Coast Guard Publication 1

U.S. Coast Guard: America's Maritime Guardian

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A few armed vessels, judiciously stationed at the entrances of our ports, might at a small expense be made useful sentinels of the laws.

—- Alexander Hamilton, the first Secretary of the Treasury
Federalist No. 12, The Utility of the Union in Respect to Revenue
From the *New York Packet*
27 November 1787
Earliest recorded reference to what would become the U.S. Coast Guard

It had the desired effect.

—- Captain John Faunce, USRCS
Commanding Officer, USRC *Harriet Lane*
Comment to *Harper's Weekly* about firing the
first naval shot of the Civil War in Charleston, South Carolina

Did they get off?

—- Congressional Medal of Honor recipient, Signalman First Class Douglas Munro, USCG
Inquiring of the 400 Marines he rescued, just before
dying of wounds he suffered in the effort

These poor, plain men, dwellers upon the lonely sands of Hatteras, took their lives in their hands, and, at the most imminent risk, crossed the most tumultuous sea ... and all for what? That others might live to see home and friends.

—- Annual Report of the U.S. Life-Saving Service, 1885

The lighthouse and the lightship appeal to the interests and better instinct of man because they are symbolic of never-ceasing watchfulness, of steadfast endurance in every exposure, of widespread helpfulness.

—- George R. Putnam, the first Commissioner of Lighthouses
U.S. Lighthouse Service, 1906-1935

Having fought as a part of the Navy in all our wars, and taking an especial pride in being fully prepared to perform credible service in the Navy whenever called upon, the officers and men of the Coast Guard are inspired not only by the high traditions and fine history of their own service, but also by the splendid traditions, history, and indoctrination of the United States Navy. They have thus two rich heritages to be proud of and two standards of the same lofty character to live up to.

—- Rear Admiral F. C. Billard, USCG
Commandant of the Coast Guard, 1924-1932
U.S. Naval Institute *Proceedings*, May 1929

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Foreword

From the Commandant of the U.S. Coast Guard

I am pleased to present *America's Maritime Guardian: U.S. Coast Guard Publication 1* to the military and civilian men and women of the U.S. Coast Guard, the U.S. Coast Guard Reserve, and the U.S. Coast Guard Auxiliary.

The subtitle, *U.S. Coast Guard Publication 1*, deserves some explanation. Published 211 years after the founding of our Service, *Publication 1* is clearly not the Coast Guard's first publication, but it is the first official publication to synthesize who we are, what we do, and how we do things.

Why is *Publication 1* necessary? Every organization worth its salt has a "handbook" to tell its members and anyone else who is interested just what the organization is all about: its history, its ethos, its values, and its reason for existence.

The Coast Guard is a military, multi-mission, maritime service. Though we are America's smallest armed service, we perform an astonishingly broad range of services to our country—so broad that it is possible to devote a fulfilling career to one or even several major mission areas without understanding how the whole Service works together for our nation's benefit. *Publication 1* attempts to supply that understanding. It is designed to let the right hand know what the left is doing and to remind both hands of the magnificent body to which they are joined. This is our common understanding about ourselves. My hope is that it will enable every Coast Guard service member, civilian employee, and volunteer to serve more effectively.

Read it to learn. Read it with pride.

Semper Paratus,

James M. Loy
Admiral, U.S. Coast Guard

Introduction

In 1790, the First Congress of the United States established a small maritime law enforcement agency to assist in collecting the new nation's customs duties. For the next eight years, this Revenue Marine (later called the Revenue Cutter Service) was the nation's only naval force and so was soon assigned military duties. Over time, the Revenue Cutter Service acquired new responsibilities and either merged with or absorbed several other federal agencies. The Service acquired new responsibilities based upon its ability to perform them with existing assets and minimal disruption to its other duties. It acquired other agencies because their maritime responsibilities were seen as intersecting with or complementing its own. The result is today's U.S. Coast Guard—a unique force that carries out an array of civil and military responsibilities touching on almost every facet of the maritime environment affecting the United States.

What makes the Coast Guard unique is that in executing our diverse missions as America's Maritime Guardian, we harmonize what seem to be contradictory mandates. We are charged at once to be policemen and sailors, warriors, humanitarians, regulators, stewards of the environment, diplomats, and guardians of the coast. Thus, we are military, multi-mission, and maritime.

As a practical matter, while Coast Guard men and women and the units in which they serve are prepared to act across the entire range of Coast Guard missions, some responsibilities will absorb more time, effort, and resources than others. A practical emphasis on specific mission areas should not, however, cause us to lose focus on the broad roles of the Coast Guard and the way in which these roles affect how the Service is organized, equipped, and conducts operations. Indeed, it is the multi-mission nature of the Coast Guard that is our greatest strength. Every Coast Guard member needs to understand our Service as a whole. This document is designed to provide context for that understanding.

Publication 1 explains *what we do*; that is, it describes the fundamental roles today's Coast Guard fulfills in support of the *U.S. National Security Strategy* and the missions we perform in pursuing those roles. It traces our organizational history, to explain how the Coast Guard acquired its diverse mission set. It explains the unique characteristics and qualities, derived from our history, roles, and missions, that together define *who we are*. Finally, it lays out principles of operations that flow from our unique organizational nature and identity. In other words, it also describes *how we do things*.

The principles of operations discussed in this publication are Coast Guard doctrine; that is, fundamental principles that guide our actions in support of the nation's objectives. They are rooted in our history and are the distillation of hard-won experience. They provide a shared interpretation of that experience. This in turn provides a common starting point for thinking about future action. With training and experience, this shared outlook leads to consistent behavior, mutual confidence, and more effective collective action, without constraining initiative.

Because this doctrine is rooted in history, it is enduring. But it also evolves in response to changes in the political and strategic landscape, lessons learned from operations, and the introduction of new technologies. Doctrine influences the way in which policy and plans are developed, forces are organized and trained, and equipment is procured. It promotes unity of purpose, guides professional judgment, and enables Coast Guard men and women to best fulfill their responsibilities. *Publication 1* tells us how we became and why we are America's Maritime Guardian.

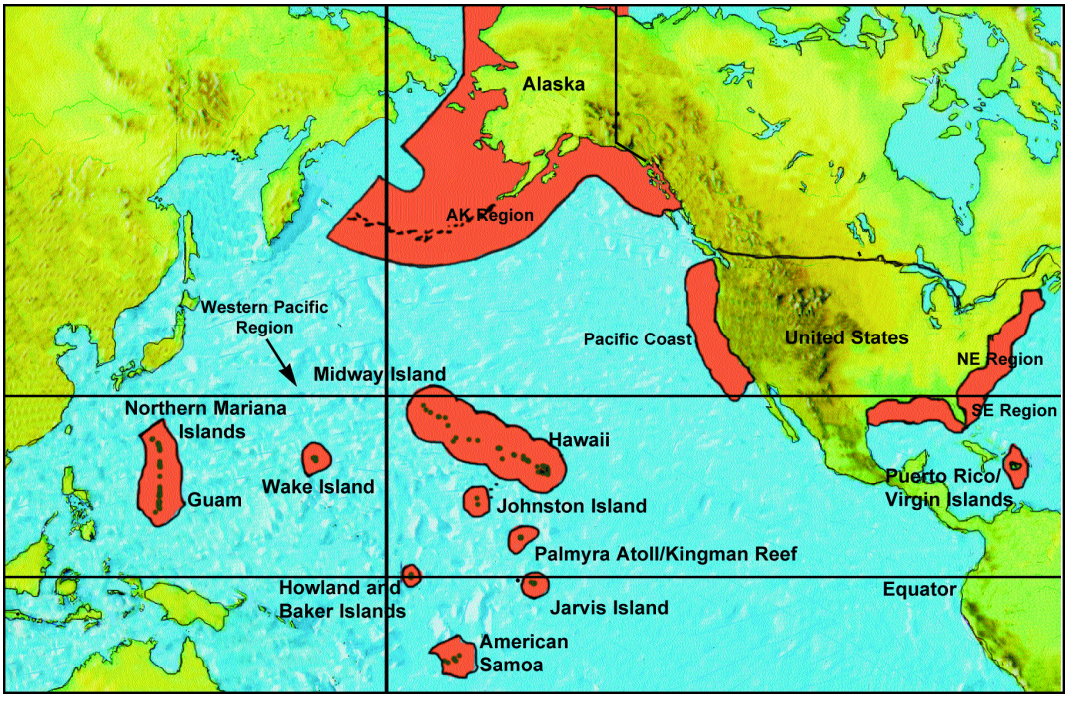
Chapter One: America's Maritime Guardian

America's enduring maritime interests—its reliance on the seas for commerce, sustenance, and defense—have been constant since colonial days. The U.S. Coast Guard exists to address these enduring interests. The United States is a maritime nation, with an extensive set of interests and concerns in the seas around us and beyond. With 95,000 miles of shoreline bordering nearly 3.4 million square miles of Exclusive Economic Zones (EEZ), America's future will remain tied to the sea. The seas link the nation with world commerce and trade and allow us to project military power far from our shores to protect important U.S. interests, as well as to assist allies and friends at risk from common foes. The seas also serve as highways for a host of transnational threats and challenges that honor no national frontier.

The U.S. Coast Guard is one of the five armed services of the United States of America. As such, it is an important element of America's national security strategy. We protect vital interests of the United States—the personal safety and security of our population; our natural and economic resources; and the territorial integrity of our nation—from both internal and external threats, natural and man-made. We protect these interests in America's ports and inland

Coast Guard Roles

- Maritime Security
- Maritime Safety
- Protection of Natural Resources
- Maritime Mobility
- National Defense



U.S. territorial seas and Exclusive Economic Zones.

waterways, along the coasts, on international waters, or in any other maritime region where U.S. interests may be at risk. From 1915, when the Coast Guard was established by law as an armed service, we have been a military, multi-mission, maritime service possessing a unique blend of humanitarian, law enforcement, regulatory, diplomatic, and military capabilities. These gird our five fundamental roles: maritime security, maritime safety, protection of natural resources, maritime mobility, and national defense.

Each Coast Guard role is composed of several mission areas. Each of these in turn is based on one or more mandated or authorized duties. Many Coast Guard missions benefit more than one role. For example, while our aids to navigation mission primarily supports our maritime mobility role by facilitating the movement of people and goods, the system of aids we maintain also supports our maritime safety and protection of natural resources roles by preventing accidents. This interwoven, overlapping combination of roles and missions calls for Coast Guard resources that are similarly multi-mission capable.

COAST GUARD ROLES AND MISSIONS

Maritime Security

Maritime law enforcement and border control are the oldest of the Coast Guard's numerous responsibilities, dating back to our founding as the Revenue Marine in 1790. Congress established the Revenue Marine specifically to patrol the coasts and seaports to frustrate smuggling and enforce the customs laws of the fledgling Republic. Two centuries have passed and that early challenge has evolved into a full open ocean responsibility for the maritime sovereignty of our nation. Our maritime law enforcement role and the task of interdicting ships at sea provide the foundation upon which our much broader and complex present-day mission set has been built.

As the nation's primary maritime law enforcement service, the Coast Guard enforces or assists in enforcing federal laws, treaties, and other international agreements on the high seas and waters under U.S. jurisdiction. We possess the authority to board any vessel subject to U.S. jurisdiction to make inspections, searches, inquiries, and arrests. We wield this extraordinarily broad police power with prudence and restraint primarily to suppress violations of our drug, immigration, fisheries, and environmental laws.

As the designated lead agency for maritime drug interdiction under the National Drug Control Strategy and the co-lead agency with the U.S. Customs Service for air interdiction operations, the Coast Guard defends America's seaward frontier against a virtual torrent of illegal drugs. For more than two decades our cutters and aircraft, forward deployed off

Maritime Security Missions

- Drug Interdiction
- Alien Migrant Interdiction
- EEZ & Living Marine Resource Law/Treaty Enforcement
- General Maritime Law Enforcement

South America and in the transit zone, have intercepted many tons of cocaine, marijuana, and other illegal drugs that otherwise would have found their way to America's streets.

Coast Guard alien migrant interdiction operations (AMIO) are also law enforcement missions with a significant humanitarian dimension. Migrants typically take great risks and endure significant hardships in their attempts to flee their countries and enter the United States. In many cases, migrant vessels interdicted at sea are overloaded and unseaworthy, lack basic safety equipment, and are operated by inexperienced mariners. The majority of alien migrant interdiction cases we handle actually begin as search and rescue cases, once again illustrating the interwoven nature of our roles and missions. Between 1980 and 2000, we interdicted 290,000 migrants, mostly from Cuba, Dominican Republic, People's Republic of China, and Haiti.

Coast Guard members unload bales of marijuana after a bust.

A boarding team from the medium-endurance cutter *Courageous* (WMEC 622) prepares to board a vessel carrying Haitian migrants.

In 1976, Congress passed what is now known as the Magnuson-Stevens Fishery Conservation and Management Act. By creating an Exclusive Economic Zone, this act pushed out our nation's maritime border to 200 nautical miles. In the years that followed, international fisheries agreements went even further, extending U.S. jurisdiction to high-seas areas beyond the EEZ. Today, we patrol these areas, as well as our EEZ—where we focus primarily on maritime boundary areas such as the U.S./Russian Convention Line in the Bering Sea—to uphold U.S. sovereignty and protect America's precious resources.

Maritime law enforcement is a continuing theme running through our proud history of service to America. It requires a wide breadth of experience and skills: seamanship, diplomacy, legal expertise, and combat readiness. We have honed these skills for more than two centuries. No other U.S. armed service or federal agency possesses this combination of law enforcement capabilities and responsibilities, together with the legal authorities to carry them out. Controlling the use of the seas in the best interests of the United States is what maritime security is all about.

Maritime Safety

One of the most basic responsibilities of the U.S. government is to protect the lives and safety of Americans. In the maritime realm, the lead responsibility falls to the Coast Guard. In partnership with other federal agencies, state and local governments, marine industries, and individual mariners, we preserve safety at sea through a focused program of prevention, response, and investigation.

Maritime Safety Missions

- Search and Rescue
- Marine Safety
- Recreational Boating Safety
- International Ice Patrol

Our prevention activities include developing commercial and recreational vessel standards, enforcing compliance with these standards, licensing commercial mariners, operating the International Ice Patrol to protect ships transiting the North Atlantic shipping lanes, and educating the public. We develop operating and construction criteria for many types of vessels, from commercial ships to recreational boats. The Coast Guard is America's voice in the International Maritime Organization (IMO), which promulgates measures to improve shipping safety, pollution prevention, mariner training, and certification standards. We also are the agency primarily responsible for developing domestic shipping and navigation regulations. We ensure compliance with safety regulations in many ways. We inspect U.S. flag vessels, mobile offshore drilling units and marine facilities; examine foreign-flag vessels based on the potential safety and pollution risk they pose; review and approve plans for vessel construction, repair, and alteration; and document and admeasure U.S. flag vessels. The Port State Control program, which is aimed at eliminating sub-standard vessels from U.S. ports and waterways, is a key element in our safety enforcement program, for 95 percent of passenger ships and 75 percent of cargo ships operating in U.S. waters are foreign-flagged.

An HC-130 overflies an iceberg during an International Ice Patrol mission.

As National Recreational Boating Safety Coordinator, the Coast Guard works to minimize loss of life, personal injury, property damage, and environmental harm associated with recreational boating. Our boating safety program involves public education programs, regulation of boat design and construction, approval of boating safety equipment, and courtesy marine examinations of boats for compliance with federal and state safety requirements. The all-volunteer Coast Guard Auxiliary plays a central role in this program.

Coast Guard prevention activities in pursuit of maritime safety are often inseparable from those we perform to protect the marine environment or police the U.S. marine transportation system. Actions in one area often reinforce those required for other roles and missions. As a result, our numerous accident-prevention efforts have saved countless lives and contributed to the economic and environmental health of the nation.

Nevertheless, the maritime arena is massive and complex and the sea powerful and unforgiving. Mishaps will occur despite our best efforts. When they do, the Coast Guard has a long heritage and proud tradition of responding immediately to save lives and property in peril. As the lead agency

Coast Guard members prepare to rescue fishermen from their sinking vessel.

for maritime search and rescue (SAR) in U.S. waters, we coordinate the SAR efforts of sea and airborne Coast Guard units, as well as those of other federal, state, and local responders. We also leverage the world's merchant fleet to rescue mariners in distress around the globe through the Automated Mutual-assistance Vessel Rescue (AMVER) system.

Finally, in addition to responding to a wide variety of time-critical maritime emergencies and accidents, we investigate their causes and determine whether laws have been violated or whether changes should be made to improve safety through our prevention programs.

Protection of Natural Resources

America's marine waters and their ecosystems are vital to the health, well being, and economy of the nation. Our marine environment is among the most valuable and productive natural resources on Earth, containing one-fifth of the world's fishery resources. It is also a region of extraordinary recreation, minerals-development, and transportation activities. For these reasons our role in carrying out the nation's mandates to protect our marine environment is of vital importance.

The Coast Guard's protection of natural resources role dates to the 1820s, when Congress tasked the Revenue Marine to protect federal stocks of Florida live oak. As the exploitation of the nation's valuable marine resources—whales, fur-bearing animals, and fish—increased, we were given the duty to protect these resources as well. Today, with our U.S. EEZ supporting commercial and recreational fisheries worth more than $30 billion annually, we serve as the primary agency for at-sea fisheries enforcement. But our role has expanded over the last few decades to include enforcing laws intended to protect the environment as a public good. As a result, we now actively protect sensitive marine habitats, marine mammals, and endangered marine species, and we enforce laws protecting our waters from the discharge of oil and other hazardous substances.

Protection of Natural Resources Missions

- Marine Environmental Protection
- Domestic Fisheries Enforcement
- Protected Living Marine Resource Law Enforcement

We conduct a wide range of activities—education and prevention, enforcement, response and containment, and recovery—in support of our primary environmental protection mission areas: maritime pollution enforcement, offshore lightering zone enforcement, domestic fisheries enforcement, and foreign vessel inspection. We also provide mission-critical command and control support and usually are the first responding force to environmental disasters on the seas.

In addition, we are typically the lead agency for any ensuing response effort. Under the National Contingency Plan, Coast Guard Captains of the Port (COTP) are the pre-designated Federal On-Scene Coordinators (FOSC) for oil and hazardous substance incidents in all coastal and some

inland areas. The FOSC is, in reality, the President's designated on-scene representative. As such, the FOSC is responsible for forging a well coordinated and effective response operation involving a diverse set of government and commercial entities in many emotionally charged and potentially dangerous emergency situations.

Maritime Mobility

The U.S. marine transportation system facilitates America's global reach into foreign markets and the nation's engagement in world affairs, including protection of U.S. national interests through a national and international regulatory framework governing trade and commerce. This system includes the waterways and ports through which more than 2 billion tons of America's foreign and domestic freight and 3.3 billion barrels of oil move each year, plus the intermodal links that support our economic and military security. It also includes international and domestic passenger services, commercial and recreational fisheries, and recreational boating. The Coast Guard is a leading force for providing a safe, efficient marine transportation system.

An HH-65A responds to an oil spill after the bulk tanker *New Carissa* ran aground one mile north of Coos Bay, Oregon, in February 1999.

Maritime Mobility Missions

- Aids to Navigation
- Icebreaking Services
- Bridge Administration
- Waterways/Vessel Traffic Management

The crew of the cutter *Hornbeam* (WLB 394) prepares to lift a buoy out of the water off Yorktown, Virginia.

The Coast Guard carries out numerous port safety and security, waterways management, and commercial vessel safety missions and tasks. We are responsible for providing a safe, efficient, and navigable waterway system to support domestic commerce, international trade, and the military sealift requirements for national defense. The services we provide include: long- and short-range aids to navigation; charting, tide/current/pilotage information through Notices to Mariners; vessel traffic services; domestic and international icebreaking and patrol services; technical assistance and advice; vessel safety standards and inspection; and bridge administration standards and inspection. The Coast Guard is also America's principal point of contact for international marine transportation issues in the IMO.

National Defense

Throughout our history, the Coast Guard has served alongside the U.S. Navy in critical national defense missions, beginning with the Quasi-War with France in 1798, through the Civil War, World Wars I and II, to the Vietnam War and the Persian Gulf War. The close relationship between our services and between our parent agencies has evolved through more than two centuries of cooperation, culminating in a 1995 agreement between the Secretaries of Defense and Transportation. This agreement assigns to the Coast Guard five specific national defense missions in support of the Unified Commanders-in-Chief (CINCs) in addition to our general defense operations and polar icebreaking duties. These missions—maritime interception operations; military

The cutters *Katmai Bay* (WTGB 101) and *Biscayne Bay* (WTGB 104) break ice in the Straits of Mackinaw on the Great Lakes.

environmental response operations; port operations, security, and defense; peacetime military engagement; and coastal sea control operations—require the Coast Guard to execute essential military functions and tasks in support of joint and combined forces in peacetime, crisis, and war.[1]

In recent years, the CINCs have requested Coast Guard cutters to conduct military interception operations, peacetime military engagement, and other supporting warfare tasks in all key areas of operations. They have done so because we offer unique and non-redundant capabilities and perform a vital, complementary role no other armed service can provide. Unlike the other services, we reach out to all elements of other countries' maritime interests and agencies, and our international humanitarian reputation often makes a Coast Guard presence much less threatening to foreign nations than would a purely military one.

National Defense Missions

- General Defense Operations
- Maritime Interception Operations*
- Military Environmental Response Operations*
- Port Operations, Security, and Defense*
- Peacetime Military Engagement*
- Coastal Sea Control Operations*
- Polar Icebreaking

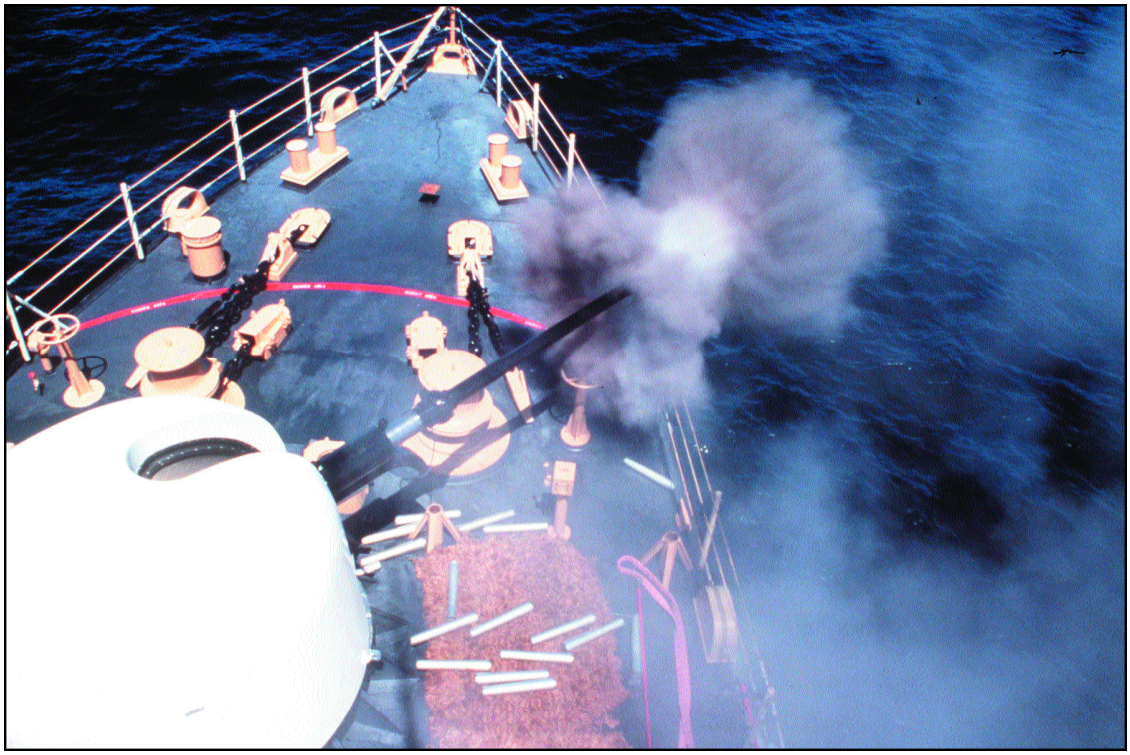
* Contained in DoT/DoD Memorandum of Agreement.

Like the other U.S. armed services, warfare is one of the Coast Guard's primary reasons for being. Because of our special multi-mission capabilities our units play unique roles in peacetime military engagement, humanitarian support, peacekeeping and peace-enforcement, crisis-response, and combat operations across the spectrum of U.S. global strategies and policies. We maintain a high state of readiness to operate as a specialized service within the Navy, and provide enormous value as a naval augmentation force for the nation to call upon as needed. We exercise command responsibilities for the U.S. Maritime Defense Zones (MDZ) and our extensive involvement in coastal and port maritime functions at home give us vital capabilities that can be used anywhere in the world they are needed.

The crew of the high-endurance cutter *Midgett* (WHEC 726) renders honors to the *Constellation* (CV 64) off the coast of Pusan, Republic of Kora, at the beginning of a six-month deployment to the Western Pacific and Arabian Gulf in 1999.

Finally, we operate the nation's only polar icebreakers, which enable our Service to project U.S. national presence and protect national interests in the Arctic and Antarctic regions. These polar vessels re-supply America's polar facilities and support the research requirements of the National Science Foundation.

The Coast Guard's ability to fulfill its roles—saving lives and property at sea; protecting America's maritime borders and suppressing violations of the law; protecting our marine environment; providing a safe, efficient marine transportation system; and defending the nation—makes us truly a unique instrument of national security. More than simply "guarding the coast," we safeguard the global commons and bring critical capabilities to the full-spectrum, multi-agency response needed to address America's national and maritime security needs.



A *Bear*-class medium endurance cutter fires its 76-mm/62-caliber gun during live-fire exercises.

Chapter Two: An Evolving Coast Guard

The Coast Guard's evolution parallels that of the United States, an "island nation" heavily dependent upon the seas surrounding it for commerce, resources, and a buffer against external threats. The predecessor agencies of the Coast Guard were created in response to threats to our nation's vital interests that arose as the nation grew. As those threats evolved, so did the agencies' duties and their relationships with each other. The eventual result was consolidation, beginning in 1915 with the merging of the Revenue Cutter Service and Life-Saving Service to form the U.S. Coast Guard. By 1946, the Coast Guard had assimilated the remaining agencies as well.

Since that time the Service has continued to add responsibilities. The result is that today's Coast Guard, which carries out civil and military responsibilities touching virtually every facet of the maritime environment, bears little resemblance to its collection of predecessor agencies. Yet the process of integrating these agencies, each with its own culture and characteristics, has shaped the Coast Guard in lasting ways. Understanding the evolutionary process that led to the modern Coast Guard thus provides insight into the unique nature of our Service and the principles of Coast Guard operations that flow from it.

Coast Guard history can be divided into six distinct periods. Our ability to uphold and protect the nation's enduring maritime interests expanded—though not always evenly—during each of these periods.

Coast Guard Predecessor Agencies
(Year Established)

Merged to Form the Coast Guard in 1915:

U.S. Revenue Cutter Service (1790)*
U.S. Life-Saving Service (1848)

Assimilated into the Coast Guard:

1939: U.S. Lighthouse Service (1789)
1946: Steamboat Inspection Service (1838) and Bureau of Navigation (1884)**

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* Congress gave the service originally known as the Revenue Marine this statutory title in 1863.

** The Steamboat Inspection Service and the Bureau of Navigation had been combined to form the Bureau of Marine Inspection and Navigation in 1932.

1790 TO 1865: REVENUE PROTECTION AND MORE

The founding of the Revenue Marine was stimulated by the financial needs of a new nation. After the Revolution, the United States was deep in debt and its emerging industries were under tremendous pressure from British imports. The American merchant marine, a mainstay of the colonial economy, had been weakened by losses in the war. To secure its political independence, the United States had to secure its financial independence. To accomplish this imperative, Alexander Hamilton, the first Secretary of the Treasury, proposed a bold economic plan relying heavily on income generated by customs duties and tonnage taxes that discriminated against foreign goods and ships.


Alexander Hamilton

Hamilton understood that in order for his plan to succeed "the Treasury needed a strong right arm"[2] to suppress smuggling and ensure duties and taxes were paid. He thus sought authorization from Congress to build "so many boats or cutters, not exceeding ten, as may be employed for the protection of revenue."[3] Enacted on 4 August, the Tariff Act of 1790 authorized the building of ten cutters, but did not define their exact specifications. The majority of those built were "Baltimore Clipper"-type, two-masted schooners: "light, fast, easily-managed, seaworthy vessels, handy in beating in and out of harbors and through winding river channels."[4] The Tariff Act also authorized a professional corps of 100—the Revenue Marine—charged with a single duty: assistance in the collection of customs duties and tonnage taxes.[5]

Hamilton also understood that for the new nation to earn customs duties and tonnage taxes, ships had to make it safely to port. Essential to that end were lighthouses, of which there were twelve in 1789, each erected and maintained by local interests.[6] Hamilton realized that lighthouses were of national value; therefore, he proposed to Congress that responsibility for all aids to navigation be given to the central government.


Boston Light is the site of America's first lighthouse, built in 1716. The first light was burned by retreating British forces during the Revolution. This is the second tower, built in 1783 and modified in 1859.

Congress agreed, and on 7 August 1789 the Treasury Department was given responsibility for constructing and maintaining all of the nation's aids to navigation.[7] In just its Ninth Act, the First Congress thus accepted that safety of life at sea is a public responsibility and "launched the national government upon its course of guarding the coast in the interest of safety and security afloat."[8]

Revenue Cutters for National Defense

For nearly seven years, Revenue Marine cutters were the only armed ships the

Periods in Coast Guard History

- 1790-1865: Revenue Protection and More
- 1865-1915: The Road to the Coast Guard
- 1915-1916: Establishment of the U.S. Coast Guard
- 1917-1946: A Service Forged by War, Crisis, and Consolidation
- 1946-1972: Sorting Out Roles and Missions
- 1973-Today and Beyond: A Unique Instrument of National Security

United States possessed, the Navy having been disbanded after the Revolution. Consequently, when the Quasi-War with France loomed in 1797 the Revenue Marine was available for duty, and Congress assigned the Service its first military tasks. In the same act that established the United States Navy, Congress authorized the President to augment the Navy with revenue cutters when needed.[9] Eight revenue cutters were subsequently deployed under Navy control along the U.S. southern coast and in the Caribbean from 1798 to 1799, where they performed national defense duties and preyed upon French shipping. At the conflict's conclusion the Navy retained three cutters and returned five to the Revenue Marine.

For the most part, the Navy considered the cutters to be too small and slow for strictly naval duties.[10] Nevertheless, the need for sufficient numbers and types of warships led to the Revenue Marine's participation in naval operations on many other occasions. With only six frigates in service, the Navy needed the services of more armed vessels as the nation entered the War of 1812 against Great Britain. Revenue cutters again were absorbed into Navy service, and one promptly captured the first British prize of the war.

Shallow-draft revenue cutters proved useful in the small conflicts that erupted along the North American coastline as the nation expanded. From 1836 to 1839, cutters engaged in littoral and riverine operations during the Seminole War in Florida. Revenue Marine vessels also participated in amphibious operations during the Mexican War in 1846-1848.

As the nation and the U.S. Navy grew, the relatively small numbers of armed vessels the Revenue Marine could contribute to national defense duties became relatively less important. However, the Service remained a repository for militarily useful, shallow-draft warships that were always in demand for littoral operations, and revenue cutter officers and crews performed many gallant actions in support of the Navy.

Battle Streamers* Earned 1790-1865

- 1790-1797: Maritime Protection of the New Republic**
- 1798-1801: French Quasi-War
- 1812: War of 1812
- 1820-1861: African Slave Trade Patrol
- 1822-1830s: Operations against West Indian Pirates
- 1835-1842: The Indian Wars
- 1846-1848: Mexican War
- 1861-1865: The Civil War

* For more information, look up "Battle Streamers" in the Glossary.

** Awarded solely to the Coast Guard.

The revenue cutter *Eagle* engages the French privateer *Bon Pere* in 1799 during the Quasi-War with France.

Supporting Maritime Trade

From its earliest days, Revenue Marine efforts were not single-mindedly focused on customs collections. Instead, the Service adopted a wider role of protecting and fostering—as well as regulating—marine transportation and trade. During the presidencies of George Washington and John Adams, the Revenue Marine began maintaining aids to navigation, assisting lighthouse personnel, and charting coastal waters. It also carried out various health and quarantine measures at major ports. On the law enforcement side, beginning in 1819 the Revenue Marine worked with the Navy to drive pirates out of the coastal waters of the southern Atlantic and Gulf of Mexico, clearing those areas of threats to traders.

The Service also took on the major task of finding and rescuing distressed mariners, something it had hitherto done on an *ad hoc* basis. In 1832, Treasury Secretary Louis McLane ordered Revenue Marine cutters to begin limited cruising during the winter months in order to provide assistance to mariners in distress. This experiment was so successful that in 1837 Congress authorized the President "to cause any suitable number of public vessels ... to cruise upon the coast, in the severe portion of the season ... to afford such aid to distressed navigators as their circumstances and necessities may require."[11] Thus began a tradition of assistance to life and property that today is one of the Coast Guard's most widely acclaimed missions.

During this same period steamboats were plying the nation's rivers and beginning to venture out to sea, but their boilers were notoriously unreliable and dangerous. In 1832, explosions destroyed fully 14 percent of all steamers in operation, with the loss of a thousand or more lives. The situation cried out for action, and in 1838 Congress enacted the first navigation law "better securing the lives ... on board vessels propelled in whole or in part by steam."[12] This Act, which gave U.S. district judges authority to appoint steamboat inspectors, is considered the beginning of an organization that would evolve over the next several decades into the Steamboat Inspection Service within the Treasury Department. It also launched what has become "an enduring national policy of regulating private enterprise in the interest of safety afloat."[13]

Almost ten years later, Congressman William Newell of New Jersey, who had personally witnessed the grounding of the bark *Terasto* and the death of her crewmen years earlier, set in motion a series of legislative moves that led to the formation of the U.S. Life-Saving Service (LSS). The LSS and the Revenue Marine worked together closely—revenue service personnel often were temporarily reassigned to the LSS, and cutters provided material support to lifeboat stations along the U.S. coast.

Law Enforcement in a Restive Nation

The Revenue Marine aided the federal government in enforcing its sovereignty over U.S. affairs. Its actions were not always popular in a country that was still searching for a balance between central and state power. Congress passed the Embargo and Non-Intercourse Acts in 1807 and 1809,

respectively, in an attempt to keep the United States neutral during the Napoleonic Wars. Both the Revenue Marine and the Navy were called upon to prevent proscribed trade—an uncomfortable policy that hurt large numbers of traders, shipping companies, fishermen, and coastal communities.[14]

Beginning in 1820, the Revenue Marine also began enforcing the laws against the importation of slaves, another duty that was not universally acclaimed. Revenue cutters captured a number of slave ships, but it was an exercise in frustration, because captured slavers rarely were successfully prosecuted in the courts. Despite the efforts of the Revenue Marine, the U.S. Navy and, later, the Royal Navy, the slave trade continued until the early 1860s.[15]

In 1832, the Revenue Marine was thrust into the national limelight when South Carolina refused to recognize U.S. tariff laws, challenging federal authority. President Andrew Jackson sent five cutters to Charleston "to take possession of any vessel arriving from a foreign port, and defend her against any attempts to dispossess the Customs Officers of her custody."[16] Due to its link to ocean trade and the revenue that it brought the U.S. Treasury, the Revenue Marine again became part of the federal government's "long arm"—a role it would reprise 29 years later as the country headed into civil war.

Revenue Cutters in the War Between the States

As war loomed after South Carolina passed its Ordinance of Secession in December 1860, the men and cutters of the Revenue Marine faced the same dilemma as their compatriots in the Army and Navy. "Each man in federal uniform was forced to decide, and to decide quickly, whether his supreme allegiance lay with a state or with the nation-state."[17] Men chose both ways, and the Revenue Marine lost men and cutters as a result.

Many, but not all, of those who remained were ordered by President Abraham Lincoln to combat service with the Navy.[18] The cutter *Harriet Lane*, which took part in the abortive relief expedition to Fort Sumter in 1861, is credited with firing the first naval shots of the Civil War.[19] Other cutters in service with the Navy performed blockade duty along the Atlantic coast, Chesapeake Bay, and Potomac River. Cutters not assigned to the Navy patrolled the shipping lanes to safeguard trade against Southern privateers and to assist distressed vessels at sea, and their usual duty of protecting the nation's customs revenue took on an added urgency since that income was critical to the Union war effort.

The revenue cutter *Harriet Lane* fires across the bow of the merchant ship *Nashville* as she enters the harbor at Charleston, South Carolina, in 1861 at the outbreak of the Civil War.

1865 TO 1915: THE ROAD TO THE COAST GUARD

In the aftermath of the Civil War, the nation's continued territorial growth and the ongoing expansion of its overseas trade highlighted the need for a more effective and efficient Revenue Marine and Life-Saving Service. Reforms that began in the late 1860s ultimately improved the Services' ability to serve the nation and laid the groundwork for the formation of the modern Coast Guard.

Sumner Kimball and Service Reform

Battle Streamers Earned 1865-1915

- 1898: Spanish-American War

In 1869, George Boutwell, Secretary of the Treasury under President Ulysses S. Grant, formed an interim Revenue Marine Bureau under the leadership of N. Broughton Devereux. He in turn established boards designed to overhaul and reorganize the Revenue Cutter Service (RCS), as it was now known.[20] The Revenue Marine Bureau became a permanent agency in 1871 under Treasury official Sumner I. Kimball.

Sumner I. Kimball

Kimball immediately set out to increase the professionalism of the RCS. Six months after taking office he issued revised RCS regulations that provided for economy of operations, centralized control of the Service in headquarters, and officer accessions and promotions based on merit rather than political influence or seniority. Meanwhile, Bureau Chief Devereux's personnel board, headed by Captain John Faunce, USRCS, reviewed the qualifications of every RCS officer and removed those found to be incompetent or otherwise unfit for duty. Officers retained were given rank equal to their capabilities, and were thereafter promoted based on the results they achieved on the professional examinations mandated in Kimball's regulations. As a result, by 1872 Kimball could proclaim his junior officer corps the best the RCS had ever possessed.[21] To ensure a continuous supply of competent junior officers, Kimball persuaded Congress in 1876 to authorize establishment of a training school, thus laying the foundation for the U.S. Coast Guard Academy.[22]

Kimball and his staff also implemented the recommendations of Devereux's other board, which had analyzed the cutter fleet. Kimball reduced fleet tonnage by replacing large, aging cutters with smaller, speedier, and more efficient ones sized according to the needs of the ports where they were to be stationed. He also steadily replaced sail vessels with steamers. As a result, while from 1872 to 1881 the fleet size increased by just one cutter, 60 percent of the vessels had been built since 1869 and the ratio of steamers to sailing cutters had risen from 2.5:1 to nearly 8:1.[23] Thanks to the reforms of Kimball, Devereux, and Faunce, the RCS now boasted a highly professional corps manning modern cutters well suited to their mission.

Upon appointment as chief of the Revenue Cutter Service, Kimball also instituted a program of inspecting the life-saving stations in New Jersey and Long Island, New York, where he discovered appalling conditions. As a result of his findings, Congress appropriated funds to establish the Life-Saving Service as a branch under the supervision of the RCS, to build lifesaving stations in states that did not already have them, and to staff the stations with paid surfmen. Kimball reorganized the RCS to accommodate the LSS and applied his considerable talents to systematically improving readiness, training, personnel, and equipment standards. During this period the LSS also increased its reach, expanding to cover the Gulf of Mexico, Great Lakes, and Pacific coast of the United States.[24]

The Lifesaving Medals

When Congress passed the Life-Saving Act of June 20, 1874, it established First and Second Class Medals to recognize daring and heroic rescues on the waters of the United States. The medals were renamed the Gold (First) and Silver (Second) Lifesaving Medals in 1882. The Gold Lifesaving Medal is awarded for demonstrating extreme or heroic daring while rescuing or attempting to rescue persons in peril on the water at the risk of one's own life. The Silver Lifesaving Medal is awarded for extraordinary effort that does not reach the criteria for the Gold Lifesaving Medal.

Despite Kimball's effort to inculcate discipline and professionalism, the Life-Saving Service was plagued by claims that unqualified lifesavers were given their jobs solely for reasons of politics and patronage. Compounding the situation were several high profile tragedies, chief among them the loss of the warship *Huron* in November 1877 and the steamer *Metropolis* in January 1878, which produced a tremendous outcry against the LSS. Recognizing the need to improve rescue operations, on 18 June 1878, Congress passed legislation authorizing the construction of a number of additional lifesaving stations, removing the Life-Saving Service from the Revenue Cutter Service, and appointing Sumner Kimball general superintendent of the new Service.[25] Kimball steadily eliminated the system of political patronage that had grown with the LSS, replacing it with one based upon technical competence and non-partisanship. Coordination with the Revenue Cutter Service remained, however, since RCS officers continued to serve as inspectors and auditors for the lifesavers.

Growing Civil Duties

Meanwhile, the United States had purchased the territory of Alaska in 1867, giving the Revenue Cutter Service a new set of sovereignty and resource protection responsibilities. In addition to increased law enforcement obligations, the RCS performed many civil and humanitarian duties, mounted scientific expeditions, protected fish and game, and was entrusted by the Bureau of Education to deliver teachers to the native peoples. Overall, the RCS was instrumental in establishing the power of the federal government in Alaska. In fact, one could say that for many years the RCS *was* the government along western Alaska's coast.

With the growth of the American merchant marine, the marine safety and waterways management work of the revenue cutters—supporting marine transportation and trade—also expanded. Although they acted without a clear statutory mandate, cutter crews had long performed many tasks related to the safety of harbors and cruising grounds. In 1889, however, Congress passed laws to regulate anchorages, giving the Revenue Cutter Service the duty of enforcing these new laws. In 1906, lawmakers authorized the Service to clear derelict hulks from harbors and their approaches. And, in 1910, the Service was given authority over some aspects of pleasure boating.

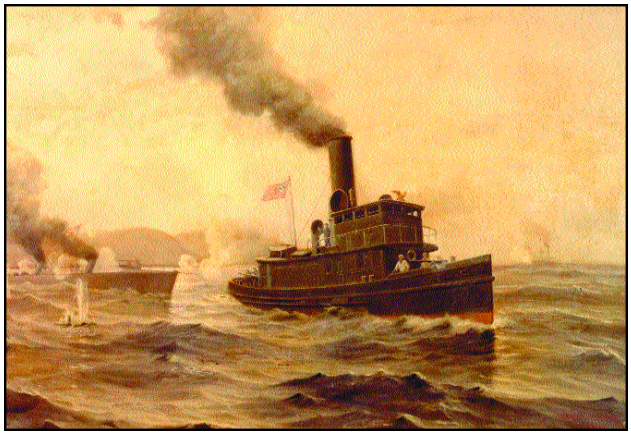
The mission of safety at sea became important internationally with the sinking of the *Titanic* in 1912 with the loss of more than 1,500 lives. This tragic event led the Revenue Cutter Service to assume ice patrol duties the following year when the Navy, which originally had assigned two cruisers to perform the mission, announced that it needed the warships elsewhere. Private shipping and port organizations petitioned the Treasury Department to assign revenue cutters to what they considered an extremely valuable effort. The department granted its permission, and two cutters undertook the mission. The assumption of this seemingly natural function, which the Coast Guard has now conducted without incident for more than 85 years, reflected long-standing RCS practice in the Bering Sea.

The last half of the nineteenth century also saw the RCS expand its mission of protecting marine resources. RCS personnel patrolled the Pribilof Islands off Alaska to prevent the ongoing slaughter of seals. The Service also worked with the Bureau of Fisheries to encourage proliferation of "food fishes" and regulated the harvesting and sale of sponges in the Gulf of Mexico.

Spanish-American War

By 1898, both the Navy and the Revenue Cutter Service were more modern, professional organizations than they had been on the eve of the U.S. Civil War. Reflecting this state of affairs, the transfer of revenue cutters to Navy control during the Spanish-American War went relatively smoothly.

Crewmen from the revenue cutter *Bear* haul supplies to whaling vessels trapped in the ice near Point Barrow, Alaska, in 1888.



The revenue cutter *Hudson* during a joint Navy-Revenue Cutter Service raid on Spanish gunboats in Cardenas Bay, Cuba, during the Spanish-American War in 1898.

For three years prior to the outbreak of war, RCS cutters had conducted neutrality patrols that stretched from the waters off North Carolina to the Gulf of Mexico. They seized ships suspected of violating U.S. neutrality and smuggling ammunition and other supplies to Cuban rebels.

All of this changed with the executive order directing the RCS to provide cutters to the Navy. Eight cutters joined Rear Admiral William Sampson's North Atlantic Squadron on blockade duty off Cuba. Another cutter served as an escort and dispatch boat with Commodore George Dewey's Asiatic Squadron, which defeated a Spanish naval force at Manila Bay, Philippines. Elsewhere, eleven cutters served under the Army's tactical control, guarding important U.S. ports on the east and west coasts against possible attacks by Spanish raiders or warships.[26]

Once again, the Revenue Cutter Service provided important inshore support to the Navy. For instance, at the specific request of President William McKinley, Congress awarded medals to the officers and the crew of the cutter *Hudson* recognizing their bravery under fire during a combined Navy/Revenue Cutter Service raid on Spanish gunboats in Cardenas Bay, Cuba.[27]

1915 TO 1916: ESTABLISHMENT OF THE U.S. COAST GUARD

The process that resulted in the formation of the U.S. Coast Guard actually began with an attempt to abolish the Revenue Cutter Service. In 1911, President William Taft appointed his economic adviser, Frederick A. Cleveland, to lead a commission to recommend ways to increase the economy and efficiency of government. The Cleveland Commission concluded that uni-functional agencies were more efficient and economical than multifunctional ones. The commission thus recommended combining the Lighthouse Service and Life-Saving Service, with their similar "protection" function, and recommended apportioning the duties and assets of the multifunctional RCS among other government agencies and departments. In particular, larger cutters and their crews would be transferred to the Navy.

The Treasury, Navy, Commerce and Labor departments were asked to comment on the report. Secretary of Commerce and Labor Charles Nagel agreed that other departments could perform many RCS duties, but none could perform its lifesaving mission. This mission probably could be accomplished best, he wrote presciently, by combining the RCS, the Life-Saving Service, and the Lighthouse Service. While not sure where this new combined service should reside within the government, Nagel was adamant that it should not be in the Navy Department.

For its part, the Navy Department stated that it could use the RCS cutters, since it was short of smaller, shallow-draft ships. But Secretary of the Navy George Meyer did not relish absorbing RCS personnel into the Navy. Moreover, he wrote:

> It is true that the chief functions of the Revenue Cutter Service can be performed by the Navy, but this cannot be done as stated in the Cleveland report in the regular performance of their military duties. All duties which interfere with the training of personnel for war are irregular and in a degree detrimental to the efficiency of the fleet.[28]

The final responses came from Secretary of the Treasury Franklin MacVeagh and Revenue Cutter Service Captain-Commandant Ellsworth Price Bertholf. MacVeagh in particular was defiant in defense of the Service. He pointed to the close and successful working relationship that the RCS and the Life-Saving Service had developed, a relationship that would be severed by the abolition of the Revenue Cutter Service. He also took the Cleveland Commission to task over the alleged "efficiencies" that spreading RCS duties across the government would generate. Finally, he echoed the Navy's argument concerning the nature of RCS and Navy duties, stating:

> [The Navy] could never give the kind and degree of attention that is required of the Revenue Cutter Service and its officers and men trained in their particular duties for 120 years. The [RCS's] work is alien to the work of the Navy, alien to the spirit of the Navy, and alien, I think, to its professional capacities and instincts—alien certainly to its training and tastes.[29]

Ellsworth Price Bertholf

Nevertheless, in April 1912, President Taft sent to Congress the Cleveland Commission's final draft, and the other comments, with his recommendation that the legislators adopt the commission's findings. RCS supporters within the federal government, the press, and the general public fought the move, citing the Service's heroic rescue work in particular as a reason not to disband the agency.

> *There will not be two services. There will not be a Life-Saving or a Revenue Cutter Service. It will be the coast guard*.
>
> — Captain-Commandant Ellsworth Price Bertholf, testifying on the RCS/LSS amalgamation, 1915

Meanwhile, Secretary MacVeagh ordered Bertholf and Sumner Kimball, head of the Life-Saving Service, to draft legislation that would join the RCS and LSS in a new service. When Taft and MacVeagh left office after the 1912 election, President Woodrow Wilson and his Treasury Secretary, William Gibbs McAdoo, strongly supported the bill combining the two services. The Senate passed the bill in 1914 and the House passed it on 20 January 1915, after a debate that centered more upon cutter officer and surfmen pay and retirement benefits than conceptual issues.

Combining the civilian Life-Saving Service and the military Revenue Cutter Service—organizations with vastly different cultures—into a single military service presented Captain Bertholf, who was named the first Coast Guard Commandant, a delicate challenge. Bertholf was absolutely convinced that the military character of the RCS had to prevail, but large numbers of the life-savers had no desire to change status. Consequently, while the Life-Saving Service and Revenue Cutter Service were joined at the top in 1915, they operated as separate entities within the Coast Guard for more than 15 years. However, events soon would accelerate the development of a twentieth-century maritime security force formed by the union of these two nineteenth-century institutions.

1917 TO 1945: A SERVICE FORGED BY WAR, CRISIS, AND CONSOLIDATION

Approximately two years after its founding, the Coast Guard was plunged into war. World War I was the first in a series of events that would shape the Service during the next several decades and expand its maritime duties. Some of these events, such as Prohibition and World War II, permanently increased the size of the Coast Guard.

Battle Streamers Earned 1917-1938

- 1917-1918: World War I
- 1926-1927, 1930-1932: Yangtze Service

The Coast Guard in the Great War

World War I saw the Coast Guard transferred to the Navy to fight overseas. In previous wars, RCS cutters had operated with the Navy but the Revenue Cutter Service itself had remained under Treasury Department control. During the Great War, however, the entire Service was transferred to Navy control as prescribed in the act that created the Coast Guard.

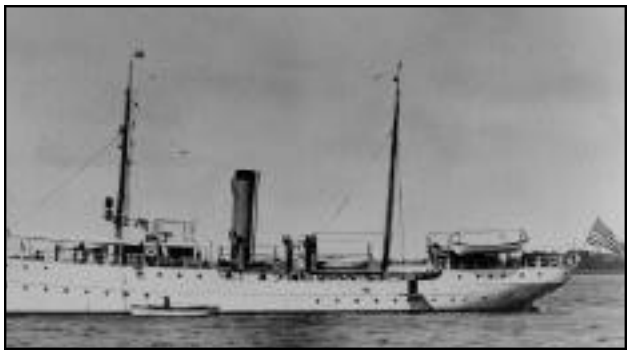
In the period leading up to America's entry into the war, the Coast Guard and Navy began rudimentary planning for integrating the Coast Guard into naval operations—a first in the history of both services. For the most part, the Navy believed that Coast Guard forces would be best suited for coastal patrol although a few of the larger cutters were designated for convoy escort operations. The services did not develop any detailed plans, but Coast Guard units did participate in some naval preparedness drills.

The Coast Guard was actually mobilized and transferred to the Navy in April 1917. The Service sent six cutters to European waters that summer. For the remainder of the war, the cutters escorted convoys between Gibraltar and the British Isles. They also performed escort and patrol duties in the Mediterranean.

At home, one of the Coast Guard's major tasks was port security. Concern over the possibility of sabotage and accidents was acute in the aftermath of an October 1917 shipboard explosion in the port of Halifax,

Nova Scotia. In that incident, a French steamer loaded with ammunition collided with another vessel and caught fire. The resulting explosion leveled a large portion of the town and caused more than 1,000 civilian deaths and numerous other casualties. U.S. ports handled more war time shipping than Halifax, making the issue of port security even more pressing. As a result, the Treasury Department, working closely with the Navy, established Coast Guard Captain of the Port offices in New York, New York; Philadelphia, Pennsylvania; Norfolk, Virginia; and Sault Ste. Marie, Michigan. The New York office soon became the Coast Guard's largest command.

Thus, the Coast Guard's role of ensuring maritime mobility in U.S. ports and waterways expanded considerably. Along the remainder of the U.S. coast, lifesaving station personnel doubled as coast-watchers, maintaining a lookout for potential infiltrators. To facilitate the reporting of suspicious activity, many lifesaving stations were tied into the Navy's communication system, which had the effect of improving the Coast Guard's peacetime communications as well.



The Coast Guard cutter *Tampa*, which was sunk by a German torpedo in September 1918, with 131 crewmen aboard.

Interdiction and Build-Up

When the war ended in November 1918, cutters gradually began to return from overseas service, but the Coast Guard did not pass immediately back to Treasury Department control. A new political storm brewed as proponents from the Navy (including Navy Secretary Josephus Daniels), Congress, and even Coast Guard officers from the old Revenue Cutter Service, struggled to keep the Service permanently under the Navy Department. The Navy was determined to retain control of all government vessels, and most Coast Guard officers did not wish to relinquish the more generous pay, promotion, and social benefits that accrued to Navy officers. But in 1919—after strong protests and canny lobbying by Captain-Commandant Bertholf and Treasury Secretary Carter Glass—the Service was returned to the Treasury Department.

Still, the period immediately following World War I was the most difficult the Coast Guard ever faced. Within just a few years, however, the Service would experience its greatest peacetime growth. The catalyst for this expansion was the 1920 National Prohibition (Volstead) Act, which prohibited the manufacture, sale, and transportation of alcoholic beverages. With no other federal agency prepared to enforce the new law at sea, much of the burden of enforcing the Volstead Act fell to the Coast Guard.

The Coast Guard began its enforcement effort with just over 100 vessels to cover the vast expanses along the shores of the Atlantic, Pacific, and Gulf coasts. This situation created several years of relative inef-

fectiveness. Beginning in 1924, however, Congress appropriated funds sufficient to allow the Service to begin a major expansion to meet its responsibilities under the law. Over the next ten years, the Coast Guard budget increased dramatically and the Service grew accordingly. The enlisted force tripled in size, as did the fleet. The Service acquired and refurbished 20 obsolete Navy destroyers for use in picketing the foreign supply ships that lay offshore, outside U.S. territorial waters. A large force of specially designed Coast Guard patrol boats and harbor craft, plus a number of seized smuggling vessels, patrolled inshore waters and pursued the rumrunners' contact boats. When even this proved insufficient, the Coast Guard began using aircraft to report suspicious vessels. This action marked the rebirth of Coast Guard aviation.[30]

While this buildup and decade-long effort did have a deterrent effect on the rumrunners, the interdiction effort ultimately failed because the law was unpopular and the demand for alcohol never ceased. In 1933, Congress finally repealed the Volstead Act. Still, the Coast Guard benefited from its Prohibition experience. Patrol boats built during this period conducted numerous missions for many decades and served as prototypes for later vessel classes. Coast Guard communications equipment and procedures and intelligence methods were significantly improved. Tactics and techniques developed to combat the rumrunners would be used decades later to combat drug smugglers. And the Service developed international law expertise through its efforts to increase the limit of the territorial sea from three to 12 nautical miles.

One of 20 former Navy destroyers transferred to the Coast Guard for deepwater interdiction duties during Prohibition.

The Waesche Consolidation

After Prohibition, Rear Admiral Russell R. Waesche, Sr., Coast Guard Commandant from 1936 to 1945, guided one of the greatest transitions in the Service's history. In many ways, his vision was responsible for today's Coast Guard. Waesche oversaw the addition of many responsibilities, the most sweeping of which was Congress' authorizing the Coast Guard to enforce all U.S. laws at sea and within territorial waters. Prior to this, most observers had presumed that the Coast Guard had sweeping law enforcement authority at sea. However, a 1927 Supreme Court case had called this authority into question. At the Treasury Department's request, in 1936 Congress clarified the situation, granting Coast Guard personnel the authority to make "inquiries, examinations, inspections, searches, seizures, and arrests upon the high seas and the navigable waters of the United States."[31] The Service was also tasked to break ice in the nation's harbors and channels, and it took on a small role in the certification of merchant seamen. That role expanded in 1938 to include administration of the U.S. Maritime Service, formed that

year to improve the efficiency of merchant mariners.

Waesche also saw the need to regulate boating activity in the nation's waters. Lacking the manpower to perform this function, in 1939 he created the volunteer force now called the Coast Guard Auxiliary to meet this specific need. By 1940, the Auxiliary had 2,600 personnel and 2,300 boats that augmented the Coast Guard at a fraction of the cost of a full-time force. Waesche's greatest force multiplier, however, was the Coast Guard Reserve, created in 1941, which gave the Coast Guard the potential to perform many roles and missions that would otherwise be impossible for a small service.[32]

Also in 1939, as part of President Franklin D. Roosevelt's reorganization plans, the U.S. Light-house Service was placed under the Coast Guard. Waesche welcomed this addition, recognizing that it gave the Coast Guard an all-encompassing role in ensuring the safety of the nation's waterways. Absorbing the Lighthouse Service also added nearly 50 percent more civilians to the Service, caused a district reorganization, and brought many of the lighthouse personnel into the Service's military organization.

Additional responsibilities continued to accrue throughout Waesche's tenure. In 1940, for example, the Coast Guard was tasked with open-ocean weather patrol duties in the northern Pacific Ocean and the North Atlantic, a service it would continue to perform for nearly 40 years.

Russell R. Waesche, Sr.

National Defense to the Fore

With the outbreak of war in Europe in 1939, the Coast Guard—having had its civil responsibilities vastly increased since World War I—once again shifted focus to emphasize military preparedness, with its forces playing a major role in asserting national sovereignty over U.S. waters and shipping. The Coast Guard began carrying out neutrality patrols in the North Atlantic in September 1939 and put port security forces on a wartime footing the following June.

U.S. strategists also were concerned that Germany would establish a military presence on Greenland, which had been incorporated in the U.S. hemispheric defense system, and sought to station U.S. armed forces on the frozen island. The State Department believed that the dispatch of military forces to Greenland would be unnecessarily provocative.[33] Eventually, however, the Coast Guard was deemed an acceptable U.S. military presence, and so in April 1941 the Coast Guard took responsibility for cold-weather operations in Greenland.

Battle Streamers Earned 1939-1945

- 1939-1941: American Defense Service
- 1941-1942: Philippine Defense
- 1941-1946: World War II – American Theater
- 1941-1946: World War II – Pacific Theater
- 1941-1945: World War II – European-African-Middle Eastern Theater
- 1944-1945: Philippine Liberation
- 1941-1942, 1944-1945: Philippine Independence and Philippine Presidential Unit Citation
- 1945: World War II Victory

Other WW II:
Croix de Guerre (France), Presidential Unit Citation, Navy Occupation Service

By Executive Order 8929 of 1 November 1941, roughly a month before the Japanese attack on Pearl Harbor, Hawaii, President Roosevelt transferred the Coast Guard to the Navy for the second time in its history. Thereafter, Coast Guard cutters and aircraft performed extensive convoy protection duties in the Atlantic (sinking 12 German U-boats), while other Service craft performed area anti-submarine patrols. Coast Guard craft rescued the survivors of torpedo attacks off the U.S. coast, while Coast Guard coast-watchers maintained beach patrols and guarded U.S. ports. This wartime mission once again foreshadowed a future peacetime mission—in this case the Service's Maritime Defense Zone duties. Coast Guard personnel manned Navy destroyer escorts as well as Navy and Army amphibious ships and craft, and took part in every major amphibious invasion of the war.

Allied troops wade to shore from a Coast Guard-crewed landing craft during the Normandy invasion, 6 June 1944.

Coast Guard personnel served in-theater around the globe during the war years, but the Service also made a significant contribution to the war effort in rear areas, protecting and facilitating the movement of men and materiel by sea. Coast Guard activities in the maritime mobility area—providing port security, supervising the movement of dangerous cargoes, controlling merchant vessel traffic, maintaining aids to navigation, and breaking ice—often

received less public attention than its direct combat duties, but they were indispensable to prosecution of the war.[34]

World War II also gave the Coast Guard the opportunity to experiment and innovate. A Coast Guard officer, Lieutenant Commander Lawrence M. Harding, shepherded development of a new electronic long-range aid to navigation—LORAN—and the subsequent development of a LORAN network.[35]

During the war a few far-sighted officers doggedly pursued the development of helicopters for use in search and rescue, law enforcement, and anti-submarine patrol. Initially cool to the idea until after a demonstration, Admiral Waesche urged Chief of Naval Operations Admiral Ernest King to develop the helicopter for naval use. King in turn ordered the Coast Guard to obtain helicopters for use in anti-submarine surveillance. The Service acquired a handful of aircraft and trained Coast Guard, Navy, and British aircrews to fly them. While they never demonstrated much success against submarines, these helicopters demonstrated an immediate usefulness in search and rescue, foreshadowing the role for which they eventually would become famous.

An HNS-1 helicopter, piloted by Coast Guard Lieutenant, j.g., Stewart Graham, lifts off from the converted merchant ship *Daghestan* in January 1944, while in convoy from New York to Liverpool, England.

In addition to driving mission and technological innovation, the war had a major effect on the size and shape of the Service. During the war years the Coast Guard experienced a nearly ten-fold increase in personnel strength. The Roosevelt Administration also thought it would be convenient and cost-effective to consolidate the functions of the Bureau of Marine Inspection and Navigation into the Coast Guard. The roots of this agency stretched back to 1838, when the Steamboat Inspection Service was created. In 1932, this agency had merged with the Bureau of Navigation, which had been created in 1884. Now called the Bureau of Marine Inspection and Navigation, this civilian agency joined the Coast Guard permanently in 1946. As a result, Coast Guard missions now touched every facet of domestic maritime activity. The Service's duties expanded overseas as well, as the United States took the lead in shaping the postwar world.

1946 TO 1972: SORTING OUT ROLES AND MISSIONS

Battle Streamers Earned 1946-1965

- 1945-1957: China Service
- 1950-1954: Korean Service
- 1958-1965: Armed Forces Expeditionary Service

The post-World War II period brought further changes as the Coast Guard inherited new missions and once again had its roles redefined and broadened. Perhaps foreseeing this expansion, and mindful of the growing pains the Service had suffered during the war, the far-sighted Waesche created a

committee in 1944 to develop a comprehensive plan to retain after the war the functions the Service had absorbed in the 1930s and 1940s.

The 1948 Ebasco Study pointed to an agency that was under-manned and under-equipped to perform its myriad and wide-ranging missions. This led to legislation formally delineating the Coast Guard's duties. These included port management, control, and security functions; vessel traffic services; coastal security; and some military roles.

An International Role in Peacetime and in War

The Coast Guard obtained a global peacetime presence as part of its efforts to safeguard transoceanic navigation. The Service retained operational control over a regional wide-area system of LORAN transmitter sites. Support for a burgeoning civilian aviation system also led to Coast Guard cutters continuing to man a system of open-ocean weather stations until 1977, by which time improvements in weather forecasting and aircraft navigation and safety had made the service unnecessary. On-scene to provide weather and communications support to transatlantic and transpacific flights, cutters on ocean station duty conducted several high profile at-sea rescues of the passengers and crews of civil and military aircraft. Perhaps the most significant of these was the rescue of 62 passengers and 7 crewmembers from the flying boat *Bermuda Sky Queen* by the cutter *Bibb* operating on a mid-Atlantic ocean station. Cutters continued to conduct international ice patrols as well, although this duty eventually became the province of Coast Guard aircraft detachments.

The Coast Guard's flexibility and diverse capabilities allowed the Service to support broader American political and military policy overseas in the post-war period. For instance, the Service helped establish the Japanese Maritime Safety Agency and the navies of Korea, the Philippines, and other countries. It also participated (and still participates) in numerous military exercises, including UNITAS exercises with South American navies, and has conducted training with small navies and coast guards around the world.

The Coast Guard participated only marginally in the Korean War. During the Vietnam War, however, the Coast Guard played a major role in "Operation Market Time," which involved the interdiction of trawlers being used by North Vietnam for infiltration and resupply activities.

Working together, the U.S. Navy and the South Vietnamese Navy (VNN) had attempted to halt the flow of men and materiel, but the VNN's lack of training and the U.S. Navy's lack of shallow-draft warships and expertise operating in coastal waters frustrated the effort. Navy Secretary Paul Nitze, therefore, wrote Treasury Secretary Henry Fowler for assistance. After noting the Seventh Fleet's deficiencies, Nitze wrote: "We are therefore attempting to locate a source of more suitable patrol craft. Such characteristics as high speed, shallow draft, sea-keeping ability, radar, and communications equipment are important considerations."[36]

Battle Streamers Earned 1962-1975

- 1962-1975: Vietnam Service

Other Vietnam:
- Navy Unit Commendation
- National Defense Service
- Army Meritorious Unit Commendation
- Navy Meritorious Unit Commendation
- RVN Armed Forces
  - Meritorious Unit Commendation, Gallantry Cross w/Palm
- RVN Meritorious Unit Citation, Civil Actions Medal First Class Color w/Palm

Coast Guard Commandant Admiral Edwin Roland believed that Coast Guard forces were tailor-made for the mission. He also feared that if the Coast Guard did not play a greater role than it had during the Korean War, the Service might lose its status as an armed service. Consequently, after deliberations in Washington and in the field, 26 Coast Guard 82-foot patrol boats (WPBs) and their crews were assigned to Market Time.

In March 1967, when the Navy needed additional destroyers for naval gunfire support duties, it looked to U.S. Navy ships conducting Operation Market Time. Secretary Nitze turned again to the Coast Guard to fill the gaps in surveillance and interdiction opened by this move, requesting "that the Treasury Department assist the Department of the Navy by assigning five high-endurance cutters to augment Market Time forces."[37] The Coast Guard responded by deploying a squadron of high-endurance cutters (WHEC).

Together, Coast Guard, Navy, and VNN assets formed a gauntlet through which Viet Cong vessels had to run. Navy patrol aircraft monitored vessels more than 100 nautical miles from the coast. Navy radar picket ships and WHECs formed a second barrier 40 nautical miles out. Coast Guard patrol boats, Navy Swift boats, and VNN junks formed the final barrier just off the coast and up South Vietnam's rivers. By the end of Operation Market Time, the Coast Guard had boarded nearly a quarter of a million sampans and junks and destroyed more than 2,000. The maritime border of South Vietnam was sealed and taken away as a resupply route for communist forces.

Five Coast Guard 311-foot, high-endurance cutters assigned to Operation Market Time in Vietnam tied up alongside the Navy repair ship *Jason* (AR 8).

Expanding Civil Responsibilities

The Coast Guard's civil duties continued to expand in the period following World War II. In 1958, the Service developed AMVER, the Automated Mutual-assistance Vessel Rescue system, a ship reporting system able to identify other ships in the area of a ship in distress that then could be sent to assist.[38] In 1965, the Service took responsibility for coordinating all search and rescue operations in U.S. waters, and that same year accepted responsibility for all of the nation's icebreaking duties. Until then, both the Navy and the Coast Guard had performed icebreaking duties. When the Navy decided its personnel and resources should be devoted more to traditional naval combat operations, however, it offered the mission and its five-ship icebreaking fleet to the Coast Guard. The two services signed a memorandum of understanding and the ships were gradually phased into the Coast Guard, which now became the primary U.S. surface presence in the polar regions.

Meanwhile, the Coast Guard's traditional maritime law and sovereignty enforcement role remained important. Circumstances in Cuba, for example, handed the Service a greater role in enforcing U.S. immigration policy and controlling the flow of sea-borne migrants. The Coast Guard began patrols to enforce U.S. neutrality and to aid Cuban refugees in the Florida Straits in 1961. Then, in 1964, the Camarioca boatlift first tested the Service's ability to respond to a mass exodus. Repeated mass migrations from Cuba and Haiti over the next three decades would hone Coast Guard capabilities in this area.

The crew of a Coast Guard patrol boat, on duty with U.S. naval forces in Vietnam, searches a Vietnamese craft for weapons and supplies.

Finding a New Home

As the years progressed, the Coast Guard found itself in a familiar situation. The Service performed so many types of maritime missions, in so many locales, and for so many purposes, that the Service did not fit perfectly in any one federal department. While the Service and most of its predecessors had been part of the Treasury Department since their founding, the traditional, direct link between revenue collection and the Service had faded.

The result was President Lyndon Johnson's decision to include the Coast Guard in the newly formed Transportation Department in April 1967. In the beginning, Treasury Secretary Fowler and Coast Guard Commandant Roland protested, but the President had already decided that many Coast Guard functions belonged in the new department. Rather than see those functions stripped from the Service, Roland

cooperated in the transfer. Nevertheless, he successfully communicated his concern that the Coast Guard remain a military service.[39]

1973 TO TODAY AND BEYOND: A UNIQUE INSTRUMENT OF NATIONAL SECURITY

In the post-Vietnam era, the United States has continued to face complex and varied threats. Increasingly, the Coast Guard's unique status as military service and law enforcement agency has brought it to the forefront of U.S. maritime security efforts. For instance, social upheaval in the Western Hemisphere highlighted the critical importance of the Coast Guard's alien migrant interdiction mission. The Service faced the challenge of mass migrations from Cuba in 1980 and 1994 and from Haiti in 1992 and 1994.

The influx of illegal drugs also came to the fore as a national security problem in the 1970s. The Coast Guard took on the primary maritime interdiction role, and eventually expanded its Caribbean presence to disrupt the illegal drug supply chain along its entire length. The Service's efforts effectively neutralized the seaborne importation of marijuana, which slowed to a trickle after a prolonged and concerted Coast Guard effort. Unfortunately, as the marijuana trade dried up, the shipment of cocaine began to increase.

Battle Streamers Earned 1973-Present

- 1991-1995: Southwest Asia Service

The Coast Guard's environmental protection responsibilities grew as well. While the Revenue Marine had been tasked with duties protecting valuable natural resources as early as 1822,[40] and the marine environment as a whole beginning with the Refuse Act of 1899,[41] growing environmental awareness in the United States pushed the Coast Guard deeper into the anti-pollution realm.

The *Torrey Canyon* and *Amoco Cadiz* disasters led to the Federal Water Pollution Control Act of 1972, in which Congress set a no-discharge standard for oil in U.S. navigable waters. The practice of discharging shipboard oily residues at sea led to an October 1973 convention adopted by the International Conference on Marine Pollution prohibiting oil discharges within 50 miles of shore.

Given responsibility for coordinating and administering oil spill clean up in the maritime realm, the Coast Guard deployed a multi-faceted strategy for responding to spills and identifying responsible parties. The Service developed techniques to detect spills from the air and to match samples of spilled oil to the oil remaining in the tanks of suspected polluters. Three Strike Teams composed of Coast Guard personnel trained to operate special oil spill clean-up equipment were stood up, one each on the Atlantic, Pacific and Gulf coasts. And each Captain of the Port identified a local network of contractors who could respond to spill reports.

Yet the spills continued. On 15 December 1976, the Liberian tanker *Argo Merchant*, carrying 7.5 million gallons of oil, grounded

off Nantucket Island, Massachusetts. While favorable winds drove the oil out to sea instead of onto the beaches of New England, this ecological near-miss, together with the fourteen more tanker accidents that occurred in or near American waters during the next ten weeks, led to the Port and Tanker Safety Act of 1978. This legislation created a 200-mile pollution control zone and authorized the Coast Guard to force substandard foreign tankers out of the U.S. trade.

The 1989 *Exxon Valdez* oil spill in Prince William Sound, Alaska, however, had the greatest impact on the Coast Guard's role as protector of the marine environment. The Service would not only oversee the cleanup, but the Oil Pollution Act of 1990 (OPA 90) passed by Congress in the wake of the spill gave the Coast Guard one of its single largest legislative mandates in its history. OPA 90 assigned the Service a significantly increased role in spill response, vessel inspection, and the oversight of liability actions.

Another rising environmental concern in the 1970s pertained to the perceived depredation of America's abundant fisheries resources by large foreign fishing fleets. In the 1950s, the United States had implemented several international conventions intended to protect certain fish stocks. The Coast Guard documented violations by foreign fishing vessels but had little direct enforcement authority. Congress addressed the situation in 1964 with the Bartlett Act, which prohibited foreign fishing in U.S. territorial waters and authorized the seizure of foreign vessels in violation of the act. Later amendments expanded the protected area to include the 12-mile contiguous zone and increased the maximum penalty for violations.

In 1976, when even these protections were deemed inadequate, Congress passed the Magnuson-Stevens Fishery Conservation and Management Act. The Act established a 200–nautical mile Exclusive Economic Zone; created eight Regional Fishery Management Councils, tasked to develop fishery management plans to protect America's fish stocks; and placed the primary responsibility for at-sea enforcement of the nation's fisheries laws with the Coast Guard. In the ensuing decades, the Service acquired authority to enforce a series of legislative enactments and international agreements intended to protect the nation's living marine resources.

The Service has played a role in post-Cold War military operations as well. Coast Guard port security units deployed to the Persian Gulf during Operations Desert Shield and Desert Storm in 1990-1991. In recent years, the unified Commanders-in-

The *Exxon Valdez* oil tanker aground in Prince William Sound, Alaska, in 1989.

Chief have requested and been provided cutters to conduct maritime interception operations, peacetime military engagement, and other supporting warfare tasks for all three forward-deployed Navy Fleets.[42]

During Operations Support Democracy (November 1993-August 1995) and Uphold Democracy (October 1994-March 1995), Coast Guard cutters, buoy tenders, patrol boats, and port security units supported United Nations-led operations to restore democratic institutions in Haiti. Two port security units, a harbor defense command unit, five law enforcement detachments, and 13 cutters carried out operations that included maritime surveillance and interdiction, search and rescue coverage for in-transit U.S. aircraft, and establishing and restoring aids to navigation.

The Service also has commanded the Maritime Defense Zones since they were created in 1984 to provide for the coastal defense of the United States. In 1994, the MDZ concept was expanded to include defense of foreign harbors, expeditionary port security, and coastal sea control. Working closely with Navy coastal warfare units, Coast Guard reserve and active duty forces maintain the ability to protect strategic U.S. ports, as well as critical foreign ports of embarkation and debarkation.

Coast Guard port security raider boats engage in force protection for the U.S. Navy guided-missile cruiser *Normandy* (CG-60).

ECHOES FROM THE PAST

Over the course of its history, the Coast Guard has evolved into a multi-mission service that is focused on the full spectrum of maritime affairs. Reflections of this generalist outlook can be seen in the organization, training, and force structure of the modern Coast Guard. Unlike other services, the Coast Guard has no specialized staff corps. Likewise, as a relatively small service with a limited budget, the Coast Guard has needed durable platforms that are flexible enough to be used for many different types of missions.

As the country's maritime "jack of all trades," the Coast Guard has always needed to maintain a high degree of flexibility and operational readiness. In the process, the Service has been able to generate synergies between what might otherwise have been seen as pronounced contradictions. The Coast Guard calls upon its military character to ably perform dangerous and difficult civil operations. Moreover, as the Revenue Cutter Service merged with civilian agencies to form the modern, military Coast Guard, our Service charter has broadened to address virtually every aspect of U.S. maritime affairs, in peacetime and in war. This continued the process of building a national service that oversees America's civil use of the seas and protects its waterborne commerce, coasts, and interests from a wide variety of threats.

Chapter Three: The Nature of Our Service

The nature of our Service has evolved as we accumulated new roles and missions from a variety of sources, including Executive Orders, congressional action, and the absorption of different agencies. These additional roles and missions were assigned throughout the years for a very pragmatic reason—we were willing to perform the assigned missions and able to perform them effectively and efficiently.

In assuming new duties, we developed the ability to conduct a variety of missions with the same equipment and people. We also developed a distinct nature, one shaped by our core values and by our military, multi-mission, and maritime mandate.[43]

CORE VALUES

While the formal statement of our core values of Honor, Respect, and Devotion to Duty is a relatively recent event, the values themselves are deeply rooted in the heritage of commitment and service that distinguishes the U.S. Coast Guard. From revenue cutter crews protecting a fledgling nation from privateers and smugglers, to sturdy surfmen fighting howling gales to rescue shipwrecked mariners, to gallant small boat coxswains landing Marines at Guadalcanal, to the men and women of today who stop smugglers, rescue desperate migrants, and protect endangered marine species, Coast Guard people have embraced and lived these values.

Our core values are the bedrock upon which our character and operating principles are built. They provide fundamental guidance for our actions, both on duty and in our private lives, and they challenge us to live up to the high standards of excellence exhibited by our predecessors. Whether active duty, reserve, civilian, or auxiliary, our core values bind us together and guide our conduct, performance, and decisions.

Coast Guard Core Values

Honor—Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all of our personal and organizational actions. We are loyal and accountable to the public trust.

Respect—We value our diverse workforce. We treat each other and those we serve with fairness, dignity, respect, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.

Devotion to Duty—We are professionals, military and civilian, who seek responsibility, accept accountability, and are committed to the successful achievement of our organizational goals. We exist to serve. We serve with pride.

U.S. Life-Saving Service rescue boat underway (most likely from Sandy Hook, New Jersey).

Members of Officer Candidate School dress left while at the Coast Guard Academy in New London, Connecticut.

A MILITARY, MULTI-MISSION, MARITIME SERVICE

We call ourselves a "military," "multi-mission," and "maritime" service. These three descriptors provide a basis for understanding the character and structure of the Coast Guard and are the result of our complex and varied history. They are also critical to understanding the Coast Guard's role as a unique instrument of America's national security.

Military

The military character of the Coast Guard has been the subject of consideration and comment throughout our history, and it is consistent with the original design of our founder, Alexander Hamilton. Hamilton originally suggested a law enforcement organization of "a few armed vessels, judiciously stationed at the entrances of our ports, might at a small expense be made useful sentinels of the laws." He insisted that this organization be organized along military lines, and convinced President George Washington to commission Revenue Marine officers.

Title 14 of the U.S. Code specifies that the Coast Guard is a military service and a branch of the Armed Forces of the United States at all times, not just in wartime or when the President directs. The 1915 legislation establishing the Coast Guard recognized again that military discipline and training were critical for the Coast Guard's national defense duties, and useful for the performance of dangerous and difficult civil duties. That reality continues today.

The military profession is like no other. Members of the military voluntarily limit some of their freedoms—including even

their constitutional freedom of speech—in order to serve. Likewise, service members cannot just quit; they must continue to serve until their term is up and must obey all lawful orders while doing so. And those orders may include undertaking tasks likely to result in members giving the last full measure of devotion—their lives—in service to our country. This requirement sets military people apart from the members of every other profession. Military forces also are charged with carrying out the systematic application of violence in service to the nation. As members of an armed service, we are called to act in accordance with these responsibilities, and we have.

The Coast Guard has participated in all our nation's wars as a naval augmentation force, providing specialized capabilities as required for the defense of our nation. Changes in the national security environment since the end of the Cold War, however, have caused decision-makers to reexamine the Coast Guard's military role. Peacetime military engagement and "operations other than war," areas of traditional Coast Guard expertise, have risen in importance within the national security calculus. The Coast Guard has wartime missions today that are based on logical extensions of its peacetime duties.

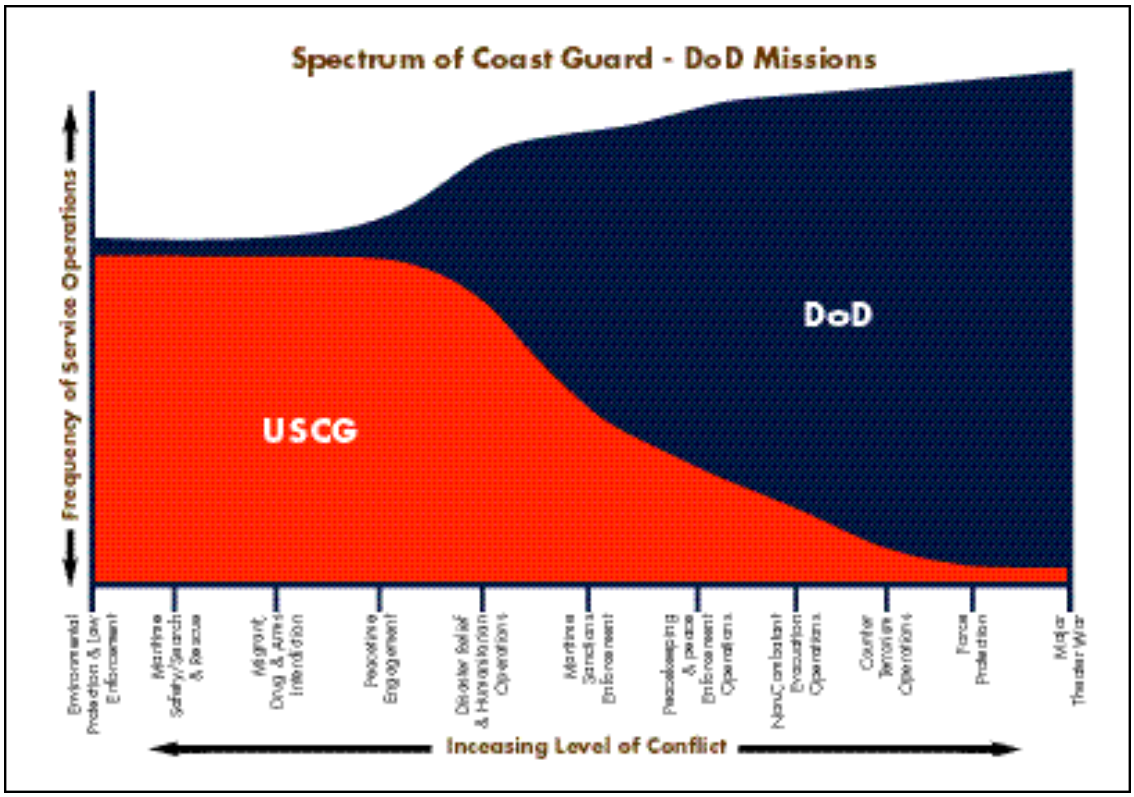
The result of this reexamination was a *Memorandum of Agreement between the Department of Defense and the Department of Transportation on the Use of U.S. Coast Guard Capabilities and Resources in Support of the National Military Strategy*, which was signed on 3 October 1995.[44] This agreement assigns the Coast Guard five specific national defense missions in addition to our general defense operations and polar icebreaking duties—maritime interception operations; military environmental response operations; port operations, security, and defense; peacetime military engagement; and coastal sea control operations—thus highlighting our role as a specialized military force.

However, the specialized capabilities that allow us to augment the U.S. Navy's efforts also distinguish us from that service. The purpose of the Navy is set forth in Title 10 of the U.S. Code: "The Navy shall be organized, trained, and equipped primarily for prompt and sustained combat incident to operations at sea. It is responsible for the preparation of Naval forces necessary for the effective prosecution of war except as otherwise assigned."[45] The Navy is not equipped, structured, or legally empowered to deal with the nontraditional threats we routinely handle. Unlike the Coast Guard, the Navy is constrained by the *Posse Comitatus* doctrine, which prevents the other military services from acting as law enforcement agents on U.S. soil or in U.S. territorial waters.[46] By the same token, the

The high-endurance cutter *Midgett* (WHEC 726) sails alongside the *Constellation* (CV 64) while deployed to the Arabian Gulf in 1999 to enforce the United Nations sanctions on Iraq.

Coast Guard is not organized, trained, and equipped to engage in the full spectrum of naval operations. Hence, far from being redundant, the Coast Guard and Navy instead provide resources that mutually support and complement each other's roles and missions in order to meet the entire spectrum of America's maritime needs. The accompanying graphic vividly portrays the relationship between the two services.

Nevertheless, because the Coast Guard is a military service, our cutters are designated warships of the United States. This designation affords our cutters certain rights under international conventions and practice, such as the right to approach any vessel to ascertain its identity and country of origin. It gives our vessels sovereign immunity *vis-à-vis* other countries' laws. And it allows our government to assert principles of national sovereignty, such as freedom of navigation, with vessels viewed as less threatening than U.S. Navy ships and thus as a more acceptable presence.



Signalman First Class
Douglas A. Munro
Congressional Medal of Honor Citation

"For extraordinary heroism and conspicuous gallantry in action above and beyond the call of duty as Officer-in-Charge of a group of Higgins boats, engaged in the evacuation of a Battalion of Marines trapped by enemy Japanese forces at Point Cruz, Guadalcanal, on September 27, 1942. After making preliminary plans for the evacuation of nearly 500 beleaguered Marines, Munro, under constant risk of his life, daringly led five of his small craft toward the shore. As he closed the beach, he signalled [sic] the others to land, and then in order to draw the enemy's fire and protect the heavily loaded boats, he valiantly placed his craft with its two small guns as a shield between the beachhead and the Japanese. When the perilous task of evacuation was nearly completed, Munro was killed by enemy fire, but his crew, two of whom were wounded, carried on until the last boat had loaded and cleared the beach. By his outstanding leadership, expert planning, and dauntless devotion to duty, he and his courageous comrades undoubtedly saved the lives of many who otherwise would have perished. He gallantly gave up his life in defense of his country."

Signalman First Class Douglas A. Munro (manning the machine gun in the foreground) interposes his boat between Japanese forces and the Marines being evacuated from Guadalcanal in 1942. After successfully recovering the Marines, Munro was killed by Japanese fire. He was posthumously awarded the Congressional Medal of Honor.

Captain Quentin R. Walsh

Captain Quentin R. Walsh

Lieutenant Commander (later Captain) Quentin R. Walsh was a member of the Logistics and Planning Section, U.S. Naval Forces in Europe during World War II. He planned the occupation of the port of Cherbourg, France, which was viewed as vital to the invading allied forces and their resupply effort.

Lieutenant Commander Walsh's plan called for the formation of a specially trained naval reconnaissance unit to determine the condition of the port after its capture. While leading the 53-man special mission to the port of Cherbourg, he and his men met up with the U.S. 79th Infantry Division and joined them in fierce house-to-house fighting against the Germans. The Allied forces quickly captured the eastern part of the port, while most of the Germans retreated to the western section of the city.

Lieutenant Commander Walsh personally led a 16-member unit of his special task force on a raid to an arsenal area and adjacent waterfront on the western side of the city. Armed with bazookas, hand grenades, rifles, and submachine guns, he and his party overcame sniper fire to capture underground bunkers and approximately 400 Germans in the arsenal area. Lieutenant Commander Walsh's command went on to capture Fort Du Homet and its garrison of 350 men. Upon entering the fort, he convinced the Germans that the city had already fallen. He then accepted the surrender of 300 German troops and liberated 50 American paratroopers who had been prisoners since D-Day. Lieutenant Commander Walsh received the Navy Cross for his heroic actions.

Multi-Mission

We fulfill our five roles by accomplishing our various missions, with most missions supporting more than one role. This multi-functional capability is an enduring Coast Guard quality, and our ability to field versatile platforms and develop multi-talented Coast Guard men and women is perhaps our most important core competency. In short, we uphold all of America's maritime interests, including national defense.

We are the nation's at-sea law enforcement arm with the broad authority of Section 89 of Title 49 of the U.S. Code. Evolving over the years, our reach extends to illegal migrant interdiction, drug interdiction, and fisheries protection. Classically, our versatile deepwater platforms stand the watch with a ready flight deck, a boat at the rail, and a trained boarding party always prepared to enforce domestic law, observe international standards, and preserve individual human rights. With a background in these roles and missions, the Coast Guard stands watch to ensure homeland security at our ports and maritime borders.

The Coast Guard's buoy tender fleet presents a classic example of our multi-mission nature. In addition to setting buoys for the safe navigation of mariners, these cutters deploy oil containment booms to protect the environment, break ice for domestic maritime traffic, conduct naval warfare duties, and perform search and rescue and law enforcement missions.

Our Marine Safety Offices (MSOs) are likewise multi-mission capable. MSO personnel examine vessels and facilities for compliance with safety and environmental laws. They enforce pollution prevention statutes and respond to discharges of oil

and refuse into our navigable waters. They supervise and control vessel movement in America's ports and waterways. And, they restrict access to vessels and facilities when necessary for national security purposes.

Maritime

The maritime region is the Coast Guard's domain. We are the only service that combines law enforcement and military capabilities in a single organization focused on operations and missions in the maritime environment. We provide maritime expertise across numerous mission areas and maintain a meaningful, credible federal presence in American and international waters, while also contributing to overall U.S. engagement overseas.

Given America's historic and continuing dependence on the sea, the formation of a force focused on maritime tasks beyond those that are strictly military was inevitable. While foreign trade fluctuates as a percentage of America's gross national product, it has always played a key role in the nation's economic health. Whether transporting dry bulk cargo, petroleum products, ferry passengers, or containerized cargo, ships will continue to provide a cost-effective method of transportation, and their safe and efficient movement has been an important consideration for the United States. Likewise, fish and fishing fleets have been important to the American diet and economy, and as the nation has grown wealthier, cruise ships, floating casinos, and recreational boats have joined traditional commercial users of U.S. domestic waterways in ever-greater numbers.

The cutter *Ironwood* (WLB 297) and an HH-60J offload equipment for maintenance on Eldred Rock Lighthouse, Lynn Canal, Alaska.

Everything we do—from drug interdiction, fisheries enforcement, and alien migrant interdiction, to pollution response, commercial vessel inspections, and search and rescue—has a maritime connection.

A HUMANITARIAN REPUTATION

The Coast Guard is renowned throughout the world as "America's Lifesavers." The same military discipline that serves the Coast Guard well in war, serves it well in peace. Nowhere is it more apparent than in the prosecution of search and rescue cases. Our reputation is based on personal courage and selflessness that goes back to the earliest days of the disparate Life-Saving, Lighthouse, and Revenue Cutter Services. Our history is replete with heroes such as Joshua James, Ida Lewis, Captain Josiah Sturgis, the Pea Island station crew, and countless others who repeatedly risked their lives to save mariners in distress. Nothing fills us with greater pride than the stories of harrowing rescues where professional Coast Guard men and women return would-be victims safely to their families

against all odds. It is not by accident that those stories conclude successfully. Rather, it is because the preparation for the moment—born of good training and good equipment blended with courage, discipline, and selflessness—is our hallmark as an organization.

Our humanitarian reputation, however, goes beyond our search and rescue mission. Whether responding to an oil spill, rescuing people from flood waters, ensuring safe marine transportation, performing peacetime engagement visits in foreign countries, or working with international organizations to improve the safety of commercial shipping, our Service reflects a commitment to serving others on a daily basis. Such service adds a distinctive humanitarian dimension to our character and helps define who we are.

A crewmember from a ship run aground is rescued via breeches buoy during a violent storm.

Coast Guard boarding team members complete a rescue at sea while conducting interdiction operations off the coast of Haiti.

Captain Richard Etheridge and the Pea Island Life-Saving Crew

The Pea Island Life-Saving Station crew: (left to right) Richard Etheridge, Benjamin Bowser, Dorman Pugh, Theodore Meekins, Lewis Wescott, Stanley Wise, and William Irving.

On 24 January 1880, Captain Richard Etheridge became the first African-American to command a U.S. Life-Saving Station when the Service appointed him as the Keeper of the Pea Island Life-Saving Station, near Cape Fear, North Carolina. Soon after Etheridge's appointment, he supervised the construction of a new station and developed rigorous lifesaving drills that enabled his crew to hone their skills. The Pea Island Station quickly earned the reputation as "one of the tautest on the Carolina Coast," with Etheridge known as one of the most courageous and ingenious lifesavers in the Service.

On 11 October 1896, Etheridge's rigorous training drills proved to be invaluable. The three-masted schooner, *E.S. Newman*, was caught in a hurricane while en route from Providence, Rhode Island, to Norfolk, Virginia. The ship lost all sails and was blown 100 miles south off course before it ran aground near Pea Island.

Etheridge and his crew quickly swung into action, hitching mules to the beach cart and hurrying toward the vessel. Arriving on scene, they found the vessel's captain and eight others clinging to the wreckage. High water prevented them from firing a line to the schooner with a Lyle gun, so Etheridge directed two surfmen to bind themselves together with a line. Grasping a second line, the pair fought through the breakers while the remaining surfmen secured the other end on shore. The two surfmen reached the wreck and, using a heaving stick, got the line on board. Once a line was tied around one of the crewmen, all three were then pulled back through the surf by the crew on the beach. After each trip two different surfmen replaced those who had just returned. The seemingly inexhaustible Pea Island livesavers journeyed through the perilous waters a total of ten times, rescuing the entire crew of the *E.S. Newman*.

For their efforts, the all-African-American crew of the Pea Island Life-Saving Station—Richard Etheridge, Benjamin Bowser, Dorman Pugh, Theodore Meekins, Lewis Wescott, Stanley Wise, and William Irving—were awarded the Gold Lifesaving Medal on 5 March 1996. Richard Etheridge died while in service on 8 May 1900.

Aviation Survivalman First Class Michael G. Odom

Aviation Survivalman First Class Michael G. Odom

On the night of 23 January 1995, the sailing vessel *Mirage* found itself battling 25-foot seas 300 miles east of Savannah, Georgia. After it began taking on water, the *Mirage* sent a distress call to Group Hampton Roads, Virginia. In response, an HH-60J helicopter and an HC-130 aircraft took off from Air Station Elizabeth City, North Carolina, to assess the unfolding emergency situation. Serving as the rescue swimmer aboard the HH-60J was Petty Officer Michael G. Odom.

Arriving on scene, the aircrew encountered 40-mile-per-hour winds and 25-foot seas battering the *Mirage*. While discussing the best course of action for the rescue, a crewmember from the *Mirage* jumped off the back of the vessel. Petty Officer Odom voluntarily entered the cold, turbulent ocean to rescue the crewmember. After being lowered into the water, Petty Officer Odom fought heavy breakers in the dark to reach the crewmember and to ensure he was hoisted to safety. This evolution was repeated two more times. However, during the rescue of the third *Mirage* crewmember, the hoist cable jammed. While the crew of the HH-60J was able to safely bring the last *Mirage* crewmember aboard, Petty Officer Odom had to be left behind.

Fatigued, he dragged himself into a small, six-man life raft provided by the helicopter. He was finally rescued five hours later, after having been repeatedly swept from his life raft. At the time of his rescue, Petty Officer Odom was unconscious, suffering from hypothermia, and near death. He was flown to a nearby U.S. Navy guided-missile cruiser, *Ticonderoga* (CG 47), where he recovered. While Petty Officer Odom's commitment to helping people in distress almost cost him his life, his unwavering courage saved the lives of the crewmembers from the *Mirage* and exemplifies the Coast Guard's core value of devotion to duty.

Chief Boatswain's Mate Joseph A. Habel

Chief Boatswain's Mate Joseph A. Habel

On 25 January 2000, the 110-foot tugboat *Bay King*, with its four-person crew, found itself being pummeled by snow, sleet, and 50-mile-per-hour winds, and in danger of capsizing in over ten-foot seas and near-zero visibility conditions. Coast Guard Station Cape Charles, Virginia, received the mayday call from the crew of the *Bay King*, but the seas and winds exceeded the operating limits of the station's 41-foot utility boat. These same conditions prevented any other help from reaching the foundering tugboat. Chief Boatswain's Mate Joseph A. Habel knew that if his crew did not respond quickly, the four crewmembers of the *Bay King* would perish in the 38-degree waters of the Chesapeake Bay.

After coordinating with the Group Commander and evaluating the risks associated with the rescue attempt, Chief Habel and the duty boat crew volunteered to attempt the dangerous rescue. Chief Habel safely navigated the 41-foot utility boat over six miles to the *Bay King*, but, once on scene, the high sea state prevented a direct transfer from the tug. After reevaluating the situation, Chief Habel convinced the crewmembers of the *Bay King* to jump into the frigid waters.

All four crewmembers were safely pulled from the water in less than two minutes, and Chief Habel then safely navigated the utility boat back to port. Chief Habel's decisive actions, realistic assessment of the capability of his boat and crew, and superior seamanship skills saved the lives of the four crewmembers of the tugboat *Bay King*.

A UNIQUE SERVICE

Taken together, the Coast Guard's combination of military status, law enforcement authority, and humanitarian reputation gives us a range of access unique among the Armed Forces of the United States. In our law enforcement role, this authority includes enforcing all federal laws on, under, and over the high seas and waters subject to the jurisdiction of the United States.[47] As both a law enforcement agency and an armed service, we embrace a broader concept of national security that extends beyond our national defense missions and provides the nation a maritime resource with capabilities not duplicated elsewhere in the government. All Coast Guard roles—whether rescuing distressed mariners, interdicting drug smugglers, combating major oil spills, or conducting naval warfare missions in support of the unified Commanders-in-Chief—contribute directly to the economic, environmental, and physical security of the United States.

Because of this unique character, U.S. Presidents have often found the Coast Guard to be the most readily available and useful instrument for responding to national emergencies or enforcing national policy. In addition, we "speak the language" of both civil and military organizations and can play an important bridging role by coordinating the actions of U.S. and foreign civilian agencies and military forces in the maritime arena.

Our status as a military force with many civilian duties and responsibilities was closely reviewed at the time the Life-Saving Service and Revenue Cutter Service were merged to become the U.S. Coast Guard 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, and as a civil organization would not suffice for the performance of military functions, the organization of the service must be and is by law military. 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.[48]

Captain-Commandant Bertholf's statement is no less true today then it was in 1915. Coast Guard men and women perform well because they prepare well. In the final analysis, the Coast Guard's legal historical core is as a military service, originated with unique law enforcement authority and leavened with a well-earned reputation for humanitarian service. These purposeful attributes enable us to meet a broad multi-mission mandate from our nation. Our core values of honor, respect, and devotion to

duty enable that mandate to be fulfilled. As America's Maritime Guardian, we are proud to be warriors and protectors at all times.

Lieutenant Colleen A. Cain

Lieutenant Colleen A. Cain

Lieutenant Colleen A. Cain became the Service's third female aviator and the first female helicopter pilot in June 1979. In her brief career, Cain flew many rescue missions and completed her qualifications as Co-pilot, First Pilot, and Aircraft Commander. In 1980, she received the Coast Guard Achievement Medal for saving a three-year-old boy involved in a boating accident.

In the early morning hours of 7 January 1982, while stationed at Air Station Barbers Point, Hawaii, Cain took flight in severe weather, heavy winds, and limited visibility in response to a distress call from a sinking fishing vessel with seven persons on board. While en route to the sinking vessel, the HH-52A helicopter she was co-piloting crashed into the side of a mountain in the Wailua Valley of Molokai, Hawaii, killing Cain and her two crewmembers, Commander Buzz Johnson and Aviation Survivalman David Thompson. Cain became the first female Coast Guard member killed in the line of duty. A Coast Guard officer wrote of Cain's reputation among her peers: "Without fail, they regarded her as an exemplary Coast Guard officer, patriot, and human being."

Lieutenant Cain and her fellow crewmembers made the ultimate sacrifice in service to their nation and fellow countrymen, striving to protect life at sea. On 25 October 1985, the Coast Guard dedicated Cain Hall, a 100-room residence hall at Reserve Training Center Yorktown, Virginia, to her memory.

Chapter Four: Principles of Coast Guard Operations

Our effectiveness as a military, multi-mission, and maritime service depends in no small part on a set of key ideas about the way we operate. These principles have emerged over time and have become part of our unwritten Service culture. They describe our operating style and underpin our ability to operate successfully, both domestically and internationally.

Principles of Coast Guard Operations

- Clear Objective
- Effective Presence
- Unity of Effort
- On-Scene Initiative
- Flexibility
- Managed Risk
- Restraint

As members of an armed service, Coast Guard men and women should be familiar with the principles of war as well as the principles of military operations other than war, which are presented in Appendix B and Appendix C, respectively. However, the Coast Guard has adopted an additional set of operating principles that reflect both the civil and military elements of our roles and missions. These principles modify and extend the principles of war and military operations other than war to encompass the distinctions between war fighting and civil law enforcement and regulation.

The principles of Coast Guard operations discussed below apply across the range of Service roles and missions. There will be times, during engagements with clearly hostile forces, for instance, when the importance of some of these principles will decrease. Nevertheless, these principles underpin our actions in the vast majority of situations we encounter on a day-to-day basis.

THE PRINCIPLE OF CLEAR OBJECTIVE

Direct every operation toward a clearly defined and attainable objective. The most significant action a leader can take in planning and executing an operation is to clearly express the overarching objective to subordinates. This principle holds whether the objective is one that has been defined by our national leaders or by the commander on scene at an oil spill or any other operation. Once the objective has been defined, we must focus our operations and efforts to achieve it.

Some operations are short lived, and the objectives are easily understood. Rescue the people. Prevent the spill. Clean up the spill. Seize the drugs. Other operations are of a long-term nature, and the objectives may not be as easily defined. For example, the primary focus of a cutter on patrol may be fisheries law enforcement. Yet, like a police officer on a beat, a cutter on patrol is also alert and prepared to perform all other Coast Guard missions. Regardless, leaders must be able to articulate the central objective of the mission at hand.

THE PRINCIPLE OF EFFECTIVE PRESENCE

At the most basic level, effective presence means having the right assets and capabilities at the right place at the right time. This principle traces its origins to the earliest days of the Revenue Marine. The first revenue cutters were designed specifically for effectiveness in their designated operating areas—rivers, harbors, and their approaches—and they were assigned to the most strategically important ports. The first Revenue Marine officers came from the ranks of the colonial merchant fleet, former privateers, and the former state and Continental navies. They were selected because they understood their operating areas and their adversaries' methods. This put the "right assets" in place.

Revenue Marine founder Alexander Hamilton explained another aspect of the concept of effective presence in a *Letter of Instruction* to his officers in 1791:

> [I]t will be necessary for you from time to time to ply along the coasts in the neighborhood of your station, and to traverse the different parts of the waters which it comprehends. To fix yourself constantly or even generally at one position, would in a great measure defeat the purpose of the establishment. It would confine your vigilance to a particular spot, and allow full scope to fraudulent practices, everywhere else.[49]

Hamilton was saying that to be *effective*, units must be active, because the "right place to be" changes over time. This is reflected in the assignment of units to different operating areas depending on the anticipated need. Once assigned, cutters and aircraft need to patrol operating areas, small boats need to cruise local waterways, and marine safety personnel need to patrol the port. To be effective we must be vigilant and ready to respond to situations as they arise, keeping in mind all of our principles of operations.

Ensuring an effective presence also requires careful attention to the ability to sustain our assets during normal operations. We should operate our assets to the level—and only to the level—that the logistics system (i.e., people, parts and equipment, and funding) can sustain. If we can achieve near-term performance only by operating our assets beyond the level of long-term sustainability, we risk harming the national interests by degrading our ability to respond effectively in the future.

An HC-130 Hercules long-range surveillance aircraft on patrol off the Florida coast.

A key component of effective presence is acceptable presence, which refers to the reality that foreign governments and non-state actors oftentimes regard Coast Guard forces as less threatening or objectionable than those of the other U.S. armed services. This is a powerful discriminator of the Coast Guard from the Department of Defense armed services. Due to the unique combination of military status, law enforcement authority, and humanitarian reputation, the Coast Guard offers the U.S. National Command Authorities a unique option with which to pursue national strategy and enforce national policy. Indeed, in many civil and military arenas worldwide, the Coast Guard is ideally suited to cooperate with and provide assistance to foreign governments, navies, and coast guards; international organizations; and domestic and international non-governmental organizations on a broad spectrum of defense- and maritime-related issues.

THE PRINCIPLE OF UNITY OF EFFORT

Most Coast Guard operations are performed by cooperative effort among a number of different units, or by the Coast Guard working in concert with and coordinating the efforts of a diverse set of governmental and non-governmental entities, to achieve the operational objective. Success in either case requires positive leadership to ensure clear understanding of the objective and the role each individual, unit, or organization is expected to play in meeting that objective.

The concept known as the "chain of command" is an essential element to achieving internal unity of effort. Chain of command recognizes the principle that every person—and every unit—in a military organization reports to someone higher up. In a given operation, there can be only one responsible

The high-endurance cutter *Gallatin* (WHEC 721) operates with a proof-of-concept MH-90 Enforcer helicopter and an Over-the-Horizon Rigid Hull Inflatable Boat (OTH RHIB), both of which were specifically designed to engage "go-fast" drug smuggling boats.

commander. The timely and accurate flow of information to and from the responsible commander via the chain of command is essential for ensuring the necessary resources, including information, get to the right place at the right time. Maintaining an effective and efficient chain of command requires constant attention, since we have multi-mission field units under higher echelon commanders whose staffs are organized along mission or other specialty lines. This calls for staff coordination. Respect for the chain of command, especially when coupled with proper staff coordination, contributes significantly to internal unity of effort.

Unity among organizations is the external counterpart to internal unity of effort. This external leadership challenge is in many respects the more demanding, because the external entities we deal with generally are not under the Coast Guard's authority and discerning those organizations' lines of authority may be problematic. Further, the Coast Guard frequently has to decide between the conflicting and divergent demands of various stakeholders, each of whom represents legitimate and worthy public or private interests. The Coast Guard does not have the final authority in all situations and when necessary refers decisions to the appropriate level. Nevertheless, the responsibilities and authorities given the Coast Guard by Congress, and the tendency of Congresses and Presidents to turn to the Coast Guard whenever difficult maritime issues arise, are testimonies to our history of providing effective leadership across diverse and competing interests.

THE PRINCIPLE OF ON-SCENE INITIATIVE

The nature of our operations demands that Coast Guard men and women be 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. Personal initiative has always been crucial to the success of our Service. Tight control from above was never really an option for the Revenue Marine, whose original ten cutters were based from Portsmouth, New Hampshire, to Savannah, Georgia; or for the nineteenth-century Life-Saving Service, which relied on 148 remote stations along the U.S. coast.[50] Since then, advances in technology have revolutionized our commanders' ability to communicate with and even control units in the field. But the concept of allowing the person on scene to take the initiative—guided by a firm understanding of the desired tactical objectives and the national interests at stake—remains central to the Coast Guard's view of its command relationships.

Many of our operations—responding to oil spills, searching for and rescuing mariners in distress, or interdicting smugglers, for instance—are of an emergent, unpredictable nature. History has shown that situations like these are best handled locally. Thus, we push both authority and responsibility to the lowest possible level. Our ethos is that the person on scene can be depended upon to assess the situation, seize the initiative, and take the action necessary for success.

An HH-65A Dolphin helicopter operating with an *Island*-class patrol boat.

This style of operational command is based upon the trust senior commanders place in their subordinates' judgment. Decisive action requires unity of effort—getting all parts of a force to work together. Rapid action, on the other hand, requires a large degree of decentralization, giving those closest to the problem the freedom to solve it. To reconcile these seemingly contradictory requirements, we use tools called the "commander's intent" and "concept of operations."

The commander's intent conveys the objective and the desired course of action. The concept of operations details the commander's estimated sequence of actions to achieve the objective and contains essential elements of a plan—i.e., what is to be done and how the commander plans to do it. A significant change in the situation that requires action will alter the concept of operations, but the commander's intent is overarching and usually remains unchanged.

Effective commanders at all levels neither expect nor attempt to control their subordinates' every action. Instead, they ensure their subordinates thoroughly understand their expectations and how to meet those expectations in a variety of situations. Great commanders in naval history rarely issued detailed instructions to their subordinate commanders. Instead, they frequently gathered their captains to discuss a variety of tactical problems. Through these informal discussions, the captains became aware of what their commanders expected to accomplish and how they planned, in various situations, to accomplish it. Thus prepared, they later were able to act independently, following their commanders' intent even though formal orders were brief or nonexistent.

Good decisions are made in unpredictable situations when Coast Guard personnel on the scene of an emergency or a crisis are rigorously trained to act as part of a cohesive, cooperative team. It works through the common understanding of how individual incidents or situations are normally handled. This shared understanding lies at the heart of effective decentralized command and control.

THE PRINCIPLE OF FLEXIBILITY

The revenue cutter *Bear*, veteran of 34 cruises to Alaskan waters during the late 19th and early 20th centuries.

This principle is the operational corollary to our multi-mission character. Arising from a combination of broad authority, diverse responsibilities, and limited resources, the principle means that if we are to succeed in pursuing multiple missions with the same people and assets, we must be able to adjust to a wide variety of tasks and circumstances.

As is true of our other principles of operations, the principle of flexibility has its roots in our early history. During their operations in Alaska during the nineteenth century, for example, the crew of the revenue cutter *Bear* conducted an incredible variety of tasks, including the transporting of reindeer and undertaking long, arduous rescue missions through the territory's interior. Many of these tasks went well beyond anything they could have imagined from their original orders. Thanks to their training, experience, and can-do attitude, the crew was able to adapt their operations to the needs of the people they served.

Origin of *Semper Paratus*

The exact origin of our motto—"*Semper Paratus*"—has never been determined. The earliest recorded use of the phrase *semper paratus* in regards to the Service was in the New Orleans newspaper, *Bee*, in January 1836, which used the phrase in an article praising the revenue cutter *Ingham*. The motto appears to have been adopted sometime between October 1896 and May 1897, when a new seal containing the phrase appeared on a general order of the Division of Revenue Cutter Service on 21 May 1897.

Information obtained from the Coast Guard Historian's Office and an unpublished document by William R. Wells, II, "*SEMPER PARATUS*"—The Perception of a Motto, 17 November 1991.

This notion of flexibility also is deeply embedded in our heritage of *semper paratus*. We built our reputation for being "always ready" to meet just about any maritime challenge by successfully and repeatedly adapting to the situation at hand. Thus, a cutter on fisheries patrol is as prepared to divert to a search and rescue operation, respond to a pollution incident, or intercept a suspected drug smuggler—in many cases across thousands of nautical miles of open ocean—as it is to enforce our fisheries laws.

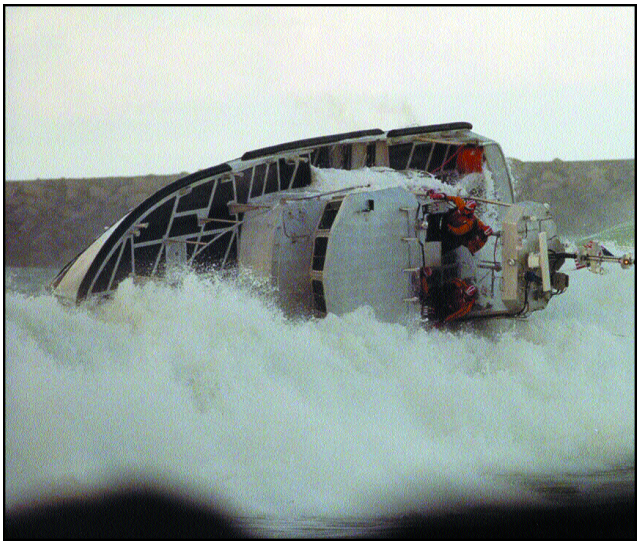
Our units also frequently find themselves facing competing mission priorities as incidents unfold. Two examples illustrate the point. A cruise ship on fire and drifting toward the rocks is both a search-and-rescue case and potential pollution

incident. Similarly, an overloaded boat filled with migrants intent on reaching our shores is both a law enforcement and potential search-and-rescue case. In each instance, responding units must adapt to the circumstances as they unfold, giving priority to the mission most critical at the moment. And, since at least the late nineteenth century, the mission of aiding distressed mariners usually has trumped all other priorities.

The most demanding circumstances today require the Coast Guard to conduct "surge operations"—high-intensity efforts usually launched at short notice in response to an emergency situation. Recent examples of events requiring surge operations include the *Exxon Valdez* oil spill response in 1989 and the mass migrations from Haiti and Cuba that occurred in 1992 and 1994. Surge operations require the Coast Guard to reallocate large numbers of people, assets, and money to respond to the situation. This affects not only the people and units directly involved, it demands that the entire Service adapt to find the resources to meet the needs of the surge operation while still continuing critical day-to-day operations. Upon completion of the surge operation, the Coast Guard then must transition back to normal operations. Surge operations are very demanding, but our ability to transition to and from these operations provides an enormous benefit to the nation and serves as a testament to our flexibility.

THE PRINCIPLE OF MANAGED RISK

Just as the unity of effort principle has internal and external dimensions, so too the principle of managed risk operates at two levels. The internal aspect of this principle involves the commander's obligations to ensure the unit is properly trained, equipped, and maintained for the mission and to carefully assess crew and equipment capabilities against the operational scenario when assessing whether and how to execute a given mission.



A 47-foot motor lifeboat trains in waters off the coast of Station Cape Disappointment, Washington.

We do dangerous work in hostile environments. Our heritage is based in large part on the selfless acts of courageous men and women who used their tools and their wits under dangerous conditions to save the lives of others. This tradition continues today, as we perform duties that routinely place us in harm's way. Without a continuing and observable commitment to the safety of our forces we unnecessarily endanger our people and jeopardize the mission.

Successful mission execution begins with a thorough understanding of the

environment in which we operate. Based on that understanding, we develop operational concepts, acquire appropriate equipment, and put our people through rigorous formal training. We build on that foundation by continuous training and drills, by improving our personal skills and by maintaining our equipment at the highest state of readiness. In short, consistently successful performance requires thorough preparation.

Preparation alone, however, is not enough. Success also requires that our people and equipment be used within the limits of their abilities. No small boat or aircraft, no matter how well maintained or skillfully piloted, can be expected to survive, much less execute a mission, when wind and sea conditions are beyond the strength of hull, airframe, or the human body. Responsible commanders evaluate the capability of crew and equipment against the conditions likely to be encountered when deciding on the proper course of action. Conscious attention to time-tested and time-honored principles of safe operation is a necessity.

Today's Coast Guard standard of response remains true to its rich legacy. We honor our heritage daily by casting off all lines or lifting off in severe weather to save lives and property in peril, accepting the risk that we may not come back. We honor our heritage as well by attending to the principle that a proper and practiced understanding of duties, a thorough evaluation of the risks involved in an operation, and the exercise of good judgment in executing that operation is of paramount importance for success.

The idea of managing risks is not limited to Coast Guard response operations. In fact, risk management through prevention (to reduce the probability of an adverse event) and response (to minimize consequences when an adverse event does occur) has long been a fundamental aspect of Coast Guard operations. Prevention includes such measures as placing aids to navigation in shipping channels; ensuring that commercial vessels are properly designed, built and maintained; and providing courtesy marine exams and safety education for recreational boaters. Prevention will never be perfect, however, so we maintain the ability to respond aggressively and capably, whether in a search and rescue situation or following an oil spill. We also use these same prevention and response concepts internally. We acquire rugged ships, boats, and aircraft and train our crews with prevention in mind. We also monitor unfolding operations and have back-up plans in place, ready to minimize negative consequences when the unwanted does occur.

Finally, prevention and response activities, while focused on different aspects of the same problem, are inextricably linked. Neither is superior to the other and neither is adequate by itself. More importantly, the Coast Guard's overall effectiveness depends on the synergy between these two very different means of achieving success: our operational strengths in the response arena make us more effective in the prevention arena, and vice versa. Prevention and response are both essential tools for Coast Guard success.

THE PRINCIPLE OF RESTRAINT

Coast Guard personnel have always been under a special obligation to exercise their powers prudently and with restraint. Title 14 of the U.S. Code, Section 89, confers on Coast Guard personnel an unparalleled level of law enforcement authority. Consequently, the portion of Treasury Secretary Hamilton's *Letter of Instruction* to Revenue Cutter officers, explaining the need for restraint and the standard to be met, remains as true today as it was in 1791:

> [A]lways keep in mind that [your] countrymen are free men and, as such, are impatient of everything that bears the least mark of a domineering spirit.... [Refrain, therefore,] with the most guarded circumspection, from whatever has the semblance of haughtiness, rudeness, or insult.... [E]ndeavor to overcome difficulties, if any are experienced, by a cool and temperate perseverance in [your] duty—by address and moderation, rather than vehemence and violence.[51]

The Coast Guard has a legacy of public service that has shaped our tradition of restraint and good judgment. The Life-Saving Service rescued distressed mariners. The Steamboat Inspection Service protected ships' crews, passengers, and cargo. The Lighthouse Service had similar humanitarian commitments. The Revenue Marine cruised offshore in winter to aid mariners. Today, we do all this and more. Even our regulatory and law enforcement missions contribute to the safety and well being of the American public. A lack of restraint in Coast Guard operations, then, would be inconsistent with one of the fundamental and long-standing practices of the Service, as well as potentially violating the constitutional protections afforded American citizens.

Restraint extends beyond how Coast Guard personnel treat American citizens—it also covers how we treat the foreign citizens with whom we come into contact. Our sensitive handling of alien migrants during the mass exoduses from Cuba and Haiti illustrate how Coast Guard forces safeguard U.S. interests at sea while also upholding the dignity and contributing to the well-being of the migrants. As the cutting edge of U.S. maritime law enforcement, the Coast Guard must also exercise restraint when dealing with the illegal acts by foreign vessels and their crews. We have a duty to enforce U.S. sovereignty, but in a manner that does honor to the Constitution we took an oath to uphold.

CONCLUSION

Taken together, the characteristics and attributes discussed in *Coast Guard Publication 1* define a remarkable institution of noble purpose and enduring worth to the American Republic. We have developed a unique culture and sense of ourselves that continues to define us daily. We are public servants and the accomplishment of our roles and missions benefits society. The Coast Guard is the recipient of public trust and we must remain worthy of that trust. We recognize that few other organizations afford their members as much responsibility and authority at junior levels as does the Coast Guard. We are personally charged with stewardship of the authority

and resources that have been delegated to us, regardless of our rank or rate.

Whether we are members of a large unit, small station, or crew at sea, whether active duty, reservist, civilian, or auxiliary, we are one Coast Guard. The Coast Guard has many of the positive characteristics of a family-run firm. This permits personnel and units to be nimble and flexible, changing quickly with little effort. Our organization works on the basis of trust among people. In turn, their loyalty, responsibility, and professionalism inspire motivation to excel.

As Coast Guard men and women we enthusiastically embrace the heritage of *semper paratus* and our continuing responsibility to uphold the values of Honor, Respect, and Devotion to Duty. We are heirs to this proud historical tradition. We understand that by their day-to-day attention to these values, our forebears developed and entrusted to us a venerable institution respected throughout the world for the work we perform as America's Maritime Guardian.

The high-endurance cutter *Hamilton* (WHEC 715) on patrol.

APPENDICES

GLOSSARY

Admeasure	To measure the various dimensions, capacities, and tonnage of a ship for official registration.
Automated Mutual-assistance Vessel Rescue (AMVER) System	The Automated Mutual-assistance Vessel Rescue system is an international program run by the Coast Guard to provide resources to help any vessel in distress on the high seas. Participating merchant vessels provide sailing plans, periodic position reports, and a list of the vessels' capabilities to the Coast Guard. The AMVER center then provides a surface picture to rescue centers that contains the position of participating ships in the vicinity of an emergency that can be used to assist a vessel in distress.
Acceptable Presence	Forward presence by U.S. forces that regional countries do not find threatening or objectionable.
Aids to Navigation	Equipment used to assist mariners in determining position and warn of dangers and obstructions by providing references such as audio, visual, or electronic signals.
Armed Service	An organized military force of a nation or group of nations.
Battle Streamers	Battle streamers are 2 3/4-inch wide by 4-foot long cloth ribbons that are attached to the ceremonial version of our Coast Guard colors. They represent Coast Guard heroic actions in naval engagements throughout the history of our Service. Our earliest battle streamer is for the Maritime Protection of the New Republic from 1790-1797. The Coast Guard started using battle streamers in 1968.
Capability	The ability to execute a specified course of action.
Command and Control	The exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission.
Commander's Intent	The commander's intent conveys the "end state" and the commander's desired course of action. The concept of operations details the commander's estimated sequence of actions to achieve this end state and contains essential elements of a plan—i.e., what is to be done and how the commander plans to do it. The commander's intent reflects the individual's vision and conveys the commander's thinking through mission-type orders, in which subordinates are encouraged to exercise initiative and are given freedom to act independently.
Culture	The beliefs, customs, and institutions of an organization.
Doctrine	Fundamental principles by which military forces or elements thereof guide their actions in support of national objectives. It is authoritative but requires judgment in application.
Domestic	Pertaining to one's own or a particular country.

Exclusive Economic Zone (EEZ)	The Exclusive Economic Zone is comprised of those waters seaward of a coastal state's territorial sea and extending no further than 200 nautical miles from the baseline from which the territorial sea is drawn. In this zone, a coastal state may exercise jurisdiction and control over natural resources, both living and non-living.
Effective Presence	Having the right assets and capabilities at the right place at the right time.
Force-in-Being	Forces that are capitalized and in a sufficient state of readiness to respond as needed. As one of the nation's five Armed Forces, the Coast Guard is a specialized, capitalized, complementary, non-redundant force-in-being available to the National Command Authorities as a specialized instrument of national security.
Function	See Roles.
High Seas	The sea or ocean beyond the territorial waters and contiguous zone of a country.
Humanitarian	Having concern for or helping to improve the welfare of mankind.
International Maritime Organization (IMO)	The International Maritime Organization is a specialized agency of the United Nations that is responsible for improving maritime safety and preventing pollution from ships.
Intermodal	The relationship between different modes of transportation. An "intermodal connection" is a place where cargoes move from one mode of transportation to another, such as a container yard where shipping containers are transferred from ships to trucks or rail cars.
International	Between or among nations or concerned with the relations between nations.
Joint	Activities, operations, or organizations in which elements of more than one armed service of the same nation participate.
Lightering	The process of discharging or loading vessels anchored offshore. In the United States, the term generally is used to describe the process of offloading liquid cargo from a large tanker located in a designated "lightering zone" into smaller coastal tankers or barges.
Mandate	To authorize or decree a particular action, as by the enactment of a law.
Maritime Defense Zone (MDZ)	In 1984, the Secretary of Transportation and Secretary of the Navy signed a memorandum of agreement establishing Maritime Defense Zone Commands to coordinate the defense of the coastal United States. Coast Guard Atlantic Area and Pacific Area Commanders are responsible to their respective Navy Fleet Commanders-in-Chief for coastal defense planning and operations, as well as for validating the requirements for naval coastal warfare missions. Since 1994, MDZ has expanded to include foreign harbor defense, port security, and coastal sea control in littoral areas. The MDZ Commanders employ forces composed of active and reserve units of the Coast Guard and Navy.

Memorandum of Agreement

An agreement between two or more agencies concerning mutually supporting services and responsibilities.

Missions

1. The mandated services the Coast Guard performs in pursuit of its fundamental roles. Syn: Duties. The missions the Coast Guard performs in fulfilling its roles are:

   Search and Rescue; Marine Safety; Recreational Boating Safety; Port and Waterways Security; Maritime Law Enforcement—Drug Interdiction; Maritime Law Enforcement—Living Marine Resources; Maritime Law Enforcement—Alien Migrant Interdiction; Maritime Law Enforcement—General; Marine Environmental Protection; Aids to Navigation; Ice Operations; Bridge Administration; Vessel Traffic Management; National Defense; and International Ice Patrol.

2. Tasks or operations assigned to an individual or unit.

Marine Transportation System (MTS)

The Marine Transportation System consists of waterways, ports, and their intermodal connections, vessels, vehicles, and system users. Each component is a complex system within itself and is closely linked with the other components.

National Security

National Security:

1. A collective term encompassing both the national defense and foreign relations of the United States. Specifically, the condition provided by a military or defense advantage over any foreign nation or group of nations.
2. A favorable foreign relations position.
3. A defense posture capable of successfully resisting hostile or destructive action from within or without, overt or covert.

Port State Control Program

The Port State Control program exists under congressional mandate to eliminate sub-standard vessels from U.S. waters. It came about as a result of an increased number of non-U.S. flag commercial and passenger vessels arriving and departing U.S. waters. The program requires boardings of foreign flag vessels prior to their entry to U.S. ports to ensure compliance with international conventions such as SOLAS (Safety Of Life At Sea) and MARPOL (Prevention of Pollution from Ships) and provides for detention of vessels found not in compliance with requirements.

Principles of Military Operations Other Than War (MOOTW)

The principles of military operations other than war represent the best efforts of military thinkers to identify those aspects of the use of military capabilities across the range of military operations short of war that are universally true and relevant. Military operations other than war focus on deterring war, resolving conflict, and promoting peace, and may involve elements of both combat and non-combat operations in peacetime, conflict, and war.

Principles of War

The principles of war represent the best efforts of military thinkers to identify those aspects of warfare that are universally true and relevant. The principles of war generally focus on large-scale, sustained combat operations, during which the primary goal is to win as quickly and with as few casualties as possible.

Regulatory	Of or concerning a rule, law, order, or direction from a superior or competent authority regulating action or conduct.
Roles	The enduring purposes for which the Coast Guard is established and organized. Syn: Functions. Our fundamental roles are: • Maritime Security. Protect America's maritime borders and suppress violations of federal law in the maritime region. • Maritime Safety. Save lives and property at sea through prevention and response activities. • Protection of Natural Resources. Protect the marine environment and the natural resources within it through prevention and response activities. • Maritime Mobility. Provide essential services that undergird an effective, efficient, and safe marine transportation system. • National Defense. Defend the nation as a full partner with the Navy and the other U.S. Armed Forces in support of America's national security and military strategies and operations.
Search and Rescue (SAR)	Search and Rescue is the use of available resources to assist persons and property in potential or actual distress. The Coast Guard is the lead agency for Maritime SAR. The Commandant has divided the Maritime SAR Area into two sections, the Atlantic Maritime Area and the Pacific Maritime Area. The Atlantic Area Commander is the Atlantic Area SAR Coordinator, and the Pacific Area Commander is the Pacific Area SAR Coordinator.
Specialized Service	An armed service specialized for a certain type or class of duties. The Coast Guard operates as a specialized service when part of the Navy.
Tactical Level	The level at which the missions are actually executed. For example, a small boat responding to a search-and-rescue mission.

THE PRINCIPLES OF WAR

As a member of the U.S. Armed Forces, the principles of war also apply to the Coast Guard, particularly when we engage in joint military operations with the Navy and the other armed services. Like the broader principles to which the Service adheres, these principles do not constitute a checklist that should be memorized. Rather, they provide a framework for thinking about the requirements of warfare and, when taken out of the context of combat, other types operations as well.

The principles are as follows[52]:

• Objective. The purpose of the objective is to direct every military operation toward a clearly defined, decisive, and attainable objective. The objective of combat operations is the destruction of the enemy armed forces' capability and will to fight. The objective of an operation other than war might be more difficult to define; nevertheless, it too must be clear from the beginning. Objective must directly, quickly, and economically contribute to the purpose of the operation. Each operation must contribute to strategic objectives. Avoid actions that do not directly contribute to achieving the objective.

• Mass. The purpose of mass is to concentrate the effects of combat power at the place and time to achieve decisive results. To achieve mass is to synchronize appropriate joint force capabilities where they will have a decisive effect in a short period of time. Mass must be sustained to have the desired effect. Massing effects, rather than concentrating forces, can enable even numerically inferior forces to achieve decisive results and minimize human losses and waste of resources.

• Maneuver. The purpose of maneuver is to place the enemy in a position of disadvantage through the flexible application of combat power. Maneuver is the movement of forces in relation to the enemy to secure or retain positional advantage, usually in order to deliver—or threaten delivery of—the direct and indirect fires of the maneuvering force. Effective maneuver keeps the enemy off balance and thus protects the friendly force. It contributes materially in exploiting successes, preserving freedom of action, and reducing vulnerability by continually posing new problems for the enemy.

• Offensive. The purpose of an offensive action is to seize, retain, and exploit the initiative. Offensive action is the most effective and decisive way to attain a clearly defined objective. Offensive operations are the means by which a military force seizes and holds the initiative while maintaining freedom of action and achieving decisive results. The importance of offensive action is fundamentally true across all levels of war.

• Economy of Force. The purpose of the economy of force is to allocate minimum essential combat power to secondary efforts. Economy of force is the judicious employment and distribution of forces. It is the measured allocation of available combat power to such tasks as limited attacks, defense, delays, or deception in order to achieve mass elsewhere at the decisive point and time.

• Unity of Command. The purpose of unity of command is to ensure unity of effort for every objective under one responsible commander for every objective. Unity of command means that all forces operate under a single commander with the requisite authority to direct all forces employed in pursuit of a common purpose. Unity of effort, however, requires coordination and cooperation among all forces toward a commonly recognized objective, although they are not necessarily part of the same command structure. In multi-national and interagency operations, unity of command may not be possible, but the requirement for unity of effort becomes paramount. Unity of effort—coordination through cooperation and common interests—is an essential complement to unity of command.

• Simplicity. The purpose of simplicity is to prepare clear, uncomplicated plans and concise orders to ensure thorough understanding. Simplicity contributes to successful operations. Simple plans and clear, concise orders minimize misunderstanding and confusion. When other factors are equal, the simplest plan is preferable. Simplicity in plans allows better understanding and execution planning at all echelons. Simplicity and clarity of expression greatly facilitate mission execution in the stress, fatigue, and other complexities of modern combat and are especially critical to success in combined operations.

• Surprise. The purpose of surprise is to strike the enemy at a time or place in a manner for which it is unprepared. Surprise can help the commander shift the balance of combat power and thus achieve success well out of proportion to the effort expended. Factors contributing to surprise include speed in decision making, information sharing, and force movement; effective intelligence; deception; application of unexpected combat power; operations security; and variations in tactics and methods of operation.

• Security. The purpose of security is to never permit the enemy to acquire unexpected advantage. Security enhances freedom of action by reducing our vulnerability to hostile acts, influence, or surprise. Security results from the measures taken by commanders to protect their forces. Staff planning and an understanding of enemy strategy, tactics, and doctrine will enhance security. Risk is inherent in military operations. Application of this principle includes prudent risk management, not undue caution. Protecting the force increases our combat power and preserves freedom of action.

THE PRINCIPLES OF MILITARY OPERATIONS OTHER THAN WAR

Military Operations Other Than War encompass a broad range of military operations and support a variety of purposes, including: supporting national objectives, deterring war, returning to a state of peace, promoting peace, keeping day-to-day tensions between nations below the threshold of armed conflict, maintaining U.S. influence in foreign lands, and supporting U.S. civil authorities consistent with applicable law. Support of these objectives is achieved by providing military forces and resources to accomplish a wide range of missions other than warfighting. The principles of war, though principally associated with large-scale combat operations, generally apply to MOOTW, though sometimes in different ways. Strikes and raids, for example, rely on the principles of surprise, offensive, economy of force, and mass to achieve a favorable outcome. However, political considerations and the nature of many MOOTW require an underpinning of additional principles described below. MOOTW that require combat operations (such as some forms of peace enforcement, or strikes and raids) require joint force commanders (JFC) to fully consider the principles of war and principles of MOOTW.[53]

- Objective. Direct every military operation toward a clearly defined, decisive, and attainable objective.
    - JFCs must understand the strategic aims, set appropriate objectives, and ensure that these aims and objectives contribute to unity of effort. Inherent in the principle of objective is the need to understand what constitutes mission success, and what might cause the operation to be terminated before success is achieved. As an example, excessive U.S. casualties incurred during a peacekeeping operation may cause abandonment of the operation.
    - Although defining mission success may be more difficult in MOOTW, it is important to do so to keep U.S. forces focused on a clear, attainable military objective. Specifying measures of success helps define mission accomplishment and phase transitions.
    - The political objectives that military objectives are based on may not specifically address the desired military end state. JFCs should, therefore, translate their political guidance into appropriate military objectives through a rigorous and continuous mission and threat analysis. JFCs should carefully explain to political authorities the implications of political decisions on capabilities and risk to military forces. Care should be taken to avoid misunderstandings stemming from a lack of common terminology.
    - Change to initial military objectives may occur because political and military leaders gain a better understanding of the situation, or it may occur because the situation itself changes. JFCs should be aware of shifts in the political objectives, or in the situation itself, that necessitate a change in the military objective. These changes may be very subtle, yet they still require adjustment of the military objectives. If this adjustment is not made, the military objectives may no longer support the political objectives, legitimacy may be undermined, and force security may be compromised.
- Unity of Effort. Seek unity of effort in every operation.
    - This MOOTW principle is derived from the principle of war, unity of command. It emphasizes the need for ensuring all means are directed to a common purpose. However, in MOOTW, achieving unity of effort is often complicated by a variety of international, foreign, and domestic military and non-military participants, the lack of definitive command arrangements among them, and varying views of the objective. This requires that JFCs or other designated directors of the operation, rely heavily on consensus building to achieve unity of effort.
    - While the chain of command for U.S. military forces remains inviolate (flowing from the National Command Authorities through the combatant commander to

the subordinate JFC), command arrangements among coalition partners may be less well-defined and not include full command authority. Under such circumstances, commanders must establish procedures for liaison and coordination to achieve unity of effort. Because MOOTW will often be conducted at the small-unit level, it is important that all levels understand the informal and formal relationships.

- Security. Never permit hostile factions to acquire a military, political, or informational advantage.
    - This principle enhances freedom of action by reducing vulnerability to hostile acts, influence, or surprise.
    - The inherent right of self-defense against hostile acts or hostile intent applies in all operations. This protection may be exercised against virtually any person, element, or group hostile to the operation; for example, terrorists, or looters after a civil crisis or natural disaster. JFCs should avoid complacency and be ready to counter activity that could bring harm to units or jeopardize the operation. All personnel should stay alert even in a non-hostile operation with little or no perceived risk. Inherent in this responsibility is the need to plan for and posture the necessary capability to quickly transition to combat should circumstances change.
    - In addition to the right of self-defense, operations security is an important component of this principle of MOOTW. Although there may be no clearly defined threat, the essential elements of U.S. military operations should still be safeguarded. The uncertain nature of the situation inherent in MOOTW, coupled with the potential for rapid change, require that operations security be an integral part of the operation. Operations security planners must consider the effect of media coverage and the possibility coverage may compromise essential security or disclose critical information.
    - Security may also involve the protection of civilians or participating agencies and organizations. The perceived neutrality of these protected elements may be a factor in their security. Protection of a nongovernmental organization (NGO) or private volunteer organization (PVO) by U.S. military forces may create the perception that the NGO or PVO is pro-U.S. Therefore, an NGO or PVO may be reluctant to accept the U.S. military's protection.
- Restraint. Apply appropriate military capability prudently.
    - A single act could cause significant military and political consequences; therefore, judicious use of force is necessary. Restraint requires the careful balancing of the need for security, the conduct of operations, and the political objective. Excessive force antagonizes those parties involved, thereby damaging the legitimacy of the organization that uses it while possibly enhancing the legitimacy of the opposing party.
    - Commanders at all levels must take proactive steps to ensure their personnel know and understand the rules of engagement (ROE) and are quickly informed of changes. Failure to understand and comply with established ROE can result in fratricide, mission failure, and national embarrassment. ROE in MOOTW are generally more restrictive, detailed, and sensitive to political concerns than in war, consistent always with the right of self-defense. Restraint is best achieved when ROE issued at the beginning of an operation address most anticipated situations that may arise. ROE should be consistently reviewed and revised as necessary. Additionally, ROE should be carefully scrutinized to ensure the lives and health of military personnel involved in MOOTW are not needlessly endangered.

- Perseverance. Prepare for the measured, protracted application of military capability in support of strategic aims. Some MOOTW may require years to achieve the desired results. The underlying causes of the crisis may be elusive, making it difficult to achieve decisive resolution. It is important to assess possible responses to a crisis in terms of each option's impact on the achievement of the long-term political objective. This assessment does not preclude decisive military action, but frames that action within the larger context of strategic aims. Often, the patient, resolute, and persistent pursuit of national goals and objectives, for as long as necessary to achieve them, is a requirement for success. This will often involve political, diplomatic, economic, and informational measures to supplement military efforts.

- Legitimacy. Committed forces must sustain the legitimacy of the operation and of the host government, where applicable.

    - In MOOTW, legitimacy is a condition based on the perception by a specific audience of the legality, morality, or rightness of a set of actions. This audience may be the U.S. public, foreign nations, the populations in the area of responsibility/joint operations area, or the participating forces. If an operation is perceived as legitimate, there is a strong impulse to support the action. If an operation is not perceived as legitimate, the actions may not be supported and may be actively resisted. In MOOTW, legitimacy is frequently a decisive element. The prudent use of psychological operations and humanitarian and civic assistance programs assists in developing a sense of legitimacy for the supported government.

    - Legitimacy may depend on adherence to objectives agreed to by the international community, ensuring the action is appropriate to the situation, and fairness in dealing with various factions. It may be reinforced by restraint in the use of force, the type of forces employed, and the disciplined conduct of the forces involved. The perception of legitimacy by the U.S. public is strengthened if there are obvious national or humanitarian interests at stake, and if there is assurance that American lives are not being needlessly or carelessly risked.

    - Another aspect of this principle is the legitimacy bestowed upon a government through the perception of the populace which it governs. Because the populace perceives that the government has genuine authority to govern and uses proper agencies for valid purposes, they consider that government as legitimate.

FURTHER READING

Hamilton's Vision and Circular of 4 June 1791—No other service or agency of the federal government ever received clearer sailing directions than the Coast Guard did from its founder, Alexander Hamilton. It is known that Hamilton had a deep and abiding concern as to the conduct of the crews. This is evidenced by his superbly crafted 4 June 1791 "Letter of Instruction." As Captain-Commandant Horatio Davis Smith wrote in his early history of the U.S. Revenue Marine Service, "the Circular embodied the views of the Secretary concerning the Service he had created, the success of which was problematical, and over whose fortunes he watched with considerable solicitude. He was ever ready to listen to suggestions of officers tending to improve the Corps, and stood ready to aid the elevation and improvement of the Service by personal influence and the ready eloquence, of which he was such a complete master." Hamilton's Circular, available on the Internet at http://www.uscg.mil/hq/g-cp/history/hamiltonletter.html, should be thoroughly reviewed and studied by all Coast Guard personnel—officer, enlisted, civilian, and auxiliary.

Headquarters Circular No. 126 of 16 October 1936—There is a tendency to believe that current statements are original expressions of purpose and expectation, but in truth they are not. *America's Maritime Guardian* is not the first authoritative statement of Coast Guard doctrine. In 1936, for example, Headquarters Circular No. 126 laid down doctrine that with minimum editing (largely to update our mission set) would be as applicable today as it was more than 60 years ago. Circular No. 126 is available on the Internet at http://www.uscg.mil/hq/gcp/history/HQCircular126.html.

Strategic Planning Documents—*America's Maritime Guardian* describes what we do, why we do it, and who we are as an organization. It does not describe the challenges we face as a nation and Service, our vision for the future, our goals to reach that future, or when and how we plan to reach our goals. These subjects are addressed in the following strategic planning documents.

- The White House. *A National Security Strategy for a New Century*. December 1999.
- Joint Chiefs of Staff. *Shape, Respond, Prepare Now: A Military Strategy for a New Era*. 1997.
- Department of Transportation. *Strategic Plan* (current edition).
- United States Coast Guard. *Coast Guard 2020*. May 1998.
- United States Coast Guard. *United States Coast Guard Strategic Plan* (current edition).
- Office of Naval Intelligence and U.S. Coast Guard Intelligence Coordination Center. *Threats and Challenges to Maritime Security*. 1 March 1999.
- Mendel, William W. and Murl D. Munger. *Strategic Planning and the Drug Threat*. Carlisle, PA: Strategic Studies Institute, U.S. Army War College, August 1997.
- Office of National Drug Control Policy. *The National Drug Control Strategy, 1998: A Ten-Year Plan*. Washington, DC: GPO, 1998.
- Report of the Interagency Task Force on U.S. Coast Guard Roles and Missions. *A Coast Guard for the Twenty-First Century*. December 1999.

History—*America's Maritime Guardian* provides a brief overview of the rich history of the Coast Guard and its predecessor organizations. A better knowledge of the history of the Coast Guard, as contained in the following recommendations, will enhance the reader's understanding of our Service. The Coast Guard Historian's Office also maintains a list of the best books on Coast Guard history in print on the Internet at http://www.uscg.mil/hq/g-cp/history/bestbooks.html.

- Beard, Barrett Thomas. *Wonderful Flying Machines: A History of U.S. Coast Guard Helicopters*. Annapolis, MD: U.S. Naval Institute Press, 1996.

- Browning, Robert M., Jr. "The Coast Guard Captains of the Port," in Jan M. Copes and Timothy Runyon, ed., *To Die Gallantly: The Battle of the Atlantic*. New York: Westview Press, 1994.

- Evans, Stephen H. *The United States Coast Guard, 1790-1915: A Definitive History*. Annapolis, MD: U.S. Naval Institute Press, 1949.

- Johnson, Robert Erwin. *Guardians of the Sea: History of the United State Coast Guard, 1915 to the Present*. Annapolis, MD: U.S. Naval Institute Press, 1987.

- King, Irving H. *George Washington's Coast Guard: Origins of the U.S. Revenue Cutter Service, 1789-1801*. Annapolis, MD: U.S. Naval Institute Press, 1978.

- King, Irving H. *The Coast Guard Expands, 1865-1915*. Annapolis, MD: U.S. Naval Institute Press, 1996.

- King, Irving H. *The Coast Guard Under Sail: The U.S. Revenue Cutter Service, 1789-1865*. Annapolis, MD: U.S. Naval Institute Press, 1989.

- Junger, Sebastian. *The Perfect Storm*. New York: W.W. Norton, 1997.

- Larzelere, Alex. *The Coast Guard at War*. Annapolis, MD: U.S. Naval Institute Press, 1997.

- Noble, Dennis L. *Lifeboat Sailors: Disasters, Rescues, and the Perilous Future of the Coast Guard's Small Boat Stations*. Washington, DC: Brassey's, 2000.

- Noble, Dennis L. *Lighthouses & Keepers: The U.S. Lighthouse Service and Its Legacy*. Annapolis, MD: U.S. Naval Institute Press, 1997.

- Noble, Dennis L. *That Others Might Live: The U.S. Life-Saving Service, 1878-1915*. Annapolis, MD: U.S. Naval Institute Press, 1994.

- Noble, Dennis L. and Truman R. Strobridge. *Alaska and the U.S. Revenue Cutter Service, 1867-1915*. Annapolis, MD: U.S. Naval Institute Press, 1999.

- U.S. Coast Guard. *International Ice Patrol*. Washington, DC: U.S. Department of Transportation, July 1984.

- Willoughby, Malcolm F. *The U.S. Coast Guard in World War II*. New York: Arno Printing, 1980.

Maritime Policy—The Coast Guard not only executes U.S. maritime policy, we also play a significant role in the development of that policy. The following are excellent books on maritime policy issues.

- Degenhardt, Henry W. *Maritime Affairs: A World Handbook*. New York: Longman Publishing Group, 1985.

- Fuss, Charles M., Jr. and W.T. Leland. *Sea of Grass*. Annapolis, MD: Naval Institute Press, 1996.

- Galdorisi, George V. and Kevin R. Vienna. *Beyond the Law of the Sea*. Boulder, CO: Praeger, 1987.

- Ginifer, Jeremy and Michael Pugh, ed. *Maritime Security and Peacekeeping: A Framework for United Nations Operations*. Manchester, UK: Manchester University Press, 1994.

- Kearsley, Harold J. *Maritime Power and the Twenty-first Century*. Aldershot, UK: Dartmouth Publishing, 1992.

- Oakley, Robert B. *Policing the New World Disorder: Peace Operations and Public Security*. Washington, DC: National Defense University Press, 1998.

- Staly, Robert Stephens, II. *The Wave of the Future: The United Nations and Naval Peacekeeping*. New York: Lynne Riener Publishers, 1992.

- Till, Geoffrey, ed. *Seapower: Theory and Practice*. Essex, UK: Frank Cass, 1994.

- Wang, James C.F. *Handbook on Ocean Politics and Law*. New York: Greenwood Publishing Group, 1992.

- Williams, Michael C. *Civil-Military Relations and Peace-keeping*. Oxford, UK: Oxford University Press, International Institute for Strategic Studies, Adelphi Paper 321, August 1998.

Legal Authorities—The Coast Guard has been granted broad legal authority to act. The following publication outlines the numerous sources of that authority.

- Coast Guard Legal Authorities, COMDTPUB P5850.2B.

Endnotes

1 *Memorandum of Agreement between the Department of Defense and the Department of Transportation on the Use of U.S. Coast Guard Capabilities and Resources in Support of the National Military Strategy*; 3 October 1995. This document may be found on the Coast Guard Intranet site at http://cgweb.comdt.uscg.mil/g-opd/NAVGARD/navgard1.htm.

2 Stephen H. Evans, *The United States Coast Guard, 1790-1915: A Definitive History* (Annapolis, MD: U.S. Naval Institute, 1949), p. 5 [hereafter Evans, *Definitive History of the Coast Guard*].

3 Quoted in Robert Erwin Johnson, *Guardians of the Sea* (Annapolis, MD: Naval Institute Press, 1987), p. 1.

4 Evans, *Definitive History of the Coast Guard*, p. 13.

5 Act of August 4, 1790 (1 Stat. L., 145, 175) (ten per cutter—a master, three mates, four mariners, and two boys).

6 Dennis L. Noble, *Lighthouses & Keepers: The U.S. Lighthouse Service and its Legacy* (Annapolis, MD: Naval Institute Press, 1997), p. 7. There were at least eleven lighthouses in the colonies before the Revolution, but the first one is generally agreed to have been the Boston Light, located on Little Brewster Island, Boston Harbor, Massachusetts. *Id.*, p. 5.

7 Act of August 7, 1789 (1 Stat. L., 53).

8 Evans, *Definitive History of the Coast Guard*, p. 4.

9 Act of July 1, 1797 (1 Stat. L. 523, 525).

10 Johnson, *Guardians of the Sea*, p. 2.

11 Act of December 22, 1837 (5 Stat. L. 208).

12 Act of July 7, 1838 (5 Stat. L. 304), quoted in Evans, *Definitive History of the Coast Guard*, p. 29.

13 Evans, *Definitive History of the Coast Guard*, p. 29.

14 Joshua M. Smith, "'So Far Distant from the Eye of Authority': The Embargo of 1807 and the U.S. Navy, 1807-1809," in William B. Cogar (ed.), *New Interpretations in Naval History: Selected Papers from the Twelfth Naval History Symposium* (Annapolis, MD: Naval Institute Press, 1996), p. 132.

15 For an excellent treatment of this subject, see Warren S. Howard, *American Slavers and the Federal Law, 1837-1862* (Berkeley, CA: University of California Press, 1963).

16 Quoted in *The U.S. Coast Guard: A Historical Overview* by the Office of the Coast Guard Historian.

17 Evans, *Definitive History of the Coast Guard*, p. 76.

18 President Lincoln invoked the provisions of section 98 of *An Act to Regulate the Collection of Duties on Imports and Tonnage*, 2 March 1799, which stated that "revenue cutters shall, whenever the President of the United States shall so direct, co-operate with the navy of the United States, during which time, they shall be under the direction of the Secretary of the Navy...." 1 Stat. L. 626, pp. 699-700.

19 Evans, *Definitive History of the Coast Guard*, p. 75, citing Army and Navy *Journal*, 26 November 1864. This claim was verified by Captain (E) J. H. Pulsifer, USCG (Ret.) in the U.S.C.G. Association *Journal*, 1917, Vol. I, No. 1.

20 For many decades the Service had no official title, although "Revenue Marine" or "Revenue Service" seem to have been the most common appellations in the 1800s. Not until 1863 did Congress actually call the Service by name. In that year, Congress used the name in *An Act in Relation to Commissioned Officers of the United States Revenue Cutter Service*, 4 February 1863, 12 Stat. L. 639.

21 Irving H. King, *The Coast Guard Expands, 1865-1915: New Roles, New Frontiers* (Annapolis, MD: Naval Institute Press, 1996), pp. 11-13.

22 *Id.*, p. 13.

23 In 1872, the fleet consisted of 35 cutters, of which 25 were steamers. *Id.*, p. 14. In 1881, the numbers were 36 and 31, respectively. *Id.*, p. 17.

24 Joe A. Mobley, *Ship Ashore! The U.S. Lifesavers of Coastal North Carolina* (Raleigh, NC: North Carolina Department of Cultural Resources, Division of Archives and History, 1994), pp. 26-27.

25 For a discussion of the *Huron* and *Metropolis* disasters and their effect, see Mobley, *Ship Ashore!*, pp. 53-90.

26 This task was a precursor to those associated with Maritime Defense Zones during the late twentieth century.

27 Evans, *Definitive History of the Coast Guard*, pp. 169-72. In his letter to Congress, the President wrote:

> On the 11th of May, 1898, there occurred a conflict in the Bay of Cardenas, Cuba, in which the naval torpedo boat *Winslow* was disabled, her commander wounded, and one of her officers and a part of her crew killed by the enemy's fire.
>
> In the face of a most galling fire from the enemy's guns the revenue cutter *Hudson*, commanded by First Lieutenant Frank H. Newcombe, [USRCS], rescued the disabled *Winslow*, her wounded commander, and remaining crew. The commander of the *Hudson* kept his vessel in the very hottest fire of the action ... until he finally [was able to tow] that vessel out of range of the enemy's guns, a deed of special gallantry. *Id.*, pp. 171-2.

28 Johnson, *Guardians of the Sea*, p. 20.

29 King, *The Coast Guard Expands*, p. 232.

30 Coast Guard aviation traces its beginnings to 1915, when Lieutenants Elmer F. Stone and Norman B. Hall of the cutter *Onondaga* persuaded Captain Benjamin M. Chiswell to allow them to fly search missions for the cutter in a borrowed aircraft. Their success led Congress to authorize a fledgling aviation program, but Congress failed to follow up with appropriations. The program lay dormant until after World War I, when the Coast Guard established an air station in Morehead City, North Carolina, using an abandoned naval air station and borrowed Navy flying boats. Again, the failure of appropriations doomed the program, and the air station closed in 1922. Johnson, *Guardians of the Sea*, pp. 42, 67.

31 P.L. 755, June 22, 1936, 49 Stat. 1820. The law did not apply on the inland waters of the United States, except the Great Lakes and their connecting waters.

32 During World War II, even the reserves required augmentation in order to meet port security needs. In June 1942, the Coast Guard established a Temporary Reserve made up of men and women who were excluded from full-time military service. By 1944, 50,000 served, primarily as a part-time Volunteer Port-Security Force. Robert M. Browning, Jr., *Captains of the Port* (Washington, DC: Coast Guard Historian's Office, 1993), pp. 15-16.

33 *Id.*, p. 177.

34 *Id.*, pp. 195-196.

35 *Id.*, pp. 220-22. The acronym LORAN, adopted to conceal the project from our enemies, was a shortened version of "Long Range Navigation." *Id.*, p. 221.

36 Alex Larzelere, *The Coast Guard at War: Vietnam 1965-1975* (Annapolis, MD: Naval Institute Press, 1997), p. 7.

37 *Id.*, p. 121.

38 Originally known as the "Atlantic Merchant Vessel Emergency Reporting System," AMVER became operational on 18 July 1958. A history of AMVER may be found on the Coast Guard Internet site at http://www.uscg.mil/hq/g-o/g opr/amver/history.htm.

39 Johnson, *Guardians of the Sea*, p. 341.

40 The Timber Reserve Act of 1822, 3 Stat. L. 651 (23 February 1822) authorized the President to "employ so much of the land and naval forces of the United States" as necessary to preserve public stands of live oak, used to build the stout hulls of U.S. men-o'-war, located in Florida. According to Evans, the Revenue Marine enforced this law. Evans, *Definitive History of the Coast Guard*, p. 29.

41 Act of March 3, 1899, ch. 425, § 13, 30 Stat. 1152, codified at 33 U.S. Code § 407.

42 The three forward-deployed fleets are the Fifth Fleet in the Arabian Gulf/Middle East, the Sixth Fleet in the Mediterranean, and the Seventh Fleet in the Western Pacific.

43 Interagency Task Force Report on Coast Guard Roles and Missions, *A Coast Guard for the Twenty First Century*, 3 December 1999, p. ix.

44 This document can be found on the Coast Guard Intranet site at http://cgweb.comdt.uscg.mil/gopd/NAVGARD/navgard1.htm.

45 10 U.S. Code § 5062.

46 The prohibition is statutory for the Army and Air Force (Act of June 18, 1878, ch. 263, § 15, 20 Stat. L. 145, 152; codified at 18 U.S. Code § 1385); it is a matter of policy for the Navy and Marine Corps.

47 14 U.S. Code § 2.

48 *Annual Report of the United States Coast Guard for the Fiscal Year Ended June 30, 1915*, Government Printing Office, Washington, DC, 1915, Treasury Department Document No. 2746, Coast Guard, p. 45.

49 Alexander Hamilton, *Letter of Instruction*, 4 June 1791, ¶ 3; available on the Internet at http://www.uscg.mil/hq/g-cp/history/hamiltonletter.html.

50 Irving H. King, *The Coast Guard Expands, 1865-1915* (Annapolis, MD: Naval Institute Press, 1996), pp. 8, 198.

51 Hamilton, *Letter of Instruction*, ¶ 14.

52 Joint Publication 3-0, *Doctrine For Joint Operations* (Washington, DC: Joint Chiefs of Staff, 1995), pp. A1-A3.

53 Joint Publication 3-07, *Joint Doctrine For Military Operations Other Than War* (Washington, DC: Joint Chiefs of Staff, 1995).

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