

Coast Guard Publication 3-28

Incident Management and Crisis Response



June 2014

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Incident Management and Crisis Response



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Throughout its long history of responding to major incidents, including flooding along the Mississippi and other inland rivers, the Coast Guard has worked cooperatively with media representatives to ensure the public remains aware of dangerous conditions and response activities.



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

Incident management and crisis response are critical functions that span all Coast Guard missions. Whether a search and rescue case, oil spill, security event, marine transportation disruption, or any other maritime disturbance, the Coast Guard must be ready to respond with swift, well coordinated actions to ensure the safety, security, and stewardship of the Nation's waters. Locally based, nationally deployed, and globally connected, the Coast Guard is uniquely positioned to respond to, and lead, incidents within the maritime domain.

Response success is not only defined by our on-scene actions during the incident. Preparedness for crisis response, including development of important interagency and private sector stakeholder relationships and improving mission proficiency, requires deliberate actions before, during and after the event. Many critical crisis response activities grow rapidly and exponentially during a major event, including engagement with public officials and media; deploying a robust liaison network; management of immense information demands; need for increased logistics management capabilities; and understanding and effectively employing surge forces including deployable specialized forces, Reserves and the Auxiliary.

Since 1790, the Coast Guard has safeguarded our Nation's maritime interests and natural resources on our rivers, in our ports, in the littoral regions and on the high seas. However, today's maritime environment has evolved dramatically since America's founding. There is an ever increasing number of stakeholders in the maritime domain. In both its daily operations, and especially during incident management activities, the Coast Guard must balance the sometimes competing interests of stakeholders such as commerce, recreation, fisheries, energy, and the environment.

Today's environment includes a 24-hour news cycle, increased demands from decision makers, and higher expectations from the public to assist potential victims and make response decisions that are in America's best interest. Traditional response activities, focused on achieving successful resolution of the incident, with minimal adverse consequences and rapid restoration of public services, may not sufficiently address the strategic considerations of crisis response. National public, media, and political interest demand coequal consideration of information flow, both to local media and to Coast Guard leaders who, though not directly involved in the response, span the border between the incident and the larger "event."

To provide for the needs of the Nation, the Coast Guard must plan and conduct its activities with an understanding of our mission, our external environment, how we operate and our statutory authorities, capabilities, competencies and partnerships. The Coast Guard must be a forward leaning, engaged organization ready with appropriate resources, confident in its contingency plans, and able to clearly communicate its response actions and capabilities to the public. Flexibility and proficiency, gained through preparedness activities, readies the Coast Guard for unexpected challenges.

Semper Paratus.

PAUL F. ZUKUNFT
Admiral, U.S. Coast Guard

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To reduce the likelihood of incidents and mitigate the consequences when they do occur, the Coast Guard engages in a broad spectrum of prevention activities, including regulating commercial vessels, managing vessel traffic, promoting recreational boating safety, conducting port security patrols, inspecting on-shore and off-shore facilities, and maintaining aids to navigation.

Executive Summary

Publication 3-28 describes how the Coast Guard plans, organizes, and trains to manage incidents and respond during crises. The Coast Guard has responded to many natural and man-made disasters, deservedly earning a reputation as an indispensable instrument of government relief efforts. As the Nation's maritime first responder, crisis leadership, management, and command and control are Coast Guard core competencies.

Response success is no longer measured merely in terms of operational success. With 24-hour cable and internet news cycles, almost any incident or predicted incident (e.g., forecasted major hurricane impacting the continental U.S.) has the potential to become an event, garnering national public, media, or political interest -- even if the incident never occurs. Public perception of the event may give rise to criticism of the Coast Guard response even if the incident was correctly managed and all adverse consequences were successfully avoided.

Preparedness is the foundation for successful incident management and includes developing plans, training personnel, conducting exercises, and learning from past experiences. To remain prepared, all Coast Guardsmen must continue to learn, train, and develop expertise in response operations, interagency coordination, stakeholder cooperative engagement, and communications.

Managing a successful response requires pre-planning, coordination, and cooperation with partners, media, and other stakeholders. Coordination should begin long before an incident occurs. Early deployment of liaisons is essential to obtain the full benefits of pre-planning and to maximize cooperation. Effective incident management and support activities depend upon flexible, reliable, common, and interoperable communications and information systems.

Because the scale and scope of an incident influences the amount of resources needed for an effective response, incident commanders should "lean forward" by deploying liaisons and engaging the public to establish the scale and scope as soon as possible. To ensure that the right resources are requested early, it is critical for incident commanders to understand the capabilities of both Coast Guard resources and the resources of other local agencies in advance of an incident. Most resource gaps should be anticipated and addressed in contingency plans. Incident commanders who promptly seek the additional resources necessary to fill these gaps demonstrate sound judgment and understanding of the Coast Guard

response enterprise. Leaders outside of the immediate incident command should prioritize and distribute available resources to the highest priority locations. These leaders must anticipate resource requests, integrate with partners, and provide assistance as early as possible without overwhelming the incident command with resources that require local support or distract from response efforts.

During a crisis, good leadership entails understanding the environment, controlling the narrative, building consensus, using the whole team, and planning transitions. Crisis response leaders will encounter increased information demands, coordinate planning and decisions across a broader set of partners, and manage a much larger incident command organization.

Responsibilities for routine Coast Guard missions do not cease when an incident or crisis occurs. Commands at all levels should anticipate, plan for, and report reduced mission capacity during and after major incidents.



Coast Guardsmen are proficient in a wide variety of response activities, including those designed to recover oil and other hazardous substances released in or near the water.

1 Introduction

This doctrine discusses principles of incident management and crisis response to guide Coast Guard personnel in their efforts to be fully prepared for any incident. As the Nation's maritime first responder, crisis leadership, management, and command and control are Coast Guard core competencies. Throughout Coast Guard history, the service has frequently demonstrated its ability to plan and coordinate effective responses both to expected and unexpected events. Our missions, capabilities, background, and values provide a strong foundation for this competency.

Coast Guard leaders should already have a baseline understanding of the Coast Guard's approach to incident management, such as a unit's capability to successfully organize and coordinate response actions for most locally managed incidents, and the entire organization's commitment to support the Incident Command with the resources necessary for success. Knowledge and experience developed through previous responses should be captured through lessons learned and used to build capacity for improved incident management and crisis response. Understanding this doctrine will help the Coast Guard continue to be prepared for any crisis.

Our status as a branch of the armed forces with domestic authorities and responsibilities is unique among federal agencies. In 1915, Captain-Commandant Ellsworth Price Bertholf—the last Commandant of the Revenue Cutter Service and the first Commandant of the newly formed U.S. Coast Guard—forthrightly discussed the nature of the newly created Service in his first annual report to Congress:

The Coast Guard occupies a peculiar position among other branches of the Government, and necessarily so from the dual character of its work, which is both civil and military. Its organization, therefore, must be such as will best adapt it to the performance of both classes of duties.... More than 120 years of practical experience has demonstrated that it is by means of military drills, training, and discipline that the service is enabled to maintain that state of preparedness for the prompt performance of its most important civil duties, which...are largely of an emergent nature.

Captain-Commandant Bertholf's statement is no less true today. Coast Guard personnel perform well because they prepare well. The Coast Guard's unique authorities enable the Service to complete its multi-mission mandate.

Preparedness is the coordination and integration of all activities necessary to build, sustain, and improve the capability to prevent, protect, mitigate, respond to, and recover from actual or potential emergencies and disasters resulting from all types of threats and hazards, ranging from accidents and natural disasters to cyber intrusions and terrorist attacks. Preparedness is the foundation for successful incident management and includes developing plans, training personnel, conducting exercises, and learning from past experiences.

On-Scene Initiative, Proficiency, and Managed Risk

The Principle of On-Scene Initiative. Many incidents are emergent, unpredictable, and may occur in environments in which communications are limited. Situations like these are best handled by personnel near or at the scene. Coast Guardsmen engaged in front-line operations are given latitude to act quickly and decisively within the scope of their authority, without waiting for direction from higher levels in the chain of command.

Proficiency. The Coast Guard's culture of embracing On-Scene Initiative is based upon the trust that operational commanders place in their subordinates' judgment. By exercising proficiency in leadership, commanders can be confident that the person on-scene will be proficient in craft and can be depended upon to exercise disciplined initiative.

The Principle of Managed Risk. Successful risk management involves preparation, including an understanding of the environment, and evaluating the limitations of both people and equipment. Through coordination and communication between every level in the chain of command, and by incorporating input from each group involved in the operation, the Coast Guard assesses and mitigates risk in a vertically and horizontally integrated way.

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

Incidents usually begin and end locally and are best managed at the lowest possible geographical, organizational, or jurisdictional level. However, even locally managed incidents often depend on contributions from multiple jurisdictions and levels of government which require coordination across the broad spectrum of participants. The Coast Guard's Prevent-Respond strategy, to prevent dangerous and illicit activities and to respond to accidental or deliberate incidents that do occur, enables a quick and effective response to rescue persons in distress, stabilize disaster situations, facilitate restoration of the Marine Transportation System (MTS), and coordinate support through an array of internal capabilities and a vast network of external partnerships.

For this doctrine, a crisis is a high-impact, complex incident that requires an extensive, well-coordinated multi-agency and/or multinational, whole community response to save lives, minimize damage, protect the environment, and provide the basis for recovery. A crisis usually attracts broader public and political interest, increasing the impact of external influences on the incident command. Leadership during a crisis will likely require engagement beyond the incident response to address the concerns of a broader set of stakeholders.

Increased complexity in the maritime environment, increased use of and dependence on the MTS for delivery of people and critical goods, and greater expectations for response efficiency and coordination have changed the stakes involved for incident management and crisis response. The September 11th terrorist attacks, Hurricane Katrina, the Haiti earthquake, the *Deepwater Horizon* oil spill, and Superstorm Sandy were crises that highlighted these risks and the continuing need for enhancing incident management and crisis response capabilities.

Experience arising from these crises and other recent incidents also highlights the importance of managing the “event” surrounding an incident. Event management addresses broad policy considerations raised by public or media attention. While events are not a new phenomenon, the speed and global reach of information flow in the digital age greatly increases their potential impact on managing the associated incident. As the focus of event management is perception of the responding agency’s reputation, its organizational culture, and its place in the federal government enterprise, it is often desirable for senior leadership to proactively manage the event during the early stages of an incident.

Given the Coast Guard’s broad authorities and responsibilities as the Nation’s maritime first responder and unique position as a federal agency with an international, regional, and local footprint, it is critical for Coast Guard commanders to be recognized experts and leaders in incident management and crisis response. To assure success, the Coast Guard should continue to grow capabilities and improve proficiency in incident management and crisis response at every level in the organization.



The Coast Guard's ability to engage in a coordinated response with other federal, state, local, territorial, and non-governmental organizations is critical to mission success.

2 *Background and Basics*

Coast Guard responses are always driven by the nature of the incident and the location. Different operational concepts apply to different incidents. The applicable operational concept when the Coast Guard responds as a component of the Department of Homeland Security (DHS) within the maritime domain may be different from the operational concept used when responding as a branch of the Armed Forces under the operational control of the Department of Defense (DOD). Three broad categories of incidents give rise to different constructs: domestic response, military contingencies, and foreign humanitarian assistance/disaster relief.

In the context of any type of incident, it is critical to understand the Coast Guard's unique position in the Nation; as a military, law enforcement, and first responder agency the Coast Guard enjoys broad engagement with local communities across the country and in almost any theater around the world. The Coast Guard is the only U.S. military service with domestic law enforcement authority under Title 14 of the Code of Laws of the United States of America (USC) and is not bound by the *Posse Comitatus* Act which generally prohibits use of the U.S. military as a police force. The Coast Guard is also not limited by the Defense Support of Civil Authorities (DSCA) requirements that DOD services must follow in domestic responses. The Coast Guard is specifically authorized to provide assistance to another federal agency, a state, or local governmental entity, when its personnel or facilities are especially qualified. While the guidance provided in succeeding chapters is framed in the context of domestic response, the principles can be applied to any response.

2.1 *Domestic Response*

The National Incident Management System (NIMS) and the National Response Framework (NRF) are two fundamental documents which form the basis of a comprehensive, integrated approach to domestic incident management. The use of NIMS and NRF is mandated for all domestic responses. These key documents assign roles and responsibilities and guide interagency response coordination and operations. In addition to NIMS and NRF, there are other documents that may guide responses to specific types of incidents.

The NRF describes the national organization and resources for major incidents and is used for all domestic incidents as the fundamental “all threats, all hazards” response framework. The guiding principles of the NRF, outlined in Table 1 below, are well aligned with the principles of Coast Guard operations described in Coast Guard Publication 1. Integration and use of the NRF fits naturally with Coast Guard operations.

NRF Guiding Principles	Principles of Coast Guard Operations
Engaged partnership	Effective Presence
Unity of effort through unified command	Unity of Effort
Readiness to act	On-scene Initiative Managed Risk
Scalable, flexible, and adaptable operational capabilities	Flexibility
Tiered Response	Flexibility Restraint

Table 1: Alignment between the NRF Guiding Principles and Principles of Coast Guard Operations

NIMS is the national template for establishing a flexible yet standardized incident management system for any type of incident and is designed to incorporate coordination across numerous response entities. NIMS provides a core set of standard concepts, principles, procedures, organizational processes, terminology, and requirements applicable to the entire community of incident responders.

One of the fundamental elements of incident management described in NIMS is the Incident Command System (ICS), adopted by the Coast Guard over two

History of the NRF: Domestic incident management and crisis response mechanisms have grown steadily in the last two decades. In 1992, national response planning originated with the Federal Response Plan which focused on federal roles and responsibilities during a disaster. In 2003, in compliance with Homeland Security Presidential Directive/HSPD-5: Management of Domestic Incidents, the newly established DHS published the National Response Plan (NRP) as the first national plan integrating all levels of government, the private sector and nongovernmental organizations (NGOs) into a common incident management framework. In 2008, the NRF, which superseded the NRP, was developed to incorporate lessons learned after Hurricane Katrina. With the continued maturation of the NRF and the requirements set forth in the 2011 Presidential Policy Directive/PPD-8: National Preparedness, the mandate for integrated whole community plans across five mission areas of Prevention, Protection, Response, Recovery, and Mitigation is stronger.

Aeronautical and Maritime Search and Rescue (SAR)

Responses to aeronautical and maritime Search and Rescue (SAR) incidents within internationally recognized SAR Regions must be conducted in accordance with provisions that apply to the international SAR system. Coast Guard actions in these cases are governed by the U.S. Coast Guard Addendum to the United States National Search and Rescue Supplement (NSS) to the International Aeronautical and Maritime Search and Rescue Manual (IAMSAR), COMDTINST M16130.2 (series).

The NSS places authority for directing SAR operations in a SAR Mission Coordinator (SMC). While SAR operations may be a subset of response activities for any incident, SAR activities should still follow the National SAR Plan, the NSS, and other pertinent directives. If an Incident Command has been established, the role of the SMC will mainly be to support the IC for SAR aspects of the incident response. Interactions with the IC and the overall response organization will follow ICS principles. The SMC remains responsible for SAR operations even if an IC has been established.

Coast Guard SAR responders normally utilize traditional military command and control, but can use ICS when warranted by the situation. Considerations include incident duration, type of response, location, potential for pollution, or external agency coordination.

decades ago. Originally developed by the U.S. Forest Service in response to wild fires, ICS has expanded in use to the state and local level, private sector, and foreign countries. ICS is a scalable, flexible and expandable system to manage any size response, from the smallest event or incident to the largest, most catastrophic crisis. ICS allows for unity of effort and alignment across agencies, jurisdictions, or any organizational divide.

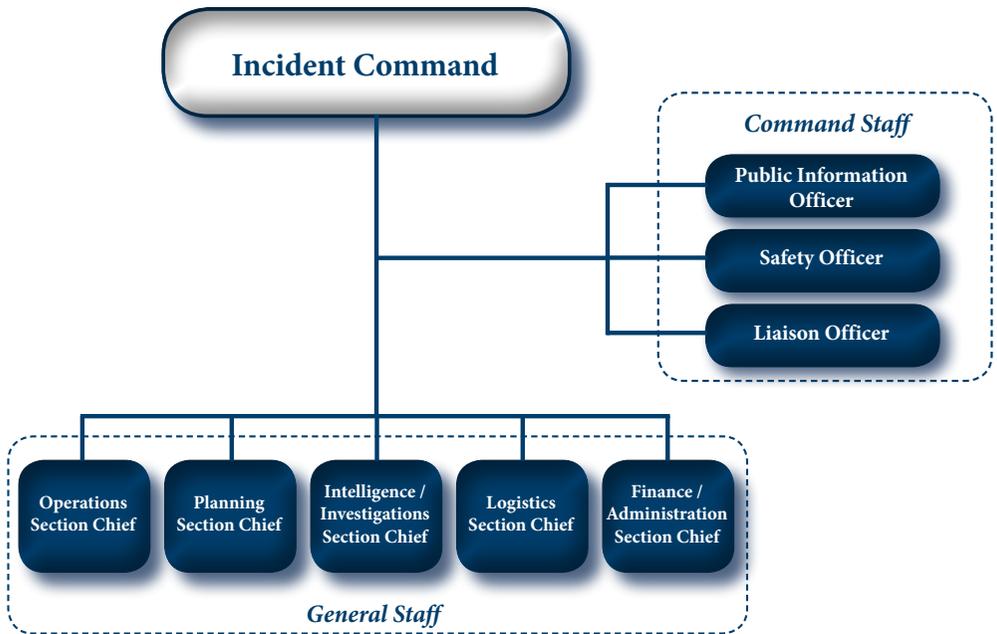


Figure 1: Diagram of Basic ICS Command and General Staff Organization

NRF contrasted with the National Oil and Hazardous Substances Pollution Contingency Plan (NCP): *The NRF describes coordination between federal agencies when supporting state requests for assistance. The NCP places the authority for directing the response to any oil or hazardous material release in a Federal On-Scene Coordinator. In the specific instance of a Spill of National Significance, a federal National Incident Commander will be designated.*

In support of the ICS, the Coast Guard maintains its own Coast Guard Incident Management Handbook which is a valuable guide for anyone involved in managing an incident response and is one of the most commonly used incident management references in the country.

Coast Guard commands should develop and maintain a high level of proficiency in the use of ICS. As with all other Coast Guard mission specialties, all personnel should seek individual ICS qualifications to enhance professional growth and increase overall Coast Guard flexibility to organize Incident Management Teams (IMT). Attaining ICS certifications demonstrates proficiency and enhances the ability of Coast Guard personnel to carry out incident management and crisis response activities.

2.2 Military Contingencies

In the event of a military contingency, the Coast Guard may provide resources per a request for forces from the applicable Combatant Commander (CCDR). If provided, Coast Guard forces will be attached to the CCDR to execute missions in support of CCDR objectives. Coast Guard Areas are the Principal Planning Agents supporting the CCDRs and will develop plans for military contingencies and coordinate exercises in support of these plans. Coast Guardsmen maintain proficiency in military contingency operations through participation in exercises, pursuit of joint professional military education, and understanding of joint doctrine publications.

2.3 Foreign Civil Response or Foreign Humanitarian Assistance/Disaster Relief

In an international civil response, such as the relief efforts following the major earthquake that devastated Haiti in 2010, Coast Guard assistance is normally coordinated through the U.S. Department of State or the U.S. Agency for International Development (USAID). The Department of State or USAID may also receive support from other federal agencies, DOD, and non-governmental organizations (NGO). The Coast Guard will integrate its response efforts with the overall response organization. The Coast Guard may provide support through DOD Foreign Humanitarian Assistance/Disaster Response missions. Finally, the Coast Guard may also engage under its own authorities.

3 *Scale and Scope*

The scale and scope of an incident influences the amount of resources an incident commander will need to effectively respond. NIMS divides incidents into five types, based on size and complexity as described by Figure 2.

Coast Guard Sectors are staffed and resourced to manage routine operations and support activities associated with incidents no larger than Type 3. To meet this standard, each Sector should have a fully qualified IMT of Type 3 ICS qualified individuals. Larger or unusual incidents may require more resources, greater management oversight, and specialized expertise not available at Coast Guard field commands.

Coast Guard Sectors require surge staff and resources for Type 1 or Type 2 events. Coast Guard leaders, both in the field and at larger staff and support commands, must remain aware of capability limitations and resource constraints; they should be ready to surge the resources necessary to support an incident commander with specialized teams, assets, and extra resources. Continuous preparedness efforts are important to predicting these resource constraints and needs. Pre-event contingency plans should identify the different levels of contingency support anticipated including additional personnel, resources, and other unique capabilities.

Incident commanders must “lean forward” during the initial phases of the response to provide leadership; determine priorities; and where needed, request additional resources to carry out response actions. Leaning forward means deploying liaisons, engaging the public early with outreach, standing up an Incident Command Post and other significant elements that will be needed to facilitate the response. Additionally, every incident has the potential to impact Coast Guard families and Coast Guard infrastructure with a secondary impact upon the unit’s ability to meet the needs of the response.

Factors to consider when determining Scale and Scope:

- *Size and criticality of the impacted area*
- *Range of special skills needed*
- *Number of partners or stakeholders with an interest in the response*
- *Damage to Coast Guard units*
- *Impact on Coast Guard personnel and families*
- *Potential political and media interest*

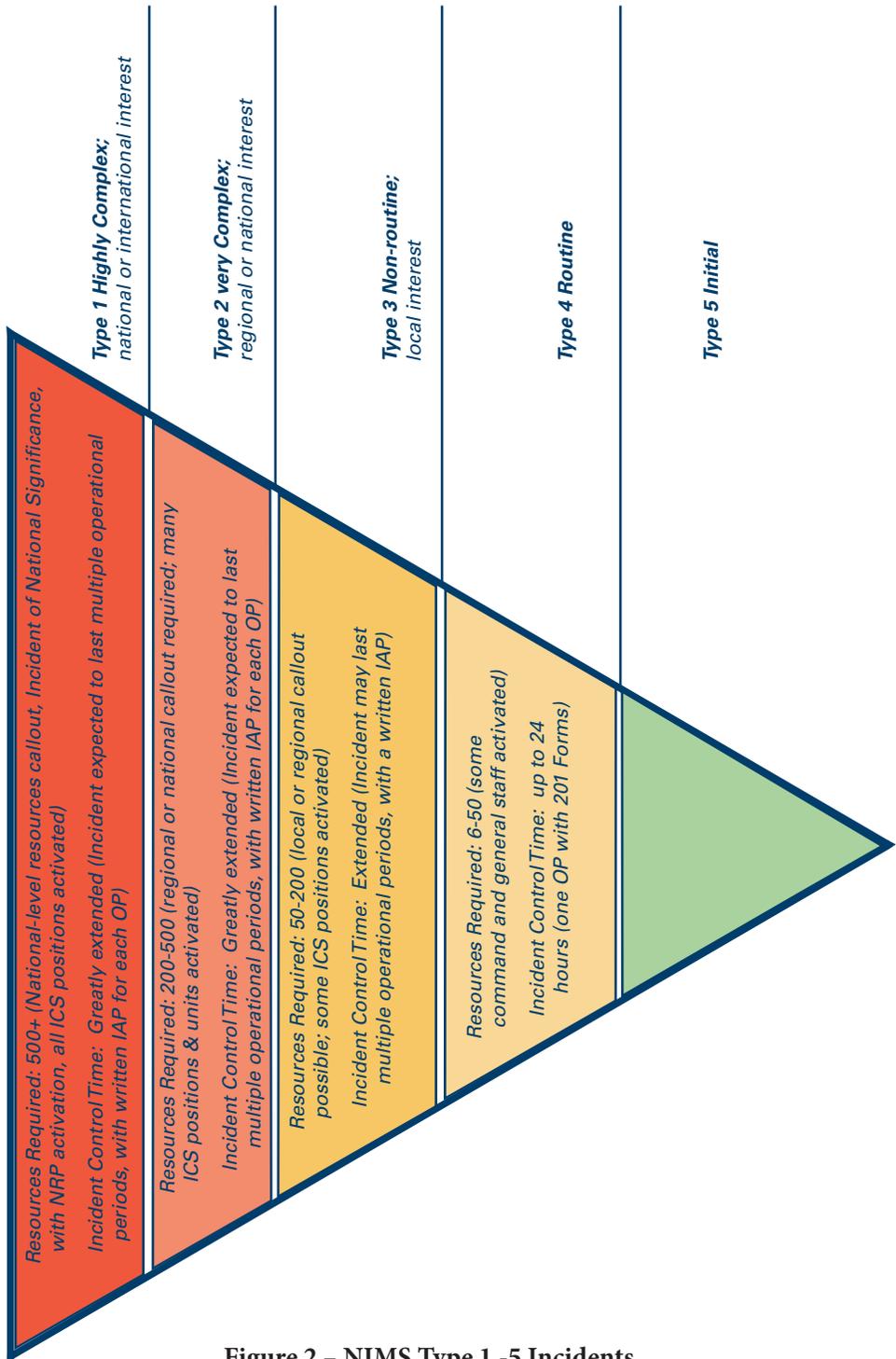


Figure 2 – NIMS Type 1 -5 Incidents

4 *Command and Coordination*

4.1 *A Multitude of Demands in a Complex Environment*

While performing the role of incident commander, Coast Guard Sector Commanders provide key leadership in the maritime community, simultaneously carrying out the authorities of the Captain of the Port (COTP), Federal Maritime Security Coordinator (FMSC), Federal On-Scene Coordinator (FOOSC), Search and Rescue Mission Coordinator (SMC), and Officer in Charge, Marine Inspection (OCMI). Commanding Officers of Marine Safety Units also perform the role of incident commander and may have one or more of the authorities listed above. These leadership roles are accomplished through active engagement with local, state, and federal emergency response communities and the private sector to plan, train, exercise, and execute integrated maritime preparedness and response activities.

4.1.1 *Interagency Coordination*

Unity of effort with other response partners is indispensable to response activities. Interagency coordination provides numerous benefits and “force multipliers” for agencies involved in the response. Expanded information sharing and interaction with agency liaison personnel prior to and during exercises and operations significantly enhances response capabilities. Achieving unity of effort is not easy, however. Challenges of interagency coordination and cooperation include:

- Various levels of government representing multiple and possibly overlapping jurisdictions and agencies (federal, state, tribal, local and other countries);
- Legal and policy constraints that may limit the activities of agencies engaged in the response;
- Intensive media coverage may strain the communication and trust between organizations.

Managing a successful response requires pre-planning, coordination, and cooperation with partners. To be most effective, coordination with response partners, media, and the public should begin long before an incident occurs.

4.1.2 Information Demands

Rapid spread of information and imagery may increase interest in any given incident well beyond the jurisdictional or geographic boundaries of the incident. This will create broader information demands for the response organization. Media and public interest will increase the demand for timely release of accurate and official information as well as imagery about the response. In turn, this will likely generate higher interest from elected and appointed officials leading to requests for information, briefings, and increased reporting to DHS, cabinet level officials, the National Security Staff, and the White House Office of Communications.

4.1.3 Routine Demands

Responsibility for routine Coast Guard missions does not cease when an incident or crisis occurs. Commanding officers should consider reducing operations in other mission areas to maximize availability of resources within the unit with due regard to risk. Leaders throughout the organization should remain aware of the effects of increased operational tempo during extended response operations on personnel and equipment. Crew rotations and equipment maintenance or replacement schedules should be adjusted as necessary. Commands at all levels should anticipate, plan for, and report reduced mission capacity during and after major incidents.

4.2 The Roles of Coast Guard Echelons

Current Commandant Instructions describe the roles of the Sector, District, Area and Headquarters during an incident response. When an incident response requires resources that exceed a Sector's capabilities, the District command provides assistance by augmenting the Sector, facilitating requests for additional forces, and serving as an information conduit. The District also represents Coast Guard interests at the Federal Emergency Management Agency (FEMA) Regional Response Coordination Center (RRCC) and at a Joint Field Office (JFO) if FEMA establishes one. A JFO is a temporary Federal multiagency coordination center established locally to facilitate field level domestic incident management activities. Figure 3 shows the relationship between an incident/unified command and a multiagency coordination center such as an Emergency Operations Center (EOC) or JFO. The primary function of the Multiagency Coordination System (MACS) as described in NIMS is to coordinate activities above the field level and to prioritize the incident demands for critical or competing resources, thereby assisting the coordination of operations in the field.

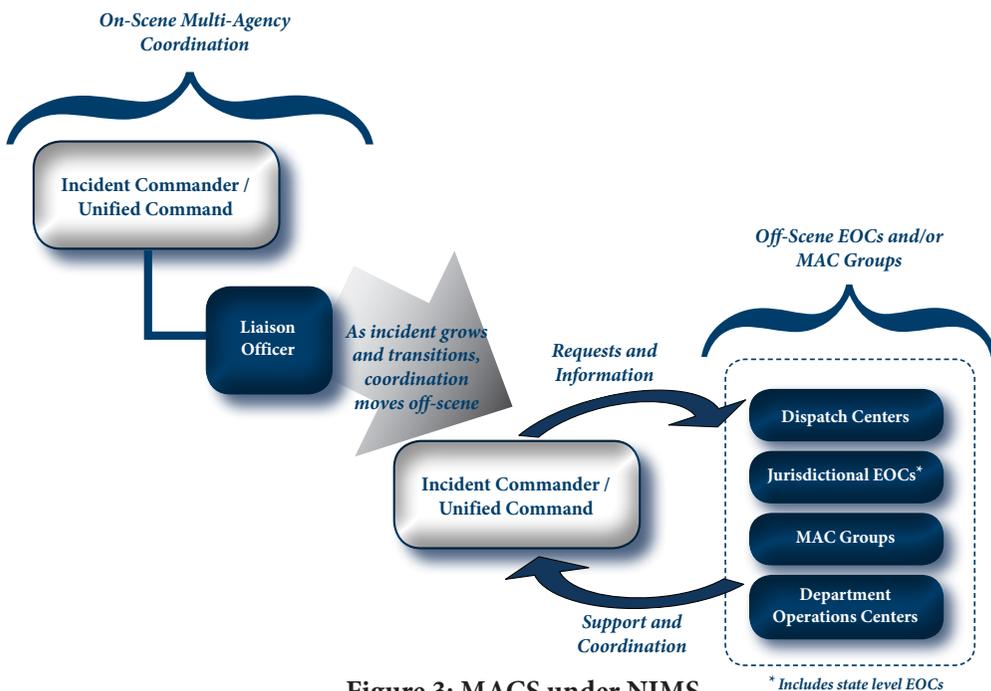


Figure 3: MACS under NIMS

For large events that exceed a District’s capabilities or involve more than one District, an Area can provide operational oversight, translate national-level strategic goals into operational guidance and priorities, manage information flow, and manage the flow of Coast Guard response forces. During this time an Area also ensures that operational risk is properly balanced throughout its areas of responsibility.

For very large or unusually complex incidents, a NIMS ICS Area Command may be established, and in a Spill of National Significance, a National Incident Commander (NIC) may be designated. In the event a NIMS ICS Area Command is established, either the District Commander or the Area Commander may assume the role as the NIMS ICS Area Commander.

Coast Guard Headquarters maintains situational awareness of Coast Guard activities through the National Command Center and provides support where needed. The Incident Management and Preparedness Directorate (CG-5RI) represents Coast Guard interests in the FEMA National Response Coordination Center, and coordinates Coast Guard interagency representation at the White House, the DHS National Operations Center, and other national level bodies.

The cumulative effects of competing demands may rapidly become too distracting and time-consuming for Coast Guard commanders to effectively carry out the duties of incident commander in addition to their other responsibilities. Under these circumstances, a separate incident commander may be designated.

4.3 External Affairs

External affairs is a critical function of all incident response organizations. Deliberate communication and effective dissemination of information is vital to a successful response. Media and social networks can instantly spread information and imagery, rapidly shaping public sentiment and political interests. Failure to plan for effective engagement in this information environment can undermine otherwise successful operations.

External Affairs in the Information Age

In the digital era of instantaneous information, incident managers can no longer gauge response success merely in terms of operational successes such as number of lives saved, gallons of oil recovered, or other purely operational objectives. It is conceivable that a perfectly executed incident response, in which all operational objectives were met, could still be perceived as a failure because the geopolitical implications of the incident were not adequately addressed and/or the incident manager did not adequately gauge public sentiment or public interest.

To improve the accuracy and timeliness of public information, and to raise the public's understanding of, and support for Coast Guard operations, Coast Guard External Affairs supports engagement and communication with the public and stakeholder groups. External affairs encompasses traditional outreach activities such as public affairs, governmental affairs, tribal affairs, and congressional affairs and also includes the coordination of operations and outreach activities.

Engaging in preparedness activities with local, regional, and national partners, private sector stakeholders, and political office holders builds trust, confidence, and proficiency, strengthening the overall readiness for any incident. Coast Guard External Affairs resources, including full time and collateral duty Public Affairs Officers (PAO), and Governmental Affairs Officers (GAO), are the primary contacts for establishing pre-need relationships with the media, social network communities, local, tribal, state and federal officials and other key leaders within the affected Operational Commander's area of responsibility. These key staff positions should be pre-designated, called upon early in a response and augmented as needed. During major response operations, the Headquarters Office of Public Affairs may deploy external affairs resources such as PAOs, GAOs, or Agency Representatives as liaisons in support of the incident commander. For incidents of national significance, such as a Spill of National Significance or National Special Security Event, the Office of Public Affairs coordinates support for the external affairs organization and helps develop the structure for the external affairs response.

4.4 District Incident Management and Preparedness Advisor (IMPA)

Coast Guard Districts play a critical role in supporting and directing operational responses that exceed or threaten to exceed the capabilities, resources, or operational areas of a Sector or other Coast Guard Operational Commander. Coordination of Coast Guard operational and planning activities at the regional level requires Districts to maintain efficient working relationships with the Environmental Protection Agency, FEMA, state emergency managers, and state environmental protection departments, among others. The effectiveness of these interagency relationships as well as the training and policy oversight of Sectors are reinforced by long-term familiarity, continuity, and subject matter expertise within District staffs. The District IMPA helps to achieve this desired state by augmenting, clarifying, and enhancing Coast Guard contingency operations and incident management capabilities at the regional level.

The District IMPA primarily serves as the Regional Response Team Co-chair and the District representative to the FEMA Regional Interagency Steering Committee (RISC). IMPAs are leading experts on Coast Guard operations and connectivity under the NCP and NRF. They serve as a vital link between the District and the RISC, a deployable response resource coordinator, and a technical advisor to the District Commander. When not responding to an incident, IMPAs oversee the integration of Coast Guard plans with regional intergovernmental plans and ensure that the preparedness cycle of planning, training, exercising, evaluating, and revising is continually implemented in order to make steady improvements in District response capabilities.

4.5 Liaisons, Agency Representatives and Command Representatives

Subject matter expert liaisons, also referred to as agency representatives or command representatives, from key partner agencies and commands facilitate effective two-way communication, coordination, and cooperation during response operations. Formally established liaison and representative links between the incident command and supporting or assisting agencies are beneficial to all organizations. Efforts to obtain liaisons should focus on those agencies or commands whose organizations play a key part in response operations. Agency representatives and command liaisons are most effective when they have access to command leadership, key staff, and key working groups. “On-the-ground” agency representatives and command liaisons should be located where they will be most usefully engaged and able to support command priorities.

Early deployment of liaisons is essential to obtain the full benefits of pre-planning efforts and to maximize coordination with interagency partners. To the extent practical, liaisons should be pre-identified and included in planning and preparedness activities to build knowledge of partner and stakeholder organizations as well as nurturing interpersonal relationships with counterparts.

4.6 Coast Guard Emergency Preparedness Liaison Officer (CG-EPLO)

CG-EPLOs are assigned to Districts to serve as agency representatives at each of the ten FEMA Regions. They coordinate planning and foster communication and cooperation between the Districts and the associated FEMA Regional Offices. Their close relationships with FEMA Regional Offices make them a critical link between the District, FEMA, and other agencies involved in a response. During an incident, FEMA ordinarily issues a Mission Assignment (MA) requesting activation of the relevant CG-EPLO to serve as the designated liaison at the FEMA RRCC. CG-EPLO should not be confused with the DOD EPLOs who work for the Defense Coordinating Officer to coordinate DSCA missions with FEMA.



Exercises are one excellent method to establish coordination and cooperation among responding entities, media, and the public before an incident occurs.

5 *Surge and Support*

The increased range of functions required for appropriate response to Type 1 or Type 2 Incidents require personnel and resources beyond the internal capabilities of any single Coast Guard unit. National and regional level deployable resources – both designated and collateral duty – exist at all levels of the organization; these resources are ready to deploy to ensure the required depth is available on short notice. Most Type 1 or Type 2 events will require more than just the pre-designated deployable teams. These challenges require all Coast Guard leaders to employ a forward-leaning mentality; every command must remain aware of capability limitations and resource constraints that might affect the outcome of the response. Coast Guard leaders must be ready to surge resources to augment the response organization's size, scope, technical, and logistical expertise to address the requirements of complex and expanding incidents.

Requests for additional resources should be made early; when appropriate, resources can be pre-staged prior to an event or incident.

Understanding the total availability of assistance, resources and funding, and requesting them early in an incident can dramatically improve capabilities and minimize lags in response while waiting for needed support. Scaling back is much easier to accomplish than accelerating or expediting support requests.

To ensure that the right resources are requested early, it is critical for incident commanders to understand the capabilities of both Coast Guard resources and the resources of other local agencies in advance of an incident. Most resource gaps should be anticipated and addressed in contingency plans. Incident commanders who promptly seek the additional resources necessary to fill these gaps demonstrate sound judgment and understanding of the entire Coast Guard response enterprise.

To be most effective, Deployable Teams should be:

- *Pre-identified permanent or collateral duty personnel*
- *Selected for existing qualifications and prior surge experience*
- *Rapidly self-deployable*
- *Fully self-sustainable for at least two weeks*
- *Capable of full operation in environments that lack physical and electronic infrastructure*

Best Practices for Leaning Forward:

- *Know your plans*
- *Invest in training*
- *Establish external relationships through preparedness activities*
- *Engage Coast Guard leadership and provide direction for scale of the crisis*
- *Request resources to augment staff*
- *Bring in specialized teams when needed*
- *Pre-stage resources if possible*
- *Provide liaisons to external EOCs and operations centers*
- *Review lessons learned*
- *Plan ahead for demobilization and sustained operations*
- *Have an effective communications strategy*
- *Take care of your people*
- *Take care of yourself*

The concept of leaning forward also applies to Coast Guard leaders outside of the immediate Incident Command. Coast Guard leadership should prioritize response actions and distribute available resources to the highest priority locations. These leaders must anticipate requests, integrate with partners, and be prepared to provide rapid assistance as requests and/or deployment orders are received. To avoid overwhelming the incident command with resources, leaders should not deploy forces until directed to do so by higher authority.

When an incident occurs within Coast Guard jurisdiction, units

initially respond using existing operating funds. Coast Guard leaders should be prepared to support the Incident Command with supplemental funding required to conduct large scale, long term, or unusual responses. Established funding sources for hazardous substance releases and federally declared disasters exist. The Coast Guard must maintain expertise in accessing the Oil Spill Liability Trust Fund (OSLTF) established by the Oil Pollution Act of 1990 (OPA 90) and the Hazardous Substance Superfund established by the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA). Similarly, when the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (Stafford Act), is employed, FEMA may issue an MA to provide funding for assigned activities. If the total incremental cost of responding to the contingency is large enough, the Coast Guard can request additional funds from Congress. A lack of identified funds to pay for the response should not prevent operational commanders from taking appropriate and immediate action to save lives and protect property and the environment. In this situation, responding units should notify their budget and finance hierarchy as soon as practical.

During major incidents, units may face increased costs such as travel, per diem, contract support, and rapid use of consumable supplies. Commands should carefully track these costs and maintain supporting documentation to justify reimbursement. Although there is no guarantee that additional funding will become available to a particular unit, proper accounting will facilitate requesting, justifying, and distributing supplemental funding.

5.1 Specialized Forces

Specialized forces provide highly skilled personnel capable of delivering specific services critical to success and are often essential for Type 1 and Type 2 responses. They should be planned for and requested early within a response, and the intended action should be communicated to the requestor as expeditiously as possible.

5.1.1 Coast Guard Deployable Specialized Forces

The Coast Guard maintains numerous rapidly deployable specialized forces capable of providing expertise in incident management, chemical, biological, radiological, nuclear, and explosives, pollution, hazardous materials, and short notice maritime threat response, among others. District and Area Commands also maintain various deployable teams capable of providing expertise in JFO support, and all hazards response.

Deployable Team Best Practices:

- *Supporting Commands should retain responsibility for scheduling and providing relief of deployed personnel*
- *Knowledge Management and other data capture teams can be helpful to both the Incident Commander and Headquarters Program Managers for incident documentation and for capturing lessons learned*
- *Work-Life, Gold Badge, Ombudsman, and other family support services can be requested*

5.1.2 Other Specialized Forces

Other government agencies that also maintain teams specializing in maritime incident response include National Oceanic and Atmospheric Administration (Scientific Support Coordinators, Navigation Response Teams, etc.), Navy Supervisor of Salvage and Diving, Army Corps of Engineers, and National Geospatial-Intelligence Agency. Commanders should maintain awareness of any state, local, tribal, or commercial specialized forces available in their areas.

5.2 Mission Support

In addition to coordinating tactical operations, Coast Guard commands must also take care of the personnel, assets, and infrastructure potentially impacted during a disaster. Resources to support Coast Guard personnel, assets and infrastructure are identified in the Deputy Commandant for Mission Support (DCMS) Contingency Support Plan. Personnel support functions include relocation assistance, damage claims processing, decedent affairs support, legal support, and pay and entitlements. The mission support organization supports the incident command by providing logistics and administrative expertise for the tactical

response, and by deploying personnel and other resources necessary to maintain and repair Coast Guard boats, cutters, and aircraft engaged in the response. Mission support personnel address affected Coast Guard facilities, including Command, Control, Communications, Computers, and Information Technology infrastructure, by conducting damage assessments, basic repairs, and overseeing long-term repair contracts.

TACON Shifts

Incident Commanders may assume TACON of other units that possess specialized capabilities (e.g., Maritime Safety and Security Team, Dive Locker) when necessary. Early coordination between the requesting Incident Command and the normal Operational Commander of the unit in question is essential.

Within DCMS, the Director of Operational Logistics (DOL) supervises all Coast Guard Bases and is responsible for surge logistics planning, providing integration for the delivery of logistics services throughout the Coast Guard, and for organizing logistics needs for all operational assets deployed outside District boundaries. In a regional contingency, the DOL may direct a Base Commanding Officer to shift priorities, providing full support to the affected District Commander, proactively providing logistics and support services as the contingency requires.

Base staff can be used to fill or augment the

appropriate logistics element of incident command. During large scale or sustained incidents, Tactical Control (TACON) of the DOL, together with all Bases, may also be shifted from DCMS to the affected Area Commander. Before executing this TACON shift, both Areas, DCMS, DOL, and the Logistics and Service Centers should identify which resources will remain available to perform existing high priority requests for logistics services.

The DOL can provide:

- A national-level logistics common operating picture;
- Logistics aspects and components of operational plans; and
- Surge logistics.

5.3 Coast Guard Civilian Employees

Coast Guard Civilian Employees are an important asset to any incident response. Civilian Employees can support their parent command's incident management team, deploy to augment incident commands, support multi-agency coordination groups, and perform nearly every other incident response function. Assignment to a response, as well as work hours and conditions for civilian employees may be subject to regulations and/or terms of negotiated labor agreements.

5.4 Coast Guard Reserve

Reserve forces are a force multiplier. As with all requests for personnel resources, incident commanders must know how, when, and where to supplement the incident response with reserve members. Reservists assigned to a command can often be on-scene within hours. Other voluntary reserve forces can also respond quickly. Logistics and administrative times vary, but generally the Coast Guard can recall and deploy reservists within 48 hours.

Incident commanders should understand the Reserve recall processes and should know how to identify the skills and qualifications possessed by reserve members assigned to their commands. Identification of a team to promptly issue orders for all reservists should be considered a priority.

5.5 Coast Guard Auxiliary

Auxiliary units and their capabilities will likely be available for many types of incidents and may be used as part of the response or to perform functions during the absence of deployed Coast Guard resources. Auxiliarists are not authorized to participate in direct law enforcement or military missions. They are authorized to participate in all other Coast Guard missions and may provide direct administrative and technical support to active duty units. Coast Guard Operations Plans and Area Contingency Plans should accurately describe Auxiliary capabilities, mobilization procedures, and support needs. Auxiliarists should be directly involved in Coast Guard planning teams at both Sectors and Districts to provide direct administrative and technical support to active duty units.



Members of the Coast Guard Auxiliary assist response efforts by filling a variety of roles. Auxiliarists augment Command Centers, Joint Information Centers, and Coast Guard vessel crews. Using their own boats and aircraft, they patrol docks and shorelines, execute over-flight missions, and rescue distressed marine life.



In the information age, Coast Guard spokespersons must remain ready to provide clear communications containing accurate information to Coast Guard leaders, the media, and the general public.

6 Information Management

Effective incident management and support activities depend upon flexible, reliable communications and information systems to provide situational awareness to emergency management and response personnel and their affiliated organizations. Development of common communications plans and interoperable communications equipment, processes, standards, and architectures should be part of the planning process. During a response, this integrated approach links the operational and support units of the various organizations. Situational awareness is established and maintained by collecting, analyzing, and disseminating incident information to all appropriate parties.

Incident commanders should ensure backup communications systems are in place and working. Communications systems failures hamper information flow and hinder response operations. Waiting until a disaster occurs is too late; investment in pre-planning is essential. Senior operational commanders should provide

Command and Control direction to Coast Guard incident commanders through Warning, Planning, Operation, Alert, and Execution Orders. An updated Commander's Intent should be released within 48 hours after the commencement of the response. A prompt decision identifying the appropriate releasing authority for the Commander's Intent is critical to meet that goal.

Coast Guard leaders should remain aware of standing DHS Critical Communication Information Requirements and of guidance regarding battle rhythm requirements designed to meet the information reporting requirements of the Executive Office of the President and the Secretary of Homeland Security. Additionally, incident-specific Critical Information Requirements should be developed to ensure the most accurate, appropriate data is collected by operational assets and other IMT members. As data is gathered and analyzed, it should be disseminated internally to guide operational decision making and reported outside of the IMT to ensure agency leadership, stakeholders, and the public are aware of actions, needs, successes, and concerns.

Critical Elements of Effective Information Management

- *Flexible & Reliable Communication Systems*
- *Dissemination Process*
- *Timeliness*
- *Accuracy*

Incidents that disrupt the MTS often have wide-scale impacts and may prompt affected stakeholders and local, regional and national special interest groups to seek priority treatment from the incident command. Creating a Marine Transportation System Recovery Unit (MTSRU) as an element of the Planning Section will provide a coordinated, integrated approach for MTS recovery and expeditious resumption of trade. As part of the broader information management plan, an MTSRU tracks and reports on the status of the MTS, develops courses of action to support MTS recovery, provides an avenue of input to the response organization for MTS stakeholders, and identifies long-term restoration issues for the Incident Command.

Accurate situational awareness is critical to good decision making, rapid staff actions, effective execution, and mission accomplishment. Incident commanders achieve accurate situational awareness through incident reports, briefings and creating a Common Operating Picture. Maintaining and sharing situational awareness with the chain of command and all stakeholders is one of the most challenging aspects of incident management.

Critical Incident Communications (CIC) Process

The Coast Guard CIC process is a standardized, repeatable, and scalable method to provide all levels of the Coast Guard chain of command, from reporting unit to the Commandant, immediate awareness of potential crises.

Any Coast Guard unit, including Coast Guard Headquarters, can begin the CIC process.

7 *Prevention and Preparedness*

7.1 *Prevention*

Prevention emphasizes the need to identify hazards and threats, reduce vulnerabilities and minimize the requirement for emergency response by preempting avoidable casualties, damage, and other harm through regulations, inspections, properly maintained waterways, port activity monitoring and other activities.

Prevention activities such as regulating commercial vessels, managing vessel traffic, promoting recreational boating safety, conducting port security patrols and facility inspections, and maintaining aids to navigation, reduce the likelihood of incidents and mitigate damage when events do occur. Prevention even plays a role in unavoidable events such as hurricanes and earthquakes by limiting the consequences of the incident.

In coordination with partner agencies, Coast Guard leaders should strive to continually enhance prevention efforts.

7.2 *Preparedness*

Preparedness is critical to successful incident management and crisis response. Effective preparation at all echelons is vitally important to coordinated responses to complex incidents. Leaders should ensure that every member is trained, qualified and proficient in the roles they may be expected to fill during a response. Command emphasis on the value of preparedness is the first step in leading a unit to commit to this effort.

The Coast Guard's motto, *Semper Paratus*, underscores the importance we place on preparedness. Our preparedness, and our ability to act in response to all hazards, makes the Coast Guard a valuable asset to our Nation and to our international partners when they request assistance.

7.2.1 The Preparedness Cycle

The NIMS defines preparedness as a continuous cycle of Planning, Organization, Equipment, Training, Exercises (POETE) evaluating, and taking corrective

action in an effort to ensure effective coordination during incident response. This Preparedness Cycle also supports the broader National Preparedness System to build, sustain, and deliver the core capabilities necessary to prevent, protect against, respond to, recover from, and mitigate any threat or hazard.



Figure 4: The Preparedness Cycle

Each stage of the Preparedness Cycle is critical.

- **Plan** - create and maintain contingency plans in association with local, state, regional, national, international, and tribal stakeholders; align with their planning efforts when possible. Deliberate planning will give an incident commander a head start on the response.
- **Organize and Equip** – provide the human and technical capital stock necessary to build capabilities and address modernization and sustainability requirements. Organizing includes identifying the competencies and skill sets desired of people delivering a capability and ensuring an organization possesses the correct personnel. Equipping includes identifying and acquiring standard and/or surge equipment an organization may need to use when delivering a specific capability.

- **Train** – train the workforce not only for their primary duties, but also for those duties they may be asked to carry out when responding to a crisis. Proficiency of both individuals and teams is one of the most critical factors in any operation.
- **Exercise** - conduct realistic interagency, joint, and combined exercises to test plans, current capabilities, identify gaps, and develop improvements.
- **Evaluate/Improve** - capture lessons learned from exercises, incidents, and events and ensure that those lessons are used to improve preparedness over time.

7.2.2 Working with the Community

Disaster impacts are most directly felt by local communities. Therefore, a whole community approach to preparedness planning is valuable in developing realistic and well-integrated plans. Furthermore, in engaging the whole community, important relationships and trust should be forged long before an incident occurs.

A whole community approach engages all partners – public, private, and nonprofit sectors, emergency management professionals, the general public, potential community volunteers, and local, tribal, state, territorial, and federal levels of government. This concept may also include international partners.

The Coast Guard has a long history of strong integrated cooperation with coastal and maritime partners in the public and private sector, across the spectrum of prevention, protection, mitigation, response, and recovery. The advanced nature of these relationships within local communities is attributable to: common interest involving the land and sea interface; specific requirements calling for whole community plans; and, broad distribution of Coast Guard people around the nation who are local community members and, at the same time, federal responders empowered with authorities and operational capabilities.

These relationships are critical and they need consistent attention, especially due to the transient nature of our active duty workforce. Whole community partnerships, and continuing support for the Coast Guard, remain strong because of regular interaction between community members across all mission areas. Relationships and trust are two valuable elements of a whole community response that cannot be surged.

Whole community principles include: engagement, empowerment, and interaction. Coast Guard operational commanders should make special efforts to build relationships with local elected officials (e.g., mayors, county commissioners, senators, representatives, etc.). District and Area PAOs, GAOs,

and IMPAs can assist with arranging these meetings. Coast Guard leaders should also familiarize themselves with their local emergency management system and organizations, and get to know the leaders who will play a key role in the response to any local incident or crisis (e.g., emergency management directors, state on-scene coordinators, police and fire chiefs, etc.). Try to ensure these community leaders are familiar with local Coast Guard-maintained plans such as the Area Contingency Plan and the Area Maritime Security Plan.

In some cases, Coast Guard operational commanders should consider memoranda of understanding or memoranda of agreement for institutionalizing agreements over extended periods. Coast Guard legal staff should be consulted before creating any agreement.

Recommended Community Outreach

- *Local Emergency Planning Committees*
- *Port Readiness Committees*
- *State Emergency Response Commissions*
- *Regional Response Teams*

Local committees develop contingency plans that identify hazards and ways to mitigate impacts of those hazards. These plans are not internal in nature—they are owned by the community that will respond together from all levels of government, industry, and other stakeholders. These plans should include capabilities found at the local Coast Guard unit as well as those that can be surged to the community in the case of a Type 1 or Type 2 incident. Coast Guard and regulated industry plans should align with and follow these community plans.

Once plans are in place, they should be exercised and updated on a regular basis. Regular exercises provide an opportunity for local emergency responders and elected leaders to form professional relationships, get used to working with each other, and learn the capabilities and limitations each organization will bring to a response.

Principals should participate in exercises whenever possible. A real crisis response is not the time for initial introductions to partners or to the contingency plan, as this situation often leads to confusion, misunderstandings, and mistrust.

8 *Crisis Leadership*

8.1 *Understand the Environment*

A crisis is a high-impact, complex incident that requires an extensive, well-coordinated multiagency, and/or multinational, whole community response. Crisis response leaders will encounter increased information demands, coordinate planning and decisions across a broader set of partners, and manage a much larger incident command organization. Leadership during a crisis includes managing political, economic, social, cultural, and religious aspects of the environment. Leaders are expected to quickly assess the environment and develop an operational plan that achieves the objectives of the response effectively and efficiently without upsetting the delicate balance of these environmental factors.

Participation in the entire contingency preparedness process readies the Coast Guard for a broad range of challenges; having a complete set of contingency plans or any other final product is not sufficient. The Coast Guard has responded to many natural and man-made incidents, yet the next incident may not look anything like previously encountered or even imagined situations. Flexibility and proficiency, gained through preparedness activities, readies the Coast Guard for these unexpected challenges.

In the information age, with 24-hour cable and internet news cycles, traditional incident preparedness activities may no longer be sufficient. In today's digital environment almost any incident or *predicted* incident (e.g., forecasted major hurricane impacting the continental U.S.) has the potential to become an event, garnering national public, media, or political interest *even if the incident never occurs*. In the decade following the terrorist attacks of September 11, 2001 and Hurricanes Katrina and Rita, the standards and expectations for government action in response to major incidents have significantly increased. External public commentary surrounding an event may run counter to traditional Coast Guard on-scene initiative and standard response practices. Public perception of the event may give rise to criticism of the Coast Guard response even if the incident was correctly managed and all adverse consequences were successfully avoided.

Figure 5 depicts many of the potential relationships between an Incident Command and various other elements that make up both an incident and an event. Connectors identify the governing document under which each structural element of command or coordination is normally established and signify the numerous directions in which an Incident Command may be pulled. The dashed blue line indicates the “boundary” between the incident and the associated event. Spanning the “border” between those directly involved in managing the incident and those more frequently associated with influencing outcomes through involvement in the event are the echelons of Coast Guard command.

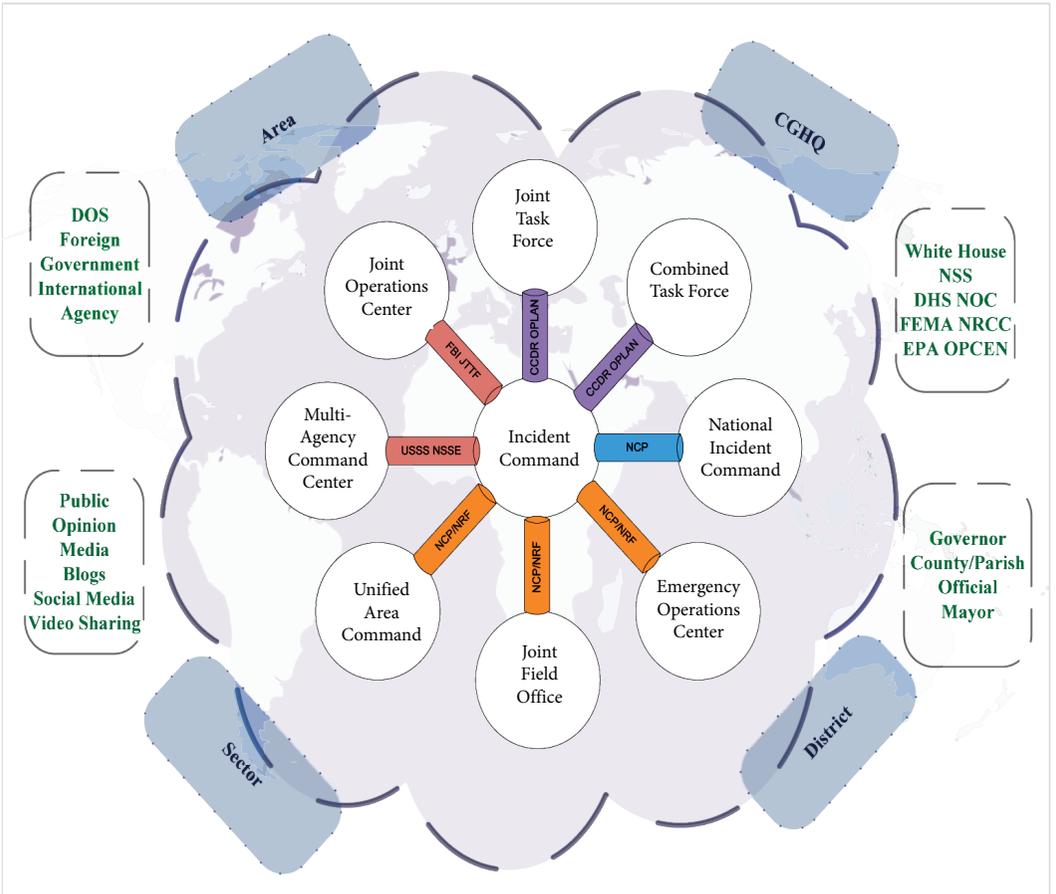


Figure 5: Incident and Event Relationships

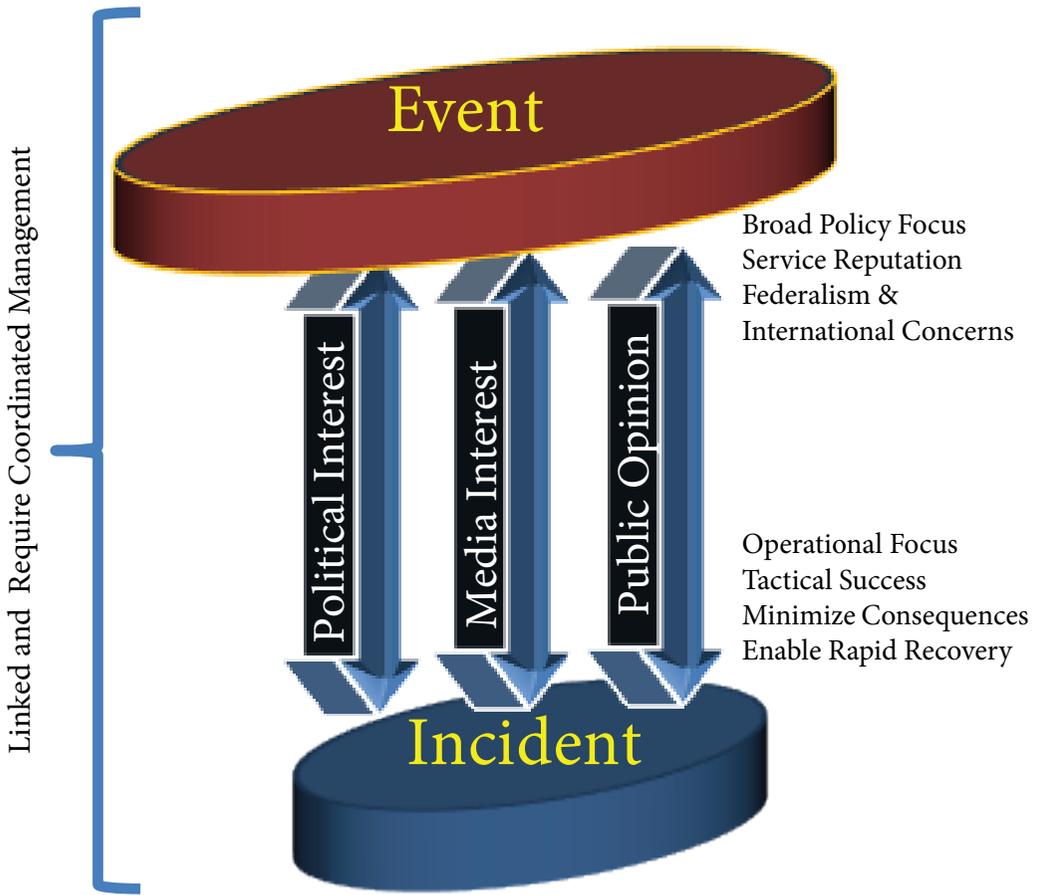


Figure 6: Incident and Event Correlation

While the incident and event are linked through their origin stemming from a common occurrence, their scales and scopes are not necessarily correlated. Respond to both simultaneously, recognizing that each demands different response actions. The event may precede the incident in time, may demand attention even if the incident never occurs, and may persist after the incident response has concluded. While managing the event properly can positively affect the outcome of the incident, managing the incident properly may not suffice to positively influence the event. Even if the incident is well managed, the response is proceeding smoothly, and external interest appears minimal, merely monitoring the event may not be enough. Senior leaders at all levels should maintain situational awareness of response activities and proactively influence the event by engaging with appropriate levels of other government agencies, policy makers, media, and the public.

<i>Incident</i>	<i>Event</i>
<ul style="list-style-type: none"> ● Operational Focus ● Institutional Response ● Unified Command and Coordination ● Shared Responsibility with Other Government Agencies (OGA), Non-Governmental Organizations (NGO), and Private Enterprises ● Incident Communications 	<ul style="list-style-type: none"> ● Broad Policy Focus ● Federalism / International Concerns ● Budget Sensitivity ● Shared Awareness of Senior Leadership ● Strategic Messaging ● Crisis Communications

Table 2: Incident and Event Management Contrasted

8.2 *Seize the Narrative*

Today, anyone with a cell phone or other personal electronic device can seize the narrative. By being “first with the truth,” and proactively releasing information so that the public can gain a thorough understanding of the incident and response actions, leaders can reduce fear, enhance cooperation, and maintain control of the narrative. Impart meaning to the event: tell a compelling story that describes what happened, the importance of the situation, key decisions, current and planned response activities, and what actions should be taken by the public. Preserve credibility at all costs. Fact-check every detail. Trumpet successes that bolster the narrative. Actively monitor all media for early warning signs of issues that might require a change in the narrative. Swiftly correct departures from the narrative, regardless of source. Communicate with clarity, transparency, and accuracy.

Communication synchronization helps ensure the right message is delivered to the right audience, the right way, at the right time. As data is gathered and analyzed, it should be disseminated internally to guide operational decision making and reported to agency leadership, stakeholders, and the public to ensure awareness of actions, needs, successes, and concerns.

Should the incident commander also manage the event? Serving as national spokesperson during an event requires specialized training and proficiency gained through experience. Anyone assigned as an incident commander will likely be the initial face and voice of the response to both the incident and the event. While some engagement can be delegated to public and governmental affairs professionals, personal appearances by the Incident Commander are expected by both the public and higher echelons. However, the role of spokesperson can

also be divided. During the *Deepwater Horizon* Spill of National Significance (SONS), the National Incident Commander (NIC) focused on national media and political interests related to the event, enabling the incident commander to focus on disseminating information related to incident response activities. Event management requires an effective communications strategy. Seek external assistance or support from senior commands to coordinate public and governmental affairs.

While engaging in preparedness activities with local, regional, and national partners, private sector stakeholders, and political office holders builds trust, confidence, and proficiency, strengthening the overall readiness for any incident, intensive media coverage and public/political scrutiny may strain the communication and trust between organizations. During events, leaders should rapidly deploy knowledgeable personnel experienced in public and governmental affairs to preserve already established relationships. These liaisons should be pre-designated, called upon early, and augmented as needed to ensure lines of communication are clearly defined and open between all levels of government, non-governmental organizations, the media, and the public. In addition to knowledge of Coast Guard organization, operations, authorities, jurisdictions, and response management processes, liaisons should possess the soft skills necessary to work in a highly charged environment (e.g., requiring listening, negotiating) and the ability to broker information needs as required. The Coast Guard maintains the deployable Public Information Assistance Team, an element of the CG-IMAT, as well as a cadre of personnel who can deploy as surge forces. Sector Commanders and other key Coast Guard leaders should be trained in crisis communications and should always seek a qualified Public Information Officer to assist during crisis and critical event management.

3 Keys to Crisis Communications:

- *Recognize when you are in a crisis*
- *Maximize disclosure and minimize delay*
- *Utilize messaging and direct communications with internal and external publics to convey concern and willingness to improve future performance*

Crisis Communications Best Practices:

- *Identify moments when the message should be personally delivered by the Principal Official*
- *Transmit all other critical information via a leader who has developed proficiency in the art of Crisis Communications*
- *Acknowledge the strong emotions triggered by the crisis*
- *Empathize with those suffering a loss or enduring hardship*
- *Recognize the contributions of other responders*

8.3 *Build Consensus*

During a crisis, leaders must often make tough calls rapidly with minimum information, incurring major political risks for themselves and their agencies. Most of these decisions require interagency cooperation and acceptance to be effective. Coast Guard leaders should strive to build consensus when exercising decision making authority as the best method to achieve cooperation and acceptance.

Unity among organizations is the external counterpart to the Coast Guard's operational principle of unity of effort. The challenge of external leadership is, in many respects, more demanding because communications and decision making become cooperative processes as opposed to command and control processes. When incidents cross jurisdictional boundaries, a Unified Command should be established, in which incident commanders from federal, state, and local agencies work cooperatively to respond to the incident. In many incidents, the Coast Guard will not have the lead, or even be a part of the Unified Command, despite significant Coast Guard involvement. Even when acting as Federal On Scene Coordinator for a secondary incident (e.g., oil spill secondary to an airplane crash in the coastal zone) the Coast Guard may not be a primary member of the Incident or Unified Command. Nonetheless, Coast Guard leaders should strive to build consensus for key decisions when possible.

8.4 *Use the Whole Team*

An incident commander's bench strength is the whole Coast Guard. Any Coast Guard unit may encounter dynamic rapidly changing incidents that cross mission and jurisdictional boundaries. Such incidents can overburden individual units and challenge seasoned responders. Within military organizations, the Commanding Officer is ultimately responsible for the success or failure of the entire unit. This does not mean that a unit must do everything itself; successful leaders know when to request external assistance and additional resources. For the Coast Guard, responding to a large scale, broad scope incident requires the equivalent of wartime mobilization with minimal notice. Incident commanders may request any Coast Guard resource needed. Similarly to the "Whole Community" concept, Coast Guard leaders should cultivate strong, integrated internal cooperation that includes pooling resources and gaining a Coast Guard-wide perspective of desired outcomes. Coast Guard incident commanders who promptly seek the additional resources necessary to fill gaps pre-identified in contingency plans demonstrate sound judgment and understanding of the Coast Guard response enterprise.

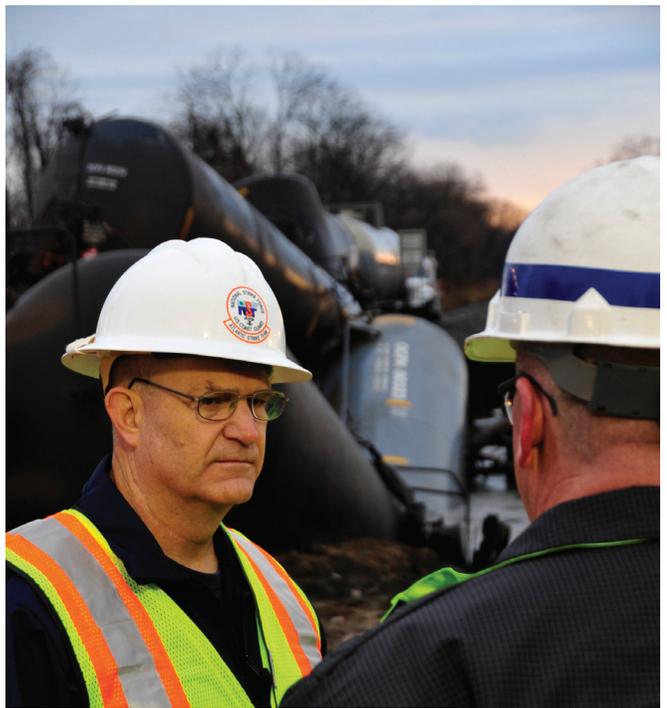
When the Coast Guard surges its people and equipment in response to a disaster, it may defer many planned activities such as vessel inspections and law enforcement patrols in other operating areas. Coast Guard leaders must evaluate and balance the additional risk in these affected mission areas against the need for additional response resources. This diminished level of activity might continue for long periods beyond the duration of the response, as equipment that was destroyed, damaged, or worn out during surge operations must be repaired or replaced. Areas of concern should be discussed with higher levels of the chain of command.

8.5 *Plan Transitions*

As a first responder agency with a broad mission set, Coast Guard culture is to engage immediately and assist until directed to stop. Pre-determined transition (entry and exit) criteria will provide the guidance necessary for Coast Guard commanders to take the appropriate actions in a variety of response scenarios. The desired end state should be clearly described before, or as soon as possible after Coast Guard forces are committed to an incident. Although Coast Guard end state conditions represent what Coast Guard commanders will want their forces to achieve, incident commanders may also be required to support the desired end states of other agencies. Leaders at all levels in the Coast Guard should have a common understanding of the conditions that define success before initiating response operations.

Clean transitions are difficult to achieve, but clearly defined end states with milestones to measure progress, and specifically delineated transfers of responsibility for follow-on actions are important elements that lead to success. To avoid misunderstandings, creation of gaps or duplication of effort, leaders and key management personnel should remain in their assigned roles from transition planning through transfer of responsibility.

Even without clear end state guidance, Coast Guard leaders should be planning for eventual reduction of response operations and transition of responsibilities for follow-on action, especially when the Coast Guard is in a supporting role for a broader response. Coast Guard duties and responsibilities for these operations are typically completed before recovery efforts begin.



The Coast Guard serves as the Federal On-Scene Coordinator (FOSC) for hazardous materials releases, regardless of source, in the Coastal Zone, as defined in Regional and Area Contingency Plans.

9 Conclusion

Crisis response is a complex activity that requires additional awareness of, and attention to, outside influences not normally tested with smaller incidents. This doctrine builds upon the basics of incident management, such as the use of NIMS and ICS, and places additional emphasis on higher level response actions, such as interagency coordination, information management, and outreach. The Coast Guard's proficiency at responding to incidents is world renowned. Developing a high standard of proficiency and expertise in crisis response will honor the Coast Guard's heritage and motto of *Semper Paratus*, and improve the Coast Guard's service to the Nation.

While organizational frameworks and federal expectations for crisis response change with time, the fundamentals remain the same and are strongly aligned with Coast Guard principles of operations. Partnership, unity of effort, readiness to act, flexibility, and tiered response are excellent guides for conducting response operations and developing plans for future responses.

The Preparedness Cycle is the most consistent and predictable way to improve readiness for unplanned incidents and develop the enhanced skills needed for crisis response. POETE is a proven process that helps the Coast Guard demonstrate preparedness when an incident occurs. Preparedness builds trust, confidence, and proficiency within the organization and with partners. Working this cycle with local, regional, and national partners, private sector stakeholders, and even political office holders strengthens the overall readiness for any event.

The Coast Guard's ability to successfully meet national, regional, and local expectations in the face of unique complex incidents requires great understanding, planning, education, and experience. To remain prepared, all Coast Guardsmen must continue to learn, train, and develop expertise in response operations, interagency coordination, communications, and crisis leadership skills.



A

Acronym	Description
<i>APPS</i>	<i>Act to Prevent Pollution from Ships</i>
<i>CCDR</i>	<i>Combatant Commander</i>
<i>CG-5R</i>	<i>Assistant Commandant for Response Policy</i>
<i>CG-5RI</i>	<i>Incident Management and Preparedness Directorate</i>
<i>CERCLA</i>	<i>Comprehensive Environmental Response, Compensation, and Liability Act</i>
<i>CG-EPLO</i>	<i>Coast Guard Emergency Preparedness Liaison Officer</i>
<i>CFR</i>	<i>Code of Federal Regulations</i>
<i>COTP</i>	<i>Captain of the Port</i>
<i>DCMS</i>	<i>Deputy Commandant for Mission Support</i>
<i>DCO</i>	<i>Deputy Commandant for Operations</i>
<i>DCO</i>	<i>Defense Coordinating Officer</i>
<i>DHS</i>	<i>Department of Homeland Security</i>
<i>DOD</i>	<i>Department of Defense</i>
<i>DOL</i>	<i>Director of Operational Logistics</i>
<i>DSCA</i>	<i>Defense Support of Civil Authorities</i>
<i>DWPA</i>	<i>Deepwater Port Act</i>
<i>EO</i>	<i>Executive Order</i>
<i>EOC</i>	<i>Emergency Operation Center</i>
<i>FEMA</i>	<i>Federal Emergency Management Agency</i>
<i>FMSC</i>	<i>Federal Maritime Security Coordinator</i>
<i>FOSC</i>	<i>Federal On-Scene Coordinator</i>
<i>FWPCA</i>	<i>Federal Water Pollution Control Act</i>
<i>GAO</i>	<i>Governmental Affairs Officer</i>

Acronym	Description
HSPD	<i>Homeland Security Presidential Directive</i>
ICS	<i>Incident Command System</i>
IMH	<i>Incident Management Handbook</i>
IMPA	<i>Incident Management and Preparedness Advisor</i>
IMT	<i>Incident Management Team</i>
ISPS	<i>International Ship and Port Security Code</i>
JFO	<i>Joint Field Office</i>
MA	<i>Mission Assignment</i>
MACS	<i>Multi-Agency Coordination System</i>
MARPOL	<i>Marine Pollution</i>
MTS	<i>Marine Transportation System</i>
NIMS	<i>National Incident Management System</i>
NCP	<i>National Oil and Hazardous Substances Pollution Contingency Plan</i>
NGO	<i>Non-Governmental Organization</i>
NRF	<i>National Response Framework</i>
NRP	<i>National Response Plan</i>
OCS	<i>Outer Continental Shelf</i>
OCSLA	<i>Outer Continental Shelf Lands Act</i>
OCMI	<i>Officer in Charge, Marine Inspection</i>
PAO	<i>Public Affairs Officer</i>
POETE	<i>Planning, Organization, Equipment, Training, Exercises</i>
PPD	<i>Presidential Policy Directive</i>
RISC	<i>Regional Interagency Steering Committee</i>
RRCC	<i>Regional Response Coordination Center</i>
SAFE Port Act	<i>Security and Accountability For Every Port Act</i>
SAR	<i>Search and Rescue</i>
SMC	<i>Search and Rescue Mission Controller</i>
SOLAS	<i>Safety of Life at Sea</i>
SROE	<i>Standing Rules of Engagement</i>
TACON	<i>Tactical Control</i>
USC	<i>United States Code</i>

APPENDIX *Selected Legal*
B *Authorities*

This appendix provides a listing of key authorities relevant to Coast Guard Incident Management and Crisis Response.

General Law Enforcement Authorities

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
14 U.S.C. § 89	Authorized Law Enforcement Activities. Authorizes the Coast Guard to go on board any vessel subject to the jurisdiction of the U.S., whether on the high seas, or on waters over which the U.S. has jurisdiction, in order to make inquiries, examinations, inspections, searches, seizures, and arrests for the prevention, detection, and suppression of laws of the U.S.	33 Code of Federal Regulations (CFR) Parts 1, 26, 80, & 82
14 U.S.C. § 143 and 19 U.S.C. § 1401	Customs Authority. Specifies that Coast Guard petty officers, warrant officers, and commissioned officers are also customs officers and grants them law enforcement authority to conduct border searches as long as they are searching for merchandise at the border, functional equivalent of the boarder or the extended border.	
14 U.S.C. § 99	Law Enforcement Ashore. Provides Coast Guard members to make arrests at facilities without a warrant for any offense against the U.S. committed in their presence and seize property.	
14 U.S.C. § 95	Coast Guard Investigative Service Law Enforcement Authority. Allows Coast Guard special agents to carry firearms, execute and serve warrants and make arrests without warrants for crimes committed in their presence and any felony for which they have probably cause to believe has is or has been committed.	

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
14 U.S.C. § 2	Coast Guard Primary Duties. Specifies that the “The Coast Guard shall enforce or assist in the enforcement of all applicable Federal laws on, under, and over the high seas and waters subject to the jurisdiction of the U.S.; shall engage in maritime air surveillance or interdiction to enforce or assist in the enforcement of the laws of the U.S.; shall administer laws and promulgate and enforce regulations for the promotion of safety of life and property ...; shall develop, establish, maintain, and operate, with due regard to the requirements of national defense, aids to maritime navigation, icebreaking facilities, and rescue facilities ... and shall maintain a state of readiness to function as a specialized service in the Navy in time of war, including the fulfillment of Maritime Defense Zone command responsibilities.”	
14 U.S.C. § 141	Cooperation with other Agencies, States, Territories, and Political Subdivisions (January 2004). States that the Coast Guard may, when requested by proper authority, utilize its personnel and facilities to assist any federal agency, state, territory, etc., to perform any activity for which such personnel and facilities are especially qualified.	

Search and Rescue

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
14 U.S.C. § 2	Search and Rescue (SAR). Specifies Coast Guard duty to develop, establish, maintain, and operate rescue facilities for the promotion of safety on, under, and over the high seas and waters subject to the jurisdiction of the U.S.	33 CFR Part 1 33 CFR Part 26 33 CFR Part 80
14 U.S.C. § 88	Authority to engage in SAR. Authorizes the Coast Guard to perform any and all acts necessary to rescue and aid persons, and to protect and save property.	
14 U.S.C. § 93 (a)(h) & (m)	Authority to Maintain SAR Facilities. Authorizes the Coast Guard to maintain air and water patrols, operate shore facilities, move vessels from one place to another, acquire and maintain boats, accept voluntary services in times of emergency in order to save lives or protect property, maintain data circuits, and maintain radio transmitting and receiving stations.	33 CFR Part 74

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
<i>14 U.S.C. § 674</i>	Ready Boats. Requires each Coast Guard boat station to maintain at least 1 vessel that is fully capable of performing offshore rescue operations within the station's area of responsibility.	<i>33 CFR Part 1</i>
<i>47 U.S.C. § 363</i>	Global Maritime Distress & Safety System. Authorizes the Coast Guard to make a determination that U.S. documented vessels have the equipment required to implement the Global Maritime Distress and Safety System installed and operating in good working condition.	<i>47 CFR Part 80 47 CFR Part 87 47 CFR Part 97</i>
<i>The International Convention for the Safety of Life at Sea (SOLAS), 1974 TIAS 9700.</i>	International Convention for Safety of Life at Sea (SOLAS) of 1974. A multilateral agreement that provides for assistance to distressed ships, aircraft, or survival craft.	
<i>United Nations Convention on the Law of the Sea (UNCLOS)*</i>	States that every State shall require the master of a ship flying its flag to render assistance to any person found at sea in danger of being lost and to proceed with all possible speed to the rescue of persons in distress.	<i>* Although the United States is not a party to the Law of the Sea Convention, the United States has long considered that, with respect to traditional uses of the ocean, the Convention generally reflects customary international law (binding on the United States).</i>
<i>Thames Shipyard and Repair Co v. U.S., 350 F.3d 247 (1st Cir, 2003)</i>	Emergency Aid. The Coast Guard may render assistance to the vessel, notwithstanding the master's objection, to preserve the interests of the vessel owner and the flag State.	

Marine Safety

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
33 USC §§ 1221-1236	Ports and Waterways Safety Act of 1972. The Act makes clear that navigation and vessel safety, protection of the marine environment, and the safety and security of U.S. ports and waterways are matters of major national importance. The Act: authorizes the Coast Guard to implement vessel operating requirements; establishes provisions for waterfront safety; establishes provisions for port, harbor and coastal facility security; affords the Coast Guard investigatory powers; allows the Coast Guard to set entry conditions for ports in the U.S.; and allows for the enforcement of numerous vessel safety and operating requirements, among many other things.	33 CFR Parts 101, 103-106, 126-128, 154-156 & 160-169
46 U.S.C. Subtitle II, chapters 21-147	The bulk of the Coast Guard's Marine Safety authority is found in Subtitle II, of Title 46 U.S. Code. The provisions in subtitle II allow the Coast Guard to inspect and regulate vessels, authorize load lines, conduct activities in response to marine casualties, issue, suspend or revoke merchant mariner credentials, regulate the manning of vessels, the documentation and numbering of vessels, and to measure vessels.	46 C.F.R. (most sections)
46 U.S.C. §§ 4301-4311; 46 U.S.C. §§ 13101-13109	Recreational Vessel Safety. Authorizes Coast Guard to establish and enforce minimum safety standards for recreational vessels and associated equipment; establishes federal recreational boating safety program and prescribes requirements for state boating safety programs as a condition of receipt of federal Recreational Boating Safety funds.	19 CFR Part 12 33 CFR Parts 174, 175, 177, 179, 181 & 183 46 CFR Parts 24, 25, 160-162, 164 48 CFR Part 18
46 U.S.C. §§ 4501-4507	Commercial Fishing Industry Vessels. Establishes safety standards for commercial fishing industry vessels.	46 CFR Part 28
33 U.S.C. §§ 1601-1608	Implementation of the Convention on the International Regulations for Preventing Collisions at Sea, 1972. Authorizes the Secretary of the Department in which the Coast Guard is operating to promulgate rules and regulations necessary to implement the provisions of the Convention. Implemented via executive order (E.O.) 11964	

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
43 U.S.C. §§ 1331-1356	Outer Continental Shelf Lands Act (OCSLA). The OCSLA, as amended (43 U.S.C. 1331 et seq. (1988)) established Federal jurisdiction over submerged lands on the outer continental shelf (OCS) seaward of State boundaries. Under the OCSLA, the Secretary of the Interior is responsible for the administration of mineral exploration and development of the OCS. The Act, as amended, provides guidelines for implementing an OCS oil and gas exploration and development program.	33 CFR 140-147
33 U.S.C. §§ 1501-1524	The Deepwater Port Act (DWPA) of 1974. Establishes a licensing system for ownership, construction, operation and decommissioning of deepwater port structures located beyond the U.S. territorial sea. The DWPA sets out conditions those applicants for licenses must meet, including minimization of adverse impact on the marine environment and submission of detailed plans for construction, operation and decommissioning of deepwater ports. The DWPA also sets out detailed procedures for the issuance of licenses by the Secretary of Transportation and prohibits the issuance of a license without the approval of the Governors of the adjacent coastal states.	33 CFR Part 148
<i>International Convention for the Safety of Life at Sea, 1974</i>	SOLAS. Establishes international safety standards for ship design, fire protection, and safety and navigational appliances.	

Ports, Waterways, and Coastal Security

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
14 U.S.C. § 91	Authority to Control the Movement of Vessels in the Navigable Waters. Authorizes Coast Guard to control the anchorage and movement of vessels in the navigable waters of the U.S. to ensure the safety and security of U.S. naval vessels.	33 CFR Parts 17, 45, 50, 51, 60, 64, 66-67, & 70
33 U.S.C. §§ 1221-1236	Ports and Waterways Safety Act. Provides the Secretary with broad authority to regulate the movement, operation and equipment of vessels subject to the jurisdiction of the U.S.; provides authority for the establishment of security zones and the issuance of COTP Orders	33 CFR Parts 101-106, 110, 126, 164, & 160-168
Homeland Security Act of 2002	Established the DHS and moved the Coast Guard in its entirety from the Department of Transportation to DHS. Enumerated the new PWCS mission in order to reduce the vulnerability of the U.S. to terrorism, minimize the damage, and assist in the recovery from terrorist acts that occur in the U.S.	
46 U.S.C. §§ 70101-70121	The Maritime Transportation Security Act of 2002 and the Security and Accountability For Every Port Act of 2006 (SAFE Port Act). Enacted to address port and waterway security issues after 9/11. This law is the U.S. implementation of the International Ship and Port Security Code (ISPS). It requires vessels and port facilities to conduct vulnerability assessments and develop security plans that may include passenger, vehicle and baggage screening procedures; security patrols; establishing restricted areas; personnel identification procedures; access control measures; and/or installation of surveillance equipment. The Act creates a consistent security program for all the nation's ports to better identify and deter threats. Coast Guard issued regulations to enact the provisions of the Act and to align domestic regulations with the maritime security standards of SOLAS and the ISPS Code. The Safe Port Act codified into law a number of programs to improve security of U.S. ports, such as: additional requirements for maritime facilities; creation of the Transportation Worker Identification Credential; establishment of interagency operational centers for port security; a Container Security Initiative; and, allowed for foreign port assessments.	33 CFR Parts 101-107

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
50 U.S.C. § 191	Regulation of Anchorage and Movement of Vessels during National Emergency. During times of declared national emergency, or when the President determines that national security is endangered, the Coast Guard may enforce regulations concerning the movement or anchorage of vessels within U.S. territorial waters. Implemented via E.O. 10173.	33 CFR Part 6, 33 CFR 160, 165
<i>The National Strategy for Homeland Security (October 2007)</i>	Guides, organizes, and unifies our nation's homeland security efforts and provides a common framework to: prevent and disrupt terrorist attacks, protect the American people and resources, respond to and recover from incidents that do occur, and to continue to strengthen the foundation to ensure our long-term success.	
<i>The International Ship and Port Facility Security Code (ISPS)</i>	The ISPS Code is an amendment to the SOLAS Convention (1974/1988) on minimum security arrangements for ships, ports, and government agencies. Having come into force in 2004, it prescribes responsibilities to governments, shipping companies, shipboard personnel, and port/facility personnel to "detect security threats and take preventative measures against security incidents affecting ships or port facilities used in international trade."	33 CFR Parts 101-107

Drug Interdiction

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
<i>UNCLOS, Art. 110</i>	Right Of Visit. Under customary and conventional international law, a warship may board and conduct a limited inspection of a foreign vessel on the high seas if there is a reasonable ground for suspecting that the vessel (a) is without nationality, (b) though flying a foreign flag, refuses to show its flag, or (c) is of the same nationality as the warship.	
<i>14 U.S.C. § 637</i>	Stopping vessels and indemnity for firing into vessels. Codifies international law authority for the Coast Guard to use warning shots and disabling fire when a vessel does not stop after being ordered to do so and indemnifies Coast Guard personnel who take such authorized action.	
<i>1988 United Nations Convention Against Illicit Trafficking in Narcotic Drugs and Psychotropic Substances ('88 Convention), Art. 17</i>	Calls for cooperation amongst the parties and states that if one party has reasonable grounds to suspect that a vessel flying its flag or not displaying a flag or marks of registry is engaged in illicit traffic, then they may request assistance. If a party has reasonable grounds to suspect a vessel flying another State's flag is engaged in illicit trafficking then they may request confirmation of registry from that Nation's competent authority and, if confirmed, request authorization to stop, board and search or take other appropriate measures.	
<i>UNCLOS, Art. 108</i>	Specifies that all States shall cooperate in the suppression of illicit traffic in narcotic drugs and psychotropic substances engaged in ships on the high seas. Any State which has reasonable grounds to believe that a ship is engage in narcotic trafficking may request cooperation of another State to suppress such traffic.	
<i>10 USC § 379</i>	Assignment of Coast Guard Personnel to Naval Vessels Authorizes Coast Guard members assigned duty onboard a naval vessel to perform law enforcement functions including drug interdiction, and use their law enforcement powers pursuant to Title 14 to carry out these duties, including making arrests and conduct searches and seizures.	
<i>National Drug Control Strategy, Jan 2009</i>	Missions. Classified annex assigns specific missions to the Coast Guard regarding shielding air, land, & sea frontiers from drug threats and breaking foreign & domestic drug sources of supply.	

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
National Interdiction Control Plan (Oct. 9, 1997)	Interception of Maritime Targets of Interest. Assigns to the Coast Guard responsibility for intercepting and apprehending maritime targets of interest detected in international waters & airspace.	

Migrant Interdiction

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
UNCLOS, Art. 98; Art. 12 of High Seas Convention and SOLAS	It is well settled under customary international law that masters of vessels have an obligation to render assistance to others mariners in distress. This general obligation applies throughout the ocean including the territorial sea of another state.	
Executive Order 12807	States that the Secretary of the Department in which the Coast Guard is operating shall issue appropriate instruction to the Coast Guard in order to enforce the suspension of the entry of undocumented migrants by sea and the interdiction of any defined vessel carrying undocumented migrants. Further lays out the duties of the Coast Guard in performing this border control function including stopping and boarding vessel believed to be smuggling migrants, making inquiries to those onboard and returning the vessel to the country from which it came.	
Executive Order 13276	Provides authority to maintain interdicted undocumented aliens in extraterritorial detention facilities and allocates responsibilities among the participating agencies, including the DHS, Secretary of State, and Secretary of Defense.	
Presidential Decision Directive 9 (18 June 1993)	States that the U.S. will take necessary measures to interdict and deter alien migrant smuggling into the U.S. and to interdict and hold the smuggled aliens as far as possible from the U.S. border and to repatriate them when appropriate. Specifically tasks the Coast Guard to direct U.S. interdiction efforts at sea with appropriate DOD support and to board suspect vessels when authorized and escort them to flag states or the nearest non-U.S. port, assuming host nation concurrence.	

Defense Readiness

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
10 U.S.C. § 101 14 U.S.C. § 1	Coast Guard is an Armed Force. The Coast Guard is an Armed Force at all times.	
10 U.S.C. § 6011	Naval Defensive Sea Areas. Authorizes Coast Guard cutters and aircraft to enter Naval Defensive Sea Areas.	
14 U.S.C. § 2	Readiness for War. Specifies the primary duties of the Coast Guard, one of which is to maintain a state of readiness to function as a specialized service in the Department of the Navy in time of war.	
14 U.S.C. §§ 3-4	Relationship with the Navy. Defines the Coast Guard's relationship to the Navy and directs its operation as a service in the Department of the Navy upon declaration of war or when the President otherwise directs.	
<i>Standing Rules of Engagement for U.S. Forces dated October 1, 1994, as amended.</i>	Standing Rules of Engagement (SROE). The SROE for U.S. Forces (including the Coast Guard when operating under DOD TACON) provide for implementation guidance on the inherent right of self-defense and the application of force for mission accomplishment. The SROE applies to all U.S. forces responding to military attacks within the U.S, and to all military operations outside the U.S, unless superseded by other rules of engagement that have been approved by the president of the U.S. or the Secretary of Defense. The current SROE went into effect in June 2005, and now include Standing Rules for the Use of Force which provide, "the operational guidance and establish fundamental policies and procedures governing actions taken by DOD forces performing civil support missions (e.g., military assistance to civil authorities and military support for civilian law enforcement agencies) and routine Service functions (including anti-terrorism/force protection) within the U.S. and its territories.	

Aids to Navigation and Waterways Management

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
14 U.S.C. § 2	Aids to Navigation. Makes the establishment, maintenance, and operation of aids to navigation a Coast Guard mission.	33 CFR Parts 1, 26 & 80
14 U.S.C. § 81	Authority to Operate Aids to Navigation. Contains the basic authority for the Coast Guard to establish, maintain, and operate maritime and electronic aids to serve the needs of the armed forces or commerce in the U.S., on the waters of the continental shelf and other places.	33 CFR Parts 62-74
14 U.S.C. § 85	Regulating Aids to Navigation. Provides regulatory authority concerning aids to navigation and prescribes penalties for violations.	33 CFR Parts 62, 66, 67, 74, 118, & 147
14 U.S.C. § 86	Sunken Wrecks & Obstructions. Authorizes Coast Guard to mark sunken vessels or other obstructions at owner's expense when owners fail to properly do so.	33 CFR Parts 64, 70, & 74
14 U.S.C. § 93 (b) & (l)	ATON Construction Facilities. Authorizes the Coast Guard to establish, maintain, and operate shore facilities, depots, and yards for the manufacture and construction of aids, and to acquire or discontinue aids as well as assign and transfer vessels and aids among Coast Guard Districts.	33 CFR Part 74
33 U.S.C. § 408 33 U.S.C. § 411 33 U.S.C. §§ 412-415	Harbor and River Improvements. Prohibits the taking possession of, use of, or injury to harbor or river improvements; prescribes criminal and civil penalties for violations.	33 CFR Parts 70 & 245
33 U.S.C. §§ 717-776 <i>Selected Provisions</i>	Lighthouse Management. Contains various provisions relating to lighthouses and members of the former lighthouse service.	33 CFR Part 62; 42 CFR Part 31 (for 33 U.S.C. 763c)
33 U.S.C. §§ 1221-1232	Ports and Waterways Safety Act of 1972: includes authorities for Vessel traffic service, Regulated Navigation Areas, safety and security zones as well as COTP Orders.	33 CFR Parts 160-165
33 U.S.C. § 1233	Marine Parades and Regattas. Authorizes Coast Guard to issue and enforce marine event permits, and prescribes penalties for failure to comply, to promote safety during marine parades and regattas.	33 CFR Parts 62 & 100

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
33 U.S.C. §§ 401, 406 & 502 33 U.S.C. §§ 511-524	Bridge Administration. Certain bridges over the navigable waters of the U.S. require authorization by permit; bridges that obstruct free navigation are prohibited; provides procedures for alteration, removal, or repair of bridges and prescribes penalties for violations; authorizes the alteration of bridges determined to be unreasonable obstructions to navigation.	33 CFR Parts 116, 117, & 118
33 U.S.C. §§ 1601-1608	Promulgation & Enforcement of COLREGS. Adopts the International Regulations for the Preventing of Collisions at Sea, 1972, and authorizes Coast Guard to promulgate and enforce implementing regulations.	32 CFR Parts 706, 707, 720, 722, 750, 755, & 757 33 CFR Parts 80 & 81
33 U.S.C. §§ 2001-2073	Inland Rules of the Road. Establishes rules that apply to navigation of all vessels on the inland waters of the U.S. and to vessels of the U.S. on the Canadian waters of the Great Lakes to the extent there is no conflict with Canadian law.	33 CFR Parts 26, 80, 84-90, 95, 110, & 163 46 CFR Parts 31, 71, 91 & 189
33 U.S.C. § 471	Authority to Establish & Regulate Anchorages. Authorizes Coast Guard to define and establish anchorage grounds and to prescribe suitable regulations.	33 CFR Parts 1, 109, 110 & 207; 33 CFR Part 162

Marine Environmental Protection

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
33 U.S.C. §§ 1251-1387, as amended by the Federal Water Pollution Control Act (FWPCA)	Clean Water Act (CWA). Establishes regulations administered by the Environmental Protection Agency and the States, the goal of which is to eliminate the pollution of the waters of the U.S. Marine sanitation device regulations provide for the design, construction, and certification of equipment that prevents discharge of untreated sewage from vessels into the waters of the U.S.	33 CFR Parts 159 & 323 40 CFR Parts 100-136, 401-471, & 500-503
33 U.S.C. §§ 1321-1330	Federal Water Pollution Control Act FWPCA). Prohibits, among other things, the discharge of oil or hazardous substances into or upon the navigable waters of the U.S.; Authorizes Coast Guard to issue and enforce pollution prevention regulations, to assess penalties for unlawful discharge of oil and hazardous substances, to require vessels to have evidence of financial responsibility, and to require notification of discharges. Provides federal authority to respond to oil discharges or substantial threats of discharge on the navigable waters of the U.S. Provides for the establishment of a National Response System and preparation of the NCP to guide private parties and Federal authorities in removing a discharge. Authorizes the withholding of a clearance or permit if any owner, operator, or person in charge of a vessel is liable or believed to be liable for a civil penalty under the FWPCA. Authorizes the establishment of an NCP, which establishes a comprehensive framework for the management of domestic incidents. See E.O. 12777 and HSPD-5 and NRF for additional guidance.	33 CFR Part 150 33 CFR Subchapter O 33 CFR Part 300 19 CFR 4 30 CFR Part 254 40 CFR Parts 9, 110, 112, 300 & 302 43 CFR Part 29 46 CFR Parts 31, 33, 35, 56, 71, 78, 91, 97, 105, 126, 131, 162, 176, 189, & 196 49 CFR Parts 130, 174, 190, & 194
33 U.S.C. §§ 1901-1915	Marine Pollution (MARPOL) Implementation through the Act to Prevent Pollution from Ships (APPS). Implements the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto (MARPOL 73/78). Section 1903 authorizes Coast Guard to enforce the provisions of MARPOL, the APPS, and Annex IV of the Antarctic Protocol relating to discharges of vessels on the high seas and the Exclusive Economic Zone.	19 CFR 4; 33 CFR Parts 151, 155-157; 46 CFR Parts 25, 98, and 162

<i>Code Section</i>	<i>Summary of Provisions</i>	<i>Related CFRs</i>
33 U.S.C. §§ 2701-2720	Oil Pollution Liability. The Oil Pollution Act of 1990 is the principal liability regime for oil spills on the navigable waters. Liability of owners, operators, and for vessels, demise charterers, is joint, several, and strict for removal costs and damages resulting from a discharge or substantial threat of discharge of oil on the navigable waters of the U.S. Authorizes procedures for payment of claims from the Oil Spill Liability Trust Fund; also authorizes regulations for maintaining evidence of financial responsibility and for withholding clearance and denying entry of vessels failing to produce evidence of financial responsibility. Establishes requirements for Certificates of Financial Responsibility.	33 CFR 133, 136, 138, 153-158
33 U.S.C. §§ 401-418	Rivers and Harbors Act of 1899. Prohibits discharge of refuse matter in the waters of the U.S. without a permit.	33 CFR 320-332
42 U.S.C. § 9601 et seq.	Comprehensive Environmental Response, Compensation and Liability Act (CERCLA). Regulates the notification, response, cleanup, and liability for hazardous substance into all environmental media, including navigable water, groundwater, land, and air. The Act created a Superfund that can be used to finance governmental response actions and to reimburse private parties for costs incurred in carrying out the cleanup of hazardous substances. CERCLA makes a broad class of parties liable for the costs of responding to a release or threat of release of hazardous substances.	40 CFR Parts 300, 312 & 355 43 CFR Part 11
33 U.S.C. §§ 1401-1441	Ocean Dumping. Authorizes Coast Guard to conduct surveillance and other appropriate enforcement activity to prevent the unlawful transportation of material for dumping, or unlawful dumping.	40 CFR Parts 220-238
16 U.S.C §§ 4701-4727	Aquatic Nuisance Species Prevention & Control. Authorizes the Secretary to issue regulations to control the introduction of aquatic nuisance species to the waters of the U.S. and requires the Coast Guard to implement a ballast water management program for seagoing vessels of the Coast Guard.	33 CFR Part 151

APPENDIX *References*

C

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