that may result in a pollution incident.

Cooperation

The Coast Guard coordinates pollution prevention activities with the Environmental Protection Agency. EPA focuses on inland pollution, while the Coast Guard is responsible for the coastal maritime zone. The Coast Guard also coordinates the inspection of waterfront facilities with the Department of Transportation's Research and Special Projects Administration.

Goal P1: Eliminate oil discharged into the water from maritime sources.

Target: Reverse the upward trend, and reduce the rate of oil discharged into the water from maritime sources from the FY98 statistical baseline of 5.25 gallons spilled per million gallons shipped to 4.83.



Analysis and Evaluation

The oil spill rate has been variable over the long term: rising in 1993-1996 but dropping significantly in 1997. This is due to the absence of a major spill in 1997. More data and analysis is needed to confirm a change in the overall trend. We will conduct a program evaluation of the Port State Control Program and the Elimination of Substandard Vessels Initiative to determine the impact of the initiative on reducing oil spills by eliminating noncompliant foreign flag vessels from operating in U.S waters.

FY00 Key Initiatives

Staff VTS New Orleans; VTIS LA/LB Watchstanders (OE): Provides for improved staffing of vessel traffic services that exercise positive control over transiting vessels and reduce the chance of a pollution causing incident such as collisions and groundings.

Vessel Disposal (OE): Provides for the proper and environmentally safe storage of decommissioned cutters prior to their final disposition.

Seagoing Buoy Tender (WLB) Replacement; Stern Loading Buoy Boat (BUSL) Replacement (AC&I); Seven Coastal Buoy Tenders/Buoy Tender Infrastructure Support (OE): Provides assets that establish safe waterway markings and minimize the risk of a pollution-causing incident.

Ports and Waterways Safety Systems (AC&I): Replaces the existing Valdez, Alaska VTS and performs surveys in three additional ports to ensure that the risk of pollution causing accidents such as groundings and collisions are minimized.

Marine Information for Safety and Law Enforcement (AC&I): Replaces the obsolete and unsupportable Marine Safety Information System. The new system will provide an improved capability to support analysis of pollution incidents, and determine better strategies for reducing spills. *Waterways Aids to Navigation Infrastructure (AC&I):* Improves aids to navigation in conjunction with Corps of Engineers projects to reduce pollution-causing accidents.

Support Interagency Ship Structure Committee (RDT&E) Supports research on improved ship structures to reduce the potential for damage-related oil discharge.

Plastics and Garbage Debris

Why We Act

Marine debris degrades water quality and defiles coastal beaches. One of the most harmful effects of marine debris is its lethal impact on birds and marine animals. Sea birds commonly ingest plastic: fishing line, plastic wrap, or plastic foam. Sea turtles often mistake plastic bags for jellyfish - a common food. Every year an estimated 30,000 northern fur seals die due to entanglement in plastic debris. Lost fishing nests and fishing line is one of the most dangerous forms of debris in the marine environment. Discarded or lost nets continue to fish, resulting in economic losses to the fishing industry as well as needlessly killing marine life. In one Florida beach cleanup, volunteers retrieved several miles of fishing line in just three hours. Fishermen and boaters are also affected when marine debris fouls propellers and clogs water intake ports causing engines to overheat.

Key Factors

Key sources of marine debris are trash items and galley waste from fishing vessels, cruise ships, and cargo ships; and fishing net fragments discarded or lost from fishing vessels. Recreational fishing and boating also generates trash such as plastic bags and cups, as well as tremendous amounts of the seriously threatening monofilament fishing line. Over 25,925 pieces of fishing line were collected from U.S. beaches during the Center for Marine Conservation's 1996 beach cleanup, and at least 40% of all the entanglements reported during the cleanup involved fishing line.

Strategies

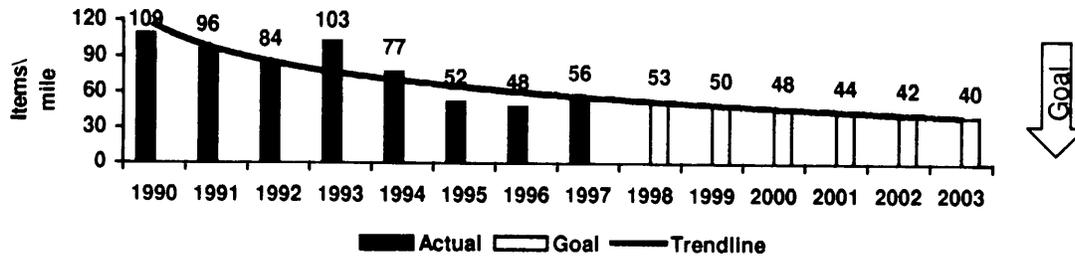
The Coast Guard promotes educational initiatives such as the Sea Partners program that seeks to educate maritime users about the detrimental effects of maritime pollution, and the laws prohibiting discharge of plastic into the water. It also promotes the use of appropriate port disposal facilities in lieu of dumping debris overboard at sea. In addition to education, the Coast Guard assists in developing, and enforcing the International Convention for the Prevention of Pollution from Ships, commonly referred to as the MARPOL Treaty. Annex V of MARPOL deals with plastics and garbage disposal from ships. It prohibits the ocean dumping of all ship-generated plastics. Trash handling and distance from shore requirements have also been set on other types of solid wastes. All vessels, regardless of nationality, are bound by these restrictions within our territorial waters.

Coordination

The Coast Guard works with the Environmental Protection Agency to enforce pollution regulations and keep beaches and other coastal areas free of contaminating debris. The Coast Guard, EPA, National Marine Fisheries Service, National Park Service, and the Center for Marine Conservation also coordinate in monitoring and measuring marine debris amounts in efforts such as EPA's National Marine Debris Monitoring Program. We build on the efforts of private groups such as the Center for Marine Conservation that seek to educate mariners on marine debris regulations, and the harmful effects of debris.

Goal P2: Eliminate plastics and garbage discharged into the water from maritime sources.

Target: Reduce the rate of plastics and garbage discharged into the water from maritime sources from the FY98 statistical baseline of 53 items per mile of shoreline surveyed to 48.



Analysis and Evaluation

Marine debris amounts have been declining for the past several years. In particular, dramatic reductions in the amount of galley waste and commercial fishing waste have been observed since 1988, with smaller reductions in vessel operational waste and recreational boating waste. The National Marine Fisheries Service conducted a recent study in Alaska that showed marine debris from vessel sources is declining. The Center for Marine Conservation has noted that the drop in marine debris is an indication that mariners are observing MARPOL regulations regarding the dumping of plastics.

FY00 Key Initiatives

The Coast Guard will continue enforcement of MARPOL regulations, and education of mariners as to the damage that occurs from marine debris.

Pollution Response

Why We Act

Although the Coast Guard works to prevent pollution incidents from happening, it also responds to minimize the impact of those that do occur. Pollution incidents can be devastating - the Exxon Valdez oil spill killed a great number of marine mammals, fish and birds, and caused a serious economic loss to the fishing industry. Yet, the Exxon Valdez oil spill would have had far worse impacts on the marine environment and local fishing industry had it not been for Coast Guard efforts to effectively coordinate response efforts, halt the discharge of oil, and contain and remove oil in the water.

Key Factors

A quick response to pollution-causing incidents, coupled with the ability to choose the appropriate spill mitigation strategy, and get the appropriate equipment on scene is key to minimizing environmental damage. Incident location, extent of vessel or facility damage or mechanical problem, type of petroleum product spilled, on scene weather, sea conditions, and length of time oil has been in the water all play a role in how successful mitigation efforts will be. Each pollution incident is different - the Coast Guard must maintain the readiness to formulate and implement the best response that minimizes the impact of the contaminants.

Strategies

The Coast Guard seeks to maintain a high level of response preparedness. It staffs the National Response Center which serves as the sole national point of contact for reporting all oil, chemical, radiological, biological, and etiological discharges into the environment anywhere in the U.S. The center gathers and distributes spill data for Federal On-Scene Coordinators and serves as the communications and operations center for spill responses. The Coast Guard also operates three National Strike Teams that must maintain a 24 hour-a-day readiness for major incident response. We also maintain smaller response teams at Marine Safety Offices around the country. Research and development projects play a large role in improving pollution response, including the development of predictive models for response equipment, and evaluation of in-situ burning as a response tool.

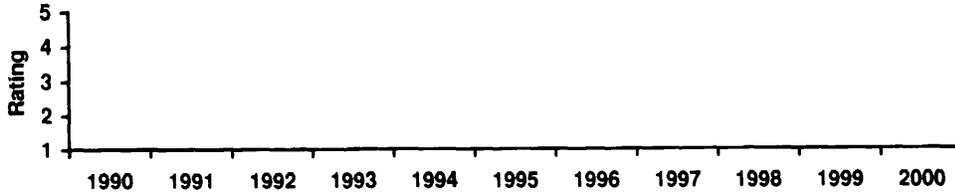
Coordination

The Coast Guard maintains agreements with a variety of federal entities to coordinate spill response. Through the National Response Team (NRT) and Regional Response Teams, the Coast Guard works with sixteen federal departments and agencies and many state and local governments. The NRT is chaired by the Environmental Protection Agency; the Coast Guard serves as Vice Chair. Each of the 13 RRTs are co-chaired by EPA and the Coast Guard.

Goal P3: Eliminate the adverse impact of pollution incidents on the marine environment.

Target: Target and measure to be determined.

Data to be Collected



Analysis and Evaluation

The Coast Guard is working on a measure and target to gauge success in pollution response. The goal used of FY1998 focused on percentage of spilled oil removed from the water. However, this is not an adequate measure of performance since in some cases the more effective response to minimize pollution is to leave the oil in the water and apply dispersants, or burn it in-situ.

FY00 Key Initiatives

Staff VTS New Orleans; VTIS LA/LB Watchstanders (OE): Increases the number of personnel monitoring vessel traffic to better meet response preparedness requirements.

Marine Environmental Protection (RDT&E): Provides better knowledge into what response techniques and strategies are most appropriate for different types of incidents. Completes study of environmental effects of new petroleum products, improving the Coast Guard's ability to mitigate spills of these products; develops prototype equipment designed to contain spills in fast water situations; develops an improved information system for on scene coordination, and develops an equipment suite and operational doctrine to integrate in-situ burn techniques in spill response.

Living Marine Resources

Why We Act

Our oceans represent a significant source of renewable wealth, providing income for fishermen, recreation for over 17 million Americans, and abundant seafood for the American public. Commercial and recreational fisheries annually contribute an estimated \$20 billion and \$10 billion respectively to the U.S. economy. Worldwide, poorly managed fishing destroys 60 billion tons of sea life every year - mostly in the form of unintentional by-catch. In the process of harvesting mature swordfish, 40,000 juvenile swordfish are unintentionally caught and destroyed each year - fish that would help sustain the fishery and its economic benefits if they reached maturity. The importance of responsible management of ocean resources will continue to grow as the oceans are looked to as an increasingly critical source of food for the world's growing population. We are the only agency able to enforce regulations over our vast fishing grounds.

Key Factors

Over-harvesting, unintentional by-catch, and illegal fishing reduce the overall health and abundance of fisheries stocks. As fishing boats grow larger and more efficient these factors will increase, further degrading fisheries health. The economic health of the fishing industry and individual fishermen affects their propensity for compliance with regulations: in bad times, some will ignore regulations meant to sustain fisheries levels. Scientific errors in fisheries management estimates can lead to the establishment and enforcement of regulations that provide less than optimal protection to stocks, and the wording and structure of regulations can affect the Coast Guard's ability to enforce compliance. Environmental factors can also affect fisheries stock health. As the demand for seafood grows worldwide, the Coast Guard will be pressed to maintain the readiness to enforce all fisheries regulations.

Strategies

The National Marine Fisheries Service (NMFS) develops biologically effective living marine resource management plans and establishes regulations that guide enforcement. The Coast Guard develops viable enforcement schemes, monitors compliance with international agreements, and ensures compliance with laws and regulations.

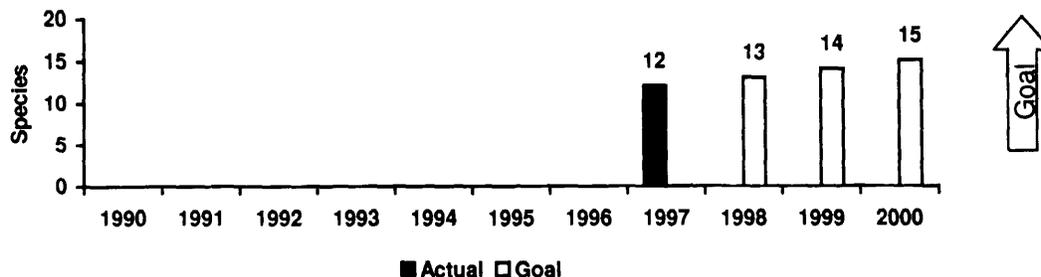
We maintain a surface and air presence on fishing grounds to deter violations and apprehend those that do break the law: we strive to board 20% of all fishing vessels in areas of importance, and detect 80% of all significant violations. Major laws enforced include the Magnuson Stevens Fishery Conservation Act, Lacey Act, High Seas Drift Net Moratorium, and the Marine Mammal and Endangered Species Act. We are working with NMFS to develop a national Vessel Monitoring System that will provide automated information on vessel positions. This will improve our surveillance of important fishing areas. We developed a ship reporting system to protect the critically endangered Northern Right Whale from vessel collisions, and have pursued regulatory activity regarding ship ballast water management to reduce harm by invasive species.

Coordination

The Coast Guard works closely with NMFS and also coordinates with state fisheries enforcement organizations.

Goal P5: Effectively enforce federal regulations that provide stewardship of living marine resources and their environments.

Target: Conduct enforcement operations necessary to support the National Marine Fisheries Service goal of increasing the number of listed fish species (endangered or threatened) that improve in status to 15 from a FY97 baseline of 12.



Analysis and Evaluation

This is a new goal with limited historical data. The number of fish species improving in status indicates an improvement of the overall health of fisheries. Improvement depend on NMFS to develop the correct regulations, and the Coast Guard to adequately enforce them.

FY00 Key Initiatives

Coastal Patrol Boat Follow-on (OE); Coastal Patrol Boat Replacement (AC&I); Long Range Search Aircraft Capability (AC&I); HU-25 Aircraft Avionics Improvements (AC&I); HC- 130 Side Looking Airborne Radar (AC&I): Replaces vessels and sensors with newer equipment that will improve our readiness to efficiently monitor fishing fleets and deter and prosecute violations.

Deepwater Capability Replacement Analysis (AC&I): Develop an system of surface, air, command and control, intelligence, and logistics systems to carry out statutory mandates for fisheries enforcement in the deepwater area of responsibility. Deepwater assets are essential to enforcing fisheries regulations on the high seas, and at the outer reaches of the Exclusive Economic Zone to ensure the increasing worldwide demand for fish products does not deplete our fisheries stocks.

Comprehensive Law Enforcement (RDT&E) Develops sensor technology that more effectively detects vessels. This is useful for locating vessels violating closed-area regulations.

Protection of Natural Resources Program Profiles
Marine Environmental Protection

	1994	1995	1996	1997	1998	1999	2000
Workload							
Inspections							
U.S. Vessel	34,951	34,183	33,947	32,286	36,211	34,316	34,316
Foreign Vessel	19,810	20,854	18,797	19,789	18,030	19,456	19,456
Facilities	9,858	7,416	6,802	6,898	8,743	7,943	7,943
Responses	18,273	16,741	16,098	13,654	12,554	11,550	11,550
Funding (\$ million)							
OE	265.3	279.1	268.0	288.3	299.6	325.3	336.5
AC&I	23.1	35.5	39.0	19.7	26.8	28.7	28.9

Domestic Fisheries and Marine Sanctuaries

	1994	1995	1996	1997	1998	1999	2000
Boardings	9,440	12,634	13,081	12,449	14,173		
Violations							
NE: District 1 & 5	387	273	256	309	309		
SE: District 7 & 8	530	460	278	239	212		
NW: District 11 & 13	153	14	40	21	33		
SW: District 14	120	36	17	20	11		
Alaska: District 17	294	100	145	36	23		
Total 1484	883	736	625	588			
Cutter Resource Hrs:							
District 1	21,987	24,473	19,420	22,917			
District 5	5,474	7,826	5,698	7,439			
District 7	5,599	7,450	7,159	5,481			
District 8	9,035	14,126	11,757	8,703			
District 11	7,999	8,005	7,072	6,573			
District 13	7,797	11,058	10,076	8,834			
District 14	8,023	9,374	13,433	9,742			
District 17	25,886	26,190	30,583	25,678			
Total	91,800	108,492	105,198	95,367	97,391		
Acft Resource Hrs:							
District 1	1,856	2,286	2,225	2,698			
District 5	310	706	1,143	1,094			
District 7	583	759	386	305			
District 8	1,313	1,911	1,861	1,400			
District 11	5,552	4,012	2,975	2,052			
District 13	1,934	1,319	1,088	1,263			
District 14	1,223	1,576	1,744	1,738			
District 17	3,574	3,537	4,228	4,317			
Total	16,345	16,106	15,650	14,867	14,211		
Funding (\$million)							
OE	365.7	453.0	455.9	387.4	397.8	436.0	452.5
AC&I	----	----	----	50.0	74.4	75.1	51.3

1. 1999 and 2000 are estimates.
2. Totals do not include Great lakes fisheries, or international fisheries.
3. Decrease in District 7 and 8 resource hours is a result of increased counter drug emphasis.
4. Resource hour breakdown by district for 1998 is not available.

Mobility Performance Goals
Navigation Aids

Why We Act

Over 2 billion tons of domestic and foreign commerce is transported through U.S ports and waterways every year. The Coast Guard's Navigation Programs (Short Range Aids to Navigation and Radio Navigation Aids) promote the efficient movement of marine users and commerce on the navigable waters of the United States to support national defense, economic, scientific, environmental, and social needs. The programs are concerned with operation of sound, visual and electronic signals to mark safe water or warn of dangers.

Key Factors

Navigation aids can be moved out of position or rendered unusable by natural currents and shifts in the waterway bottom, and vessel allisions. Severe weather conditions such as hurricanes or river flooding can degrade an entire aid to navigation system in a particular area, greatly impacting waterway mobility.

Strategies

The Coast Guard operates a fleet of buoy tenders to maintain the more than 50,000 federal aids to navigation. We use various evaluation tools and models to prioritize aid to navigation discrepancies and improvements in order to optimally maintain the system. We develop and operate radionavigation systems such as LORAN-C and the Differential Global Positioning System (DGPS) to provide mariners with highly accurate, continuous, navigation capabilities. We develop and apply new technology to make the system more efficient and effective.

The Coast Guard, along with the Maritime Administration and other federal agencies has developed the Marine Transportation System - an inter-agency initiative focused on the marine portion of the national transportation system. The objective of this effort is to support a world-class waterways system that improves our global competitiveness and national security. Marine transportation is now characterized by many diverse organizations engaged in a complex environment, often working independently and for the accomplishment of different goals. This initiative will address the future needs of the nation by improving the coordination and cooperation among all stakeholders and will assist agencies in establishing constructive priorities and in drafting legislation that supports the outcome of this effort. We also must be ready to protect our ports and navigation systems as part of the nation's critical infrastructure.

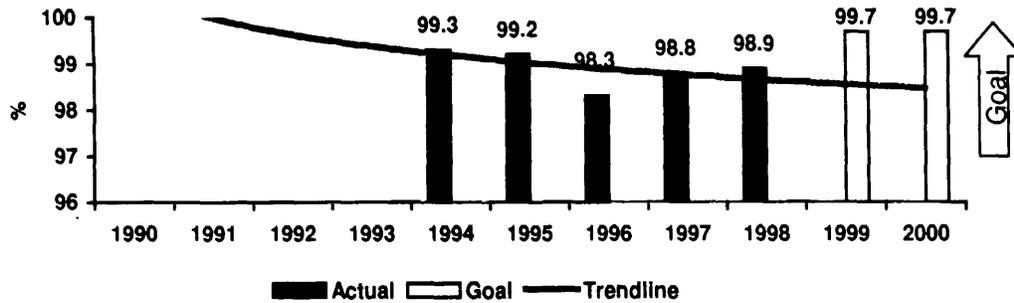
Coordination

The Coast Guard works closely with the Army Corps of Engineers to provide effective navigation aids for channel dredging and infrastructure projects. The Coast Guard also coordinates with the Maritime Administration on shoreside infrastructure projects through venues such as Interagency Committee for Waterways Management.

To ensure radionavigation systems provide maximum transportation benefits, the Coast Guard works with the Federal Aviation Administration and Federal Railroad Administration to determine future needs for LORAN-C and the Nationwide DGPS. The Coast Guard is also working with a spectrum of agencies to develop the Federal Radionavigation Plan for the effective management of all federal radionavigation systems.

Goal M1: Maximize vessel mobility within ports and waterways.

Target: Maintain navigation aid availability days at 99.7% of all days.



Analysis and Evaluation

Aid availability has not been reaching the desired standard of 99.7%. This standard may be reviewed to validate its appropriateness as a performance measure. Additionally, this measure understates the true availability of the total aids to navigation system - a single aid outage does not usually significantly degrade the utility of an entire aid system in a port or waterway. Also, aids provide several facets of navigation utility - visual, audible, and electronic. An outage in one facet does not always affect the others.

FY00 Key Initiatives

Seven Coastal Buoy Tenders (OE); Buoy Tender Infrastructure Support (OE); Seagoing Buoy Tender (WLB) Replacement (AC&I); Stern Loading Buoy Boat (BUSL) Replacement (AC&I): Replaces aging buoy tenders with more capable vessels to reduce needed resources. Buoy tenders maintain aid to navigation infrastructure that minimizes accidents such as collisions and groundings.

Differential Global Positioning System Follow-on (OE): Provides for the operation of DGPS sites completed in FY99, and moves the system further toward full operational capability. DGPS provides mariners with a technologically advanced, reliable positioning information.

Waterways Aids to Navigation Infrastructure (AC&I): Commences projects to install, replace, and realign navigation aids in coordination with Corps of Engineers channel dredging projects. Highlights: Chesapeake Bay, and the Houston Ship Channel. This will improve aid to navigation infrastructure to support and maximize the utility of the Corps of Engineers projects.

Waterways Safety & Management & ATON (RDT&E) Provides for improved waterway management tools, including the computerized Waterways Evaluation Tool (WET) and other projects for establishing the appropriate mix of navigation systems.

Vessel Traffic

Why We Act

As U.S. ports are squeezed by larger volumes of maritime and recreational vessel traffic, the impact of the closure of a major waterway on commerce in and around these ports becomes even more significant. A vessel grounding in a major waterway will impact major vessel movements, passenger vessel operations, recreational users, barge traffic, and even begin to affect local and national rail and truck transportation services. Coast Guard efforts are key to facilitating the movement of commerce within our ports and waterways. As such, the Coast Guard has the role of coordinating the prevention of and responding to these major waterway incidents as we strive to preserve America's waterways as freeways of commerce and recreation and provide every American safe and efficient access.

Key Factors

Training, planning, preventative maintenance and other human factors continue to play a central role in many accidents. Collisions, allisions, and groundings can all generally be traced to inadequate vessel management, poor navigation, or failure to maintain a proper watch. The high volume of maritime traffic in our ports and waterways leaves little room for error, and makes every mistake potentially dangerous. Obstructions, shoaling, and poor channel markings, less than optimal bridge span placement or design, and low visibility weather also compound the risk of accident.

Strategies

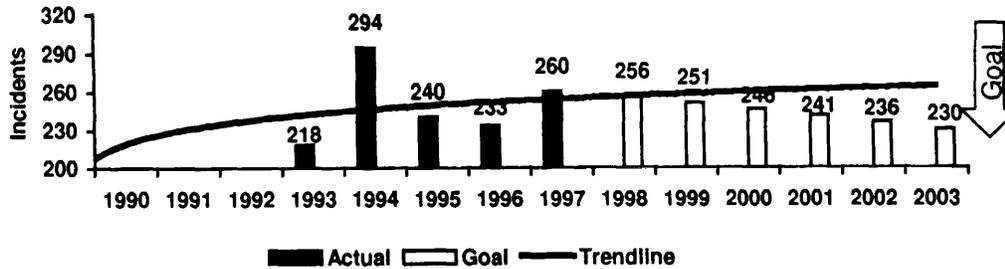
In addition to the extensive visual and radionavigation systems it maintains, the Coast Guard coordinates safe and efficient movement of traffic through Vessel Traffic Services (VTS). These units serve as an extra aid to mariners in navigating through congested and difficult ports and waterways. The Coast Guard seeks to reduce human error in mobility accidents through people-focused training and education efforts. We develop and enforce standards for navigation, manning, and training. We also aggressively enforce the International Safety Management Code that concentrates on human factors that cause mishaps. The Coast Guard also uses technology to reduce incidents. Our Ports and Waterways Safety System (PAWSS) Project will include a Universal Shipborne Automatic Identification System that will identify vessels by type and name. This will minimize waterborne traffic conflicts and collisions. These shipboard transponders will be a major component of the Coast Guard's VTS in New Orleans, a particularly congested and difficult waterway area.

Coordination

The Coast Guard works closely with the Army Corps of Engineers to provide effective navigation aids for channel dredging and infrastructure projects. The Coast Guard also coordinates with the Maritime Administration on shoreside infrastructure projects through venues such as the Interagency Committee for Waterways Management. Pilot associations and private traffic services provide assistance that complements Coast Guard vessel traffic service functions. The Coast Guard, in cooperation with private industry, promotes the Prevention Through People initiative which takes a people-focused approach to reducing collisions, allisions, and groundings

Goal M2: Eliminate vessel collisions, allisions, and groundings.

Target: Reduce the number of vessel collisions, allisions, and groundings from the FY 98 statistical baseline of 256 vessel collisions, allisions and groundings to 246.



Analysis and Evaluation

The Coast Guard will conduct an analysis of incidents that occurred during 1996-1998 to identify leading causes of accidents, the underlying conditions that contribute to the causes, and the appropriate strategies to mitigate those conditions.

FY00 Key Initiatives

Seven Coastal Buoy Tenders (OE); Buoy Tender Infrastructure Support (OE); Seagoing Buoy Tender Replacement (AC&I); Stern Loading Buoy Boat Replacement (AC&I): Replaces aging buoy tenders with more capable vessels to reduce needed resources. Buoy tenders maintain aid to navigation infrastructure that minimizes accidents such as collisions and groundings.

Staff VTS New Orleans (OE); VTIS LA/LB Watchstanders (OE): Provides the necessary staff to operate traffic services at the optimum level, and reduce the risk that vessels will collide with other traffic, or run aground.

Differential Global Positioning System Follow-on (OE): Provides for the operation of DGPS sites completed in FY99, and moves the system further toward full operational capability. DGPS provides mariners with a technologically advanced, reliable positioning information.

Waterways Aids to Navigation Infrastructure (AC&I) Commences projects to install, replace, and realign navigation aids in coordination with Corps of Engineers channel dredging projects. Highlights: Chesapeake Bay, and the Houston Ship Channel. This will improve aid to navigation infrastructure to support and maximize the utility of the Corps of Engineers projects.

Waterways Safety & Management & ATON (RDT&E): Provides for improved waterway management tools, including the computerized Waterways Evaluation Tool (WET) and other projects that identify appropriate navigation system mixes.

Alteration of Obstructive Bridges (AB) Provides for the removal or alteration of bridges that produce a high risk of allisions, or otherwise impede vessel traffic.

Domestic Icebreaking

Why We Act

The Coast Guard conducts icebreaking activities during the winter months to facilitate commerce. During the ice season, 15 million tons of commerce is shipped over the Great Lakes; maintaining a winter shipping season through icebreaking facilitates the efficient transportation of this commerce. Along New York's Hudson River, reliable mobility is crucial to the winter delivery of home heating oil. The ability of fishing vessels to transit ice-choked harbors in Maine ensures fisherman can continue to support their families, and provide much-demanded seafood to the nation.

Key Factors

Ice blockage reduces mobility and delays winter navigation. Icebreaking performance is affected by ice thickness that is linked to the severity of winter weather patterns. It is also dependent on wind conditions: ice may be blown back into a cleared track so that commercial vessels cannot transit. Analyzing past winter weather patterns, and maintaining the readiness to break ice in even severe winter conditions is critical to maintaining winter navigation mobility. Some sources of delay, such as lock closures, must be addressed by other agencies, such as the Army Corps of Engineers, and the Saint Lawrence Seaway Authority of Canada.

Strategies

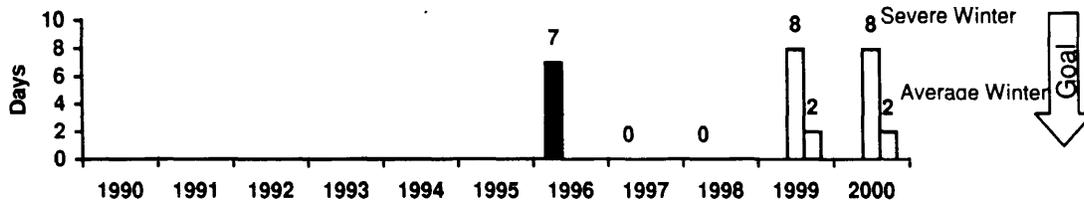
The Coast Guard ensures the continued movement of commerce by maintaining the readiness of a fleet of capable of breaking ice and allowing ships to pass through. The fleet includes a heavy icebreaker, icebreaking tugs, and buoy tenders. Not only do the icebreakers clear tracks, but they also free commercial vessels that are trapped in ice. In addition, icebreaking provides secondary benefits of improved search and rescue, environmental protection, and flood control for the Army Corps of Engineers in navigable waterways.

Coordination

The Coast Guard and the Canadian Coast Guard operate under a cooperative agreement to meet icebreaking requirements in the Great Lakes and Saint Lawrence Seaway. There is a very limited icebreaking capabilities provided by commercial tugs at the request of commercial carriers.

Goal M3: Maintain the navigation season in ice-bound areas of the Great Lakes.

Target: Limit closures of designated critical waterways to 2 days (average winter) and 8 days (severe winters.)



Analysis and Evaluation

Goal targets have been met in the past three years. 1996 was a severe winter; 1997 and 1998 were categorized as average winters: unseasonably warm temperatures resulted in minimal ice. The Great Lakes icebreaking program will undergo a formal program evaluation of the impact of Great Lakes icebreaking on the mobility of goods and the extent that activities are meeting customer requirements. The evaluation will be completed in FY2002.

FY00 Key Initiatives

MACKINAW Sustainment (OE): Provides for major maintenance to ensure continued operation of the icebreaker MACKINAW until its retirement.

Seagoing Buoy Tender Replacement (AC&I): This new class of buoy tender will replace the existing tender fleet. The new vessels should have a better icebreaking capability due to their greater horsepower and wider beam.

Polar Operations

Why We Act

The Coast Guard conducts polar operations to facilitate the movement of critical goods and personnel in support of scientific and national security activity in the polar regions. Our icebreakers deliver logistics support and clear tracks for other supply vessels to the McMurdo science station in Antarctica. Without this service, this base could not perform its vital functions. The ability to bring in more supplies by ship is critical to the effectiveness of scientific operations at McMurdo. In the mid 1980s, logistical supplies took 95% of available cargo space, leaving only 5% for important science equipment. That ratio has been reduced to 60% logistics and 40% science equipment due in part to a greater ability to rely on supply ships to bring in the big cargo - these are the ships Coast Guard icebreakers clear tracks for.

The Coast Guard must maintain sufficient icebreaking capability to ensure that these missions can be reliably executed: in the remote polar frontiers, there is no backup asset to finish the task, or render assistance if the primary asset breaks down or besets in the ice. Scientists in the Antarctic only have 4 months of summer in which to work - an inability to resupply science operations by ship every year would likely delay important experiments for a whole year. In addition to logistics, polar icebreakers promote a U.S. presence in the polar regions and in numerous foreign port visits, serve as floating scientific laboratories to support National Science Foundation research, and State Department treaty compliance inspections. The Coast Guard is the sole U.S. operator of heavy icebreaking capability.

Key Factors

Ice blockage reduces mobility, and delays or precludes navigation to the polar region bases. Icebreaking performance is affected by ice thickness, currents, winds, and other factors linked to the severity of winter weather patterns. Polar science research is limited by the availability of assets that can transport people and equipment through ice and serve as laboratory platforms.

Strategies

The Coast Guard operates large polar icebreakers capable of establishing tracks for resupply routes in the polar regions, and transporting scientist for the purposes of conducting experiments in the polar region. The icebreakers also serve as floating laboratories for important national-level research in the polar regions. In February each year, Coast Guard icebreakers open a channel for a tanker and supply ship that bring in a year's supply of material, fuel, and food. In addition, Coast Guard helicopters embarked on the icebreakers assist in transporting scientists to remote areas of the Antarctic landmass where fixed-wing aircraft cannot reach. We seek to improve our ability to carry out unfulfilled scientific research with the Cutter HEALY, a more research-capable polar icebreaker.

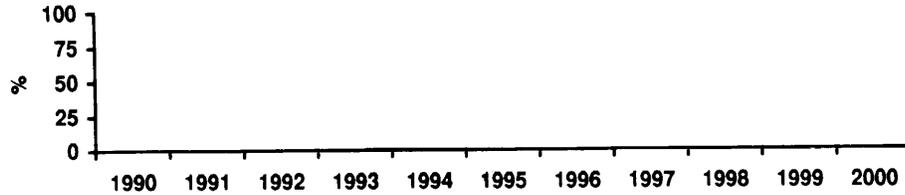
Coordination

The Department of Defense and Department of State provide requirements for security and diplomatic functions. The National Science Foundation provides scientific research requirements for icebreaking services.

Goal M4: Provide icebreaking capability needed to support national interest in the polar regions.

Target: Achieve required polar icebreaking performance score. Target score for FY00 not yet established.

Data to be developed



Analysis and Evaluation

To be developed as the performance measure is developed.

FY00 Key Initiatives:

Cutter HEALY Follow-on (OE); Polar Icebreaker Replacement (AC&I): Provides for the deployment of HEALY, a new, more scientifically capable polar icebreaker. HEALY will provide the capability to fulfill backlogged national research requirements in the polar regions.

Polar Icebreaker Reliability Improvement (AC&I): Restores the reliability of the 2 existing polar icebreakers to halt escalating maintenance problems and ensure they remain able to carry out mission requirements in the Antarctic.

**Mobility Programs Profile
Aids To Navigation**

	1994	1995	1996	1997	1998	1999	2000
Workload							
Aids							
Federal 1	39,350	39,059	38,225	36,775	36,983	37,100	37,150
Private	49810	49,709	48,563	48,587	49,000	49,500	49,500
New installations					108	117	50
Repaired/Replaced	26,233	26,039	25,483	24,500	24,650	24,650	24,750
Bridges							
Orders to Alter	1	1	4	0	3	2	2
Permit/Reg Actions	438	512	504	837	890	999	1200
Alteration Invgtns	6	6	7	4	12	10	9
VTS Transits	830,406	966,760	991,191	1021679	952,509	952,509	952,509
Resource Hours	150,659	141,814	138,151	121,834	134,686	140,000	141,000
Inport Op Hours	44,893	42,375	40,777	36,819	31,520	36,000	36,000
Funding (\$ million)							
OE	483.8	482.4	457.0	438.6	455.0	458.5	456.1
AC&I	71.2	132.9	165.3	160.2	120.3	120.5	94.4

1. Excludes aids on the Western Rivers of the 8th Coast Guard District, which can vary widely in number because of fluctuations in river levels. This value fluctuates from between 8,000 to 15,000 aids in any given year. These aids are also unique in that, due to the nature of the operating environment, they have a very high loss rate and require higher than average replacement.

Ice Operations

	1994	1995	1996	1997	1998	1999 ²	2000 ²
Workload							
Vessels Assisted	568	307	867	273	19 ¹		
Resource Hours							
Domestic	6,163	3,785	9,058	4,245	869		
Intl Ice Patrol	577	439	432	481	502	500 ³	500 ³
Polar Deploy Days	239	277	227	183	328	356 ³	356 ³
Funding (\$ million)							
OE	84.4	83.0	92.1	63.2	69.2	106.5	108.5
AC&I	12.7	36.4	29.5	19.0	19.4	15.9	13.7

- 1998 was an unseasonably warm winter in the Great Lakes, resulting in minimal ice in the region.
- Numbers dependent on the severity of the winter and the amount of ice.
- Values are solid projections.

Maritime Security Performance Goals

Illegal Drug Interdiction

Why We Act

Every American citizen is adversely impacted by illegal drug use. Over 20,000 Americans die every year because of illegal drugs, and there are about 700 drug-related murders each year. The annual social cost of drug use is estimated at \$110 million - the consequence of drug-related crime (Office of National Drug Control Strategy (ONDCP) "Drug Facts and Figures.") Drug smuggling destabilizes nations where drugs are produced and transported, degrading our national security. Fighting drugs requires education, treatment, domestic law enforcement, high seas interdiction, and international cooperation. The National Drug Control Strategy (NDCS) is the President's comprehensive policy document addressing all these needs. The Coast Guard, as lead agency for maritime and co-lead agency for airborne interdiction, plays a vital role in implementing NDCS Goal 4 (Shield America's Air, Land and Sea Frontiers from the Drug Threat) and Goal 5 (Break Drug Sources of Supply).

Key Factors

Smuggling via maritime routes is an efficient method of transporting illegal drugs. Maritime borders are more difficult to control than airport and highway entry ports, and illegal drugs can be disguised as or included with legitimate cargo. Moreover, smuggling routes can easily be shifted between different maritime paths, or between land and air routes. The Caribbean maritime routes are overlapped by numerous national jurisdictions that must coordinate strategies to create an effective deterrent. Domestic and international socioeconomic conditions influence the supply and demand of illegal drugs. Finally, other agency efforts influence drugs flows. For example, a large pulse effort to decrease the flow across the southwest land border may cause smugglers to shift to maritime routes. We must continue to improve our readiness and effectiveness as smugglers continue to find more sophisticated techniques.

Strategies

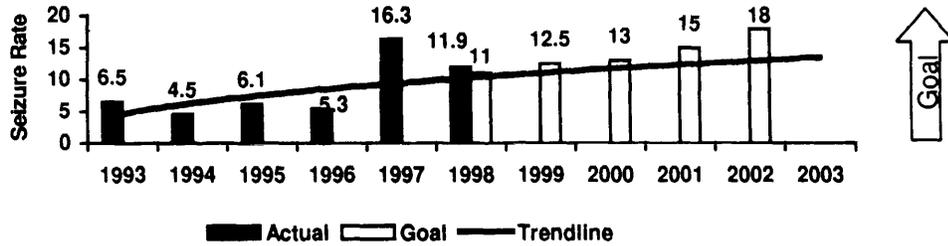
The Coast Guard has developed a 10 year Counterdrug Strategic Plan that sets goals and establishes a framework of campaign plans that target high-threat areas. It is closely aligned with NDCS goals. We seek to maintain an effective maritime presence using cutters and aircraft to deter smugglers and reduce the cocaine flow below the domestic demand level. However, patrolling is only part of our strategy to improve performance. We seek to make our efforts more effective by employing improved patrol tactics, using intelligence more effectively, and applying better training. We also send cutters to other nations for engagement and training to enhance their ability to prevent smuggling. Deployments include UNITAS training with the U.S. Navy to the Caribbean, South and Central America. Our research projects seek to improve detection capability, including new technology to counter threats to our detection and search devices, resulting in better detection of illegal smuggling.

Coordination

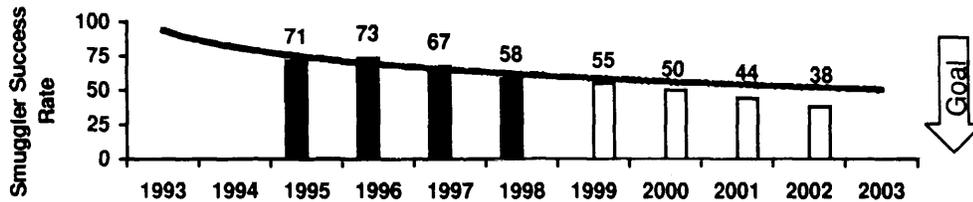
The ONDCP coordinates overall U.S. drug control policy. The Commandant of the Coast Guard serves as the U.S. Interdiction Coordinator to coordinate the efforts conducted by Defense, Customs, Drug Enforcement Agency, and state and local law enforcement. The Coast Guard also coordinates with the State Department to negotiate international bilateral agreements to combat smuggling.

Goal C1: Reduce the flow of illegal drugs by denying maritime smuggling routes as part of the interagency effort to impact the national demand level.

Target: Increase the percentage of cocaine seized over noncommercial maritime routes from the FY 95-97 averaged baseline of 8.7% to 13%. By 2002, increase to 18%.



Reduce the smuggler success rate (cocaine entering U.S. via noncommercial maritime as a percentage of the potential undeterred flow bound via noncommercial maritime) from the FY 95 baseline of 71% to 50%. By 2002, reduce to 38%.



Analysis and Evaluation

1998 is a preliminary number. The 1997 and 1998 increases in the seizure rate were the result of a temporary redeployment of assets from other programs, drug funding transfers, and improved, coordinated operations. We expect to see another increase to the FY99 seizure rate due to continued counterdrug supplemental funding. We are working with ONDCP to conduct a Drug Smuggling Deterrence Study. This study will provide additional insight into the impact that law enforcement presence has on smuggler behavior, and will assist in improving counterdrug strategies.

FY00 Key Initiatives

Drug Interdiction Follow-on (OE):

Provides for operating improved sensors, 3 additional patrol aircraft, and testing the use of non-lethal force from aircraft. These items will improve our ability to detect smugglers, and stop fleeing fast-boats.

Surface Search Radar Replacement (AC&I); Long Range Search Aircraft Capability (AC&I); HU-25 Aircraft Avionics Improvements (AC&I); HC- 130 Side Looking Airborne Radar (AC&I); Comprehensive Law Enforcement (RDT&E): Increases the effectiveness of sensors and equipment needed to detect track, and apprehend drug smugglers.

Deepwater Capability Replacement Analysis (AC&I): Develops a system of surface, air, command and control, intelligence, and logistics systems to carry out drug interdiction in the deepwater area of responsibility. Deepwater is essential to maintaining an effective drug interdiction presence in the deep Caribbean and Eastern Pacific where there is limited resupply and refueling opportunities.

Undocumented Migrant Interdiction

Why We Act

Attempting to illegally enter the U.S over maritime routes poses a grave safety risk to the undocumented migrants involved. Many do not survive the harsh environmental conditions, or are preyed upon by smugglers. Undocumented migrants can also adversely affect regional economies, particularly in cases of mass migrations. Furthermore, large migrations of people can increase instability already present within a source country. The Coast Guard attempts to deter or interdict undocumented migrants and ensure their well being and safety. We are the only agency with the expertise and assets needed to conduct at-sea migrant interdictions, rescues, and migrant smuggler apprehensions.

Key Factors

Smuggling via maritime routes is a convenient and efficient method of transporting undocumented migrants. The majority of undocumented migrants attempting to enter the U.S. by sea come from island nations such as Haiti and Cuba where ships and boats are common and available modes of transportation. Maritime borders are more difficult to control than entry ports such as airports and highway border crossings, and undocumented migrants can be hidden aboard vessels engaged in legitimate trade. Socioeconomic and political conditions in migrant source countries largely drive migrants entry attempts. Migrant smuggling organizations are becoming more common, particularly around Cuba. These organizations increase the opportunity for migrants to attempt illegal entry. Smugglers use small vessels that are difficult to detect and can often outrun the fastest Coast Guard cutters. Maintaining the readiness to interdict and deter migrants in rapidly changing social and political conditions is critical to preventing large numbers of migrants from entering the U.S.

Strategies

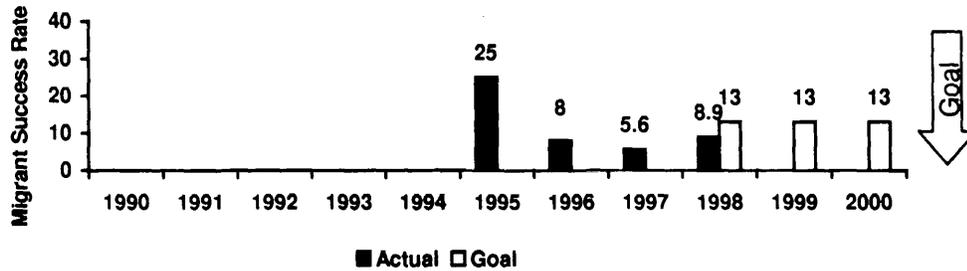
The Coast Guard maintains a presence in the maritime environment to deter smugglers and reduce migrant flows. We seek to maintain the readiness to intercept 90% of all known illegal migrant vessels detected at sea. Even the knowledge that Coast Guard cutters are stationed off shore of a migrant source country can serve as an effective deterrent to a mass migration, as Coast Guard operations did in 1993 and 1994 in Haiti and Cuba. We also establish agreements with source countries to assist in reducing migrant flow. For example, aircraft overflight authority granted by the Dominican Republic in 1996, contributed significantly to a decrease in migrant flow.

Coordination

The Coast Guard provides at-sea enforcement of immigration laws, and conducts seaborne repatriation of undocumented migrants. The disposition of undocumented migrants is coordinated with the Border Patrol and Immigration and Naturalization Service. The Coast Guard also coordinates with Customs and state and local law enforcement organizations in interdicting migrants.

Goal C2: Eliminate the flow of undocumented migrants entering the U.S. via maritime routes.

Target: Hold the flow of undocumented migrants entering the U.S. via maritime routes to no more than 13% of estimated entry attempts as the number of migrant attempts and professional migrant smuggling operations grows.



Analysis and Evaluation

1996-1998 data represent a low-level of migrant successes due in large part to a low level of relatively predictable migrant attempts. However, the migrant situation is changing. The 1999 and 2000 targets reflect realistic levels of performance against a threat of increasing migrant attempts and growing professional migrant smuggling operations.

The 1998 goal was achieved by maintaining a Coast Guard presence in the historically high migrant threat areas and by adapting to changing threats during the year. As soon as there were indications of an increased flow of Cuban migrants driven by a surge in migrant smugglers, the Coast Guard responded by increasing cutter and aircraft in the Straits of Florida. This response stemmed the flow and lowered Cuban migrant departures by over half from the peak flow.

FY00 Key Initiatives

Surface Search Radar Replacement (AC&I); Long Range Search Aircraft Capability (AC&I); HU-25 Aircraft Avionics Improvements (AC&I); HH- 60 Independent Navigation Project (AC&I); HC-130 Side Looking Airborne Radar (AC&I); Comprehensive Law Enforcement (RDT&E): Increases the effectiveness of sensors and command and control equipment needed to detect, track and apprehend migrant vessels, and migrant smugglers.

Deepwater Capability Replacement Analysis (AC&I): Develops a system of surface, air, command and control, intelligence, and logistics systems to carry out migrant interdiction and migrant rescues in the deepwater area of responsibility. Deepwater is essential to keeping assets with long endurance capabilities and extensive command and control capabilities on station during times of increased migration attempts and mass migration events such as the Mariel Boatlift.

Foreign Fishing Vessel Incursions

Why We Act

Our Exclusive Economic Zone (EEZ) represents a significant source of renewable wealth and is protected as part of U.S. sovereign territory. It provides a livelihood for commercial fishers, a source of recreation for over 17 million Americans and a rich supply of seafood for the American public. Commercial and recreational fisheries annually contribute an estimated \$20 billion and \$10 billion respectively to the economy. Many encroachments are committed by large foreign fishing vessels that are capable of harvesting large quantities of fish in short periods of time, potentially harming the sustainability of our fisheries stocks. We are the only agency with the expertise and asset capability to deter and interdict violations 200 nautical miles offshore at the boundaries of the EEZ.

Key Factors

The U.S. has the largest EEZ in the world: 2.25 million square miles. This makes comprehensive monitoring difficult. U.S. fisheries stocks within the EEZ are valuable to foreign vessels that choose to illegally exploit them. Economic conditions of foreign countries and the increasing world-wide demand for fish products as a critical source of food may drive the number of encroachment attempts. An increasing number of foreign fishing vessels, and an increasing world-wide demand for fisheries food products will make protecting our sovereign EEZ more difficult.

Strategies

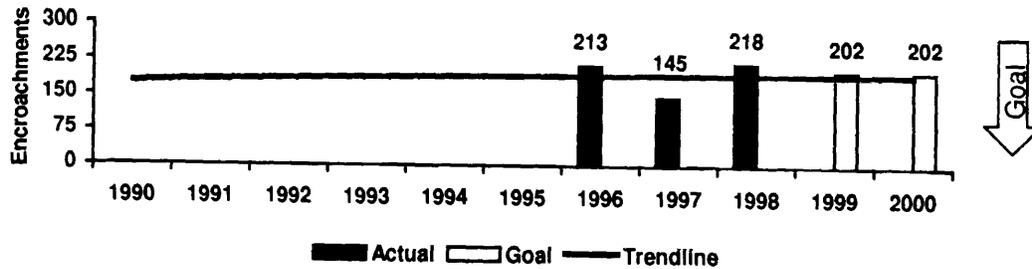
The Coast Guard maintains a presence in the Exclusive Economic Zone to deter illegal incursions by foreign fishing vessels and apprehend those vessels that do illegally enter. Incursions include both illegal fishing and illegal transshipment of fish products caught by domestic vessels. We seek to maintain the readiness to intercept 90% of all known suspected violations. The area of greatest concern is Alaska and the Pacific Northwest. In recent years, the Coast Guard has flown nearly-daily missions and maintained a continuous deepwater cutter presence along the EEZ boundary during peak fishing seasons to deter incursions by the huge Russian, Japanese, Polish, Chinese, and Taiwan fleets operating along the line. Another area of concern is the resource-rich U.S. EEZs in the Western Pacific, which encompass 3 million square miles. To safeguard these areas, the Coast Guard maintains a presence using high endurance cutters and aircraft. The Deepwater Capability project is critical to continuing this effective strategy.

Coordination

The Coast Guard works closely with the National Marine Fisheries Service who establishes fisheries management plans, and monitors foreign fishing vessels. The Coast Guard provides input to the management plans and conducts at-sea enforcement of regulations.

Goal C3: Eliminate illegal encroachment of the 200 mile U.S. Exclusive Economic Zone by foreign fishing vessels.

Target: Reduce illegal encroachment from the FY98 baseline of 218 encroachments to 202.



Analysis and Evaluation

205 of the 218 encroachments in 1998 were along Gulf of Mexico maritime border with Mexico, where most encroachments are by small, fast Mexican fishing vessels called lanchas. 1997 reflects a reduction in lanchas encroachments during increased Coast Guard counterdrug pulse operations in the border area. 1998 is the first year we have included Canadian fishing vessel incursions on the Great Lakes, which accounts for 9 encroachments. The other incursions were along the U.S. / Russia Maritime Boundary in the Bering Sea and in the Exclusive Economic Zones around the Pacific Islands.

FY00 Key Initiatives

Surface Search Radar Replacement (AC&I); Long Range Search Aircraft Capability (AC&I); HU-25 Aircraft Avionics Improvements (AC&I); HC-130 Side Looking Airborne Radar (AC&I); Comprehensive Law Enforcement (RDT&E): Provides more effective sensor and command and control capability to better monitor the vast EEZ areas of concern.

Deepwater Capability Replacement Analysis (AC&I): Develop an integrated system of surface, air, command and control, intelligence, and logistics systems to carry out statutory mandates for EEZ enforcement in the deepwater area of responsibility to ensure the increasing worldwide demand for fish products does not deplete our fisheries stocks. Deepwater assets are critical to enforcing the sovereignty of our vast EEZ particularly offshore Alaska and in the Western Pacific

**Maritime Security Programs Profile
Enforcement of Laws and Treaties**

	1994	1995	1996	1997	1998	1999	2000
Drug Workload							
Drug Seizures							
Cases	67	44	36	122	129		
Marijuana (lbs)	33,895	40,164	31,000	102,538	31,390		
Cocaine (lbs)	47,333	33,629	28,585	103,617	82,623		
Arrests	73	56	23	233	297		
Vessels	28	33	28	64	75		
Resource Hours							
Cutters	39,825	59,467	69,182	105,224	113,513		
Aircraft	6,331	9,405	10,469	18,941	17,264		
Migrant Workload							
Interdictions	64,382	5,356	9,085	2,194	3,648		
Resource Hours							
Cutter	90,303	40,390	45,098	32,912	30,785		
Aircraft	1,828	8,869	9,501	5,777	5,357		
Funding (\$ million)							
OE	974.7	987.5	1011.7	706.9	695.1	734.8	779.9
AC&I	141.3	83.2	62.9	50.9	64.8	301.8	65.4

1. Aircraft and cutter hours dedicated to drug law enforcement in 1994 were lower than planned because cutter and aircraft resources were reallocated to respond to the extraordinary mass migrations from Cuba and Haiti.
2. 1999 and 2000 complete data not yet available.
3. Domestic Fisheries and Marine Sanctuaries funding removed - included under Protection of Natural Resources.

Encl (2) to COMDTINST 16010.8

National Defense Performance Goals

Military Readiness

Why we act

Maintaining a high level of national security is critical to the United States' economic and social stability. This security ensures that citizens and organizations are free to carry out activities that enhance their own interests, and also promote the overall vitality of the nation. The President's National Security Strategy of international engagement and enlargement is a positive force in promoting stability throughout the world. The Coast Guard is an integral component in the nation's armed forces, and plays a critical role in this strategy. We must maintain a high level of readiness in order to carry out its unique military roles at a moment's notice.

Key Factors

The Coast Guard is a multimissioned service that must simultaneously carry out everyday missions such as drug enforcement, fisheries, searches and rescues, while maintaining a high level of readiness for military missions that we may be called upon to participate in at any time. The operational tempo of non-military missions as well as the tempo of national security operations can impact our ability to maintain readiness. As the Coast Guard seeks to maintain its readiness to respond to other growing mission areas, it is strained to maintain the readiness to respond to critical military operations.

Strategies

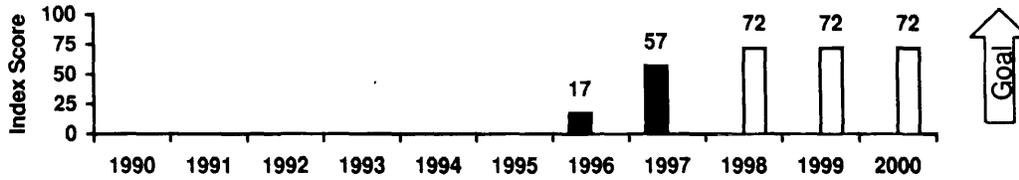
The Coast Guard seeks to improve its readiness through better trained personnel, more efficient logistics systems, and more effective equipment and assets that improve our capability to carry out our unique responsibilities. The Coast Guard also participates in military training exercises such as FOAL EAGLE that supports forces in Korea. We also maintain the readiness to defend the nation's critical maritime infrastructure, and guard against terrorist threats.

Coordination

The Department of Defense coordinates the assigned roles of each service. The Coast Guard and Navy have jointly established the concept of a National Fleet. Under this concept, both services will maintain their distinctive capabilities, but we will make sure that our strengths are complementary. The Navy will maintain its highly capable multi-mission surface combatants designed for the full spectrum of naval operations, while the Coast Guard will provide smaller maritime security cutters, designed for peacetime and crisis-response operations.

Goal N1: Achieve and sustain complete military readiness for CG units as required by Department of Defense.

Target: Achieve a readiness index score of 72. Attaining this score indicates that all required high and medium endurance cutters, patrol boats, and port security units will have achieved an adequate level of readiness.



Analysis and Evaluation

Attaining this score indicates that all required high and medium endurance cutters, patrol boats, and Port Security Units will achieve a C2 rating. We are not yet meeting this goal.

FY00 Key Initiatives

Deepwater Capability Replacement Analysis (AC&I) Develops an integrated system of surface, air, command and control, intelligence, and logistics systems to carry out the statutory mandates in the deepwater area of responsibility. Provides more effective and reliable readiness in place of aging, high-maintenance assets.

Reserve Training (RT): Maintains a sustained level of reserve recruiting effort to support the authorized Selected Reserve strength level in a highly competitive job market. Military readiness will decline without a continued flow of talented and qualified personnel to maintain manpower levels.

Military Operations

Why We Act

The Coast Guard is a unique instrument of national security and fills a variety of roles to meet the panorama of national security issues that we face. Coast Guard active duty and reserve components provide capabilities not available from other military services: maritime interception operations, environmental defense operations, and deployed port security and defense operations. These Coast Guard capabilities were demonstrated during Operation Uphold Democracy in Haiti where Coast Guard aircraft, cutters, and port security units played a vital role.

More than 40 of the world's 70 naval forces are, in essence, "coast guards." We are the best U.S. liaison to assist these forces in developing into strong, stable organizations that help maintain democratic governments throughout the world.

Key factors

The Coast Guard is a multimissioned service that must simultaneously carry out everyday missions such as drug enforcement, fisheries, and rescues, while maintaining a high level of readiness for military missions that we may be called upon to participate in at any time. The operational tempo of non-military missions as well as the tempo of national security operations can impact our ability to maintain readiness.

Strategies

The Coast Guard seeks to maintain the cutter and aircraft readiness, and operational expertise needed to respond to all Department of State and Department of Defense mission requests. The Coast Guard is specifically tasked to participate in Department of Defense engagement strategies.

The Coast Guard continues to play a role supporting national interests in the Persian Gulf. Coast Guard deepwater cutters have been conducting maritime intercept operations to enforce the United Nations embargo against Iraq. They have interdicted several vessels attempting to transport petroleum products in violation of the embargo.

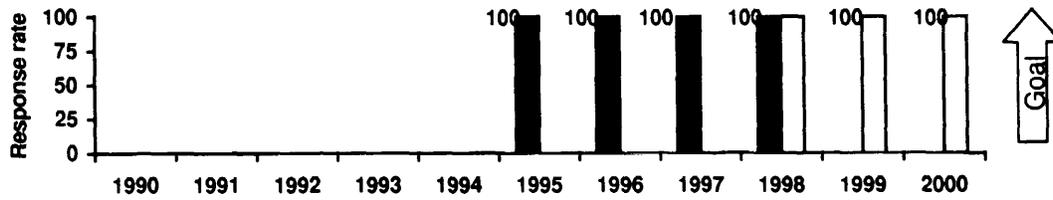
Coast Guard cutters and other forces support Peacetime Engagement and Enlargement under the National Security Strategy. Engagement will include UNITAS training and assistance cutter deployments with the U.S. Navy to the Caribbean, South America, and Central America; cutter deployments to the Mediterranean and Black Seas; and training assistance to the Haitian Coast Guard and Peruvian armed forces.

Coordination

The Department of Defense coordinates the assigned roles of each service. The Coast Guard may operate under the Secretary of the Navy in times of war.

Goal N2: Provide core competencies (Maritime Interception Operations, Deployed Port Operations, and Environmental Defense) when requested by the Department of Defense or Department of State.

Target: Provide core competencies as requested or currently planned by Department of Defense or State 100% of the time.



Analysis and Evaluation

The Coast Guard has been meeting 100% of requests for services. The Coast Guard is undertaking new key initiatives to ensure we will be able to meet future operational requirements.

FY00 Key Initiatives

Deepwater Capability Replacement Analysis (AC&I): Develops an integrated system of surface, air, command and control, intelligence, and logistics systems to carry out the defense operation mandates in the deepwater area of responsibility. Missions such as maritime interception require deepwater assets for effective execution.

Reserve Training (RT): Maintains a sustained level of reserve recruiting effort to support the authorized Selected Reserve strength level in a highly competitive job market. Military readiness will decline without a continued flow of talented and qualified personnel to maintain manpower levels.

Encl (2) to COMDTINST 16010.8

**National Defense Programs Profile
Defense Readiness**

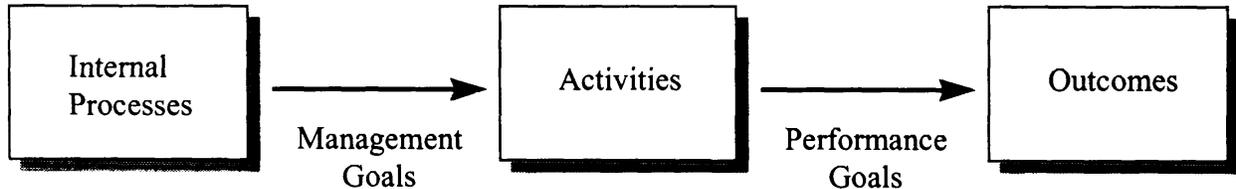
	1998	1999	2000
Workload			
Defense Exercises	8	34	34
Funding (\$ million)			
OE	67.9	60.0	63.4
AC&I	5.0	6.1	4.5

1. 1999 and 2000 are estimates

Management Strategies and Issues

This plan describes the expected performance outcomes based on a particular level of funding. Performance outcomes are largely impacted by the points within a problem or situation at which the Coast Guard decides to intervene, and by the particular strategies and activities undertaken. However, the Coast Guard's internal management goals and strategies also greatly influences how well the Coast Guard can achieve performance goals, especially in this era of constrained budgets.

The challenge is not just to achieve the Strategic Goals, but to meet them as efficiently as possible. Efficiency is pursued through internal management goals that address workforce skill, technological development, and quality management. Management goals are not performance goals, but rather serve to more efficiently achieve performance goals. Efficiency through management goals is not free, however; it requires carefully planned investment to save. Establishing the appropriate strategy to guide activities, while managing for efficiency can be summed up as doing the "RIGHT THINGS RIGHT." The Coast Guard is committed to providing outcomes the public expects in the most efficient manner possible.



Commandant's Direction

The Commandant's Direction is a set of emphasis areas and objectives that guide the Coast Guard in managing its operations and resources. It describes what managers will emphasize to ensure the Coast Guard remains on track with the long-term vision outlined in Coast Guard 2020. The five areas of emphasis and their associated objectives address key aspects of performance such as management and productivity that are necessary for the organization to achieve its strategic outcomes and performance goals.

**Commandant's Direction
Service: Stand the Watch**

1. Performing all missions superbly.
2. Ensuring superior readiness for all missions.
3. Providing superior support for our units.
4. Being alert for other opportunities to serve.

People: Build and Value our Team

5. Providing the people and human resource system needed by our units.
6. Achieving our workforce 2015 goals.
7. Nurturing our new leadership development center.
8. Removing obstacles to better communications, diversity management, and career development.

Teamwork: Partner for a Stronger America

9. Optimizing interagency coordination in all missions.
10. Improving interoperability with DOD.
11. Leading and participating in ONEDOT initiatives.
12. Expanding our partnerships with stakeholders.
13. Contributing to national security objectives around the world.

Excellence: Innovate for Superior Performance

14. Improving outcomes by investing in technology.
15. Tracing all managerial investment to operational performance.
16. Meeting Y2K requirements.
17. Gaining clean financial audits in 1999 and beyond.
18. Embedding our commitment to Quality Management.
19. Empowering field commands to match resources to workload.

Vision: Seize the Future

1. Pressing Deepwater recapitalization.
2. Leading a Waterways Management initiative for DOT.
3. Responding to emerging environmental challenges.
4. Being recognized as a unique instrument of National Security.

Management Issues

In order for the Coast Guard to provide the internal efficiency necessary to achieve its outcome goals, certain management issues must be addressed.

Streamlining: The Coast Guard has been at the forefront in Federal Government streamlining, with a major initiative completed in 1996. Further savings and efficiencies must be predicated on additional investments to save. The FY00 request reflects these necessary investments.

Recapitalization: Replacing aging, maintenance-intensive ships, planes, and shore infrastructure is critical to sustaining operational capability, implementing Presidential Initiatives, and providing taxpayers with highly efficient service. In a recent comprehensive study, the GAO wrote about reduced levels of AC&I funding and the resultant project deferrals: "A deferral can also represent a source of increased expenditures for operations because of the higher maintenance costs involved with aging equipment. The continued use of aging capital equipment may also place other limitations on the level of services that can be provided." The FY00 AC&I request is critical to the recapitalization effort.

Year 2000 Compliance: The Year 2000 problem affects maritime safety, law enforcement, and environmental protection software applications, as well as command and control systems, critical electronics, databases, and major personnel, logistics, and financial applications. We have taken a very proactive response in dealing with the issue in order to maintain effective services. The vast majority of efforts will be complete in FY99. During FY00 we will continue to monitor systems to ensure they are functioning properly.

The Coast Guard has developed a Year 2000 Management Plan which outlines the federal "best practices" approach. It provides strategic guidance for all information technology that faces Y2K problems, and outlines the timelines for managing the efforts in a five phase approach - awareness, assessment, renovation, testing, and implementation.

The Coast Guard has created a Y2K database to capture all systems and applications that are affected. The database identifies systems that are critical to accomplishing the Coast Guard's missions.

The Coast Guard is concerned that suppliers of critical parts and supplies may fail due to their own Y2K problems. To protect against inadequate on-hand supplies which may prevent mission execution, the Coast Guard is developing contingency plans for ensuring adequate on-hand stocks through FY 2000.

The Coast Guard is following a strict compliance reporting system that requires program managers and product owners of Y2K-affected mission-critical systems to repair or replace them and then certify when each item becomes Y2K-compliant.

The Coast Guard has been actively engaged in Y2K outreach efforts with the maritime industry to ensure the overall safety, mobility, and economic strength of marine transportation. We have hosted Y2K Conferences and Industry Days in all the coastal regions. We have also outreached to professional organizations that interact with the maritime community such as the American Society of Testing and Materials.

Encl (2) to COMDTINST 16010.8

Chief Financial Officers Audit: The Coast Guard is committed to obtaining an unqualified "clean" opinion on its Chief Financial Officers Act audit of its financial statements. This requires that the Coast Guard resolve material weaknesses primarily in management, documentation, capitalization, and tracking of assets as identified in its FY96 financial statements audit. Additionally, the Coast Guard needs to develop integrated financial systems to allow subsidiary ledgers to reconcile to its general ledger. To ensure a "clean" opinion, the Coast Guard is:

- Conducting "wall to wall" inventories of Operational Material and Supplies.
- Defining and establishing capitalization policy for all asset classes.

- Imaging all real property records into a centralized database.
- Establishing a centralized asset database at its Finance Center using commercial off the shelf (COTS) applications (ORACLE Assets.)

- Moving to centralized bill paying and financial documentation at its Finance Center.
- Instituting COTS (ORACLE Financials suite and ORACLE Project & Inventory.) applications to improve and integrate financial systems and reporting.

Federal Manager's Financial Integrity Act (FMFIA): The Coast Guard maintains an active program for ensuring that the objectives of FMFIA are being met. No major discrepancies were noted in the FY97 FMFIA Year-End Assurance Statement

Measurement Issues

Search and Rescue - Lives saved: Data is obtained from the Search and Rescue Management Information System (SARMIS). SARMIS entries are reviewed several times a year by program managers in order to validate the data. This review includes a regression analysis to compare current data with historical data, and analysis to identify aberrations. Current data collection system slightly understates the number of lives lost, which produces a percentage of lives saved that may be higher than the actual percentage. The system is currently being updated to improve accuracy and reliability. Confidence level in measure is moderate.

Search and Rescue - Property saved: Data is obtained from the Search and Rescue Management Information System (SARMIS). SARMIS software contains a number of verification checks to ensure accurate data entry. Entries are reviewed at district offices as first step in validation. Program managers annually validate data. This review includes a regression analysis to compare current data with historical data and a program review analysis to identify and resolve aberrations. FY94-96 data is currently being validated to remove discrepancies that may have skewed the data upwards. Confidence level in measure is moderate.

Maritime Worker Fatalities: The baseline has been revised since the FY99 plan to incorporate new data analysis. It is established by a regression curve obtained from several years of data. Fatality data is obtained the Marine Safety Information System. Maritime employment estimates based on data provided by National Marine Fisheries Service, Bureau of Labor Statistics, and Mineral Management Service. Employment estimates have fluctuated dramatically from year to year; substantial estimating error exists, particularly in the fishing industry. Fatality data is obtained from the Coast Guard Marine Safety Information System. Data is verified by field offices, and checked during processing into the analysis database. Program managers also check a sample of MSIS data against incident case records. Confidence in measure is moderate to high.

Passenger Vessel Casualties: The baseline has been revised based on a new data analysis. Hence, the goal target for FY99 has also changed from the target in the FY99 Performance Plan. The baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the trendline. Data obtained from the Coast Guard Marine Safety Information System (MSIS). Data is verified by field offices. MSIS data is also checked during processing into the analysis database. Program managers also check a sample of MSIS data against incident case records. Confidence in measure is moderate.

Recreational Boating Fatalities: Data obtained from the Boating Accident Report database, and is validated by program managers and state boating officials. At the end of the calendar year, the Coast Guard compiles statistics from the states' fatality data and sends the report to each State for confirmation. State boating officials reconcile any data discrepancies. The Coast Guard intends to normalize fatality data in the future by developing a denominator of exposure so that the level of risk in recreational boating can be compared from year to year without being skewed by the increase or decrease in the number of boats or boat usage. Confidence in the measure is high.

Oil Spills: The baseline has been revised based on a new data analysis. Hence, the goal target for FY99 has also changed from the target in the FY99 Performance Plan. The baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve. Data on oil spilled is obtained from the Coast Guard Marine Safety Information System (MSIS). Data on waterborne shipments of oil obtained from Army Corps of Engineers "Waterborne Commerce Statistics." Oil spills of 1 million gallons or more are excluded from data. These spills are extremely rare (less than .1% of spills) and would have an inordinate influence on statistical trends. Only spills from regulated vessels and facilities are counted. MSIS data is verified by field offices. Data is also checked during processing into the analysis database. Program managers also validate a sample of MSIS data against incident case records. Confidence in measure is moderate.

Plastics and Garbage Debris: The baseline has been revised based on a new data analysis. Hence, the goal target for FY99 has also changed from the target in the FY99 Performance Plan. The baseline is established by a regression curve obtained from several years of data. Performance is measured against a selected year on the curve. 1997 figure is a projection based on historical data (1990-96). The associated measure was changed from "pounds of debris" to "number of marine debris items" for better measurement. Data on debris items obtained from the Center for Marine Conservation, "National Coastal Cleanup Results." A recent National Marine Fisheries Service study corroborated CMC data trends. Confidence in the measure is moderate.

Pollution Response: This measure replaces the oil removal rate measure contained in previous performance plans. Attempts over the past 4 years to use oil removal rates as a measure of response effectiveness presented significant validity problems. Spill removal data is susceptible to bias in the form of underestimated spill sizes and inflated removal amounts. Removal estimates are confounded by the dynamics of weathering. The problems that make removal rates a poor performance management measure have resulted in a reevaluation to develop a better indicator of pollution response effectiveness and readiness. A multiple factor rating system for this purpose continues to be developed. The system will likely take the form of a post-incident assessment of preparedness for the incident and performance to mitigate the incident. The assessment will assign a rating (P1-5) similar to the Status of Readiness and Training System (SORTS.) It should be ready for testing in FY99. An additional measure evaluating the effectiveness of federal response to spills over 1000 gallons is also under development.

Domestic Fisheries: Data will be provided by NMFS through each of the Regional Fisheries Management Councils' staffs for the changes in the number of listed species that improve in status from year to year. Data will be verified by NMFS personnel.

Navigation Aids: Interim measure - outcome measure to be developed. Aid availability is a measure of the maintenance of established aids to navigation. It measures program effort, reliability of equipment, and personnel performance. This measure tends to overstate the discrepancy time of the aids to navigation system: a single aid outage usually does not degrade a waterway's entire aid system and vessels are still able to transit normally. Complete system outages are rare, and usually result from severe weather incidents such as hurricanes. While aid availability is not a true outcome measure, it does bear on the level of mobility through navigable waterways. Future measures may center more directly on movement of commerce, or accident prevention. Confidence in measure is moderate.

Vessel Traffic: This is a new measure designed to gauge how well the Coast Guard prevents incidents detrimental to the efficient movement of vessels in ports and waterways. A draft goal target has been set for reduction of these types of casualties by 10% over a 5 year time frame from FY98 to FY03. Possible future refinements may include normalizing data against the number of vessel transits, excluding incidents not preventable by Coast Guard activities, and quantifying the number of Coast Guard interventions that prevented a dangerous incident from occurring. Data obtained from the Coast Guard Marine Safety Information System. Data is verified by field offices. MSIS data is also checked during processing into the analysis database. Program managers also check a sample of MSIS data against incident case records. Confidence in measure is high.

Domestic Icebreaking: This is a new goal and measure added to reflect the Coast Guard's contribution to Mobility from domestic ice breaking. Seven waterways have been identified as critical to Great Lakes icebreaking based on historical ice conditions, volume of traffic, and potential for flooding. FY96 data indicates a total of 7 days of closure for these waterways (FY96 was a severe winter). Data for FY96 reflects initial measurement methodology; further data capture refinements will be developed. FY97 and FY 98 data indicate no closures (FY97 was a mild winter, FY98 extremely mild). Winter conditions are defined by a severity index (-6.2 or milder defines average severity; more than -6.2 defines severe). Data obtained from the Coast Guard and the Army Corps of Engineers. Data is validated by District offices. Program managers also review the data while compiling the End of Season (EOS) summary report.

Polar Operations: This is a new goal and measure added to reflect the Coast Guard's contribution to Mobility from polar ice breaking. Coast Guard activities ensure the mobility needed to achieve the scientific research and logistics replenishment desired by other agencies. The index, which is being developed, will measure how well Coast Guard activities meet these needs. Index factors will likely include percentage of missions met, serviced agency satisfaction, research opportunities provided, and logistics delivered.

Illegal Drug Interdiction: *Seizure rate* is one of two measures used to manage Coast Guard activity. It indicates the amount of cocaine seized by the Coast Guard over noncommercial maritime routes expressed as a percentage of the amount shipped to the U.S. via noncommercial maritime routes as determined by ONDCP analysis. This measure is part of the National Drug Control Strategy. *Smuggler success rate* captures both the full impact of deterrence that law enforcement activity has on smuggler behavior, and the amount of illegal drugs that are seized as a result of interdiction activity. The smuggler success rate is the amount of cocaine entering the U.S. via non-commercial vessels, expressed as a percentage of all the cocaine that would be transported if the Coast Guard was not present to deter or seize it. Cocaine flow is used in the measures because it is the standard agreed to by the Interagency Community and ONDCP. In dealing with the supply and demand of cocaine, the Coast Guard seeks to impact the supply/demand proportion that is shipped via noncommercial maritime routes. The supply of cocaine (the amount shipped) is obtained from the "Interagency Assessment of Cocaine Movement" (IACM) published semiannually by ONDCP. The proportional demand level of cocaine is calculated by taking ONDCP's official demand figure of 300 metric tons, and multiplying it by the proportion of the total cocaine flow that is shipped via noncommercial maritime routes. Based on data in the 13th edition IACM, an increase to a 18.7% seizure rate and a reduction to a 38% smuggler success rate begins to impact the supply of cocaine transported by noncommercial maritime routes to a proportional level below the national demand level. Confidence in the seizure rate measure is subject to the difficulty of measuring cocaine smuggling and cocaine flows.

Undocumented Migrant Interdiction: *The success rate* is an indicator of the number of migrants entering the U.S. by maritime routes compared against the number of migrants that would attempt to enter with no interdiction presence. The potential number of migrants is determined by Coast Guard intelligence analysts using interagency and other intelligence sources, particularly Immigration and Naturalization Service (INS) data. Political climates, historical flows, and the latest trends figure into this calculation. The potential flows are validated against other flow estimates where available; they are usually found to be more conservative than the other sources. While this measure captures the Coast Guard's success in interdicting migrants, it also reflects the significant deterrent effect that Coast Guard operations have on potential migrants. The Coast Guard is looking at possible sources for external review of the potential migrant flow denominator used in the current measure, and the attempted entry data to be used in a future interdiction measure.

Foreign Fishing Vessel Incursions: Data obtained from the Coast Guard Planning and Assessment System and validated by program managers. FY97 data affected by reclassification of many Mexican fishing vessels that were previously identified as illegal fishermen and are now classified as drug carriers. Confidence in the measure is moderate.

Military Readiness: Data is obtained from the Status of Readiness and Training System maintained by the Department of Defense. FY96-97 data was developed by sampling specific time periods; methodology for better annualizing the data will be developed. The SORTS readiness rating is determined by a multi-factor matrix that calculates an overall readiness value: C1 is the highest rating, C5 lowest. The readiness index is calculated by determining the percentage of required units meeting C2 and weighting these percentages (.25 each for high and medium endurance cutters, .25 for patrol boats, .25 for PSUs) to arrive at an aggregated index score. Confidence in the measure is high.

Military Operations: Data obtained from Coast Guard sources. Confidence in the measure is high.