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THE CHANGING ROLE OF THE UNITED STATES COAST GUARD RESERVIST

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by

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DEDICATION

I dedicate this research paper to my lovely wife and parents. Without their patience, understanding, support, and most of all love, the completion of this work would not have been possible.

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I wish to thank Dr. James Smith for patience and more importantly, guidance as I navigated through the learning process of properly creating this document. I appreciate his ability to wrap up sometimes stringent guidance with humor that refocused my efforts and kept my feet on the ground with a smile.

I have found my coursework throughout the Curriculum and Instruction program to be highly challenging and very educational, resulting in my ability to properly conduct future research endeavors with professional confidence.

## ABSTRACT OF THE RESEARCH PAPER

## THE CHANGING ROLE OF THE UNITED STATES COAST GUARD RESERVIST

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Since the terrorist attacks of September 11, 2001 (9-11) the United States Coast Guard (USCG) has made major “course changes” resulting in historic redefinition in the identity of the USCG Reserve force. The USCG Reservist role change from before the attacks to the present contrasts the USCG Reservist before and after 9-11 by explaining the transition of the USCG Reserve force from the Department of Transportation (DOT) to The Department of Homeland Security (DHS) and by analyzing the challenges and successes of a modernized role. Change has been profound, as shown by historical documentation and examination of mission strategies, with results and new directions described by both active and reserve USCG members reflecting on those decisions responsive to new challenges. The role of the USCG Reserve force had been in decline for years, and was accelerated by a major official decision deemed unsuccessful in reviving the reserve service six years prior to the 9-11 attacks. This research finds problems leading to redefinition of the Reserve force were not created by the 9-11 attacks but were significantly resolved by the attacks and the USCG reaction to them.

**TABLE OF CONTENTS**

CHAPTER	PAGE
LIST OF TABLES	7
LIST OF FIGURES	8
CHAPTER I - INTRODUCTION	9
Organization Review	10
Mission Structure	13
Homeland Security	19
Deployment Readiness	20
CHAPTER II - INTERVIEW INSIGHTS	23
Participants	24
Procedure	26
Interviewee Profile	28
CHAPTER III - RESULTS	29
A Summary of Change	38
Discussion	39
REFERENCES	42
APPENDIX – List of Acronyms	47

**LIST OF TABLES**

TABLE	PAGE
1. Statutory Authorities	12
2. USCG Mandated Missions	14
3. Homeland vs. Non-Homeland Security Missions	19
4. Interviewees and their Associated Topic Group(s)	25

**LIST OF FIGURES**

FIGURE	PAGE
1. Reserve Personnel Strength	11
2. RFRS Overall Performance Compared to FY 2008 Baseline	23
3. Personnel Interviewed: Rank and Service Status	26
4. Personnel Interviewed: USCG Type of Service Experience	28
5. Personnel Interviewed: Average Years of Experience	29
6. Personnel Interviewed: Mission Experience	30
7. Pre and Post 9-11 Mission Focus for the Reserve Force	30



## The Changing Role of the United States Coast Guard Reservist

### **Introduction**

The United States Coast Guard (USCG) as a whole has changed drastically to adapt to the widened responsibilities requested by the Department of Homeland Security (DHS) and the American people. Since the attacks of September 11, 2001 (9-11) the Coast Guard has assumed increased duties and priorities to secure more than 95,000 miles of shoreline and nearly 3.4 million square miles of Exclusive Economic Zones (EEZ) and related tasks, which also have added unprecedented demands on the United States Coast Guard Reserve. The responsibilities have forced alteration of the overall composition of the Coast Guard Reserve forces in terms of its strategic role and training priorities (United States Coast Guard [USCG], 2009; Collins, 2005). A complete across the board revamping of Coast Guard Reserve expectations and emphasis on specific training expertise has evolved, resulting in a much deeper reliance on Coast Guard Reserve forces. It has deeply redefined the traditional role of the United States Coast Guard Reservist.

To meet new operational challenges and to continue meeting traditional mission standards, the Coast Guard has activated record numbers of Coast Guard Reservists for support. Since 9-11, the percentage increase in the quantity of activated Reserve personnel has been significantly higher than pre 9-11 requirements and the active duty service length has been substantially longer in order to fulfill both traditional and new DHS missions. Accompanying the need for mission support by Reserve personnel is an increase in budgetary constraints. With that factor, the problem of maintaining successful mission performance increases the reliance on Coast Guard Reservists who are drilling one weekend a month and two weeks a year to prepare for involvement in the missions the Coast Guard performs on a daily basis. Their primary

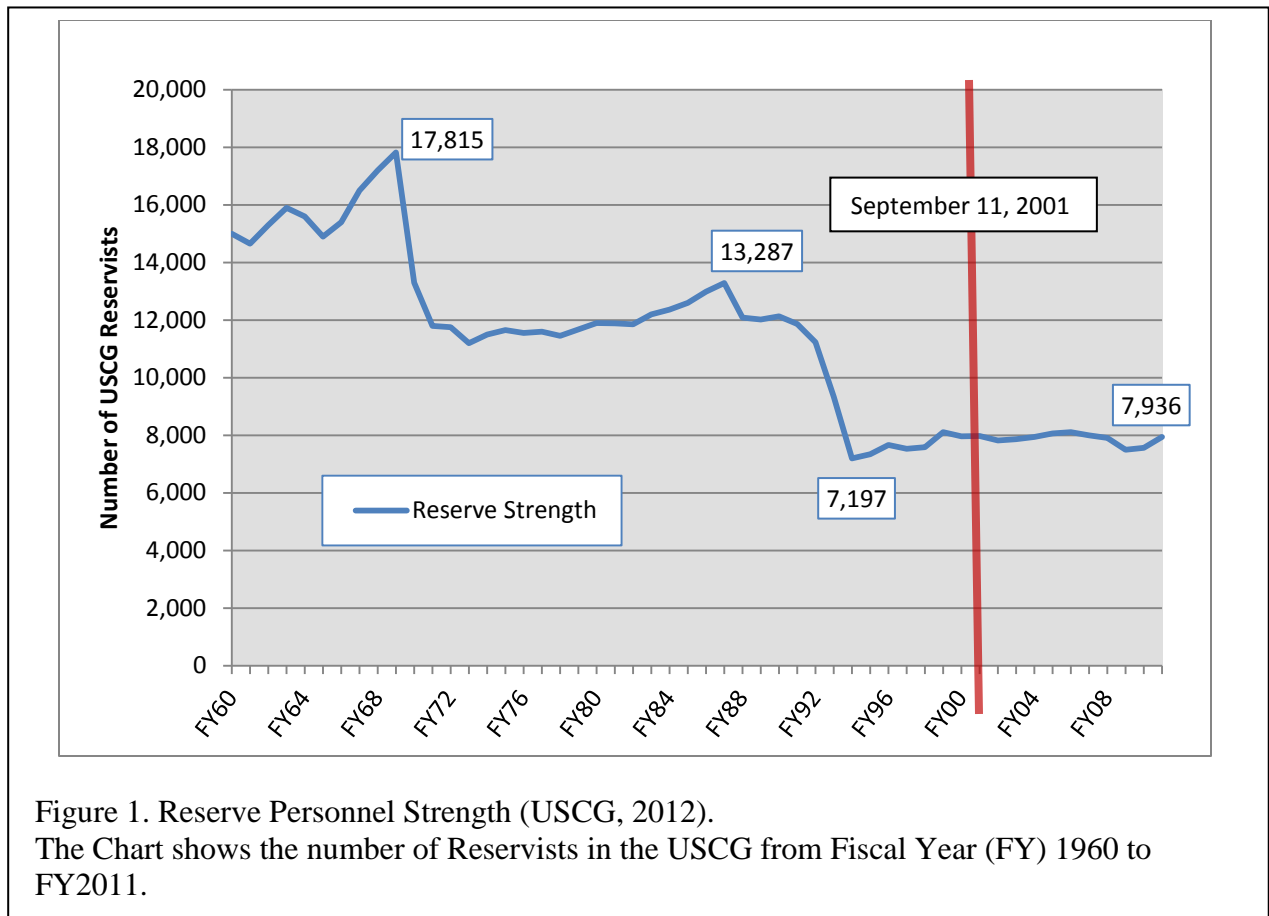
responsibility now is to be trained for active duty status during the frequent necessary deployments related to Coast Guard and DHS missions in addition to national emergencies.

It is clear that the Coast Guard has additional mission responsibilities since 9-11 to ensure the safety and security of the homeland. They are responsibilities that do not end, unlike those of a military conflict. As a result, the role of the Coast Guard Reservist also has changed.

Deployability has once again taken top priority, just as it had in earlier times of war. In light of this “sea change”, especially involving the challenge of permanent DHS missions and even greater budgetary difficulties, how can the role of the United States Coast Guard Reservist best be defined?

### **Organization Review**

Immediately after the 9-11 attacks, 2,623 Coast Guard Reservists were recalled to full time active duty service, accounting for a third of the Reserve Force, which then made up 7% of the active duty force. The number of active reservists was reduced significantly to 698 in 2002 but in 2003, with the beginning of the Iraq War, Congress authorized the recall of 4,412 Reservists, thereby reaching the highest activation level since World War II. Dependence on Force activations of personnel led to an authorized increase of the Reserve Force from 8,000 to 9,000 during 2003 to 9,000 in 2004 (Dwyer, 2010). Although there was authorization for an increase to the budget, the numbers have remained stable at 7,100 to 8,000 strong since 9-11 (Figure 1).



Statutory mission authority derives from titles 10 and 14 of the United States Code (U.S.C.) (USCG, 2003):

- 10 U.S.C. 10101: identifies the Coast Guard Reserves as one of the seven Reserve components of the armed forces.
- 10 U.S.C. 10102: states the “purpose of each Reserve component is to provide trained units and qualified persons available for active duty in the armed forces, in time of war or national emergency, and at such other times as the national security may require, to fill the needs of the armed forces whenever...more units and persons are needed than are in the regular components.”

- 14 U.S.C. 701: provides the basic operating authority for the Coast Guard Reserve, under direction of the Commandant.
- 14 U.S.C. 704: specifically confers upon any member of the Coast Guard Reserve serving on active duty or inactive-duty training “the same authority, rights and privileges in the performance of that duty as a member of the Regular Coast Guard of corresponding grade or rating.” This provision allows qualified reservists to enforce Federal law and make lawful arrests, when necessary, within the scope of their assigned duties. This authority allows reservists to function, interchangeably, with the same military and civil powers as their regular component counterparts, whether during inactive duty drills or while serving under active duty orders.

As shown in Table 1, Titles 10 and 14 of the U.S.C. confer authority to recall reservists to active duty status (USCG, 2003).

Table 1

*Statutory Authorities (USCG, 2003)*

<b>Citation</b>	<b>Enabling authority</b>	<b>In response to:</b>	<b>Types &amp; limitations</b>
14 U.S.C. 712	Secretary of Homeland Security	Serious natural or manmade disasters, accidents or catastrophes	Involuntary. Not more than 30 days per four-month period or 60 days per two-year period.
10 U.S.C. 12301(a)	Congress	War or national emergency declared by Congress	Involuntary. Duration of war or national emergency plus six months.
10 U.S.C. 12301(d)	Designated Authority	Any event	Voluntary. Retain only with member’s consent.
10 U.S.C. 12302	President	National emergency declared by the President	Involuntary. Not more than 24 consecutive months.
10 U.S.C. 12304	President	The Selected Reserve (SELRES) augmentation for any mission deemed necessary by the President	Involuntary. Not more than 270 days.

Select Reserves (SELRES) are individuals within the Ready Reserve designation as so essential to initial contingency requirements that they have priority over all other Reserve elements. SELRES are assigned to Coast Guard or selective Joint Service units and are required to train for mobilization as prescribed in 10 U.S.C. 10147 by participating in inactive duty training periods (commonly known as a weekend drill: IDT) and active duty for the purpose of annual training (commonly known as two weeks a year for training: ADT). Coast Guard SELRES members are generally authorized 48 paid IDT drills and at least 12 paid ADT days per fiscal year (USCG, 2003).

### **Mission Structure**

Today approximately 240 Reservists are retained on active duty supporting critical homeland and military operations overseas (Dwyer, 2010). These activation numbers do not reflect the number of Reservists on active duty who support other non DHS missions within the responsibility of the Coast Guard. The statistic raises the question of the role and expectations of the importance of the Coast Guard Reservist in the post 9-11 world. There are eleven core missions of the Coast Guard (USCG, 2009):

1. Drug interdiction;
2. Ports, waterways, and coastal security (PWCS);
3. Marine safety;
4. Aids to navigation;
5. Search and rescue;
6. Living marine resources;
7. Defense readiness;
8. Migrant interdiction;

- 9. Marine environmental protection;
- 10. Ice operations; and
- 11. Other law enforcement (Recreational/Fisheries).

The mandated missions of the Coast Guard fall into three major categories - maritime safety, maritime security, and maritime stewardship; cover a broad and unique service for the American People; and all save lives in one aspect or another. The role of maritime security encompasses both traditional maritime security and national defense activities while the role of maritime stewardship encompasses activities for maritime mobility and the protection of natural resources. They create a variety of responsibilities that require Coast Guard personnel to undertake more than one mission. It is not uncommon to have Coast Guard personnel exposed to multiple mission responsibilities throughout his/her career (Shumaker, 2005; Hull, Doane, & DiRenzo III 2004) (Table 2).

Table 2

*USCG Mandated Missions (USCG, 2012)*

<b>Military, Maritime, Multi-Mission</b>		
<b>Safety</b> <i>Saving Lives &amp; Protecting Property</i>	<b>Security</b> <i>Establishing &amp; Maintaining a Secure Maritime System while Facilitating its Use for National Good</i>	<b>Stewardship</b> <i>Managing the Sustainable &amp; Effective Use of its Inland, Coastal and Ocean Waters &amp; Resources for the Future</i>
<ul style="list-style-type: none"> <li>● Search &amp; Rescue</li> <li>● Marine Safety</li> </ul>	<ul style="list-style-type: none"> <li>● Ports, Waterways &amp; Coastal Security</li> <li>● Illegal Drug Interdiction</li> <li>● Undocumented Migrant Interdiction</li> <li>● Defense Readiness</li> <li>● Other Law Enforcement</li> </ul>	<ul style="list-style-type: none"> <li>● Marine Environmental Protection</li> <li>● Living Marine Resources</li> <li>● Aids to Navigation</li> <li>● Ice Operations</li> </ul>

In the maritime realm, it is the Coast Guard that upholds the fundamental responsibility of the U.S. government to safeguard the lives and safety of its citizens providing a search and rescue component as well as conducting accident investigation responsibilities. The marine safety mission focuses on improving safety at sea by providing complementary programs to educate the public on how to prevent boating mishaps, promoting boating safety, and developing standards and regulations of various safety types designed to protect mariners and the recreational boating community as well as enforcing vessel construction standards and domestic shipping and navigation regulations. The Coast Guard is also the only voice for America in the International Maritime Organization (IMO) which develops measures to improve shipping safety, pollution prevention, mariner training, and certification standards (USCG, 2009).

Drug interdiction, defense readiness, migrant interdiction, and ports, waterways, and coastal security fall under maritime security; the oldest of the Coast Guard's numerous responsibilities. The obligation dates back to 1790 when the U.S. Coast Guard was founded as the Revenue Cutter Service as part of the Department of Treasury to disrupt smuggling of goods into the United States. The Coast Guard possesses the civil authority to board any vessel subject to U.S. jurisdiction and once aboard a vessel, can inspect, search, inquire, and arrest. With broad police authority, the Coast Guard enforces federal laws and treaties on waters under U.S. jurisdiction, and other international agreements on the high seas relating to violations of our drug, immigration, and fisheries laws, as well as to secure the nation from terrorist threats (USCG, 2009).

Since the Quasi-War with France in 1798, the Coast Guard has served with the U.S. Navy in joint operations to defend the United States. The Coast Guard has participated in the Civil

War, both World Wars, the Korean War, Vietnam, the Persian Gulf War, and Operations Iraqi Freedom and Enduring Freedom (USCG, 2009).

In an effort to create a closer working partnership with the U.S. Navy and Marine Corps, the Secretaries of the Department of Defense and DHS signed an agreement that formalizes the use of Coast Guard competencies and resources in support of the National Military Strategy and other national-level defense and security strategies. These Coast Guard national defense capabilities are (USCG, 2009):

1. Maritime interception and interdiction;
2. Military environmental response;
3. Port operations, security, and defense;
4. Theater security cooperation;
5. Coastal sea control;
6. Rotary wing air intercept;
7. Combating terrorism; and
8. Maritime Operational Threat Response support.

This agreement, signed in May, 2008, supports unified combatant commanders and requires the Coast Guard to execute military operations in peacetime, crisis, and war (USCG, 2009).

The Coast Guard has been responsible for security of domestic ports and waterways since the enactment of the Espionage Act of 1917. The Espionage Act was passed soon after the United States entered World War I and was designed to monitor ship movements that were carrying dangerous cargo such as explosives, strengthen port security and reduce the threat of subversion, sabotage, and malicious interference with the war efforts. It created stiff punishments to anyone who obstructed the military draft or encouraged “disloyalty.” (American Experience,



2004; Johnson, 1988). The Magnuson Act of 1950 extended the Coast Guard's responsibilities to safeguard the ports, harbors, vessels, and waterfront facilities from accidents, sabotage, or other types of subversive acts. Soon after the attacks on September 11, 2001 the Maritime Transportation Security Act of 2002 further increased domestic port and vessel security by designating Coast Guard Captains of the Ports (COTPs) as the Federal Maritime Security Coordinators, resulting in the Coast Guard's responsibility as the lead agency for coordinating all maritime security planning and operations in the domestic ports and waterways (USCG, 2009; Collins, 2005).

The Coast Guard also is the primary agency to monitor international efforts in strengthening port and vessel security. In December, 2002 the Diplomatic Conference on Maritime Security was held in London, resulting in the adoption of new provisions in the International Convention for Safety of Life at Sea, 1974 called the International Code for Security of Ships and of Port Facilities (ISPS Code). The ISPS Code was designed to mirror the Maritime Transportation Security Act of 2002, thereby reducing the complexity in international trade with the United States (International Maritime Organization, 2003; Fleming, 2004).

Maritime stewardship, which includes the living marine resources, marine environmental protection, aids to navigation, ice operations, and other law enforcement (fisheries and recreation boardings) missions, dates back to the 1820s when congress mandated the Coast Guard (The Revenue Marine) to protect federal stocks of Florida live oak trees. Live oaks were considered vital to the growth and security of the nation because they were considered the best wood for shipbuilding (USCG, 2009; Johnson, 1988).

As of 2009, commercial and recreational fishing nets over \$30 billion a year in fishing activities. The Coast Guard, in coordination with local and state law enforcement agencies,

enforces marine resource management and protection regimes to preserve healthy stocks of fish and other living marine resources. In an effort to conserve marine resources, congress passed the Magnuson-Stevens Fishery Conservation and Management Act which created an exclusive economic zone (EEZ) which is waters, seabed, and the subsoil of the seabed seaward of a coastal state's territorial sea and extending no farther than 200 nautical miles from the baseline from which the territorial sea is drawn. International fishing agreements have even extended U.S. jurisdiction beyond the EEZ (USCG, 2009).

In addition to ranging from enforcement of national laws and international agreements to protecting healthy stocks of fish and other living marine resources from being over fished, the Coast Guard also protects the marine environment for the common good, safeguarding sensitive marine habitats, mammals, and endangered species from the discharge of oil, hazardous substances, and non-indigenous invasive species. The Coast Guard fulfills this mission by conducting a wide range of activities including educational and prevention programs; law enforcement; emergency response and containment; and disaster recovery in the form of command and control support operations and the deployment of trained pollution investigator personnel as well as observation assets (USCG, 2009).

The aid to navigation mission ensures that the Nation's waterways are navigable for maritime commerce, which contributes hundreds of billions of dollars to the U.S. gross national economy annually. Keeping the nation's maritime economic highway safe, efficient, and navigable is essential for supporting domestic commerce, international trade, and military sealift requirements for national defense. The Coast Guard provides this service by providing and servicing long and short range aids to navigation, providing support for mapping and charting tide, current, and maritime pilot information, vessel traffic services, technical assistance and

advice, and providing ice breaking operations to keep waterways open from ice accumulation (USCG, 2009).

Finally, but far from last in importance, is the mission of the Polar icebreakers’ responsibility, critical to the protection of national interests in the Arctic and Antarctic regions. This mission supports the research requirements of the National Science Foundation and now is being tasked to undertake plotting of navigational routes in the areas of the Arctic (USCG, 2009).

**Homeland Security**

Although it is not uncommon for Coast Guard personnel to conduct multiple missions, those missions related to Homeland Security missions have been formally categorized. (See Table 3.)

Table 3

*Homeland vs. Non-Homeland Security Missions* (Department of Homeland Security [DHS], 2006)

Non-Homeland Security Missions	Homeland Security Missions
<ul style="list-style-type: none"> <li>● Search and Rescue</li> <li>● Marine Safety</li> <li>● Aids-to-Navigation</li> <li>● Ice Operations</li> <li>● Marine Environmental Protection</li> <li>● Living Marine Resources</li> </ul>	<ul style="list-style-type: none"> <li>● Migrant Interdiction</li> <li>● Drug Interdiction</li> <li>● Other Law Enforcement</li> <li>● Ports, Waterways, &amp; Coastal Security</li> <li>● Defense Readiness</li> </ul>

The Coast Guard is unlike any other military branch because of the broad range of missions and the requirement of those missions to be performed on a daily basis and not only during a crisis such as a military surge to fight a war. It is expected that the Coast Guard Reservist is playing a role in all the eleven missions in one form or another, but considering

recent history, it is expected that the primary influence and focus of the Reservist will be in supporting the defense readiness mission as well as DHS missions (Wilson, 2004). On an average day, the Coast Guard (DHS, 2011):

- Saves 12 lives
- Responds to 64 search & rescue cases
- Keeps 842 pounds of cocaine off the streets
- Services 116 buoys & fixes 24 discrepancies
- Screens 720 commercial vessels & 183,000 crew & passengers
- Issues 173 credentials to merchant mariners
- Investigates 13 marine accidents
- Inspects 68 containers
- Inspects 29 vessels for compliance with air emissions standards
- Performs 28 safety & environmental examinations of foreign vessels
- Boards 13 fishing boats to ensure compliance with fisheries laws
- Responds to and investigates 10 pollution incidents

### **Deployment Readiness**

It was discovered soon after 9-11 that a large percentage of the Reserve Force that was recalled to serve were lacking needed qualifications to complete missions they were assigned. In response, many had to “ramp-up” by attending quickly established training courses that lasted from two to six weeks. It was also discovered that the required medical and dental examinations that were needed to allow a reservist to be recalled to duty also had been neglected, causing a surge in expense and delayed responses to deploy to the field. As a result, in 2006, Admiral Thad Allen, then the U.S. Coast Guard Commandant, issued Coast Guard Action Order #9,

which directed the development of a support system that “optimizes the organization, administration, recruiting, instruction, training, and readiness of the Coast Guard Reserve.” The Reserve Force Readiness System (RFRS) was a complete organizational restructure of the way Reservists would be prepared for deployment (Bullock, 2009).

The drastic effect of the RFRS required a testing phase that was conducted in 2009 and evaluated and refined functional statements, measuring initial effectiveness such as the strengths and weaknesses of the system, the development of standard operation procedures, and the effect on staffing standards. Three questions had to be answered (Bullock, 2009):

1. Are the pay grades and ratings assigned to Coast Guard districts and various sector RFRS staffs the best combination of training and administration know-how needed to provide the tools and support the active duty commands need to provide a Ready Reserve Force?
2. Is the number of RFRS staff assigned to the sector the right number?
3. Where should the RFRS staff reside within the sector chain of command?

Reserve pay grades and assignments were evaluated to consider the most likely location where they will be most needed and the numbers of RFRS staff were assigned to Coast Guard commands based on the geographic location of the Reserve Force and their assignments.

After 9-11, increased emphasis was placed on the Reserve Program Administrator Corps which dates back to 1959 and are military human resource specialists designated to populate the RFRS staff. The Reserve Program Administrators (RPAs) are to direct and to act as advocates for the Reservist. The RPA corps, approximately 75 personnel strong, is made up mostly of Reserve officers who have accepted active duty contracts with the primary mission to ensure

Reservists are ready and able to perform their jobs when activated in three primary functions which include all eleven missions (USCG, 2008):

1. Maritime Homeland Security
2. Domestic and expeditionary support to National Defense
3. Response to domestic disasters, both natural and man-made

RPAs assignment positions are overseen by the Commandant who determines the necessity of where the RPA would have the highest level of contribution towards the support of the Reserve Force (USCG, 2008).

In 2008, the RFRS started tracking performance to see if the program was succeeding. Categories that were measured included the percentage of Reservists who had current, deployable ready medical and dental completed; current and appropriate security level clearances; and completion of mandatory, active duty and inactive duty training. Active duty for training is used to provide reservists with structured individual and/or unit training, or to provide formal courses of instruction through resident or exportable training and is a two week commitment. Inactive duty is considered a weekend drill and is authorized training or other duty performed by reservists not on active duty. Overall, the percentage in deployable readiness grew from 67.45% in 2008 to over 85% in 2010 (Figure 2) (USCG, 2012).

Details in Figure 2 also indicate that at the beginning of each fiscal year (Oct. 1<sup>st</sup>) the deployment percentage is low. The explanation is that the date for annual training requirements resets by the new fiscal year and there is a lapse in time before Reservists complete this training. A positive indication is the increased percentage of completion of the required training since 2008. In 2008 the percentage of Reservists that did not allow their mandatory training to lapse was between 65 to 70 percent. Since the establishment of training opportunities and

management efforts from RFRS, the percentage stabilized between 70 to 73 percent and increased after the first couple of months or drill periods required of a Reservist (USCG, 2012).

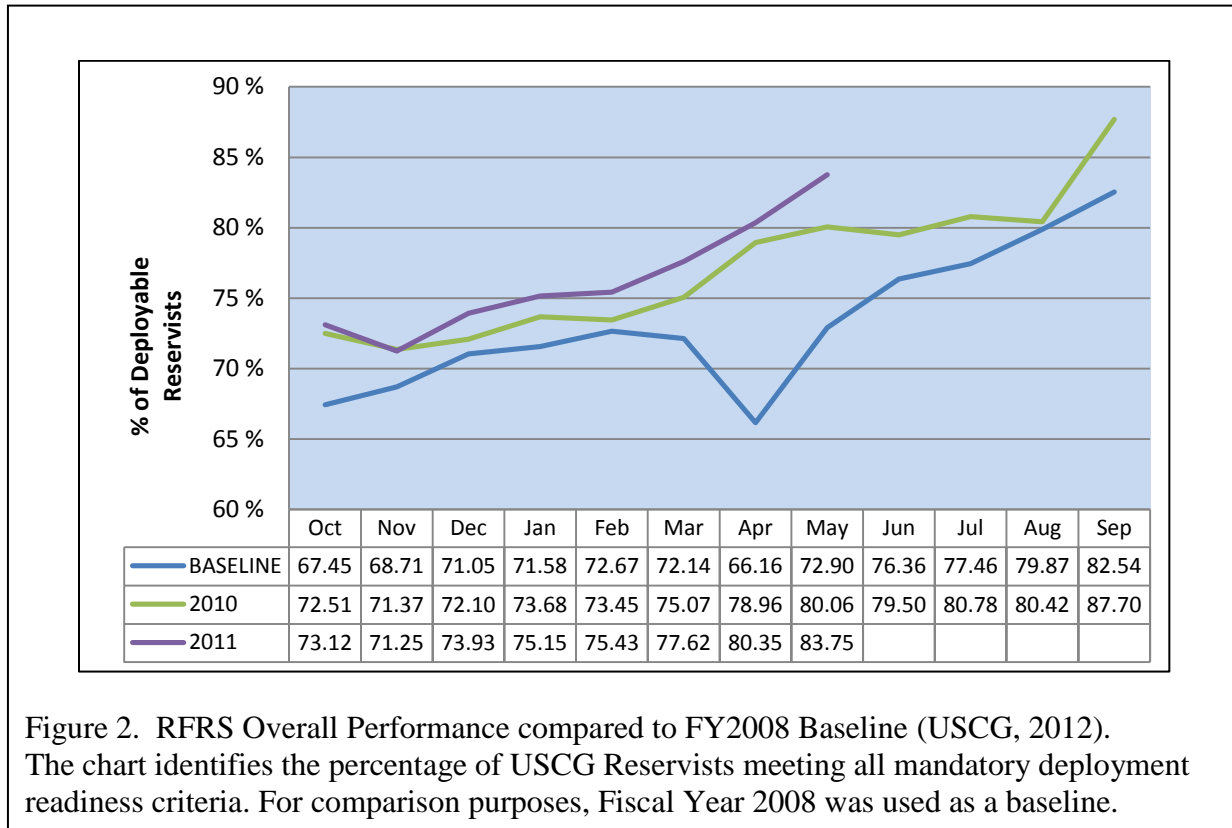


Figure 2. RFRS Overall Performance compared to FY2008 Baseline (USCG, 2012). The chart identifies the percentage of USCG Reservists meeting all mandatory deployment readiness criteria. For comparison purposes, Fiscal Year 2008 was used as a baseline.

### Interview Insights

As a result of the additional mission responsibilities since 9-11, the role of the Coast Guard Reservist has also changed where deployability once again has taken priority due to the reemergence of the importance of RFRS. The reshaping of the Coast Guard Reserve Force to help address the challenges to the Coast Guard created while adding the permanent DHS missions amid budgetary uncertainty also created pressure for reform. The advent of major change reinforces questions that beg to be answered about what major managerial changes have been made to help shape the Coast Guard Reserve Force and what role and expectations of the importance of the Coast Guard Reservist will be required. With little definitive historical insight

available that has addressed these questions and in effort to examine potential answers to these questions, interviews were conducted to explore the demands and changes of the Coast Guard and its reliance on the reserve force since the attacks of September 11, 2001 as it relates to the eleven core missions. In an effort to provide data describing these changes in the missions, the researcher conducted a series of interviews with selected individuals who are active members, reserve members, and retirees of the Coast Guard.

### **Participants**

Twenty five interviews were conducted with the interviewees selected for their direct exposure to the changes that have occurred since September 11, 2001. The interviewees were organized into three groups. Each group was comprised of both enlisted and officer personnel and had a minimum of 8 participants. An individual could be part one or more groups (Table 4).

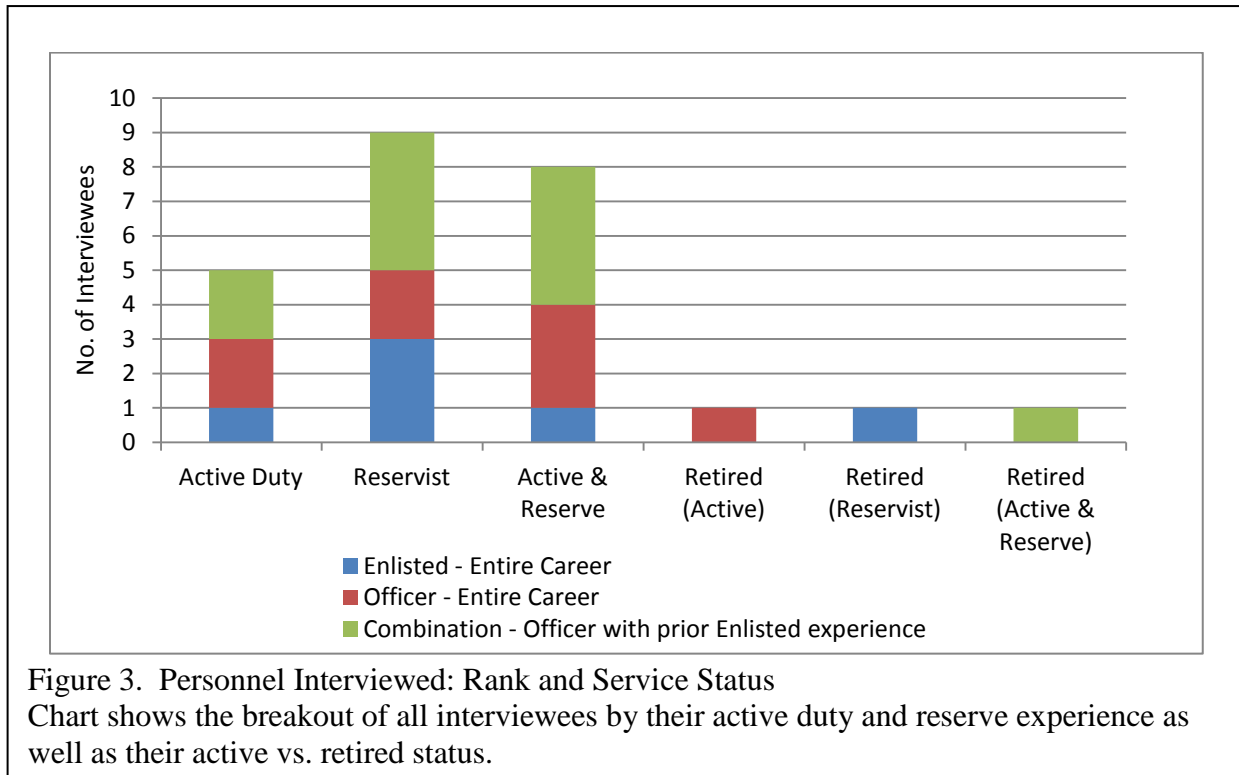
The first group includes individuals who were prior or current commanding officers or supervisors of Coast Guard Reservists and active duty personnel. This group ranges from senior enlisted supervisors to officers who commanded stations, operational groups, ports, and managed large areas of Coast Guard operations. Enlisted interviewees were requested to focus on daily operations and officers to focus on the challenges of personnel management and limitations on needed operational equipment. The second group was requested to focus on daily operations for completing the missions. This group is comprised of a broad spectrum of enlisted and officers. The third group was requested to focus on USCG policy and guidance that has been developed to address the Coast Guard operations and personnel management. This group did not have rank limitations but was composed mostly of high level enlisted and officers (Figure 3). The highest officer and enlisted interviewed were a retired active duty Captain and two Master Chiefs (E-9s), respectively.



Table 4

*Interviewees and their Associated Topic Group(s)*

<b>Individual</b>	<b>Group 1: Management</b>	<b>Group 2: Daily Operations</b>	<b>Group 3: Policy</b>
A		X	
B		X	
C		X	X
D	X	X	X
E	X	X	X
F		X	X
G		X	X
H		X	X
I			X
J		X	
K	X	X	X
L	X	X	
M	X	X	X
N		X	X
O	X	X	
P	X	X	X
Q		X	
R		X	X
S		X	
T		X	X
U		X	
V		X	X
W		X	X
X	X	X	X
Y		X	
<b>Total</b>	<b>8</b>	<b>24</b>	<b>16</b>



**Procedure**

The following questions were asked at scheduled interviews in conference rooms located in Charleston, S.C., Northern Virginia, or Washington D.C. Two interviews were conducted by phone conversation. The phone interviews were made from the privacy of the researcher’s residence. The average interview lasted just over twenty-five minutes and all were conducted individually. The first five questions were designed to gather a statistical baseline for experience structure and creditable support for questions six through twelve. All questions were asked of all selected interviewees, based on their exposure and expertise in at least one of each of the eleven missions included in the responsibilities of the Coast Guard. The interviewees were given the opportunity to explain or expand on their answers throughout the interview. At the outset of the interview, the researcher informed the interviewees that he/she had the right to stop the interview at any time and that all information gathered will be confidential and stored in a safe at the

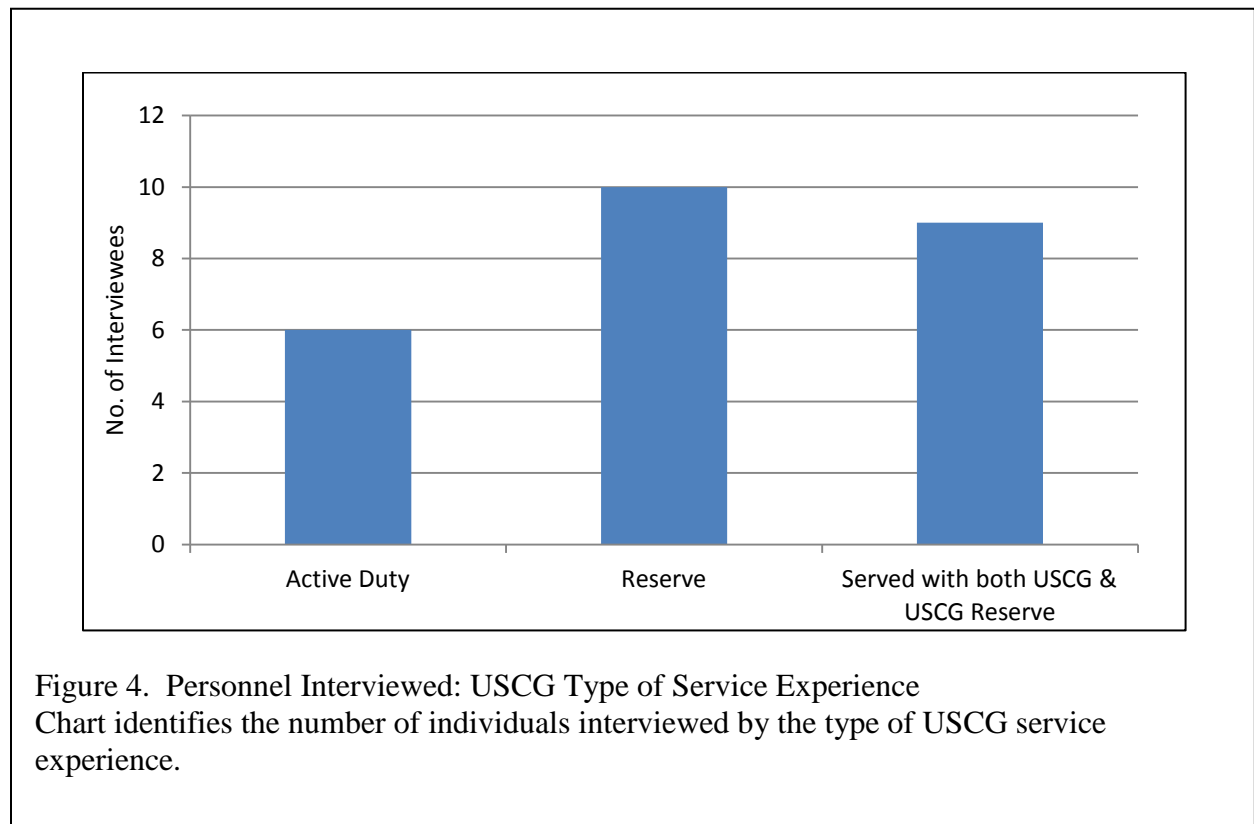
researcher's residence. After five years the information will be destroyed by being shredded or burned. The interview questions were:

1. How long have you been associated with the USCG?
2. Are you active, an active USCG Reservist, or are you a retired active member or Reservist?
3. Are/were you enlisted or an officer and what is/was your rank?
4. Of the eleven primary missions of the USCG, with which have you the most experience and what role did you have while expected to perform in these assignments?
5. What mission would you say you have the most experience in and how many years did you serve performing this assignment?
6. How were you involved in joint efforts by USCG and USCG Reserve before and/or after 9-11?
7. What changes have occurred in the traditional relationship between USCG operations and the USCG Reserve component since 9-11? What changes occurred that were related specifically to missions with which you are familiar?
8. If your experience indicates a change in mission involvement prompted by the events of 9-11, do you assume the change, if any, in the level of involvement is permanent? Why?
9. In your experience during the changes in USCG mission involvement, have you seen an increase or decrease directly related to budgeting constraints? On Congressional involvement? On mission-specific needs, such as heightened emphasis on domestic terrorism threats?

10. What USCG mission appears to you has been most altered by the increased presence of USCGR personnel since 9-11?
11. Do you think having the USCG as part of DHS has complicated the USCG from fulfilling its core mission? Support your answer.
12. How do you feel the transition of the role of the USCG Reservist has gone since 9-11 (good or/and bad)? Please provide specifics.

**Interviewee profile**

A total of twenty-five members of the Coast Guard were interviewed, six were solely active duty personnel, ten were solely reserve personnel, and nine had served both in the active duty and reserve components (Figure 4).



Of the twenty five interviewees interviewed, the average years of service of the members associated with the Coast Guard is 21.64 years (Figure 5). Only two were not associated with the Coast Guard or Coast Guard Reserve before 9-11, although they joined because of the events of that day. Both were interested in being interviewed and wanted to participate in the interview process.

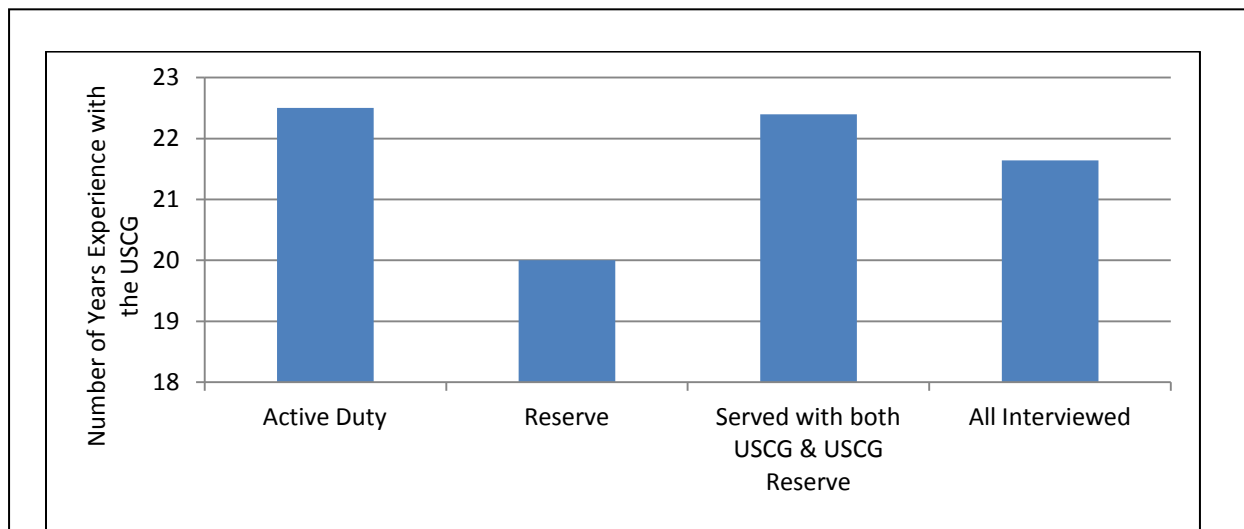


Figure 5. Personnel Interviewed: Average Years of Experience  
The Chart identifies the average number of years a group of interviewees had with the USCG.

## Results

Of all who were interviewed, all stated that they had experience in more than one of the eleven statutory missions that the Coast Guard is required to perform, see Figure 6, but for the Reservists who were interviewed the primary focus deviated from traditional missions such as search and rescue and marine safety to security related missions after 9-11. As for the active duty personnel who were interviewed, most had experience in maritime safety and environmental protection.

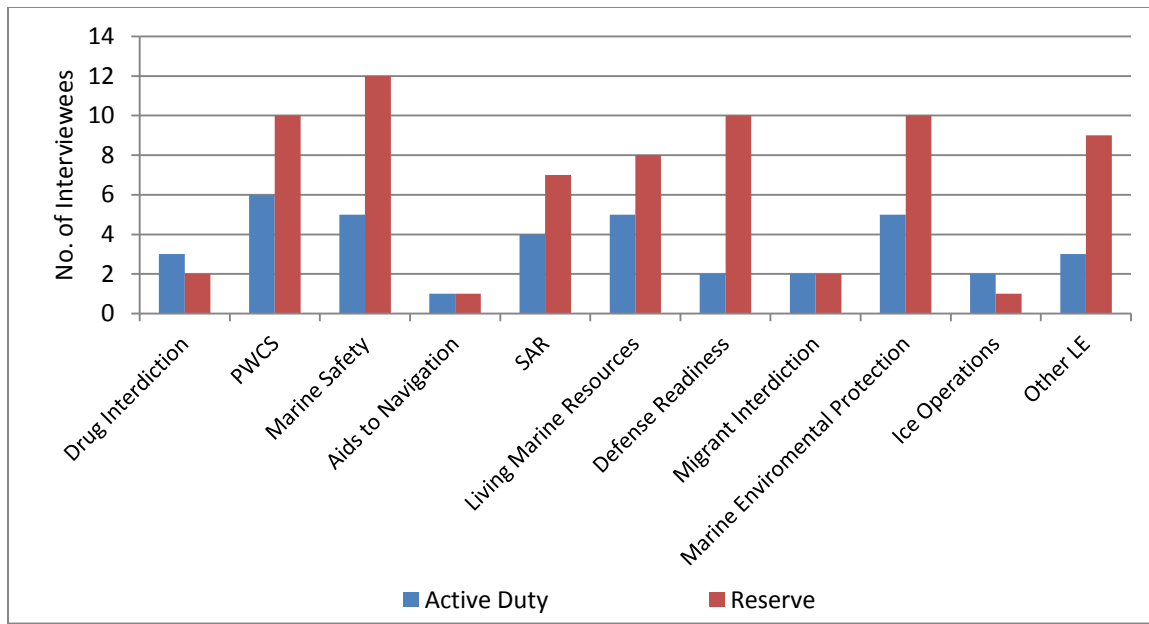


Figure 6. Personnel Interviewed: Mission Experience  
 Primary mission(s) experienced by the interviewees over the course of their career with 9-11 as a time demarcation.

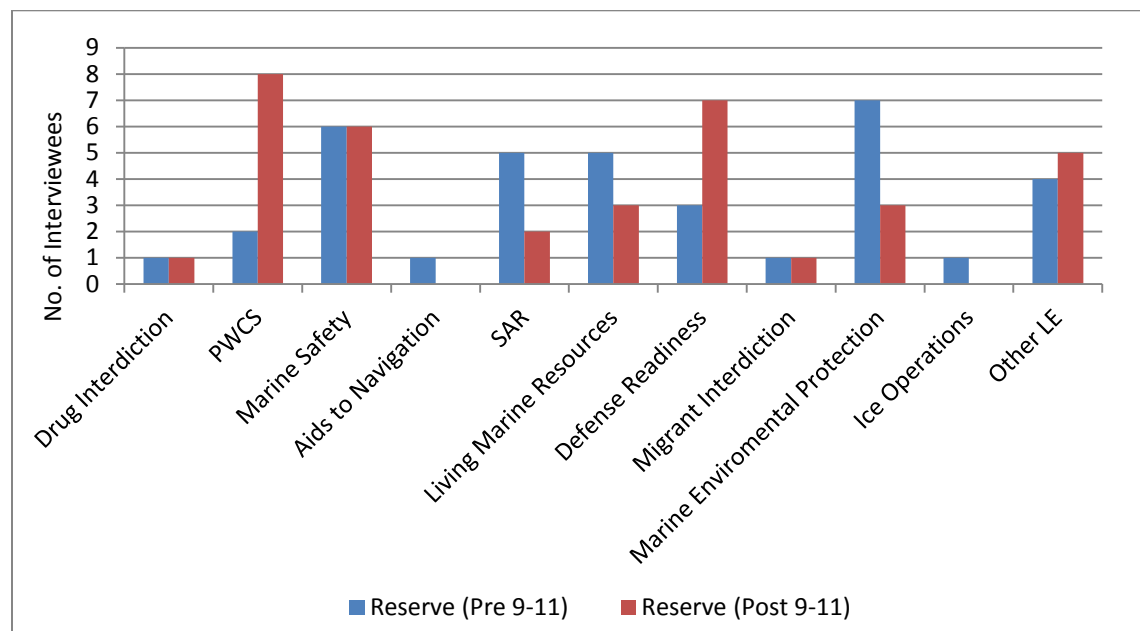


Figure 7. Pre and Post 9-11 Mission Focus for the Reserve Force.  
 Identification of the interviewees with reserve experience and their participation in the Coast Guard's 11 mandated missions.

Of all who were interviewed, the majority of experiences towards the top three missions of the Coast Guard are marine safety, PWCS, and defense readiness. Both those interviewed reserve personnel with active duty experience and those without stated that each had experienced a security related mission before 9-11. However, after 9-11 their opportunities to participate in non-Homeland Security missions such as search and rescue, aids to navigation, marine environmental protection, and ice operations had greatly diminished until the Deepwater Horizon crisis in 2010.

Two interviewees mentioned they had been deployed in the response in the aftermath of the Hurricane Katrina disaster which struck the Gulf Coast Region in 2005 (United States Government Accountability Office, 2006) but their roles were for law enforcement purposes and not search and rescue operations.

Deepwater Horizon was a British Petroleum (BP) oil rig that had an explosion and sank in the deep waters of the Gulf of Mexico, leaving an oil valve leaking approximately 5,000 feet below the surface. The estimated quantity of the spill in the Gulf of Mexico was more than five million barrels of crude oil (Robertson, 2010; Broder, 2011). By the end of the Coast Guard's response effort to the Deepwater Horizon crisis, the Coast Guard had deployed just under one-third of the entire Coast Guard Reserve Force to support the oil spill response efforts (Stosz, 2011). Both the active duty and reservists who were interviewed questioned the knowledge and level of experience in Reserves (and some active duty members) who were sent to respond to Deepwater Horizon, all agreeing that in the years since 9-11, most if not all reservists they knew were directed to focus primarily on DHS missions rather than spending their time working on marine environmental protection qualifications such as pollution investigator and oil response.

Interviewees who were active duty all noted the importance of promoting and regulating safety had been placed as a secondary priority under promoting and supporting security activities and regulations after 9-11. Active duty interviewees in particular felt that the importance of emphasizing safety procedures, which is an emphasis not included in DHS security missions, has equal importance and needs to be better explained to DHS leadership.

The responses related to the importance of promoting and regulating safety missions that are non-DHS missions raises the question of impact on fulfilling Coast Guard core missions in having the Coast Guard as part of DHS. According to all interviewees, complications for non-DHS missions arguably could have been eased by placement on the priority list within DHS. Aside from that, it is important to note that the Rescue 21 program, which is a communications system that can be used for multiple Coast Guard missions including DHS missions, has been fully funded and implemented in an effort to strengthen the efficiency of the Coast Guard's ability to conduct the search and rescue operation which is a non-DHS mission (Dwyer, 2010). It was also noted by some interviewees that it also supports DHS missions and well as non-DHS missions.

In an analysis of the efforts in answering the question on how the interviewee was "involved in joint efforts by Coast Guard and Coast Guard Reserves before and/or after 9-11" it is apparent that the events of 9-11, horrific as they were, were not the major stimulus of the change in active and reserve interaction and the modern day defining of the current working relationships. Of the 15 interviewees that were associated with the Coast Guard for more than twenty years (four were active duty, four were reservists, and seven had served in both active and reserves), ten independently mentioned that the major influencing factor that defined the modern



day relationship between the active and reserve Coast Guard was the 1994 Reserve Integration initiative.

Before 1994 the structure of the Coast Guard and Coast Guard Reserves components were completely separated. Each had separate command structures and the primary mission for reservists, unless they were assigned to Port Security Units (PSUs) which are designed to have a single mission set of defense readiness, was to augment active duty. A reservist interviewee recalled instances in which it was not uncommon to have a reserve boat crew report to a small boat station and completely relieve the active duty component of all their duties. The reserve unit included an administration and command staff which was a clearly defined reporting and command structure for reservists, according to the interviewee.

The 1994 Reserve Integration eliminated the reserve command structure and its administration support and placed the reserve component directly under the active duty commands. The goal was to create a single set of mission parameters for all active and reserve personnel, create a single command structure for all personnel, and eliminate two administrative structures and place the reserves under the active duty administrative command structure (Kruska, 1994). Other intended changes in the sweeping reorganization plan included:

- Provided active duty commanders the flexibility to choose the most effective mix of people and technology with which to perform the mission;
- Produce better trained, more qualified reservists, routinely interchangeable with their active duty counterparts;
- Clarify and simplify the lines of authority; and
- Maximize training opportunities and augmentation support.

The only units that were not affected by the 1994 Reserve Integration movement were the PSUs. Today, these are the only Coast Guard units in which a reservist can hold a command with commanding officer responsibilities.

According to both active and reserve interviewees who mentioned the 1994 Reserve Integration efforts, the integration looked good on paper but failed in most respects because of insufficient or other-directed funding support.

Active duty interviewees recalled seeing Coast Guard Reservists on duty stations but having little operational dialogue with them. Two of the active duty personnel described their experience with reservists before 9-11 as “people who came in and got paid to drink coffee and watch television all day” and “folks that came in and played on the computer all day.” All of the active duty interviewees adamantly expressed opinions that they did not personally blame reservists for not properly being instructed or guided towards being productive but that the “system” was flawed and funding during the 1990s was a major culprit.

A Coast Guard Reservist interviewee expressed comments similar to those of the active duty personnel about the 1994 Reserve Integration movement. About 50 percent of Reservists interviewed believed it was a good idea at the time while the other 50 percent felt that, because the two forces were fulfilling the same missions, the fact was that the two components were different. Examples given included convictions that the active duty counterpart would never understand the issues the reservist deals with, such as civilian employment obligations and time restrictions on days off from civilian jobs. Some described demands to categorize the reserves commitment as a part time job that is performed one weekend a month, two weeks a year, a concept that can be hard to understand for their active duty counterpart.

Admittedly, both the supportive and non-supportive reserves who were interviewed said that the main goals of the Reserve Integration of 1994 failed. Some of the comments:

- The active administration support was bombarded with additional paperwork from the reserve force without additional personnel support;
- Active duty “old school” commanders and Officers in Charge (OIC) of small boat stations pulled hard earned qualifications from reservists which intensified resentment;
- And additional appropriations for funding to train reservists never occurred, compelling reserves to stand aside and allow active duty personnel to take priority in training opportunities and schools.

Although the events of 9-11 were a tragedy for the United States and their allies, the events did thrust the role of the Coast Guard Reservists from an idle stance into an active role in responding to the 9-11 events and in actively conducting the missions of the Coast Guard. Both active duty and reservist interviewees agreed that the Coast Guard Reserve Force has “stepped up to the plate” in the effort to secure the maritime ports of the United States and to support military operations internationally. It was also noted by a few of the reserve interviewees that when reservists were recalled as a response to 9-11, most were not properly trained and incapable of completing the designated mission. Consequently, training courses were quickly developed and implemented.

As a result of additional mission requirements that were placed on the Coast Guard, all interviewees agreed that today the Coast Guard Reserve is essential in the effort to responsibly complete all the missions of the Coast Guard. In all but two interviews, both active and reservist agreed that before 9-11, the Coast Guard active duty component was able to successfully

complete mission requirements of the Coast Guard without the assistance of the Coast Guard Reservist. Today this is not true. Reliance on Reservists to complete required training, to continue to work on mission related qualifications and be at deployable readiness no longer is a luxury but an essential need to successfully respond to emergencies and complete daily mission requirements. As one Reserve interviewee stated, “Before 9-11 it was uncommon to find a reservist who had been activated; after 9-11, it’s hard to find a reservist who hasn’t been activated.”

Overwhelmingly, all interviewed agreed that the DHS missions are being most affected by Coast Guard Reserve presence and support, especially Ports and Waterways Coastal Security (PWCS) and defense readiness missions. According to both active and reserve interviewees who have high experience levels in these two missions, in the operational role in supporting the PWCS mission, reserves make up the majority of security forces that provide security for the military out-load missions and the escorting of high risk commercial and naval vessels that transit the country’s waterways on a daily basis. Reservists are stationed at the headquarters level participating in the development of field guidance and policy for the boat force operations and of the security for the maritime global supply chain as well as supporting international programs such as the International Port Security Program.

Since 9-11 the PSUs, which are highly disciplined military units that are comprised of 95 percent reservists, have been on a constant deployment rotation to regions throughout the globe in support of military operations. One interviewee who had deployed with a 100 percent reserve Redeployment Assistance Inspection Detachment (RAID) Team, spent six months supporting Operation Iraqi Freedom inspecting cargo containers that the U.S. Army uses to ship their

equipment home. This reservist also pointed out that most RAID Teams are similarly manned by reserve personnel.

A question that was difficult for all the members who were interviewed, considering that PWCS and defense readiness are DHS missions, was what should the reservist focus on in planning preparation -- for being a force that augments the active duty force or a force that prepares for deployment when a national emergency occurs? Obviously, when addressing the DHS missions of PWCS and defense readiness, the answer is both. Most of the active duty personnel who were interviewed leaned more towards the priority that reservists need to gain specific mission type qualifications to augment active duty personnel. The reservists who were interviewed felt that it was equally important to gain specific mission qualifications, not for the primary purpose to augment the active duty personnel but to be better prepared when asked to deploy. Both groups did feel that augmenting and preparation for deployment went hand in hand and could both be achieved at high levels if properly supported by additional time for training and appropriate funding.

When asked the question concerning budgeting constraints, all interviewed believed this was going to be the largest obstacle in the continuing effort to successfully complete all the missions of the Coast Guard. About 90 percent of the interviewees felt that DHS-related missions that had the largest support from the reservist would be at greatest risk of losing necessary funding to successfully complete the missions. Examples ranged from providing enough ammunition for training to having the funding to activate reserve personnel to provide manpower. As one individual mentioned, it was the lack of additional funding that failed the successful Reserve Integration effort in 1994. As security measures become less important to the

American people, the argument of restrictive security measures and the funding to enforce them will become part of a greater debate.

### **A Summary of Change**

Some specific points surfaced from the research conducted and the responses from the interviews of the twenty-five members that represent the active duty and reserve components of the Coast Guard. They reinforce the presence of looming structural problems for the service.

They include:

1. Although the U.S. Congress authorized the USCG to increase the manpower of the reserve force in the years following the attacks of 9-11, according to Figure 1, the number of active Coast Guard Reservists (SELRES) has not notably increased.
2. With the addition or increase in DHS mission priorities, the number of Coast Guard Reservists recalled to active duty in an effort to fulfill manpower needs has increased considerably since before 9-11. As a result, the active duty component has grown to increasingly rely on a high level of reserve force support to successfully complete specific DHS missions (Figure 6). According to active duty personnel who were interviewed, it was acknowledged that the reserve force is now counted on to the point that some missions without their support would fall drastically in performance if not fail to successfully meet operational requirements.
3. As a result of the additional responsibility placed on the Coast Guard Reservist, the emphasis for supporting the Reserve Force was reevaluated and provided for through The Reserve Force Readiness System (RFRS). As a result of RFRS and additional support funding, the reserves' deployable readiness has steadily increased since 9-11 (Figure 2).

4. The interview results provided documentation that the active duty members have accepted the Coast Guard Reserve Force as part of the “team” rather than a force without focus or purpose that was one of the unanticipated results of the Reserve Integration efforts of 1994.
5. It is mutually agreed upon by all members interviewed that although there are arguable differences on the importance of either focusing on deployable readiness or preparing for augmenting active duty forces, both efforts are interlinked and with proper funding, can achieve high performance levels.
6. The greatest threat to reduced mission performance across all missions, especially the ones that have the highest support of Reservists, is the reduction of funding for the support of the reserve force as well as the active duty personnel corps.

### **Discussion**

The current Commandant of the U.S. Coast Guard was speaking in a Coast Guard Headquarters Town Meeting in February of 2012 when he stated, “the 2013 Coast Guard budget doesn’t look too bad, the 2014 Coast Guard budget doesn’t look too terrible.” It is clear that performance and ability for the Coast Guard active duty and reserve forces are based on budgetary accessibility. There is no argument that the federal government has to drastically reduce spending before it turns into a threat to national security.

For decades, the service has dealt with the problem of justifying funding for multi-tasked responsibilities, some of them needed but marginally recognized by the American public as a mission assigned to the Coast Guard. The Coast Guard mission responsibilities range from cyber-terrorism to fisheries, growing larger and more complex. Discussion of the management of

those responsibilities and performance of the missions inevitably involves the role of the Coast Guard reservist, as frequently described by personnel interviewed for this report.

The mission complexities demand basic explanation to the American taxpayer, and the Commandant has been direct in providing it. A year before his budget comments at the Coast Guard Headquarters Town Meeting, the Commandant, ADM. Robert J. Papp, released the "Commandant's Direction 2011", a detailed, plain-spoken report that described the multiple activities reflecting the missions he oversees. In a published version in the United States Naval Institute Proceedings, he also included the definition of the missions for those dedicated to brevity (Papp, 2011):

"Fundamentally, the Coast Guard exists to accomplish three tasks, and all of our missions connect to them. We protect those on the sea; we protect America from threats delivered by sea; and we protect the sea itself."

In doing so, he included the challenge to "define a total force concept for using various combinations of our active-duty, reserve, civilian, and volunteer auxiliary members for contingency operations. Our current force structure was designed decades ago and must adapt to changing conditions and requirements for greater flexibility" (Papp, 2011).

The theme of crisis response is interwoven in the tradition and missions charter of the Coast Guard. From the viewpoint of the Coast Guard leadership, and also of those active and reserve veterans in its service, that theme is a part of the initiative for altering course to meet the new challenges always facing the nation. It is part of the demand for Coast Guard services. As numerous as those services are, there have been moments in the country's history that a surge of need for some has led to reducing financial support for others. The present day appears to be one of those moments, and the familiar challenge emerges to do more with less. Serious need has



contributed to the modernizing of the Coast Guard Reserve structure and mission demands seem to dictate there is no turning back.

However, it is not budget business as usual. For instance, a major difference in today's Coast Guard as it faces the difficult task of reducing spending is that when the Coast Guard Reserve Force was drastically reduced in manpower in 1993 and 1994, the Cold War had ended and reservists were focusing on augmenting the active duty force. Today the Coast Guard Reserve Force is "a part of the team" and plays an important role in the effort to maintain security of the nation's maritime waterways and ports as well as continue its support in defense readiness. What needs to be considered very carefully is, unlike the recognizable end of the Cold War, domestic and international terrorism still is a serious threat and there is no accurate measure of what constitutes an end to it, if there is one. Even at that level, it's a matter of crisis response.

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## APPENDIX – List of Acronyms

9-11	September 11, 2001
ADT	Active Duty Training
BP	British Petroleum
COTPs	Captains of the Ports
DHS	Department of Homeland Security
DOT	Department of Transportation
EEZ	Exclusive Economic Zone
IDT	Inactive Duty Training
IMO	International Maritime Organization
ISPS Code	International Code for Security of Ships and of Port Facilities
OIC	Officer in Charge
PSU	Port Security Unit
PWCS	Ports and Waterway Coastal Security
RAID	Redeployment Assistance Inspection Detachment
RFRS	Reserve Force Readiness System
RPA	Reserve Program Administrator
SELRES	Select Reserves
U.S.	United States
U.S.C.	United States Code
USCG	United States Coast Guard