



**Homeland
Security**

Privacy Office, Mail Stop 0655

August 28, 2017

This is the electronic final response to your Freedom of Information Act (FOIA) request to the Department of Homeland Security (DHS), dated December 12, 2016, originally received by the U.S. Coast Guard and received by this office on December 13, 2016. You are seeking any presentations created for, received by or delivered to members of the Presidential Transition Team for the new Administration since November 1, 2016 through the date of the processing of this FOIA request.

A search of the U.S. Coast Guard for documents responsive to your request produced a total of 46 pages. Of those pages, I have determined that 33 pages of the records are releasable in their entirety, and 13 pages are withheld in their entirety pursuant to Title 5 U.S.C. § 552 (b)(5) and (b)(7)(E), FOIA Exemptions 5 and b7(E).

Enclosed are 33 pages with certain information withheld as described below:

FOIA Exemption 5 protects from disclosure those inter- or intra-agency documents that are normally privileged in the civil discovery context. The three most frequently invoked privileges are the deliberative process privilege, the attorney work-product privilege, and the attorney-client privilege. After carefully reviewing the responsive documents, I determined that portions of the responsive documents qualify for protection under the deliberative process privilege.

The deliberative process privilege protects the integrity of the deliberative or decision-making processes within the agency by exempting from mandatory disclosure opinions, conclusions, and recommendations included within inter-agency or intra-agency memoranda or letters. The release of this internal information would discourage the expression of candid opinions and inhibit the free and frank exchange of information among agency personnel.

Exemption 7(E) protects records compiled for law enforcement purposes, the release of which would disclose techniques and/or procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such

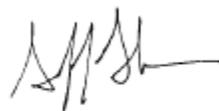
disclosure could reasonably be expected to risk circumvention of the law. I determined that disclosure of law enforcement systems checks, manuals, checkpoint locations, surveillance techniques could reasonably be expected to risk circumvention of the law. Additionally, the techniques and procedures at issue are not well known to the public.

You have a right to appeal the above withholding determination. Should you wish to do so, you must send your appeal and a copy of this letter, within 90 days of the date of this letter, to: Privacy Office, Attn: FOIA Appeals, U.S. Department of Homeland Security, 245 Murray Lane, SW, Mail Stop 0655, Washington, D.C. 20528-0655, following the procedures outlined in the DHS FOIA regulations at 6 C.F.R. Part 5 § 5.8. Your envelope and letter should be marked "FOIA Appeal." Copies of the FOIA and DHS FOIA regulations are available at www.dhs.gov/foia.

Provisions of FOIA allow DHS to charge for processing fees, up to \$25, unless you seek a waiver of fees. In this instance, because the cost is below the \$25 minimum, there is no charge.

If you need any further assistance or would like to discuss any aspect of your request, please contact the analyst below who processed your request and refer to **2017-HQFO-00170**. You may send an e-mail to foia@hq.dhs.gov, call 202-343-1743 or toll free 1-866-431-0486, or you may contact our FOIA Public Liaison in the same manner. Additionally, you have a right to right to seek dispute resolution services from the Office of Government Information Services (OGIS) which mediates disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to litigation. If you are requesting access to your own records (which is considered a Privacy Act request), you should know that OGIS does not have the authority to handle requests made under the Privacy Act of 1974. You may contact OGIS as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001, e-mail at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

Sincerely,



Saffie Goushe
Government Information Specialist

Enclosure(s): Responsive Documents

DHS Transition Issue Paper

Arctic Security Through Assured Polar Access

OVERVIEW

- Access to Arctic sea routes is increasing due to climate change and improved vessel capabilities (e.g. Polar Code compliant vessels).
- Diminishing Arctic sea ice may provide shippers a substantially shorter route between Asia and Europe, and opens larger areas to natural resource exploration/exploitation at sea and within the U.S. Arctic terrestrial domain (e.g., rare earth metals in northern Alaska).
- Increased global access to the Arctic may present challenges to U.S. sovereignty, especially in areas where there are competing claims to the Outer Continental Shelf, exacerbated by the U.S. not being a signatory to the United Nations Convention on the Law of the Sea.
- Conflicting territorial claims in the Arctic may present challenges to U.S. positions on freedom of the seas and navigation, including disputes with Canada.

Importance

- The United States is an Arctic nation and must maintain the ability to protect U.S. borders, exert our sovereignty over our territorial seas and Exclusive Economic Zone, and ensure safe, secure and environmentally-responsible activity in the U.S. Arctic.

Trends

- Trend 1: The Arctic is warming at a faster pace than the rest of the world – nearly twice the global rate over the last 100 years – resulting in diminishing sea ice and increased access to Arctic sea routes. The pace of warming has accelerated markedly in the past three decades.
- Trend 2: Increased maritime activity, including commercial shipping (passenger and cargo), energy exploration and exploitation, and recreational vessels will use Arctic sea routes in or adjacent to U.S. waters.
- Trend 3: Increased maritime activity will also result in increased customs and immigration activities, as vessels call on existing or to-be-developed ports.
- Trend 4: Increasing maritime activity funnels through “choke points” such as the Bering Sea, significantly elevating risks within traditional Coast Guard missions (e.g., Search and Rescue, or SAR).
- Trend 5: Arctic and non-Arctic nations and states have increased their focus on producing polar-capable vessels and icebreakers to enable shipping through Arctic sea routes, providing both partners and competitors with greater Arctic access than that of the United States.

Major Risks

- Increased human activity in the Arctic presents risks to the integrity of U.S. borders and environmental and maritime safety risks associated with trans-Arctic shipping and mineral exploration/exploitation.
- The remote and harsh nature of the Arctic, the lack of infrastructure (including ports, navigational aids, reliable hydrographic data, and communications), and the lack of consistent adequate domain awareness create a difficult incident management posture.

Courses of Action

- Course of Action 1: Maintain year-round Polar access via icebreakers and air capabilities.
- Course of Action 2: Build robust partnerships with states and groups with Arctic equities and expertise.
- Course of Action 3: Work cooperatively to protect the Arctic's rich marine environment.

DETAILED DISCUSSION

Role of the Department of Homeland Security (DHS)

- Securing and Managing U.S. Borders: DHS has a primary responsibility of securing and manage U.S. borders, including the extensive border in the Arctic. Virtually every DHS Component has an Arctic role that is projected to expand as the region becomes more accessible.
 - The United States Coast Guard (USCG), a maritime component of DHS, has specific statutory responsibilities to ensure safe, secure, and environmentally responsible maritime activity in U.S. Arctic waters.
 - United States Customs and Border Protection, DHS's land border enforcement component, has specific authorities related to customs and immigration functions, with shared responsibilities for investigations with DHS Immigration and Customs Enforcement, including in the Arctic domain.
- Enhancing National Security: DHS works cooperatively with the Departments of Defense and Justice to ensure the U.S. is safeguarded from all external threats. Increased awareness of human activity in the Arctic maritime domain is essential to fulfilling this DHS mission.
- Given the logistical challenges and virtually non-existent infrastructure, DHS Components and key partners will need to work together to address challenges to their respective mission operating areas. PLCY is currently leading the development of a whole-of-DHS Arctic Strategy to institutionalize Arctic Unity of Effort.

Issue Background

Satellite analysis has shown decreasing multi-year ice and increasing open water in the Arctic region. This trend, which is projected to continue, has enabled increased human activity in the Arctic, including shipping, tourism, resource exploration and extraction, and infrastructure development. The bulk of this activity occurs most markedly in other Arctic nations. For example, the Arctic region contains an estimated 13 percent of the world's undiscovered oil and 30 percent of undiscovered gas. More than 35 percent of Alaska's jobs are tied to the energy sector, and onshore production of oil in Alaska is diminishing. Thus, the Arctic is becoming a

tempting target for resource exploitation. These activities present unique security, safety, and environmental stewardship challenges to the U.S. and DHS, the department responsible for protecting our borders and U.S Arctic waters.

Recognizing these unique challenges, the *National Strategy for the Arctic Region* (NSAR) was issued in 2013, which DHS has been implementing with a particular emphasis on Maritime Domain Awareness and building collaborative partnerships with other Arctic nations, their Coast Guard agencies, and various other stakeholders (from non-governmental organizations to academic subject matter experts).

Given the extreme conditions of the Arctic winter, the increased human activity is principally seasonal; however, climate change predictions indicate this will not always be the case. With only one operational heavy polar icebreaker, which must also fulfill Antarctic obligations, the U.S. capability to maintain an Arctic-presence is predominantly seasonal. To fully implement the goals of the NSAR, which include securing our Arctic borders and protecting the sensitive marine environment, we must continue to leverage cooperative partnerships, develop new technologies, and increase U.S. capabilities to operate in both Polar regions on a year-round basis.

Courses of Action

- Status Quo: At present, the U.S. has limited Polar/Arctic capabilities and can only operate on a seasonal basis, thereby reducing our ability to meet the goals of NSAR.
- Course of Action 1: Ensure the U.S. can maintain year-round Polar access via surface and air capabilities and maritime domain awareness via icebreaking vessels, Arctic navigational aids, high-latitude communications equipment, improved surveillance methods, and resilient Arctic infrastructure.
- Course of Action 2: Build robust partnerships with other Arctic nations to modernize Arctic governance and improve U.S. awareness of Arctic activity.
- Course of Action 3: Work cooperatively with other Federal agencies and NGOs with resource expertise to protect the Arctic's rich marine environment.

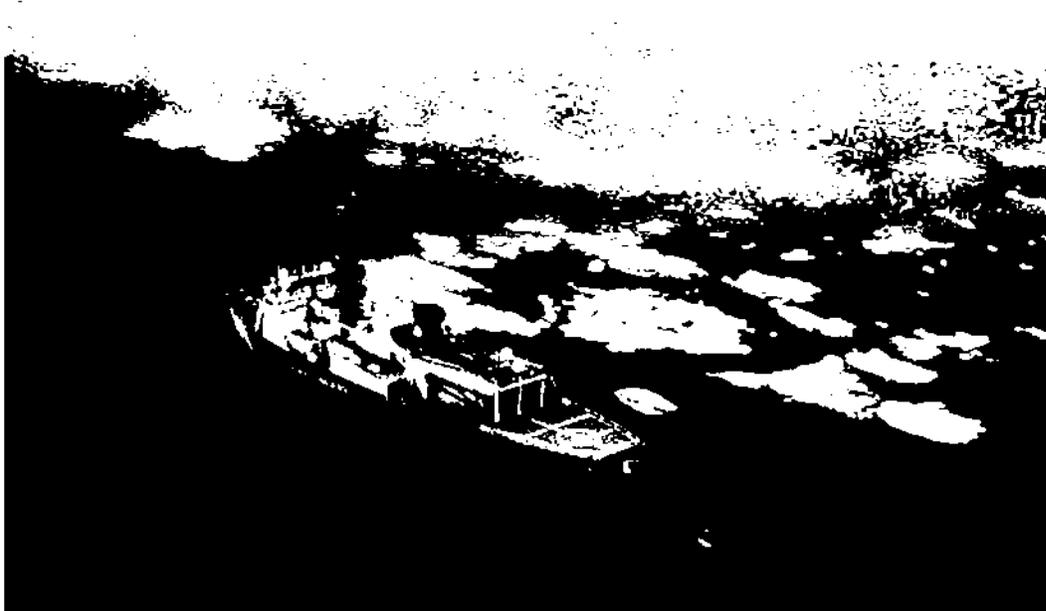
Key Partnerships

- The U.S. Navy has worked closely with the USCG for many decades on icebreaking in the Polar regions, preserving U.S. sovereignty and ensuring maritime domain awareness. DHS S&T has also partnered with various U.S. Navy R&D centers to develop capabilities.
- The National Oceanic and Atmospheric Administration plays a vital role in surveying shipping routes, including access routes to the Bering Strait, and produces nautical charts necessary for safe navigation; NOAA also helps to understand and predict changes in climate, weather, oceans, and coasts.
- The North American Ice Service, an international partnership including the Canadian Ice Service, the International Ice Patrol, and the U.S. National Ice Center, provides critical ice products to mariners transiting Arctic waters.
- National Geospatial-Intelligence Agency (NGA)
- National Aeronautics and Space Administration (NASA)
- National Science Foundation (NSF)

- Arctic Council
- Arctic Coast Guard Forum
- Arctic Domain Awareness Center (DHS S&T's Center of Excellence at the University of Alaska)
- State, Local, Tribal, and Territorial Governments, including indigenous/native Americans



Arctic Boundary as defined by the Arctic Research and Policy Act (ARPA) of 1984, Public Law 98-373, at 15 USC §4111.



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The Coast Guard Cutter Polar Star, the nation's only heavy polar icebreaker, cruises on the ice edge of the Chukchi Sea north of Wainwright, Alaska, in July 2013. (PETTY OFFICER 1st CLASS Sara Mooers / U.S. Coast Guard)

Source Publication: <http://www.adn.com/opinions/2016/08/15/u-s-needs-more-icebreakers-to-keep-watch-in-arctic/>

**FY 2017 - FY 2021 Five Year Capital Investment Plan
Acquisition, Construction & Improvements**

(Thousands of dollars, budget year dollars)	FY 2017 PRESBUD	FY 2018	FY 2019	FY 2020	FY 2021
Vessels	\$704,100	\$954,000	\$952,000	\$1,173,000	\$1,382,000
Survey and Design - Vessel and Boats	\$6,500	\$1,000	\$3,000	\$5,000	\$5,000
In-Service Vessel Sustainment	\$79,000	\$85,000	\$54,000	\$73,000	\$113,000
National Security Cutter (NSC)*	\$127,000	\$95,000	\$65,000	\$65,000	\$21,000
Offshore Patrol Cutter (OPC)	\$100,000	\$530,000	\$430,000	\$530,000	\$770,000
Fast Response Cutter (FRC)	\$240,000	\$240,000	\$325,000	\$325,000	\$18,000
Cutter Boats	\$4,000	\$3,000	\$0	\$0	\$0
Polar Icebreaker	\$147,600	\$0	\$50,000	\$150,000	\$430,000
Polar Sustainment	\$0	\$0	\$25,000	\$25,000	\$25,000
Aircraft	\$201,300	\$100,000	\$143,000	\$147,000	\$130,000
HC-144A Conversion/Sustainment	\$25,500	\$0	\$17,000	\$0	\$0
HC-27J Conversion/Sustainment	\$130,000	\$70,000	\$80,000	\$100,000	\$100,000
HH-65 Conversion/Sustainment Projects	\$25,000	\$30,000	\$40,000	\$22,000	\$0
MH-60T Sustainment	\$0	\$0	\$0	\$1,000	\$5,000
HC-130J Acquisition/Conversion/Sustainment	\$20,800	\$0	\$0	\$18,000	\$0
Unmanned Aircraft System (UAS)	\$0	\$0	\$6,000	\$6,000	\$25,000
Other	\$59,355	\$52,800	\$49,300	\$30,800	\$30,800
Program Oversight and Management	\$20,000	\$20,000	\$20,000	\$20,000	\$20,000
C4ISR	\$24,300	\$24,300	\$22,300	\$7,300	\$7,300
CG-LIMS	\$7,000	\$5,000	\$3,500	\$0	\$0
Other Equipment and Systems	\$8,055	\$3,500	\$3,500	\$3,500	\$3,500
Shore and ATON	\$51,100	\$35,000	\$80,000	\$93,000	\$180,000
Major Shore, Housing, ATON and S&D	\$18,100	\$10,000	\$30,000	\$38,000	\$85,000
Major Acquisition Systems Infrastructure	\$28,000	\$20,000	\$45,000	\$50,000	\$90,000
Minor Shore	\$5,000	\$5,000	\$5,000	\$5,000	\$5,000
Military Housing	\$0	\$0	\$0	\$0	\$0
Personnel and Management	\$120,933	\$117,845	\$115,638	\$116,730	\$117,993
Direct Personnel Costs	\$120,933	\$117,845	\$115,638	\$116,730	\$117,993
TOTAL	\$1,136,788	\$1,259,645	\$1,339,938	\$1,560,530	\$1,840,793

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DHS Transition Issue Paper

Building the 21st Century Coast Guard: Recapitalizing Assets

OVERVIEW

- **Issue:** To meet evolving mission demands, the Coast Guard must continue to affordably recapitalize its aging and antiquated inventory of cutters, aircraft, and shore infrastructure; recapitalizing the fleet with modern technology and assets is paramount for the Service to meet 21st Century challenges.
- **Importance:** Many of the Coast Guard's operational assets are operating at or beyond their service lives. New acquisitions and planned service-life extension projects are critical to sustaining the Coast Guard's ability to execute its missions.
- **Drivers:** Capital investments are based on five areas of strategic focus aligning with National and Departmental strategies:
 - The rise and convergence of Transnational Organized Crime networks.
 - The imperative for southern maritime border security.
 - Meeting future challenges in the Polar Regions.
 - Emerging cyber risks.
 - Increasing maritime commerce.
- **Courses of Action:**
 - Continue recapitalization efforts as scheduled in the Department's Future Years Homeland Security Program (FYHSP).
 - Increase investment in recapitalization to accelerate the deployment of modern capability, reduce acquisition costs, and facilitate the retirement of aging and less capable assets.

DETAILED DISCUSSION

Role of DHS in Building the 21st Century Coast Guard:

There is a direct nexus between recapitalizing assets and DHS mission effectiveness to:

- prevent terrorism and enhance security (DHS Mission 1);
- secure and manage our borders (DHS Mission 2);
- strengthen national preparedness and resilience (DHS Mission 5).

Issue Background

The Coast Guard's highest priority recapitalization and sustainment efforts are below:

Vessels

- **National Security Cutter (NSC):** Twelve legacy High Endurance Cutters are being replaced by nine NSCs, the most technologically advanced ships in the Coast Guard inventory. Five operational NSCs are already in service and proving their value in the deep offshore regions through intelligence-driven operations, record drug interdictions, and interoperability with Department of Defense assets.

- Offshore Patrol Cutter (OPC): The OPC acquisition will soon begin production of 25 cutters to replace the Coast Guard's aging fleet of Medium Endurance Cutters, some of which are over 50-years old. OPCs will enhance capabilities, leverage new technologies, and be the backbone of the Coast Guard's offshore presence for decades to come.
- Fast Response Cutter (FRC): The Coast Guard is acquiring 58 FRCs to replace its aging fleet of 110-foot patrol boats. 18 FRCs are currently operational and are providing enhanced search and rescue, law enforcement, drug and migrant interdiction, and disaster response capability in coastal regions. FRCs feature new C4ISR equipment, over the horizon cutter boat capability, and improved habitability, seakeeping and endurance.
- Polar Icebreaker: As the Nation's sole provider of polar icebreaking capability, the Coast Guard is accelerating the acquisition of new heavy icebreakers to provide the Nation with assured, year-round access to the Polar Regions; three heavy and three medium icebreakers are needed for year-round presence in both Polar Regions. The Coast Guard is working with the Navy to accelerate the acquisition of the first heavy icebreakers in the United States in 40+ years.
- Inland River Tenders: Ensuring the safety and security of America's vital inland waterways is challenging with a fleet of River, Inland, and Construction tender vessels operating well beyond their design service lives. The Coast Guard is in the early stages of planning to recapitalize this fleet of assets, which range in age from 25 to 72 years old and with an average fleet age of 55 years old.

Aircraft

- Fixed-wing aircraft: The Coast Guard is recapitalizing and modernizing its fleet of fixed-wing aircraft: HC-130J Long Range Surveillance and HC-144 Medium Range Surveillance (MRS) aircraft are being fitted with modernized mission system processors to enhance capability and create a common sensor suite. Additionally, HC-27J MRS aircraft have been transferred from the Air Force to the Coast Guard and are being missionized with the same sensor suite. The Coast Guard is planning for the following fleet of fully missionized aircraft: (22) C-130Js, (18) HC-144s, and (14) C-27Js.
- Rotary-wing aircraft: The Coast Guard is completing conversion and sustainment projects to enhance the capability and reliability of its fleet of (45) H-60 and (98) H-65 helicopters for continued service well into the 21st Century.

Shore Infrastructure

- Shore facilities and infrastructure are vital to supporting front line operations and timely investment must be made into aging shore infrastructure. The Service currently has a \$1.4 billion backlog that requires attention. The highest priorities in a given year are included in the annual President's Budget.
- In direct support of the arrival of recapitalized vessels and aircraft, the Service has \$233 million of planned investments in shore facilities over the next five years.

Key Partnerships

Congress continues to show strong support for Coast Guard recapitalization as an investment that increases operational effectiveness and strengthens the U.S. industrial base. In addition, the Coast Guard continues to leverage its strong relationships with DoD and private industry to identify the most efficient approaches to recapitalization.

Attachment: Current Coast Guard Capital Investment Plan

DHS LANDING TEAM MEETING
U.S. COAST GUARD
DECEMBER 09, 2016



ADM CHARLES MICHEL
COAST GUARD VICE COMMANDANT | @ADMIRALMICHEL

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U.S. COAST GUARD - A MILITARY SERVICE

NATIONAL SECURITY • MARITIME BORDER SECURITY • ECONOMY



KEY ENABLERS

- GLOBAL ENGAGEMENT AND PRESENCE

- Patrol Forces Southwest Asia
- International Maritime Organization
- 60+ bilateral agreements
- International Security Assistance
- Cuba
- China
- Russia

- FISCAL ENVIRONMENT

- Stable Predictable Funding
- BCA / OE

**AMERICA'S COAST GUARD IS ONE OF THE FIVE ARMED SERVICES AND A
UNIQUE INSTRUMENT OF NATIONAL SECURITY. WE SECURE MARITIME
BORDERS AND SAFEGUARD THE \$4.5 TRILLION U.S. MARITIME ECONOMY .**

SEMPER PARATUS - ALWAYS READY

DHS Transition Issue Paper

DHS Secretary as Coast Guard Service Secretary

OVERVIEW

- For more than 226 years, the Coast Guard has served the Nation as an Armed Service. The Coast Guard operates in the joint military arena and functions as a specialized service under the Navy in time of war or when directed by the President. As an Armed Service, and the only one outside the Department of Defense (DOD), the Coast Guard presents unique aspects separate from those of other components.
- The Secretary of the Department of Homeland Security is designated the Coast Guard's Service Secretary by Title 10 of the United States Code (10 U.S.C. § 101).
- The Coast Guard Service Secretary, as a Cabinet Official, has direct access to the President. As Service Chief, the Coast Guard Commandant reports directly to the Secretary of Homeland Security and is involved regularly with the Chairman of the Joint Chiefs of Staff who serves as the President's principal military advisor.
- The Coast Guard is the only Armed Service with both law enforcement and military responsibilities codified in law. The Coast Guard possesses unique multi-mission, maritime, and military capabilities, and contributes to a broad range of civil and military operations. The Coast Guard is able to transcend conventional military boundaries through unique law enforcement authority, membership and involvement in the Intelligence Community, and multi-mission capabilities.
- The Coast Guard's defense role is defined in statute (14 U.S.C. §§ 1 & 2 and 10 U.S.C. § 101). Essential military tasks may be performed by the Coast Guard as an element of joint and combined forces in peacetime, crisis, and war. The Coast Guard participates with the other military services and the Combatant Commanders in DOD's deliberate and crisis planning processes via the Joint Operational Planning and Execution System. Coast Guard forces are routinely requested by DOD's Combatant Commanders and regularly participate in joint and combined military operations.
- The Coast Guard has National Defense responsibilities for the U.S. maritime domain, most notably as Commander of Coast Guard Defense Force East and West, and has extensive involvement in coastal and port maritime functions through delegated authorities to senior leaders as Captain of the Port and Federal Maritime Security Coordinator. The USCG is interoperable with DOD forces and performs domestic and international Defense-related missions including theatre security cooperation, humanitarian support, peacekeeping and peace-enforcement, crisis-response, and combat operations.
- Beyond the Title 10 mission, the Coast Guard has Title 14 (Law Enforcement and Marine Inspection), Title 19 (Customs Officers Authority), Title 33 (Captain of the Port Authority), Title 46 (Waterways/Coastal Security authority, limited Law Enforcement "marine facility" authority), and Title 16 (Natural Resources, Fisheries) authorities.

DETAILED DISCUSSION

The Service Secretary:

- Ensures civilian control of the military by providing critical resource support and oversight for the Commandant's functions of recruiting, organizing, training, and equipping a uniquely military, maritime, and multi-mission service.
- Serves as overseer and key decision maker for the deployment of Coast Guard forces throughout a wide spectrum of operations around the world, including joint and contingency actions with DOD.
- Champions military readiness issues including those addressing the morale and welfare needs of Coast Guard personnel. Ensures Coast Guard forces are prepared to fulfill their wartime and homeland defense responsibilities under the National Military Strategy and the National Maritime Strategy.

Specific Service Secretarial Action Needed:

- Engage the Commander-in-Chief and key Administration and Congressional officials as an advocate for the needs of the Service. Routinely engage the Secretary of Defense and the other Service Secretaries (i.e., Navy, Army, Air Force) regarding overall military readiness issues, Coast Guard parity issues with DOD (i.e., recapitalization priorities, veterans benefits, etc.), and the morale and welfare needs of military personnel.
- Support and engage Coast Guard personnel through participation in Service relevant events, acknowledgement of particularly meritorious actions by Service members, and marking of key milestones.
- The Secretary may visit afloat and shore units, present awards, participate in the Coast Guard birthday and other celebrations, release messages to the entire Service, and other such activities that demonstrate concern and support of the Service. Participation in Memorial and Veteran's Day activities demonstrate support for America's Veterans, particularly those with service to the Coast Guard. It is also customary to hand out personalized coins to military personnel on special occasions.
- Provide critical oversight and decision support for the deployment of Coast Guard forces in response to national security threats and international incidents and disasters. This action may include calling up reserve forces to support critical deployments, particularly to support DOD missions, or responding to the transfer of the Coast Guard to the Department of the Navy during wartime.
 - Note: 10 U.S.C. § 5013a and 14 U.S.C. § 3 grant to the Secretary of the Navy the unique authority to assume Secretarial powers of the U.S. Coast Guard whenever it operates as a specialized service in the U.S. Navy. The transfer must be conducted pursuant to a Declaration of War by either (1) a Presidential Declaration, or (2) as a Congressional Directive in a Declaration of War. Under such a directive, the Secretary of the Navy may alter the operations of the U.S. Coast Guard in order to establish uniformity with the U.S. Navy.

- Engage with the Secretary of Defense and the executive branch of the Federal Government on the capabilities and requirements of the Service to perform its statutory missions.

Issue Background

- Certain statutes in Title 10, U.S. Code provide authorities for the Secretaries of the various armed forces to regulate conduct within their Services.
- Under existing delegations to the Commandant of the Coast Guard in DHS Delegation 0170.1, many of the responsibilities as Service Secretary are delegated to the Commandant of the Coast Guard.
 - Reservations: The delegation does not extend to the following actions, authority for which is reserved for the Secretary or the Secretary's delegatee within the Office of the Secretary:
 - Convening General Courts-Martial under the Secretary's personal authority granted by law (10 U.S.C. § 822(a)(4));
 - Approval of execution of a sentence dismissing a commissioned officer or cadet (10 U.S.C. § 871(b));
 - Approval of vacation of a suspension of dismissal (10 U.S.C. § 872(b));
 - Substitute administrative discharge for dismissal of an officer under 10 U.S.C. § 804 (a) and (b);
 - Designation of commanding officers and officers in charge who may convene general, special and summary courts-martial (10 U.S.C. §§ 822(a)(8), 823(a)(7), & 824(a)(4));
 - In time of war certify cases to President to extend statute of limitations until after termination of hostilities (10 U.S.C. § 843(e));
 - Direct the Judge Advocate General of the Coast Guard to establish a branch office (10 U.S.C. § 868);
 - Designate officers authorized to remit or suspend any part or amount of unexecuted part of any sentence (10 U.S.C. § 874(a));
 - Substitute administrative form of discharge for discharge or dismissal executed in accordance with sentence of court-martial (10 U.S.C. § 874(b));
 - Substitute administrative discharge for previously executed sentence of dismissal when dismissal not imposed at new trial (10 U.S.C. § 875(c));
 - Designate persons to convene courts of inquiry (10 U.S.C. § 935(a)).
- On behalf of the President, in furtherance of the civilian oversight of the military, the Secretary appoints regular and reserve commissioned officers and approves officer promotions for Captains and below, under Titles 10 and 14. The Secretary also approves continuation on active duty officers of the rank of Captain.
- Flag officer nominations undergo rigorous vetting within the Coast Guard, at DHS, and the White House before submission to the Senate for confirmation.

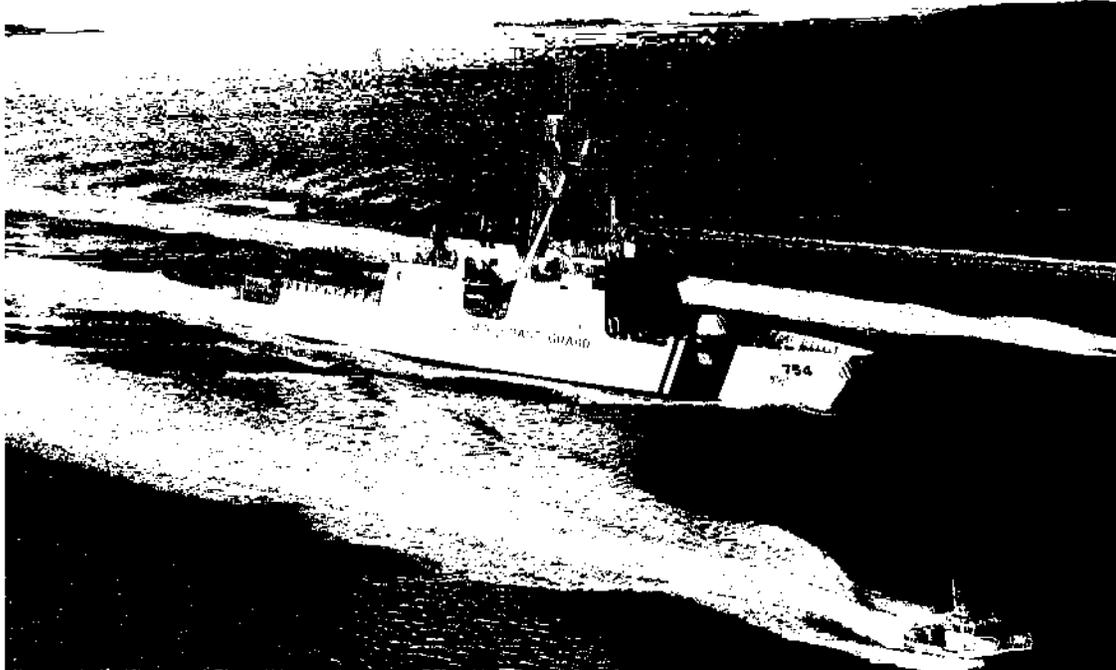
The Commandant of the Coast Guard is a direct report to the Secretary under 6 U.S.C. § 113, and has been delegated extensive personnel authority, including the authorities to convene selection and promotion boards, remove officers from active duty on the recommendations of boards of review, and retain Rear Admirals on active duty. The Commandant also has the

authority to approve voluntary officer retirements, with the exception of O-9 and O-10 flag officers, which remains reserved for the Secretary.

Key Partnerships:

- DOD, Department of the Navy

U.S. Coast Guard



U.S. Coast Guard Cutter James transits toward its home port of Charleston, South Carolina. Coast Guard Cutter James, commissioned in 2015, is one of the Coast Guard's newest national security cutters. U.S. Coast Guard photo.

The Coast Guard is the principal Federal agency responsible for maritime safety, security, and environmental stewardship in U.S. ports and waterways. In this capacity, the Coast Guard protects and defends more than 100,000 miles of U.S. coastline and inland waterways, and safeguards an Exclusive Economic Zone (EEZ) encompassing 4.5 million square miles stretching from North of the Arctic Circle to South of the equator, from Puerto Rico to Guam - the largest EEZ in the world. One of the five Armed Services of the United States, the Coast Guard is the only military branch within the Department of Homeland Security. In addition to its role as an Armed Service, the Coast Guard is a first responder and humanitarian service that provides aid to people in distress or impacted by natural and man-made disasters whether at sea or ashore. The Coast Guard is a member of the Intelligence Community, and is a law enforcement and regulatory agency with broad legal authorities associated with maritime transportation, hazardous materials shipping, bridge administration, oil spill response, pilotage, and vessel construction and operation.

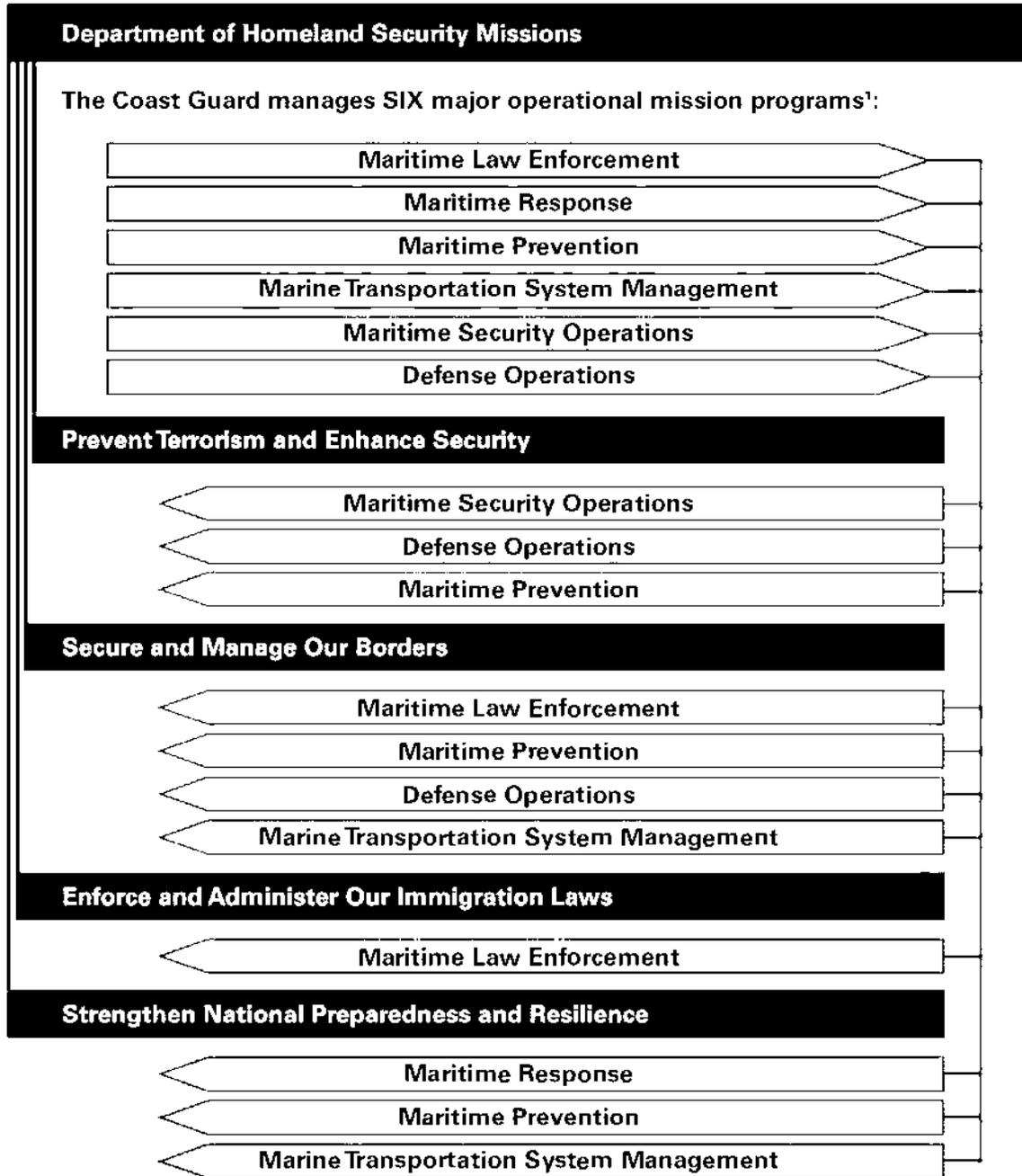
The over 56,000 members of the Coast Guard operate a multi-mission, interoperable fleet of 243 Cutters, 201 fixed and rotary-wing aircraft, and over 1,600 boats. Operational control of surface and air assets is vested in two Coast Guard geographical Areas (Pacific and Atlantic), nine Coast Guard Districts, and 35 Sectors located at strategic ports throughout the country. Six Mission Support Logistics and Service Centers provide services for operational assets and shore facilities. Coast Guard program oversight, policy development, and personnel administration are carried out at Coast Guard Headquarters located on the St. Elizabeths campus in Washington, DC.



Average Coast Guard Day

- Conducts 45 search and rescue cases;
- Saves 10 lives;
- Saves over \$1.2M in property;
- Seizes 874 pounds of cocaine and 214 pounds of marijuana;
- Conducts 57 waterborne patrols of critical maritime infrastructure;
- Interdicts 17 illegal migrants;
- Escorts 5 high-capacity passenger vessels;
- Conducts 24 security boardings in and around U.S. ports;
- Screens 360 merchant vessels for potential security threats prior to arrival in U.S. ports;
- Conducts 14 fisheries conservation boardings;
- Services 82 buoys and fixed aids to navigation;
- Investigates 35 pollution incidents;
- Completes 26 safety examinations on foreign vessels;
- Conducts 105 marine inspections;
- Investigates 14 marine casualties involving commercial vessels;
- Facilitates movement of \$8.7B worth of goods and commodities through the Nation's Maritime Transportation System.

Missions



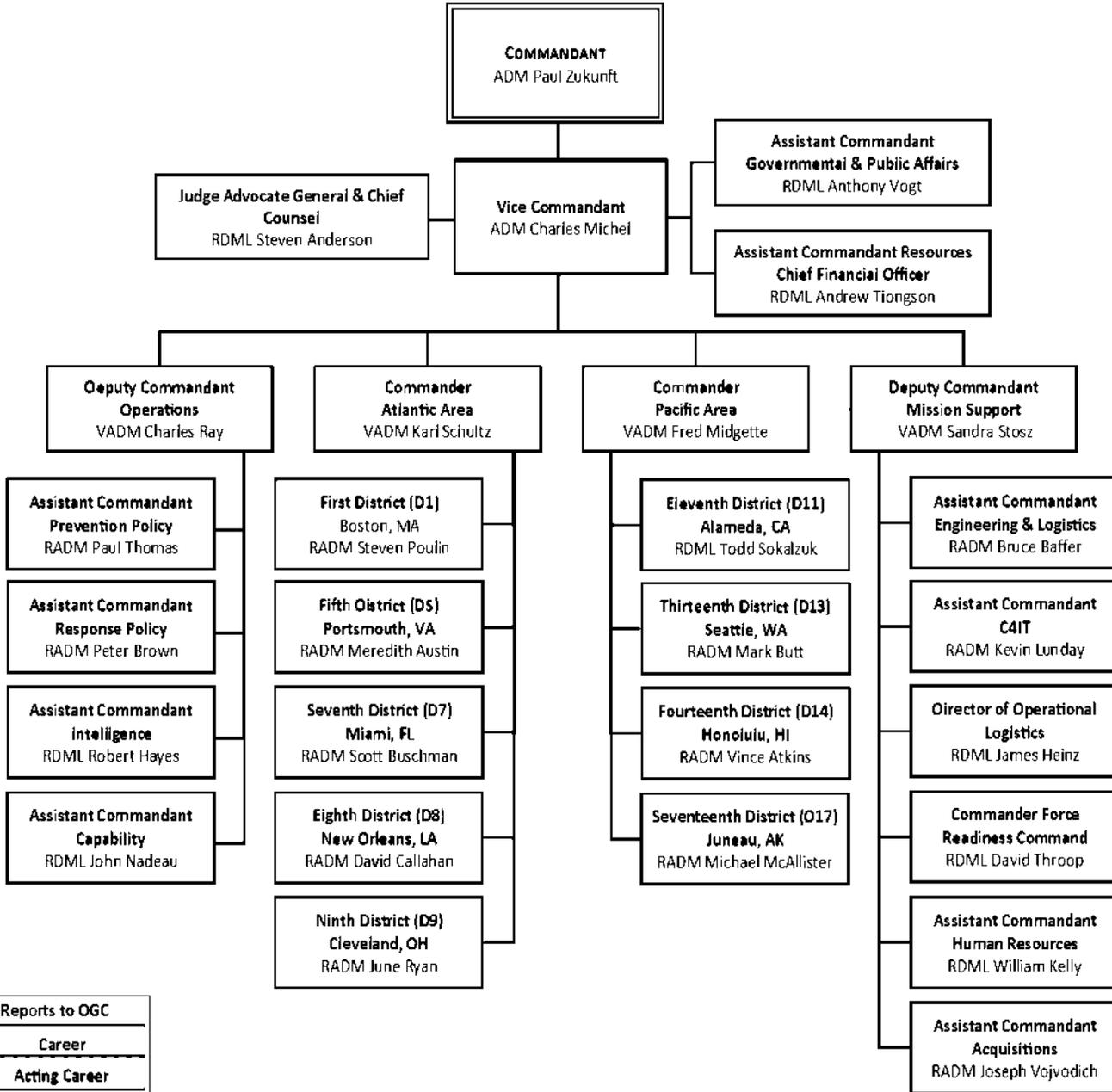
¹ The Coast Guard's SIX operational mission programs oversee 11 Missions codified in the *Homeland Security Act of 2002*. That act delineates the 11 missions as "homeland security" or "non-homeland security" missions.

Homeland Security Missions: Ports, Waterways, and Coastal Security; Drug Interdiction; Migrant Interdiction; Defense Readiness; and Other Law Enforcement.

Non-Homeland Security Missions: Marine Safety; Search and Rescue; Aids to Navigation; Living Marine Resources; Marine Environmental Protection; and Ice Operations

Organization Chart

U. S. Coast Guard

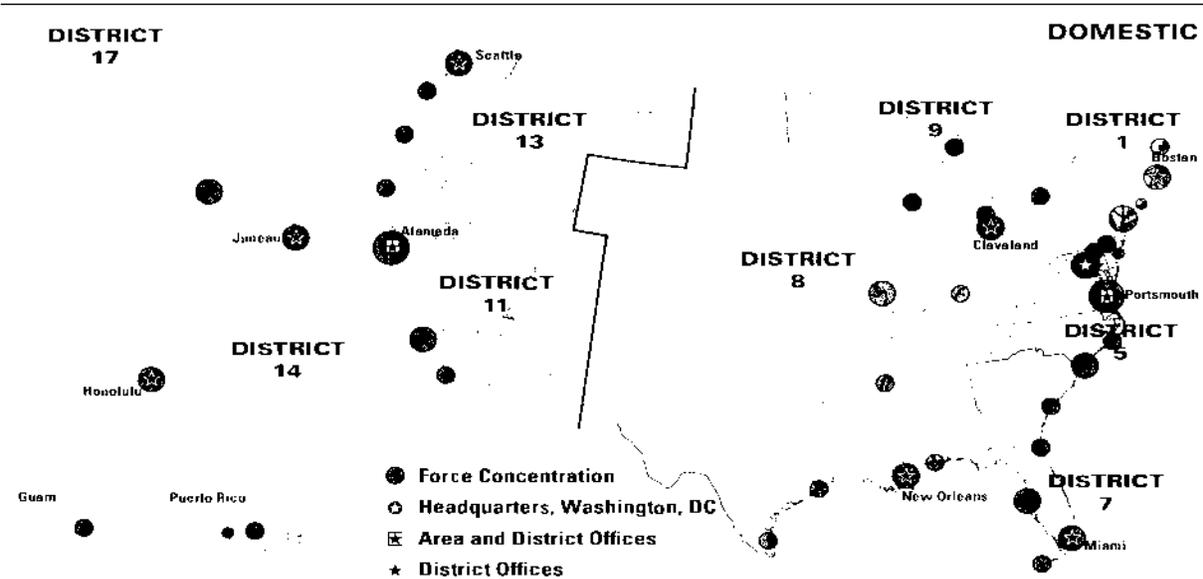


Key

* Senate Confirmed ** Reports to OGC	
Non-Career	Career
Acting Non-Career	Acting Career
Non-Career or Career Position	

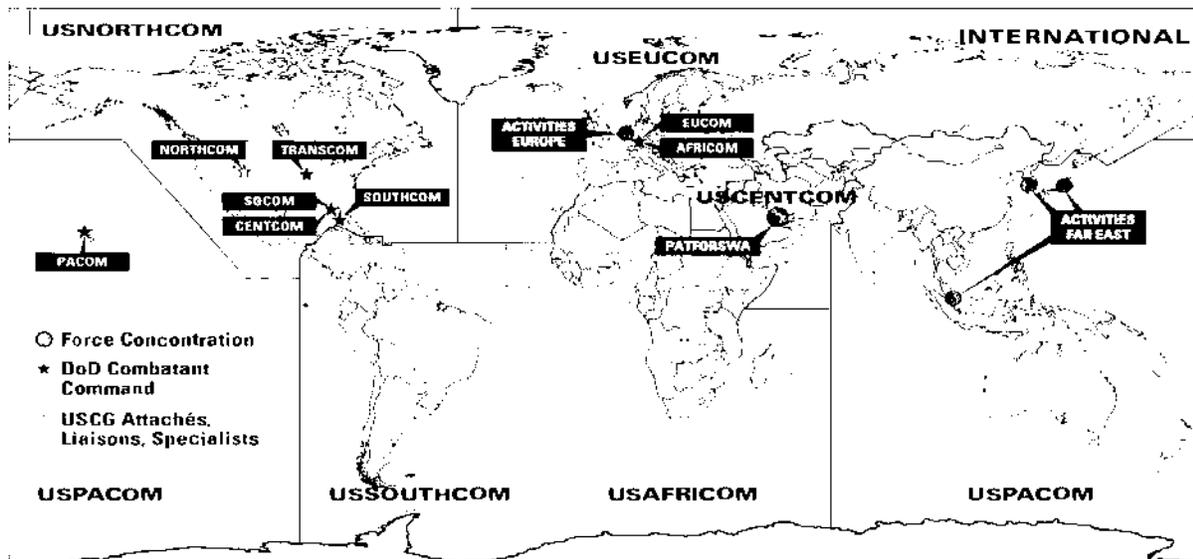
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Coast Guard National Force Laydown



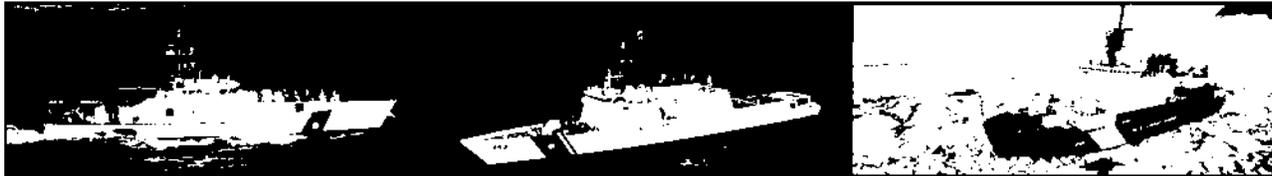
The Coast Guard is divided into two geographic commands, the Atlantic Area and Pacific Area. The Areas are further divided into nine district commands. The Atlantic Area includes five district commands covering the Eastern United States, the Atlantic Ocean, the Great Lakes and the Gulf of Mexico. The Pacific Area includes four district commands covering the Western United States and the Pacific Ocean.

Coast Guard International Force Laydown



The Coast Guard's permanent international units are depicted above. Patrol Forces Southwest Asia (PATFORSWA) is the Coast Guard's largest unit outside of the United States. PATFORSWA is currently supporting the U.S. Navy's Fifth Fleet in Operation Enduring Freedom. The Coast Guard has two commands (Activities Europe and Activities Far East) that support the Coast Guard's Maritime Safety and Security mission conducting marine inspection, marine investigation, and international port security operations to ensure the integrity of the Maritime Transportation System. The Coast Guard also has personnel assigned to eight DoD Combatant Commands and often has a presence on all seven continents and the world's oceans, projecting national sovereignty with our icebreakers, national security cutters, high-endurance cutters, aviation assets, and deployable specialized forces.

Coast Guard Operational Assets



U.S. Coast Guard Cutters¹ – 243 Total

TYPE	QUANTITY	TYPE	QUANTITY
Icebreakers – Polar ² /Great Lakes	3/1	Buoy Tenders – Seagoing/Coastal	16/14
National Security Cutters	5	Buoy Tenders – Inland, River	22
High Endurance Cutters	5	Construction Tenders	13
Fast Response Cutters	17	Icebreaking Tugs	9
Medium Endurance Cutters	28	Harbor Tugs	11
Patrol Boats	98	Training Cutter	1

1: Any U.S. Coast Guard vessel 65-feet or larger in length
2: 1 of 3 inactive



U.S. Coast Guard Aircraft – 201 Total

TYPE	QUANTITY	TYPE	QUANTITY
MH-65D (Helicopter)	102	HC-144 (Airplane)	18
MH-60T (Helicopter)	44	HC-27J (Airplane)	8
HC-130H (Airplane)	18	C-37A (Airplane)	2
HC-130J (Airplane)	9		



U.S. Coast Guard Boats³ – 1,650 Total

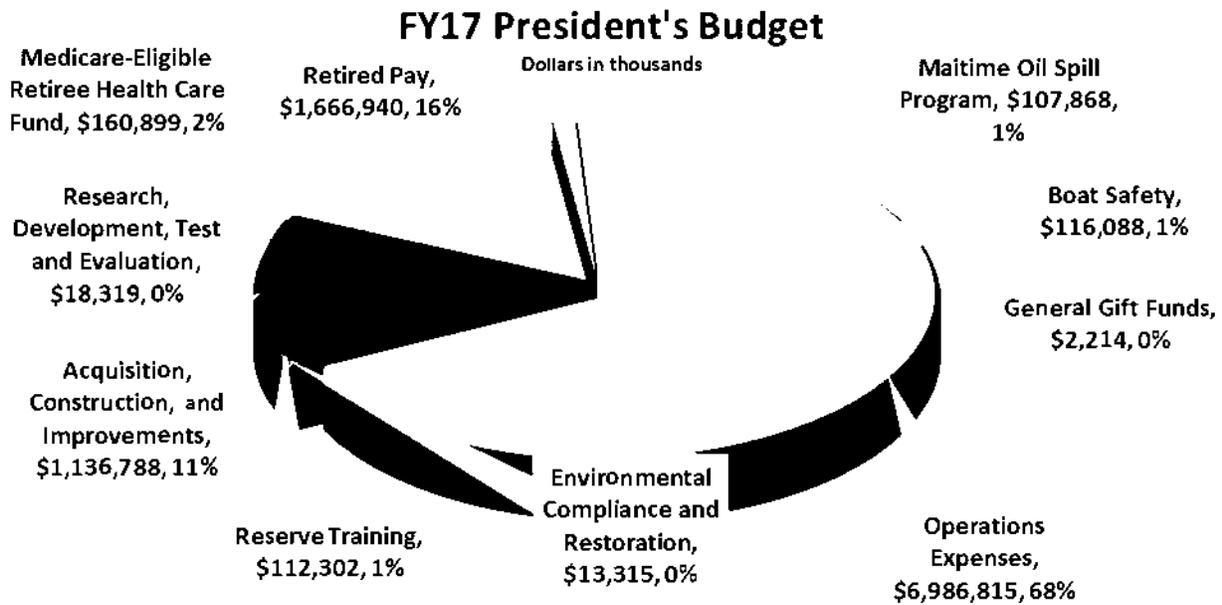
TYPE	QUANTITY	TYPE	QUANTITY
Response Boat Small	372	Aids to Navigation Boats	152
Response Boat Medium	174	Cutter Boats	421
Motor Life Boats	117	All other boat types	414

3: Any U.S. Coast Guard vessel less than 65-feet in length

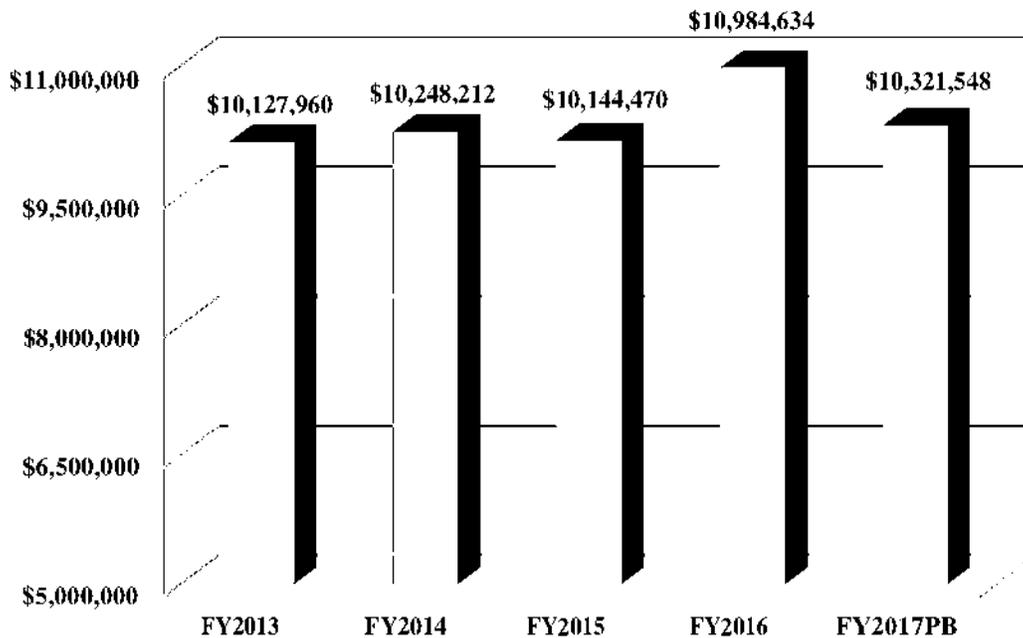
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Budget

Total Budget Authority		
\$10,984,634,000	\$10,321,548,000	-\$663,086,000

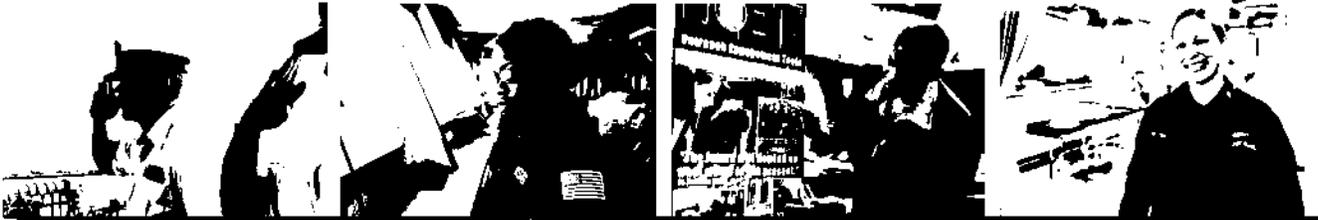


U.S. Coast Guard 5-year Funding Trend
Dollars in thousands



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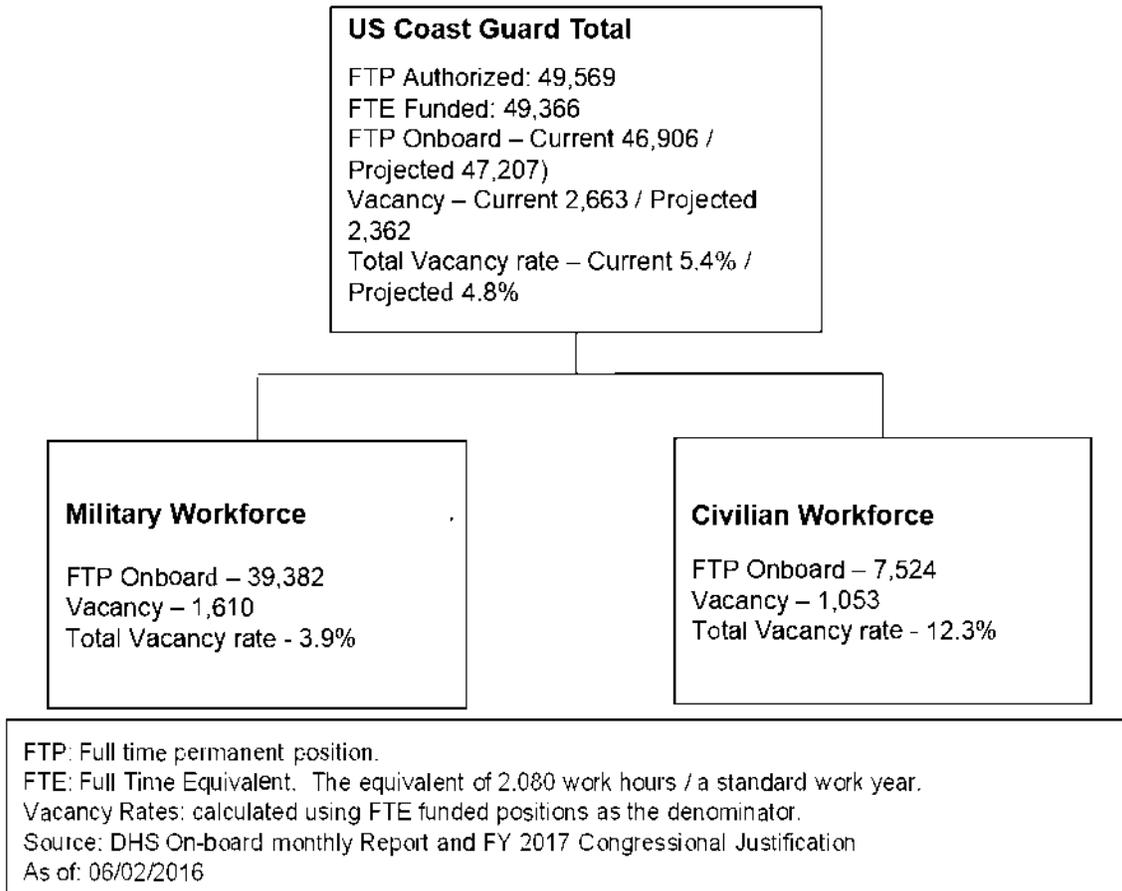
Workforce



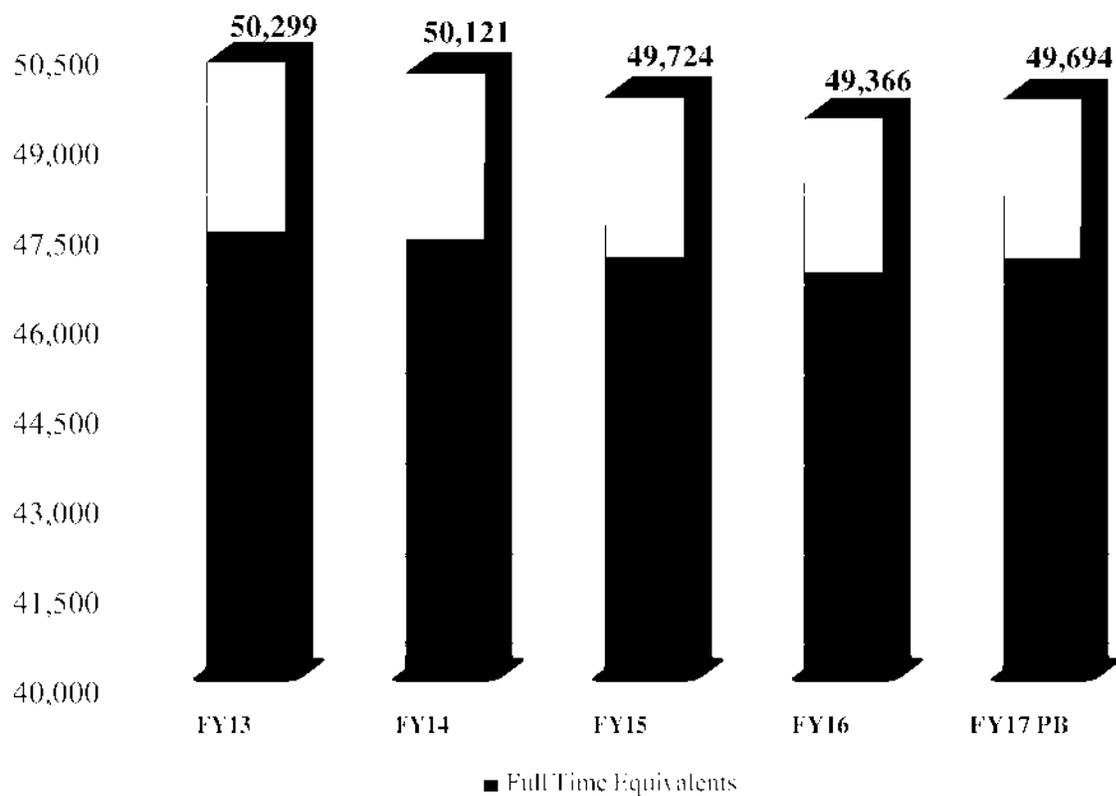
Military	40,992	Military	39,382	Military	1,610
Civilian	8,577	Civilian	7,524	Civilian	1,053
Total	49,569	Total	46,906	Total/Rate	2,663 / 5.4%
Reserve	7,000	Reserve	6,063	Reserve	937
		Auxiliary**	31,000		
		Total	83,969		

* Does not include overseas contingency operations, Coast Guard Yard, and reimbursable employees.

** U.S. Coast Guard Auxiliary is an all-volunteer force.



U.S. Coast Guard - 5-year Workforce Trend



Crewmembers from the Coast Guard Cutter Sledge and James Rankin, both based in Baltimore, pose for a group picture during their Earth Day project to clean up the shore in Curtis Bay, Maryland. The two ships sent volunteers to assist in the clean up efforts to improve the environment. U.S. Coast Guard photo by Petty Officer 3rd Class Robert Brazzel

Strategic Priorities

- Build the 21st Century Coast Guard** – Future mission success relies on continued recapitalization of Coast Guard boats, cutters, aircraft, systems, and infrastructure. Critical recapitalization programs include beginning production of Offshore Patrol Cutters, completing the Fast Response Cutter program, and initiating acquisition of new heavy icebreakers.


- Maritime Border Security and Transnational Criminal Organizations (TCO)** Combating transnational criminal organizations at sea, where they are most vulnerable, severs the financial lines of criminal networks that destabilize governments, threaten rule of law, and spread violence throughout Central America. This effort includes intelligence-queued joint DHS, Department of Defense, and allied partner operations using forward deployed cutters with armed use-of-force capable rotary-wing aircraft, fixed-wing maritime patrol aircraft, and deployable specialized forces to disrupt and interdict illicit drug and human smuggling operations in the transit and approach zones of the Eastern Pacific and Caribbean Basin.


- Maritime Cyber Security** – Cybersecurity is one of the most serious economic and national security challenges we face as a Nation. Government systems encounter a mounting array of emerging cyber threats that could severely compromise the Coast Guard's ability to perform its essential missions. These growing threats also pose significant risks to our Nation's Maritime Transportation System and critical infrastructure. With over 90% of the Nation's goods moving via increasingly networked maritime conveyance, preserving cyber security is essential to overall safety, security, and effectiveness.
- Increasing Activity in the Polar Regions** As ice melts, and sea lanes and access to precious natural resources expand, the Nation must maintain adequate access and presence to address increased safety, security, and environmental risks associated with increased exploration, vessel traffic, and human activity. Improved governance through cooperation with other Arctic Nations and becoming party to the Law of the Sea Convention are critical to resolving competing claims by other nations and protecting U.S. sovereign rights in the Polar Regions, particularly the Arctic.



- Increasing Maritime Commerce** Address risks associated with increased domestic natural gas transport, deeper U.S. ports, and larger vessels due to the expansion of the Panama and Suez canals through compliance enforcement, regulatory frameworks, and prevention and response operations. The prosperity of our Nation is inextricably linked to a safe and efficient Maritime Transportation System.



- Fiscal Management** - Stable, consistent funding streams and sound fiscal stewardship are essential to responsibly and economically execute the Coast Guard's increasingly complex acquisition programs, and maintaining a well-trained and properly equipped military workforce.



An electrician's mate stationed with Aids to Navigation Team (ANT) Woods Hole, climbs a structure to replace an outdated 155 millimeter lantern with a self-contained LED Carmanah light. ANT Woods Hole is responsible for maintaining 250 buoys, 20 lighthouses, and 54 structures along the coast of southeastern Massachusetts. U.S. Coast Guard photo by Petty Officer 3rd Class Andrew Barresi

Key Partnerships/Stakeholders

Interagency	
Partner	Description
Department of Defense	Broad spectrum of interactions: defense readiness and interoperability, cyber security, research and development, counternarcotics, disaster preparedness and emergency response, training, logistics, and acquisitions.
The Interdiction Committee (TIC)	TIC is a statutorily-mandated interagency body of over 25 federal departments, agencies, offices, and components. TIC discusses and resolves issues related to the coordination, oversight, and integration of international, border, and domestic drug interdiction and counter-network efforts. These efforts support the Office of National Drug Control Policy (ONDCP) in executing the <i>President's National Drug Control Strategy</i> (NDCS). By developing interagency recommendations that incorporate various facets of national power, TIC supports the NDCS and provides advice, situational awareness, and expertise to ONDCP on trafficking activities that threaten U.S. interests.
Department of State	Coast Guard executes missions abroad to train international partners and foreign navies to stem the flow of weapons of mass destruction; counter international crime, illegal drugs, and instability; enhance international maritime security capacity building; provide weapon guidance systems training; and support Foreign Military Sales.
The Intelligence Community	The Coast Guard interacts across the spectrum of military and civilian agencies that comprise the Intelligence Community. Through this interaction the Coast Guard contributes to achieving national security objectives in the course of conducting its statutory missions.
Department of Commerce (NOAA, National Marine Fisheries Service)	Partner to enforce <i>Magnuson-Stevens</i> , <i>Endangered Species</i> (ESA), <i>Marine Mammal Protection</i> (MMPA), and <i>National Marine Sanctuaries</i> (NMSA) Acts.

Stakeholder Groups and Federal Advisory Committees (FACA)	
Partner	Description
National Boating Safety advisory council	Advises on boating safety regulations and other major boating safety matters.
Towing Safety Advisory Committee	Advises on matters relating to shallow-draft inland and coastal waterway navigation and towing safety.
Great Lakes Pilotage Advisory Committee	Advises on matters relating to Great Lakes pilotage, including review of proposed Great Lakes pilotage regulations and policies.
National Maritime Security Advisory Committee	Advises on national maritime security matters.
Merchant Medical Mariner Advisory Committee	Advises on matters related to medical certification determinations for issuance of licenses, certificates of registry, and merchant mariners' documents.
Navigation Safety Advisory Council	Advises on issues related to navigation safety such as the prevention of collisions, ramming, and groundings.
Merchant Marine Personnel Advisory Committee	Advises on matters related to personnel in the U.S. merchant marine, including but not limited to training, qualifications, certification, documentation, and fitness standards.
Lower Mississippi River Waterway Safety Advisory Committee	Advises on topics relating to navigational safety on the Lower Mississippi River.
Houston/Galveston Navigation Safety Advisory Committee	Advises on matters relating to safe transit of vessels and products through Galveston Bay, and to and from the Ports of Galveston, Houston, Texas City, and Galveston Bay.
National Offshore Safety Advisory Committee	Advises on matters and actions concerning activities directly involved with or in support of the exploration of offshore mineral and energy resources insofar as they relate to matters within U.S. Coast Guard jurisdiction.
Chemical Transportation Advisory Committee	Advises on issues relating to marine transportation of hazardous materials in bulk.
Commercial fishery safety advisory committee	Advises on issues relating to safety in the commercial fishing industry.

Industry / Public-Private / Academia	
Partner Name	Description
Port Partners	The Coast Guard works with port partners in the Area Committees to meet requirements of the <i>Oil Pollution Act of 1990</i> , the Area Maritime Security Committee to meet requirements of the <i>Maritime Transportation Security Act of 2004</i> , and Harbor Safety Committees which exist in most ports and include robust industry partnerships.

International Engagements	
Partner	Description
International Maritime Organization (IMO)	The IMO is the global standard-setting authority for the safety, security, and environmental performance of international shipping. The IMO is a specialized agency of the United Nations and the Department of State has designated the Coast Guard as the lead agency responsible for representing U.S. interests and coordinating with appropriate U.S. agencies, stakeholders, and nongovernmental organizations for all work conducted at the various levels of the IMO. This includes an Assembly, a Council, five main committees, and seven sub-committees.
Bilateral Agreements	60+ bilateral agreements expand the Coast Guard's ability to use its authorities and support partner nations in combating networks of Transnational Criminal Organizations, proliferation security initiatives, and fisheries enforcement.
Arctic Coast Guard Forum	Multi-lateral Forum comprised of Coast Guard-like agencies from Russia, Sweden, Norway, Denmark, Finland, Iceland, and Canada to advance safe and secure activity in the Arctic.

Organized Labor / Advocacy Groups	
Partner	Description
American Federation of Government Employees (AFGE)	The Coast Guard relies heavily on our organic union labor pool. These dedicated professionals are a critical part of the Coast Guard team providing mechanical, overhaul, and logistics services.



Coast Guard Commandant Admiral Paul Zukunft (right) and the heads of seven other Arctic nations' Coast Guards sign a joint statement that establishes the frameworks that detail the development of a multi-year strategic plan, avenues to share information, highlight best practices, identify training exercises, and on-the-water combined operations to achieve safe, secure and environmentally responsible maritime activity in the Arctic in Faneuil Hall in Boston, June 10, 2016.

Photo by Petty Officer 2nd Class Patrick Kelley.

Legislative Priorities

In addition to annual appropriations, the Coast Guard is required by law to submit an annual authorization request to Congress (*House Transportation and Infrastructure Committee* and *Senate Committee on Commerce, Science and Transportation*) through the Secretary of Homeland Security within 30 days of the President's budget submission.

As a branch of the Armed Forces of the United States, the Coast Guard is directly impacted by the *National Defense Authorization Act* (NDAA), primarily in the areas of pay and benefits. The 2017 NDAA includes proposals that would revise the *Uniform Code of Military Justice* and affect how the Coast Guard carries out its military justice programs.

Legislative Priorities

- **Recapitalization Funding** - Fund asset recapitalization programs with emphasis on the Offshore Patrol Cutter to replace aging Medium Endurance Cutters.
- **Polar Icebreakers** - Garner support for a heavy polar ice breaker fleet.
- **Operating Expenses and New Asset Funding** - Preserve the operating expenses base and new asset operating funds.
- **Military Blended Retirement** - Address funding shortfalls projected with the new military Blended Retirement system.
- **Ratify Law of the Sea Convention** - The Convention sets forth the comprehensive, globally- accepted legal framework addressing activities on, over, and under the world's oceans. Ratifying the Convention will strengthen Coast Guard military and law enforcement efforts.
- **Ratify Maritime Labour Convention 2006** – The Convention establishes minimum requirements for seafarer working and living conditions. Ratification would allow the Coast Guard to issue certificates to U.S. flag vessels certifying compliance and reducing risk of costly delays when U.S. flag vessels call on foreign ports party to the Convention.

Regulations

The Coast Guard has a significant rulemaking docket that includes both Headquarters rules that are national in scope and long term, as well as field regulations that are local and temporary. The Headquarters rulemaking docket accounts for 40% of all DHS regulations. Notable recent regulations include rules on inspection of towing vessels, safety regulations for commercial fishing vessels, and removal of conditions of entry on vessels arriving from the Republic of Cuba.

*Government Accountability Office / Office of the Inspector General
Audits*

GAO Audits			
Title	Report Number	Description	Final Report Due
Coast Guard: Timely Actions Needed to Address Risks in Rotational Crews	GAO-15-195	Audit of the Coast Guard's Crew Rotation Concept (CRC) for the National Security Cutter (NSC) and the ability of the Coast Guard to use CRC to reach its goal to increase NSC operational days away from homeport (DAFHP) from 185 to 225.	12/31/2017



A Chief Warrant Officer hugs her son after returning to Kodiak, Alaska, from a patrol aboard Coast Guard Cutter Alex Haley. The cutter patrolled more than 12,000 miles throughout the Bering Sea and Aleutian Islands during its 68-day deployment. U.S. Coast Guard photo by Petty Officer 3rd Class Diana Honings.