

Appendix A

The Coast Guard's Leadership and Professional Development Framework: Auxiliary Edition

Introduction

Leadership is the ability to influence others to obtain their obedience, respect, confidence, and loyal cooperation. Good leadership is developed through a never-ending process of self-study, education, training, experience, observation, and emulation. To assist members/employees in developing their leadership abilities, the United States Coast Guard (hereinafter "Coast Guard") has developed a leadership and professional development framework constructed around three components:



- The Coast Guard's twenty-eight leadership competencies,
- The responsibility levels of members, together with the expertise in each competency required at each level of responsibility, and
- Methods for gaining and demonstrating competency.

The Coast Guard Leadership Framework was published as a Commandant Instruction (M5351.3) on 9 May 2006.

The United States Coast Guard Auxiliary (hereinafter "Auxiliary") has a parallel leadership and development framework presented in this document. The Auxiliary framework is modeled closely on the Coast Guard Framework, modified as necessary to reflect the unique circumstances of this volunteer agency.

Organizational Responsibilities for Leadership Training and Professional Development

Leadership training, mentoring and member/employee development take place, primarily, at the local unit, and local unit leaders are ultimately responsible for the professional development of their subordinates. This makes sense. The knowledge, skills and abilities a member/employee acquires must be validated, and the primary place where members/employees can do so is in the workplace. It is in the workplace where knowledge, skills and abilities can be applied, analyzed, tested, synthesized with existing competencies and then, evaluated through performance.

The individual and the Coast Guard/Auxiliary, however, also have responsibilities and play key roles in the development process. The individual is responsible for taking the initiative and for creating his/her personal development plan. This should be done in conjunction with input and discussion with mentors, supervisors, spouses, and others.

The Auxiliary is responsible for providing unit leaders with the formal systems and processes necessary to support on-going, continuous, uniform developmental programs. Additionally, the Auxiliary has the responsibility and the authority to establish specific leadership performance expectations for the various segments and levels of its membership.

Under the authority of the Assistant Commandant for Human Resources, and the supervision of the Director Military Personnel, the Office of Leadership and Professional Development of the Coast Guard oversees a leadership and professional development framework in alignment with Coast Guard leadership competencies. This includes:

- Program manager for the Coast Guard's Leadership, Mentoring and Professional Development framework and related activities.
- Program manager for the Leadership Development Center.
- Program manager for the leadership portions of resident training courses.
- Develop and publish of leadership performance expectations.
- Support and standardized unit-level leadership and professional development activities.
- Assess leadership performance against defined expectations, determine the causes of any significant performance gaps and recommend appropriate remedies. Such assessments shall include periodic formal leadership training needs assessments, curriculum reviews, studies and findings by subject matter experts, user evaluations of leadership training and professional development activities, and other feedback from end-users.

This Auxiliary Leadership Framework was developed by the Leadership Guidance Team, a work group selected by the Auxiliary National Commodore and comprised of senior Auxiliary personnel.



Coast Guard Leadership and Professional Development Framework

Initially approved 7 June 2004, the Coast Guard Leadership and Professional Development Framework consists of three components: (1) The Coast Guard's twenty-eight leadership competencies, (2) responsibility levels and required levels of expertise, and (3) methods for gaining and demonstrating competency. This document provides Auxiliary-specific information to complement the Coast Guard Leadership and Professional Development Framework.

Component 1 - The Coast Guard's Twenty-Eight Leadership Competencies.

Leadership competencies are the knowledge, skills, and expertise the Coast Guard and Auxiliary expect of their leaders. While there is some overlap in these competencies, they generally fall within four broad categories: Leading Self, Leading Others, Leading Performance and Change, and Leading the Coast Guard/Auxiliary. Together, these four leadership categories and their elements are instrumental to career success. Developing them in all members of the

Coast Guard team will result in the continuous improvement necessary for us to remain always ready—*Semper Paratus*.

Leading Self: Fundamental to successful development as a leader is an understanding of self and one's own abilities. This includes understanding one's personality, values, and preferences, while simultaneously recognizing one's potential as a member of the Coast Guard team. Personal conduct, health and well-being, character, technical proficiency, lifelong learning, followership, and organizational commitment are elements to consider when setting short and long-term goals focused upon the leadership development of "self."



Leading Others: Leadership involves working with and influencing others to achieve common goals and to foster a positive workplace climate. Auxiliarists interact with others in many ways, whether as supervisor, mentor, manager, team member, team leader, peer or worker. Positive professional relationships provide a foundation for the success of our Service. Showing respect for others, using effective communications, influencing others, working in teams, and taking care of one's people are elements to consider when evaluating one's capacity for leading others. Developing these qualities will increase capacity to serve.

Leading Performance and Change: Members of the Coast Guard team constantly face challenges in mission operations. To meet these challenges, leaders must apply performance competencies to their daily duties. Performance competencies include developing a vision, managing conflict, quality and daily management of projects, appraising performance, problem solving, creativity, innovation, decision making, and customer focus. Having these competencies enables each leader—and the Service—to perform to the utmost in any situation.



Leading the Coast Guard Auxiliary: As leaders gain experience in the Coast Guard Auxiliary, they must understand how it fits into a broader structure of the Coast Guard, government, and the nation as a whole. At a local level, leaders often develop partnerships with public and private sector organizations in order to accomplish the mission. The Coast Guard "plugs in" via its key systems: money, people, and technology and the Auxiliary supports Coast Guard activities. A leader must thoroughly understand these systems and how they interact with similar systems outside the Coast Guard. An awareness of the Coast Guard's value to the nation, and promoting that using a deep understanding of the political system in which we operate becomes more important as one gets more senior. Leaders must develop coalitions and partnerships with allies inside and outside the Auxiliary and the Coast Guard.

Twenty-Eight Leadership Competencies			
Leading Self	Leading Others	Leading Performance & Change	Leading The Coast Guard/Auxiliary
Accountability & Responsibility	Effective Communications	Conflict Management	Financial Management
Aligning Values	Team Building	Customer Focus	Technology Management
Followership	Influencing Others	Decision Making & Problem Solving	Human Resource Management
Health & Well Being	Mentoring	Management & Process Improvement	External Awareness
Self Awareness & Learning	Respect for Others & Diversity Management	Vision Development & Implementation	Political Savvy
Personal Conduct	Taking Care of People	Creativity & Innovation	Partnering
Technical Proficiency			Entrepreneurship
			Stewardship
			Strategic Thinking

Component 2 - Responsibility Levels and Required Levels of Expertise.

Responsibility levels in the Coast Guard are most generally defined by grade or rank. The Auxiliary, in contrast, does not have rate/rank, but rather a sequence of offices (elected and selected) that also entails a sequence of responsibility levels and matching competencies.

As your level of responsibility in the Auxiliary increases, your level of expertise in each of the twenty-eight leadership competencies deepens. The Leadership and Professional Development Framework is a continuum. As you advance, you maintain the expertise you achieved at the lower levels of responsibility and build upon your knowledge, skills, and abilities. The table below provides the correspondence between performance level, rate/rank (enlisted and officer active duty/reserve), grades for civilian employees, and various Auxiliary offices.



Performance Level	Attendant Responsibilities	Enlisted	Officers	Civilian Employees	Auxiliary
Executive	The highest-level policy and decision makers in the Coast Guard or Auxiliary.	E10, CMCs	Flags	SES	NEXCOM, ANACOs, DCO
Senior Manager	Officials with programmatic or command responsibilities including overall supervision of an organization or unit.	E9	O6/O5 W4	GS15/14	DIR, DCOS, DCAPT, DSO
Mid-Level Manager	Managers of first-line supervisors, such as department heads, executive officers, executive petty officers, division chiefs, and Division elected and selected members.	E8/E7	O4/O3 W3/W2	GS13/12 WS (all)	DVC, DCDR, VCDR, SO
First-line Supervisor	Supervisors of others with responsibility for the accomplishment of specific tasks or processes at the unit level.	E6-E4	O2/O1	GS11/9 WL (all)	FC, VFC, FSO
Entry level	No significant supervisory duties.	E3-E1		GS1/8 WG (all)	MEMBER

Component 3 – Gaining and Demonstrating Competency.

Regardless of whether you are an active duty member, reservist, civilian employee, or Auxiliarist, Coast Guard personnel are interested in knowing how to become competitive for increasingly responsible and rewarding positions. Supervisors and managers want to know how to improve their own performance, how to manage change in their organizations, how to improve organizational performance, and how to assist subordinates with their own professional development.

Coast Guard and Auxiliary personnel have access to a variety means to gain the required levels of expertise in each of the twenty-eight leadership competencies. These include the Unit Leadership Development Program (ULDP), resident and non-resident Coast Guard courses. The Auxiliary has access to many Coast Guard training opportunities as well as specific training programs tailored for the Auxiliary.

Simply learning new skills and abilities is not enough. Education or training alone is never a guarantee of growth and advancement. To complete the professional development cycle you need to practice those skills and to demonstrate your abilities as a leader. If you wait to be presented with that “big” leadership challenge, you will continue to wait. It is important that you incorporate newly acquired skills into current performance. Look for the numerous, small opportunities that present themselves daily and practice your newly acquired leadership abilities. (Repeated demonstration of competency is the easiest way to maximize your contributions to Coast Guard/Auxiliary missions.)

Definitions of the Twenty-Eight Leadership Competencies and Level of Demonstrated Expertise Anticipated at Each Performance/Responsibility Level.

Each of the Coast Guard's and Auxiliary's twenty-eight leadership competencies is defined below. These general definitions are then further refined into extended definitions reflecting the level of expertise Auxiliarists are expected to demonstrate at each of the five performance/responsibility levels.



While this entire body of information should be employed when determining an individual's leadership competence and professional development needs, the behavioral objectives can and should be employed in both the design of terminal learning objectives within leadership training programs and in developing objective measures of competence.

The titles of the various leadership competencies are abbreviated. You must read through the full description of the leadership competency to understand what it means.

Auxiliarists are a highly diverse group. Some have extensive civilian leadership training and experience. Others have had more limited opportunities. This leadership framework is written to ensure a common understanding and define common expectations.

In various places below the word *subordinate* is used. In the Auxiliary context a subordinate means "someone in your care."

Where Coast Guard policies and missions are referenced the term includes applicable Auxiliary missions and policies.

Auxiliary personnel should read through the leadership competencies at all levels of the organization—not just the level at which they are presently serving. The leadership competencies should define their expectations for their leaders, peers, and those in their care.



Leading Self - Accountability and Responsibility

Auxiliary leaders know that we are an organization of volunteers, not a military service. They recognize the organizational structure and the chain of leadership and management. Each individual is sensitive to the impact of his/her behavior on others and on the organization. Leaders take ownership for their areas of responsibility, are accountable to effectively organize and prioritize tasks, and efficiently use resources. Guidelines in the form of direction, strategic business plans, job descriptions and an objective management system outline accountability and responsibility for leadership commitments.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Develops and establishes (in conjunction with the Coast Guard) Auxiliary policies and procedures governing the accountability and responsibility of subordinate leaders and provides appropriate formal tools to allow subordinate leaders to hold others accountable as the situation warrants. Accountable for the performance of the Auxiliary.
DIR, DCOS, DCAPT, DSO	Implements Auxiliary policies and procedures and ensures compliance by subordinate activities/sections/departments. Evaluates the performance of subordinate managers and uses formal tools to reward and correct performance. Accountable for the overall performance of the command or program. Holds those in their charge accountable for demonstrating anticipated level of expertise.
DVC, DCDR, VCDR, SO	Applies Auxiliary policies and procedures and solves performance/compliance issues within activity, section, or department. Makes recommendations to senior managers concerning rewards and corrective actions. Accountable for the overall performance assessment of the Auxiliary Division and component Flotillas.
FC, VFC, FSO	Supervises the job activities and performance of Flotilla members to ensure compliance with Auxiliary policies and procedures. Solves individual and team performance problems. Refers individuals for rewards or corrective action as warranted. Accountable for the overall performance assessment of those being supervised.
Member	Recognizes the impact of personal behavior and job performance on co-workers, the Auxiliary, and the Coast Guard. Complies with Auxiliary policies and procedures and accepts responsibility for personal performance and the performance of the work group.

Hold yourself responsible to a higher standard than anyone else expects of you. Never excuse yourself.

– Henry Ward Beecher

Leading Self - Followership

All Auxiliarists are followers as well as leaders. The followership role encompasses initiative, commitment, responsibility, accountability, critical thinking, and effective communications. Followers look to leaders for guidance and feedback; they expect challenging tasks to both learn and develop competence. Actively involved, they seek to understand through listening, responsible questioning and feedback. Followers have the responsibility to work with leaders to ensure successful mission accomplishment.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Looks to elected and selected Auxiliary leadership for guidance and feedback and actively seeks to understand through listening. Is responsible for asking questions and providing feedback when appropriate. Accountable to leadership for the efficient and effective performance of tasks assigned. Responsible to subordinates and peers for requesting and obtaining the resources needed to ensure proper mission performance. Attempts to anticipate current and future requirements and makes preparations to fulfill such requirements through appropriate use of time and resources.
DIR, DCOS, DCAPT, DSO	
DVC, DCDR, VCDR, SO	
FC, VFC, FSO	
Member	

You cannot be a leader, and ask other people to follow you, unless you know how to follow, too.

— Sam Rayburn

Leading Self - Self Awareness and Learning

Auxiliary leaders continually work to assess self and personal behavior, seek and are open to feedback to confirm strengths and identify areas for improvement, and are sensitive to the impact of their behavior on others. Successful leaders use various evaluation tools and indicators to assist in this process of understanding themselves. They understand that leadership and professional development are a life-long journey and always work to improve knowledge, skills and expertise. They seek feedback from others and opportunities for self-learning and development, always learning from their experiences. Leaders are open to and seek new information, and adapt their behavior and work methods in response to changing conditions.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Based upon the Coast Guard's and the Auxiliary's strategic visions, develops and resources comprehensive plans for the preparation and training of the force. Constantly seeks new information and provides organizational stability assisting subordinates in adapting current structures and methods to emerging requirements. Ensures adequate succession planning.
DIR, DCOS, DCAPT, DSO	Executes and administers the comprehensive plans for the preparation and training of the membership. Maintains personal expertise and continues to prepare for greater responsibilities. Evaluates training (programs and methods) and performance; as appropriate, take corrective action or recommends changes. Holds subordinates accountable for demonstrating anticipated level of expertise. Prepares self for greater responsibility through completion of senior service schools or other similar professional development.
DVC, DCDR, VCDR, SO	Plans, supervises, schedules, trains, and evaluates the preparation and development of subordinates using guidance provided by senior management. Continues to develop personal knowledge, skills and abilities through advanced education, and Auxiliary leadership schools. Together with technical and tactical expertise, develops critical and strategic analysis skills and expanded Coast Guard/Auxiliary interoperability literacy.
FC, VFC, FSO	Conducts training of Flotilla members. Continues to develop personal knowledge, skills and abilities through continuing education, intermediate level service schools, professional military education, and Auxiliary-specific training opportunities with goal of mastery of all technical and leadership abilities necessary for success and advancement in field(s) of expertise.
Member	Seeks out individual education, training and development opportunities. Explores possible long-term "career options;" identifies personal strengths and weaknesses and undertakes a plan to achieve technical and tactical expertise and ensure member satisfaction.

The unexamined life is not worth living.
—Socrates

Leading Self - Aligning Values

Auxiliary leaders develop and maintain an understanding of the Coast Guard Core Values of Honor, Respect and Devotion to Duty. Leaders align personal values with organizational values, reconciling any differences that exist. Leaders embody the highest standards of Coast Guard Core Values; can communicate their meaning; hold peers and those in their care accountable to these organizational merits; and use them to guide performance, conduct and decisions—every day. Leaders align to the organizational values, as well as to the organizational vision, mission, direction, and expectations.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Develops and communicates organizational values to the membership. Ensures values reflect both Coast Guard and Auxiliary heritage and contemporary ethical thought and standards for conduct for members and volunteers of the American Armed Forces.
DIR, DCOS, DCAPT, DSO	Provides direction and leads the membership in the alignment of personal values and the integration of values with daily performance. Holds subordinates accountable for demonstrating anticipated level of expertise.
DVC, DCDR, VCDR, SO	Assists subordinates in the alignment of personal values with Coast Guard core values and reconciles differences through counseling, training or other interventions.
FC, VFC, FSO	Communicates the meaning of Coast Guard’s core values to others and holds peers and Flotilla members accountable for demonstrating same in performance and conduct.
Member	Employs Coast Guard core values to guide performance, conduct and decisions. Aligns personal values with Coast Guard core values.

“Organizations have to have values. But so do people. To be effective in an organization, one’s own values must be compatible with the organization’s values. They do not need to be the same. But they must be close enough so that they can coexist.”

— Peter Drucker

Leading Self - Health and Well-Being

Leaders consider the environment in which they and their people work, attending to safety and well-being. They set a personal health example and encourage others to develop personal programs including physical and mental well-being. Working with functional specialists they strive to ensure that members are physically qualified to discharge their duties.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Conducts strategic planning considering the health and well-being of the membership. Promotes Coast Guard policy concerning health, well-being, safety and acceptable risk as it pertains to the Auxiliary.
DIR, DCOS, DCAPT, DSO	Implements Auxiliary policies and programs and monitors performance. Develops methods for integrating health, well-being and safety with daily performance. Holds subordinates accountable for demonstrating anticipated level of expertise.
DVC, DCDR, VCDR, SO	Implements policies and methods developed by Auxiliary leaders and supervises subordinates' activities. Evaluates performance and satisfaction of those in their care and takes corrective action as necessary.
FC, VFC, FSO	Maintains personal health example and encourages Flotilla members to develop personal programs including physical and mental well-being. Works with others as necessary to ensure that members are physically qualified to perform their duties.
Member	Maintains personal health and well-being.

Respect allows you to act against a standard higher than your own self interest. But it requires courage...courage to act differently than you might have otherwise, to understand there is a greater good to be achieved in how we deal with others. You have to have the courage to believe in yourself and respect will naturally follow.”

– ADM Thad Allen, U.S. Coast Guard Commandant

Leading Self - Personal Conduct

Leaders demonstrate belief in their own abilities and ideas; are self-motivated, results-oriented and accountable for their performance; recognize personal strengths and weaknesses; emphasize personal character development; and use position and personal power appropriately. They understand the relevance and importance of Core Values and strive for personal conduct that exemplifies these values.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Develops and establishes Auxiliary policies and procedures governing personal conduct and provides appropriate formal tools to allow subordinate leaders to hold others accountable as the situation warrants. Accountable for the overall conduct of the Auxiliary.
DIR, DCOS, DCAPT, DSO	Implements Auxiliary policies and procedures and ensures compliance by subordinate activities, sections, and departments. Accountable for the overall conduct of the unit or program. Holds subordinates accountable for the conduct of their activities, sections, and/or departments.
DVC, DCDR, VCDR, SO	Applies Auxiliary policies and procedures and solves conduct issues within activity, section, or department. Makes recommendations to leaders concerning rewards and corrective actions. Accountable for the overall conduct of the activity, section, or department.
FC, VFC, FSO	Supervises others to ensure compliance with Auxiliary policies and procedures and demonstrates good leadership by exemplary personal conduct. Solves individual and team conduct problems. Refers individuals for rewards or corrective action as warranted. Accountable for the overall performance of Flotilla members.
Member	Recognizes the impact of personal behavior and conduct on fellow members and the Coast Guard. Complies with applicable Auxiliary policies and procedures and accepts responsibility for personal conduct and the conduct of other team members.

Leadership consists not in degrees of technique but in traits of character; it requires moral rather than athletic or intellectual effort, and it imposes on both leader and follower alike the burdens of self-restraint.

—Lewis H. Lapham

Leading Self - Technical Proficiency

Auxiliary leaders’ technical knowledge, skills and expertise allow them to effectively organize and prioritize tasks and use resources efficiently. Always aware of how their actions contribute to overall organizational success, leaders demonstrate technical and functional proficiency in Auxiliary programs. They maintain credibility with others on technical matters and keep current on technological advances in program areas. Successful leaders work to initiate actions and competently maintain systems in their area of responsibility.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Combines mastery of Coast Guard and Auxiliary roles, missions and operations with knowledge of U.S. policy and operational domains to advance Coast Guard goals and to provide for continuing mission success.
DIR, DCOS, DCAPT, DSO	Has a sophisticated grasp of Coast Guard and Auxiliary roles, missions and operations and is the subject matter expert within domains of responsibility. When necessary is able to act independently to further Auxiliary goals or complete missions. Able to supervise and evaluate the training and development elements of the workforce.
DVC, DCDR, VCDR, SO	Understands Coast Guard and Auxiliary roles and missions and capable of completing mission tasks with limited supervision. Directs completion of missions and supporting tasks. Capable of planning and conducting training and development activities for elements of the membership.
FC, VFC FSO	Understands Auxiliary roles and missions and is capable of leading their units in completing mission under the direction of elected and selected leaders. Assists Flotilla members in developing skills and assists manager in the delivery of training. Take responsibility for the development of Flotilla members.
Member	Knows the Auxiliary’s roles and missions and understands personal role in fulfilling mission tasks. Takes responsibility for personal development.

After a certain high level of technical skill is achieved, science and art tend to coalesce in esthetics, plasticity, and form.

—Albert Einstein

Leading Others - Effective Communications

Auxiliary leaders communicate effectively in both formal and informal settings. Good listeners, they reinforce the message they convey with supportive mannerisms. Leaders express facts and ideas succinctly and logically, facilitate an open exchange of ideas, ask for feedback routinely, and communicate face-to-face whenever possible. They write clear, concise, and organized correspondence and reports. Successful leaders prepare and deliver effective presentations. In situations requiring public speaking they deliver organized statements, field audience questions, confidently communicate with the media and other external entities (as authorized), and distinguish between personal communication situations and those as a Coast Guard or Auxiliary representative. Competent coaches, supervisors, followers, performance counselors, interviewers, and negotiators, leaders know how to approach many situations to achieve organizational goals.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Shows sophisticated ability to analyze, synthesize and advocate in a timely manner. Effectively discusses complex policy issues; deals comfortably with the media and with senior levels of government and society. Adeptly discerns the inner most meanings and nuances of messages others convey.
DIR, DCOS, DCAPT, DSO	Exhibits full mastery of written communications, and edits others' texts judiciously. Assists subordinates develop effective-writing skills. Effective in public outreach and in dealing with policy issues. Articulates in ways most helpful to superior's policy and operational issues.
DVC, DCDR, VCDR, SO	Writes persuasively and follows the conventions of Auxiliary correspondence. Speaks with authority and demonstrates comprehensive understanding of issues and options. Instills trust in others and motivates them to speak openly and candidly. Serves as a communications interface.
FC, VFC, FSO	Writes succinctly and produces written materials that are clear and articulate. Speaks in concise, effective, organized manner; tailored to the audience and situation. Listens attentively, understands and absorbs the message of others. Observes body language and other forms of non-verbal communication. Communicates to members and transmits member concerns/ideas to elected and selected leaders.
Member	Can communicate with others both in writing and orally. Understands and follows the basic conventions of work place communication. Candid, honest and unbiased when presenting facts. Listens to others and asks relevant questions to better understand or to gain additional needed information. Actively seeks to make leadership aware of concerns and suggestions for improvement.

There's nothing more demoralizing than a leader who can't clearly articulate why we're doing what we're doing.

—James Kouzas

Leading Others - Influencing Others

Auxiliary leaders possess the ability to persuade and motivate others to achieve the desired outcome: to create change. They influence and persuade by communicating, directing, coaching, and delegating, as the situation requires. Successful leaders understand the importance and relevance of professional relationships; develop networks; gain cooperation and commitment from others; build consensus; empower others by sharing power and responsibility; and establish and maintain rapport with key players.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Negotiates effectively in a wide range of issues in internal, bilateral and multilateral environments. Manages and resolves major conflicts and disagreements in an interest-based manner. Manifests a faculty for astute compromise without sacrificing ultimate goals.
DIR, DCOS, DCAPT, DSO DVC, DCDR, VCDR, SO	Influences others and fosters understanding of Coast Guard and Auxiliary missions, policies and procedures. Develops alliances with others and finds common ground among disparate opinions and builds consensus. Facilitates win-win situations.
FC, VFC, FSO	Learns to influence others; gains cooperation, while showing respectful understanding of others' positions. Promotes sharing, understanding, and awareness.
Member	Works cooperatively with others, develops a respectful understanding of others' positions, and develops the ability to gain cooperation by giving cooperation.

The art of leading, in operations large or small, is the art of dealing with humanity, of working diligently on behalf of men, of being sympathetic with them, but equally, of insisting that they make a square facing toward their own problems.
—S. L. A. Marshall, *Men Against Fire*

Leading Others - Respect for Others and Diversity Management

Through trust, empowerment and teamwork, Auxiliary leaders create an environment that supports diverse perspectives, approaches and thinking, fairness, dignity, compassion and creativity. They demonstrate sensitivity to cultural diversity, race, gender, background, experience, and other individual differences in the workplace. Leaders guide and persuade others to see the value of diversity, building and maintaining a healthy working environment.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture in which diversity is valued and respected. Provides personal leadership and support of workplace diversity and fair practices.
DIR, DCOS, DCAPT, DSO	Ensures by example and instruction, and verifies through monitoring and follow-up, that all members are treated in a fair manner. Applies merit principles consistently; identifies and addresses situations giving rise to complaints and grievances based on issues of fairness in the workplace.
DVC, DCDR, VCDR, SO	Demonstrates sensitivity and responds considerately to the needs, feelings and capabilities of others. Shows respect for cultural differences. Navigates easily in an environment of shifting relationships, anticipates socially sensitive issues and takes appropriate action. Promotes awareness of benefits of diversity.
FC, VFC, FSO	Treats all individuals fairly and without bias. Acts in compliance with applicable Auxiliary policies.
Member	

Diversity is not a program or policy – it is a state of being. Our mission success and our core values require us to ensure our work environment enhances the potential and contribution of all employees by promoting inclusion, equity, and respect.

— ADM Thad Allen, U.S. Coast Guard Commandant

Leading Others - Team Building

Leaders recognize and contribute to group processes; encourage and facilitate cooperation, pride, trust and group identity; and build commitment, team spirit, and strong relationships. Auxiliary leaders inspire, guide and create an environment that motivates others toward goal accomplishment; consider and respond to others' needs, feelings, and capabilities; and adjust their approach to suit various individuals and situations. Auxiliary leaders have a historical perspective of leadership theory that they continually develop through personal experience and study of contemporary leadership issues. They work with those in their care to develop their leadership knowledge and skills. Auxiliary leaders adapt leadership styles to a variety of situations; and personify high standards of honesty, integrity, trust, openness, and respect for others by applying these values and styles to daily behavior.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture to inspire and motivate all members / employees to participate and contribute. Develops policies and procedures to encourage the sharing of information among members/employees. Recognizes the value of teamwork in the development of guidance, doctrine and procedures / processes.
DIR, DCOS, DCAPT, DSO	Inspires and motivates subordinates to participate and contribute; encourages and develops a team identity and cohesiveness among staff. Resolves work-related problems by mobilizing team skills and resources.
DVC, DCDR, VCDR, SO	Facilitates open exchange of ideas; fosters cooperation and collaboration among peers and those in their care; motivates and guides team members toward a common goal.
FC, VFC, FSO	Is open to views of others; works in collaborative, inclusive, outcome-oriented manner with leaders, peers, and Flotilla members. Clearly understands the benefits of the team concept.
Member	

Leadership is understanding people and involving them to help you do a job. That takes all of the good characteristics, like integrity, dedication of purpose, selflessness, knowledge, skill, implacability, as well as determination not to accept failure.
—ADM Arleigh A. Burke (US Navy)

Leading Others - Taking Care of People

Successful leaders identify others' needs and abilities in the Auxiliary, particularly those of us in their care. They ensure fair, equitable treatment; project high expectations for subordinates and/or their teams; express confidence in abilities; recognize efforts and use reward systems effectively and fairly. Leaders appropriately support and assist in professional and personal situations and use formal programs to resolve situations positively.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Identifies others' needs, abilities, and interests. Ensures fair, equitable treatment; project high expectations of superiors, peers and those in their care alike. Expresses confidence in the abilities of others and recognizes their efforts. Uses reward systems effectively and fairly. Appropriately supports and assists in professional and personal situations and uses formal programs to resolve situations positively. Works (at appropriate levels) to help ensure member satisfaction.
DIR, DCOS, DCAPT, DSO	
DVC, DCDR, VCDR, SO	
FC, VFC, FSO	
Member	Projects high expectations of leaders, peers, and fellow members. Expresses confidence in the abilities of others and recognizes their efforts. Takes appropriate action to safeguard the welfare of other crew or work team members. Makes leaders aware of their interests and is aware that leaders depend upon their cooperation, support, and performance.

Before you are a leader, success is all about growing yourself. When you become a leader, success is all about growing others.

— Jack Welch

The day soldiers stop bringing you their problems is the day you have stopped leading them.

—General Colin Powell

Leading Others - Mentoring

Drawing on their experience and knowledge, leaders deliberately assist others in developing themselves; provide objective feedback about leadership and career development; and help identify professional potential, strengths and areas for improvement. Successful leaders identify with the role of mentor to their staff. They have the skill to advise and develop others in the competencies needed to accomplish current and future goals. Leaders seek out mentors and may be engaged in the formal Coast Guard/Auxiliary mentoring program both as mentors and mentees. As with the Coast Guard, the Auxiliary offers many diverse programs; mentors help members identify programs of specific interest to help ensure member satisfaction.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture to inspire and motivate all members / employees to participate and contribute. Develops policies and procedures to encourage professional development and the sharing of information among members/employees.
DIR, DCOS, DCAPT, DSO	Anticipates the need for new information or knowledge for self and others; identifies sources of new information and communicates these sources to subordinates. Seeks and recommends new talent.
DVC, DCDR, VCDR, SO	Develops plans to broaden own knowledge and to teach others in the units supervised; provides informal feedback to colleagues. Recognizes, develops, and recommends talent.
FC, VFC, FSO	Seeks out job related knowledge and readily grasps its implication for the workplace. Seeks and provides informal feedback and learns from others. Coaches others and provides sound, thoughtful advice. Helps others to gain insight regarding professional development needs and opportunities. Works with Flotilla members to increase member satisfaction by channeling members into programs that fit their interests and skills.
Member	Recognizes own strengths and weaknesses and pursues self-development. Actively seeks to identify and participate in interesting and important programs. Shares abilities and knowledge with others.

In organizations, real power and energy is generated through relationships. The patterns of relationships and the capacities to form them are more important than tasks, functions, roles, and positions.

—Margaret Wheatly, *Leadership and the New Science*

Leading Performance and Change - Customer Focus

Auxiliary leaders acknowledge the members, Coast Guard, and recreational boating community as their customers, and make every effort to identify and fulfill their needs. Leaders understand the importance of measuring and monitoring the degree to which their customers' needs are met or exceeded.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters a customer-oriented culture throughout the organization. Develops policy and procedures to ensure commitment to continuing customer service improvement.
DIR, DCOS, DCAPT, DSO	Manager Implements Coast Guard policies and procedures at major activities and encourages subordinates to maintain and strengthen service orientation. Monitors the professional responsiveness of subordinate organizations and activities.
DVC, DCDR, VCDR, SO	Encourages and assists subordinates to maintain and strengthen Auxiliary orientation. Anticipates and meets the changing needs of customers. Monitors the performance of work sections/departments to ensure a service orientation consistent with Auxiliary policy. Uses metrics and customer feedback systems to identify customer needs and to ensure appropriate customer service levels. Supplies resources to local units as necessary.
FC, VFC, FSO	Understands the importance of professional responsiveness to the changing needs of customers. Monitors the performance of individuals and work teams to ensure a service orientation consistent with Auxiliary policy. Requests resources (physical or personnel) when necessary to support unit missions.
Member	Demonstrates quality service by responding professionally and competently to both internal and external customers.

A satisfied customer is the best business strategy of all.

—Michael LeBoeuf

Leading Performance and Change - Management and Process Improvement

Successful leaders demonstrate the ability to plan, organize, and prioritize realistic tasks and responsibilities for themselves and their people. They use goals, milestones, and control mechanisms for projects. Leaders seek, anticipate and meet customers’ needs—internal and external. To achieve quality results, Auxiliary leaders monitor and evaluate progress and outcomes produced by current processes; ensure continuous improvement through periodic assessment; and are committed to improving products, services, and overall customer satisfaction. They effectively manage time and resources to successfully accomplish goals.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Integrates fully a wide range of information and prior experiences in policy making. Employs sophisticated institutional understanding to avoid problems and advance Auxiliary goals. Establishes organization-wide performance expectations and inspires a high level of performance. Develops guidance to assist subordinates in the execution of their responsibilities.
DIR, DCOS, DCAPT, DSO	Analyzes and defines complex policy issues clearly, in terms which permit them to be dealt with in a practical way. Encourages staff to analyze. Establishes broad performance expectations for major Auxiliary activities, focusing on results. Establishes effective management procedures and controls; foresees challenges to, and opportunities for, major Auxiliary activities and takes steps in advance to deal with them. Continually reviews major Auxiliary activities for compliance with policy and procedure and to identify possible process improvements.
DVC, DCDR, VCDR, SO	Isolates key points, central issues, and common themes to determine best solution or a range of options. Objectively analyzes the organization’s strengths and weaknesses and takes appropriate action. Monitors plans to accomplish work requirements, delegates appropriately, and ensures that effective internal controls are in place. Continually reviews significant tasks and processes for possible improvement. Assesses/integrates available resources to achieve mission results.
FC, VFC, FSO	Identifies key information, central issues and common themes to identify strengths and weaknesses of various approaches. Participates in the preparation of work requirements for self and works with Flotilla members in preparing their work requirements. Plans, organizes and directs activities effectively, ensures that projects within area of responsibility are completed in a timely manner. Asks for help and guidance from other units. Is familiar with available resources and seeks methods to employ them where necessary.
Member	Plans and organizes personal work activities insuring personal activities contribute to successful performance of the larger team / section / workgroup tasks. Looks for ways to improve personal performance and makes recommendations to leaders concerning ways to improve work processes.

Life is change. Growth is optional. Choose wisely.
—Karen Kaiser Clark

Leading Performance and Change - Decision Making and Problem Solving

Leaders identify and analyze situations; use facts, input from others, and sound reasoning to reach conclusions; explore various alternative solutions; distinguish between relevant and irrelevant information; perceive the impact and implications of decisions; and commit to action, even in uncertain situations, to accomplish organizational goals. They evaluate risk levels, create risk control alternatives, and implement risk controls. Successful leaders are able to isolate high-importance issues, analyze pertinent information, and involve others in decisions that affect them, generate promising solutions, and consistently render judgments with lasting, positive impact.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Integrates policy and administration factors into problem solving and decision making in a manner enhancing the entire Auxiliary. Provides general decision guidance to subordinates. Promotes concept of fair and unbiased information.
DIR, DCOS, DCAPT, DSO	Makes reasoned effective and timely decisions after considering all relevant factors and options. Implements decisions and evaluates their impact and implications, making adjustments as needed.
DVC, DCDR, VCDR, SO	Identifies issues within the context of own activity/division/ department which require decisions or other action and arrives at logical recommendations. Acts confidently and decisively within own purview, relying on guidance provided by leaders.
FC, VFC, FSO	Carries out the decisions of leaders effectively and efficiently. Solves issues within own authority and refers others to leader(s) promptly, providing all pertinent facts without bias.
Member	Solves routine problems and makes appropriate decisions consistent with the performance of primary duties. Keeps leaders informed on matters requiring their involvement.

Never tell people how to do things. Tell them what to do and they will surprise you with their ingenuity
—George Patton

Leading Performance and Change - Conflict Management

Auxiliary leaders facilitate open communication of controversial issues while maintaining relationships and teamwork. They effectively use collaboration as a style of managing contention; confront conflict positively and constructively to minimize impact to self, others and the organization; and reduce conflict and build relationships and teams by specifying clear goals, roles and processes. Conflict management is important in any organization, but particularly so in a volunteer organization.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture of cooperation and open communication. Ensures policies and practices promote teamwork and specify clear goals, roles, processes and standards.
DIR, DCOS, DCAPT, DSO	Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.
DVC, DCDR, VCDR, SO	
FC, VFC, FSO	
Member	Resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.

Leadership has a harder job to do than just choose sides. It must bring sides together.
—Jesse Jackson

Speak when you are angry and you will make the best speech you will ever regret.
—Ambrose Bierce

Leading Performance and Change - Creativity and Innovation

Leaders develop new insights into situations and apply innovative solutions to make unit and functional improvements. Leaders create a work environment that encourages creative thinking and innovation. They take reasonable risks, and learn from the inevitable mistakes that accompany prudent risk-taking—and they apply this same thinking to those who work for them, encouraging innovation and helping their people apply the lessons learned. Leaders design and implement new or cutting-edge programs and processes.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture which encourages new insights and the application of innovative solutions and creative thinking. Develops guidelines that encourage new or cutting-edge programs and processes. Key qualities are open mindedness and lack of bias.
DIR, DCOS, DCAPT, DSO	Develops new insights into situations and applies innovative solutions to make organizational improvements; fosters a work environment that encourages creative thinking and innovation
DVC, DCDR, VCDR, SO	Designs, recommends and implements new or cutting-edge programs and processes. Encourage creative thinking and innovation among those in their care. Seeks and recommends the adoption/investigation of new methods, skills, and techniques.
FC, VFC, FSO	
Member	Applies innovative methods to accomplish individual and team tasks. Recommends innovations to Auxiliary leadership.

Creativity is a type of learning process where the teacher and pupil are located in the same individual.

—Arthur Koestler

Leading Performance and Change - Vision Development and Implementation

Leaders are able to envision a preferred future for their units and functions, setting this picture in the context of the Auxiliary’s overall vision, missions, strategy and driving forces. Concerned with long-term success, leaders establish and communicate organizational objectives and monitor progress toward objectives; initiate action; and provide structure and systems to achieve goals. Leaders create a shared vision of the organization; promote wide ownership; manage and champion organizational change; and engineer changes in processes and structure to improve organizational goal accomplishment.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Creates and communicates a shared vision for the Auxiliary. As necessary, is the catalyst for organizational changes.
DIR, DCOS, DCAPT, DSO	Influences others to translate the shared vision into action. Uses the shared vision to guide personal actions and to prioritize activities.
DVC, DCDR, VCDR, SO	
FC, VFC, FSO	
Member	Incorporates the shared vision to guide personal actions and to prioritize activities.

The leader has to be practical and a realist, yet must talk the language of the visionary and the idealist.

—Eric Hoffer

Leading the Auxiliary - Stewardship

The Coast Guard’s unofficial motto was once “You have to go out – but you don’t have to come back!” This bravado was a testament to the bravery and commitment to service of Coast Guard men and women. But a more appropriate motto might be “You have to go out and you have to come back and you have to bring our resources back because we’ll need them again tomorrow!” Performing the mission at ANY cost is an unacceptable risk, not only for those immediately involved, but for all who would have benefited from the efforts of Coast Guard/Auxiliary crews tomorrow, and next week, and next year. Protecting the nation’s investment is important, and presents the difficult task of balancing performance with risk. Achieving the proper balance is a crucial element of leading.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture of careful management of resources and the preservation of future mission capability. Creates an environment where mission requirements and risk are critically analyzed and a proper balance between performance and risk maintained. Provides general guidance to subordinate leaders.
DIR, DCOS, DCAPT, DSO	Using the general guidance provided has primary responsibility and authority for conducting critical analysis of mission requirements/risk and for ensuring the proper balance between performance and risk. Provides subordinate leaders with direction and counsel concerning risk management. At major Auxiliary activities, monitors the use of resources and ensure continuing mission capability.
DVC, DCDR, VCDR, SO	Conducts mission related tasks in accordance with guidance provided by Auxiliary leaders and Coast Guard personnel. Makes operational decisions applying the same critical analysis of performance/risk as superiors. Ensures the proper use and maintenance of Auxiliary resources. Evaluates the effectiveness of risk management at the Division and Flotilla levels.
FC, VFC, FSO	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Coast Guard and the Auxiliary. Seeks opportunities to prepare self for greater responsibilities and to gain a deeper understanding of the elements of stewardship. Work to ensure adequate risk management for members engaged in operational or other potentially hazardous activities. Seeks to learn more about methods and techniques of risk management.
Member	

Never forget to be afraid.
—James Reason

The objective is to take calculated, not uncalculated risks.
—Anon

Leading the Auxiliary - Technology Management

Technological advances make it possible to improve mission performance provided prudent investments are made up front. Auxiliary leaders use efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Auxiliary leaders implement effective communications/training technologies (e.g., Internet use, computer use, Power Point, e-mail) using modern methods. Leaders develop strategies using new technology to enhance decision-making. They fully appreciate the impact of technological changes on the organization.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters and promotes a culture which encourages the efficient and effective use of technology. Understands the impact of technological change and develops Auxiliary-wide policies, procedures and plans for technology integrations. Provides input to Coast Guard policies as they relate to Auxiliary technology needs and requirements.
DIR, DCOS, DCAPT, DSO	Finds opportunities for the use of efficient and cost-effective approaches to integrate technology into the workplace. Implements strategies for using new technology to enhance performance. Understands and manages the impact of technological changes.
DVC, DCDR, VCDR, SO	Integrates technology into the workplace. Identifies possible opportunities for improvement through the use of technology and makes recommendations concerning same. Responsible for the technical competency of those supervised.
FC, VFC, FSO	Responsible for the proper use of technology in the workplace and for training of Flotilla members.
Member	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary and the Coast Guard. Seeks out opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of technology management.

Technology is neither good nor bad, nor even neutral. Technology is one part of the complex of relationships that people form with each other and the world around them; it simply cannot be understood outside of that concept.

— Samuel Collins

Leading the Auxiliary - Financial Management

Leaders must demonstrate broad understanding of the principles of financial management and marketing expertise necessary to ensure appropriate funding levels for their areas of responsibility. They prepare, justify, and/or administer the budget for the unit or program; use cost-benefit thinking to set priorities; and monitor expenditures in support of programs and policies. Leaders seek and identify cost-effective approaches, and manage procurement and contracting appropriately.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Develops and establishes Auxiliary guidelines concerning financial management practices. Within the Auxiliary, has ultimate responsibility for the budget, financial execution, contracting and procurement. Provides guidance and direction to subordinate leaders concerning financial management.
DIR, DCOS, DCAPT, DSO	Implements guidance, policy and procedures and ensures compliance by subordinate activities/sections/departments. Exercises responsibility and control over significant financial management functions/activities. Prepares, justifies and/or administers the budget for program area(s); uses cost benefit analysis to set priorities; identifies cost-effective approaches; and monitors expenditures and/or contracting and procurement.
DVC, DCDR, VCDR, SO	Applies Auxiliary guidance, policy and procedures in managing finances within an activity / section / department. Exercises first level control and accountability, ensures adherence with previously determined cost-benefit priorities and cost-effective approaches. Evaluates the costs and benefits of assisting local units.
FC, VFC, FSO	Develops a foundational understanding of issues and responsibilities related to leading the Coast Guard and Auxiliary by observing those currently leading the Auxiliary and the Coast Guard. Seeks opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of financial management. Working with others as necessary helps to ensure prudent management of Flotilla finances and the maintenance of accurate financial records. Provides feedback to Auxiliary and Coast Guard leaders on the limits of available financial resources. Provides a mechanism/framework whereby unit and members are able to support the financial needs of their activities in an ethical manner.
Member	

Preparation equals performance.

— ADM James Loy, former U.S. Coast Guard Commandant

Leading the Auxiliary - Human Resource Management

Auxiliary leaders assess current and future staffing needs based on organizational goals and budget realities. Making decisions that are merit-based, they ensure their people are appropriately selected, developed, trained assigned, evaluated, and rewarded. Leaders take corrective action when needed. They guide and mentor others in appropriate interaction with these system elements. Leaders support personnel completing requirements for advancement, special programs or future assignment; recognize positive performance and development through the formal and informal reward system; and assist others in requesting formal training or developmental assignments.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Develops and establishes Auxiliary guidelines concerning human resources and their employment. Provides subordinate leaders with appropriate formal tools to allow them to develop, utilize, appraise, reward and discipline subordinates. Controls current and future staffing based on organizational goals, mission requirements and budgets.
DIR, DCOS, DCAPT, DSO	Implements Coast Guard and Auxiliary policies and procedures concerning human resources and ensures compliance by subordinate activities / sections / departments. Supervises subordinate leaders as they apply appropriate tools to develop, utilize, appraise, reward and discipline subordinates. Accountable for maintaining current staffing at approved levels and for communicating organizational, mission or budget requirements impacting current or future staffing.
DVC, DCDR, VCDR, SO	Applies Auxiliary personnel policies and procedures to successfully perform assigned mission responsibilities. Uses available tools in supervising subordinates and makes recommendations or referrals to senior managers concerning personnel development, utilization, appraisal, rewards and discipline actions outside of the mid-level manager's authority. Communicates personnel requirements to superiors.
FC, VFC, FSO	Supervises the job activities and performance of Flotilla members to ensure compliance with Auxiliary policies and procedures. Uses available tools in supervising members and makes recommendations or referrals concerning other personnel actions as warranted.
Member	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary. Seeks opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of human resource management.

Never doubt that a small group of thoughtful, committed people can change the world. Indeed. It is the only thing that ever has.

--Margaret Mead

Leading the Auxiliary - Partnering

The Auxiliary exists within a broader envelope of partners, stakeholder organizations, and the business community. Auxiliary leaders must develop networks and build alliances, engaging in cross-functional activities where it makes sense. Leaders collaborate across boundaries, and find common ground with a widening range of stakeholders at the local, regional, national, and international levels, and use their contacts to build and strengthen internal bases of support.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters a culture which encourages the development of networks and the building of alliances; collaborates across boundaries and engages in cross-functional activities. Maintains international, national and federal contacts to build and strengthen support base.
DIR, DCOS, DCAPT, DSO	Continues to develop national and local contacts, where applicable. Develops and maintains networks and alliances to enhance and support major Coast Guard activities while introducing and encouraging subordinates to engage in across boundaries collaborations and cross-functional activities.
DVC, DCDR, VCDR, SO	As appropriate develops local contacts. Develops and maintains network and alliances to enhance and support assigned missions and tasks. Engages in across boundaries collaborations and cross-functional activities. Makes local units aware of available contacts.
FC, VFC, FSO Member	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary. Seeks opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of effective partnering. Makes Divisions aware of available contacts.

If you do not seek out allies and helpers, then you will be isolated and weak.
—Sun Tzu, The Art of War

Leading the Auxiliary - External Awareness

Auxiliary leaders identify and keep up to date on key national policies and economic, political, military and social trends that affect the organization. Auxiliary leaders understand near-term and long-range plans and determine how best to be positioned to achieve the advantage in an increasingly competitive national economic climate.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Expert knowledge of key national and international policies. Maintains appropriate level of contact and expertise with third parties and can identify emerging trends-political, economic, military and social. Develops short and long-term plans and determines how best to position the Coast Guard and Auxiliary to achieve both mission and long-term competitive advantage.
DIR, DCOS, DCAPT, DSO	Understands short and long-term plans and determines how best to execute current operations to achieve both mission and long-term competitive advantage. Keeps up to date on key issues critical to current and future operations. Understands key national and international issues. Maintains appropriate level of contact with local, regional, and subject area communities and can advise executive leadership on local, regional and subject area issues with immediate and future impact on the Coast Guard and the Auxiliary.
DVC, DCDR, VCDR, SO	Keeps up to date on key issues critical to current and future operations. Maintains appropriate level of contact with local, regional, and subject area communities. Understands national, local, regional and subject area issues with immediate and future impact on the Auxiliary as it applies to their specific areas.
FC, VFC, FSO	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary. Seeks out opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of external awareness. Fosters appropriate level of contact and interaction with community. Is aware of and fosters understanding of issues important to the local community and seeks ways to be of service.
Member	

Real knowledge is to know the extent of one's ignorance.
— Confucius

Leading the Auxiliary - Entrepreneurship

Auxiliary leaders seek and identify opportunities to develop and market new methods within or outside of the Auxiliary and submit to competent authority for necessary approvals. Leaders are willing to take risks and initiate actions that involve a deliberate risk to achieve a recognized benefit or advantage.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Fosters a culture which encourages the development and marketing of new methods within or outside of the Auxiliary. Establishes policy and provides guidance concerning entrepreneurship and acceptable entrepreneurial risks.
DIR, DCOS, DCAPT, DSO	Identifies opportunities to develop and market new methods both within and outside of the Auxiliary. Initiates actions that involve deliberate risk to achieve a recognized benefit or advantage. Encourages innovation on the part of subordinates.
DVC, DCDR, VCDR, SO	Assists in the development and marketing of new methods. Looks for new and innovative methods and encourages innovation on the part of subordinates.
FC, VFC, FSO	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary. Seeks out opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of responsible, effective entrepreneurship. Looks for ways to improve team and individual performance. Makes recommendations concerning possible innovations.
Member	

I never perfected an invention that I did not think about in terms of the service it might give others ... I find out what the world needs, then I proceed to invent.

—Thomas Edison

Leading the Auxiliary - Political Savvy (awareness, knowledge)

Auxiliary leaders identify the internal and external politics that impact the work of the Coast Guard and the Department of Homeland Security. Leaders approach each situation with a clear perception of organizational goals and political reality, and recognize the impact of alternative courses of action. Leaders understand correct procedures and the limits on interaction with Coast Guard and other government (e.g., federal, state, and local) personnel.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Expert in identifying the internal and external politics that impact the Auxiliary and the Coast Guard. Develops Coast Guard policy and guidance reflecting organizational and political reality.
DIR, DCOS, DCAPT, DSO	Develops and directs approaches to each situation with a clear understanding of organizational and political reality; recognizes the impact of alternative courses of action.
DVC, DCDR, VCDR, SO	Implements the approach to each situation with a clear understanding of organizational and political reality. Takes action consistent with those realities and recommends alternative courses of action. Seeks counsel of others as appropriate.
FC, VFC, FSO Member	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary. Seeks opportunities to prepare self for greater responsibilities and to gain a deeper understanding of the elements of political savvy. Seeks counsel of others as appropriate.

Ensure brain is in gear before opening mouth.

—Anon

Leading the Auxiliary - Strategic Thinking

Auxiliary leaders react to crises immediately, and routinely solve urgent problems. Beyond that, leaders must also consider multiple time horizons and very complex interactions. This requires thinking strategically, which consists of adopting a systems view; focusing on intent—what are we really trying to accomplish; thinking across time horizons; creating and testing hypotheses; and being intelligently opportunistic—taking advantage of current conditions.

Performance Level	Anticipated Level of Expertise
NEXCOM, ANACOs, DCO	Formulates effective strategies consistent with the roles, missions and strategy of the Auxiliary. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities, anticipates potential threats or opportunities. Develops overarching strategic plan(s) at the national level consistent with Coast Guard guidance.
DIR, DCOS, DCAPT, DSO	Implements strategies, provides guidance and exercises control over significant Auxiliary activities. Ensures objectives and priorities are efficiency and effectively pursued while providing feedback to executive management concerning potential threats and opportunities. Prepares self for greater responsibility through completion of Coast Guard/Auxiliary schools or other similar professional development. Develops operational plans, consistent with the national strategic plan for their Districts/Departments.
DVC, DCDR, VCDR, SO	Assists Auxiliary leaders in the formulation of policy and strategic plans or in the implementation of these strategies. Provides direction and supervision to subordinates to ensure efficient and effective execution. Prepares self for greater responsibility through education and through completion of appropriate Coast Guard/Auxiliary schools. Develops action plan(s), consistent with national strategic and District/Department operational plans.
FC, VFC, FSO	Develops a foundational understanding of issues and responsibilities related to leading the Auxiliary by observing those currently leading the Auxiliary. Seeks opportunities to prepare self for greater responsibilities and to gain a deeper understanding of all elements of strategic thinking. Provides input to the development of action plans to implement the national strategy.
Member	

We cannot solve our problems with the same level of thinking that created them.
—Albert Einstein

Methods for Gaining and Demonstrating Competence

As noted above, Auxiliarists are a diverse group. Some have extensive civilian leadership training and experience. Others have had more limited opportunities. To ensure success the Auxiliary needs capable leaders at all levels in the organization. The above sections define the minimum expectations for leaders at each level in the Auxiliary. This section identifies the intended performance level targets for each of the major Auxiliary leadership training courses.

In addition to Auxiliary training courses, there are other resources available to Auxiliarists. These include:

- The Coast Guard Unit Leadership Development Program (available on-line at <http://learning.uscg.mil/uldp/>),
- USCG E-Mentoring (available on-line at <http://www.uscg.mil/LEADERSHIP/mentoring.htm>),
- The Commandant's Reading List (a list of useful references sorted by organizational level available on-line at <http://www.uscg.mil/leadership/leadci/read.htm>),
- The Leadership Guidance Team's reading list (available on-line at <http://www.auxnaco.org/readinglist.htm>),
- The *Administrative Procedures Course* COMDTINST 16790.1F (2007) [awaiting approval],
- The *Instructor Guide for APC* COMDTINST 16790.1F, (2007) [awaiting approval] (posted on *CHDIRAUX(1998 version) and Training WebPages(draft 2007 version)*) (available only CD as a draft, awaiting printing),
- The *Flotilla Procedures Manual* COMDTINST 16791.5, (1999) (*Training Dept. webpage*),
- The *Flotilla Commander Change of Administration Guide*, (2000) (*Training Dept. webpage*),
- The *Division Procedures Guide* COMDT PUB P16791.3, (1998) (*only by CD from ANSC*) (not posted),
- The *Division Captain Change of Administration Guide*, (2002) (*Training Dept. webpage*),
- The *District Commodore Change of Administration Guide*, (2005) (not posted), and
- The Coast Guard Leadership Essay Program (for details, see <http://www.uscg.mil/LEADERSHIP/leadci/essay.htm>)

Many Districts publish District Policy Manuals. Auxiliary members at all levels are encouraged to utilize these resources.

The tables below present a matrix showing the specific leadership/management courses intended for each level and the minimum performance level targets for each of these in terms of the 28 leadership competencies expected of graduates of these courses. Three target performance levels are included:

1. **Awareness:** The Auxiliarist is aware of the concept and can define its meaning.
2. **Application:** The Auxiliarist is capable of applying the concepts and principles of the leadership competency in his/her customary work environment (e.g., at the Flotilla, Division, District, or National Levels).
3. **Overall responsibility:** The Auxiliarist has awareness, application skills, and overall responsibility for ensuring that members in their care have sufficient training and skills.

In the matrices below, these three levels are denoted “1,” “2,” and “3,” respectively. A blank in any cell entry means that there is no target performance level for this competency *for the particular course*. *It does not mean that there is no requirement for Auxiliary members to have the skills/level of performance indicated in the above tables*. There are other venues available to Auxiliarists that may address this competency. And some skills are developed through experience and on-the-job training. Thus, for example, it is expected that members will have an awareness-level understanding of human resource management. However, this skill is developed (at the member level) by observing the behavior of those leading the Auxiliary—this is not a topic covered in either the new member orientation or the administrative procedures course.

The reader should be aware that the numerical target performance level is likely to vary with the responsibility level. Thus, a level 2 performance level for a Flotilla Commander might differ from a level 2 performance level for a District Commodore.

Obviously, “more is better” with respect to any leadership competency. And, certainly many of our members already have well developed leadership skills. The table entries *define a minimum competency level provided by the course*. These target performance levels are important inputs to the design of Auxiliary training courses. The tables are organized by Auxiliary level and courses targeted for this level (e.g., member, FC, VFC, FSO, etc.). Thus, for example, the Auxiliary resources designed specifically for the member include the New Member Orientation, the Flotilla Leadership Course (FLA) and Administrative Procedures Course (APC). Likewise, the Flotilla Commander’s Academy (FCA) is designed for FCs, VFCs, and FSOs. All members are encouraged to take advantage of training opportunities at all levels.

General Comments by Performance/Responsibility Level

This section provides some comments on the matrices by performance or responsibility level.

-Level One: Member

Currently, the three courses specifically targeted for the member are the New Member Orientation, the Administrative Procedures Course (APC) and the Flotilla Leadership Course (FLA). The New Member Orientation is just that—an introduction to Auxiliary. Although some leadership material is included (at least implicitly) the course provides background material. Nonetheless, the recommended the Flotilla Leadership Course contains target performance levels for many competencies not covered by the present orientation course.

Referring to the APC it is noted that very little leadership material is covered. This is not a fault of the APC—the purpose of this course is to provide information on administrative procedures and thus *focuses on management rather than leadership*.

Members (without other Auxiliary office) are also expected to learn leadership competencies by observation of elected and selected leaders (on-the-job training) and by utilizing the above referenced general materials, such as the reading lists published by the Commandant of the Coast Guard and the Auxiliary National Commodore.

-Level Two (FC, VFC, FSO)

Auxiliarists at level two have completed the New Member course and (in many cases) the APC. Additionally, they may have completed more advanced Auxiliary leadership courses, such as AUXLAMS (Auxiliary Leadership and Management School). However, the course specifically targeted for this group is the Flotilla Commanders Academy (FCA). In the categories of “Leading Self” and “Leading Others” the performance levels are typically “2s,” meaning that they have not only an awareness, but also are qualified to apply these competencies. In the competency groups “Leading Performance and Change” and “Leading the Auxiliary” with a few exceptions (e.g., conflict management, customer focus, financial and HR management) the anticipated target performance levels are all “1s.”

-Level Three (DVC, DCDR, VCDR, SO)

Auxiliarists at level three could have completed the New Member course APC, AUXLAMS and the FCA. Additionally, they may have completed more advanced Auxiliary leadership courses. The Auxiliary Mid-Level Officer Course (AMLOC) is specifically designed for level three leaders. In the categories of “Leading Self” and “Leading Others” the performance levels are typically “2s,” meaning that they have not only an awareness, but also are qualified to apply these competencies at the level of the Auxiliary Division within a District or a Division on National Staff. The Auxiliary expects that leaders at this level will have superior communication skills, so this category is assigned a “3.” In the category “Leading Performance and Change” AMLOC is expected to help them achieve “2s” and “3s” for many competencies, which reflects their increased responsibilities at this performance/responsibility level. AMLOC is not expected to provide additional training in stewardship, technology management, financial management, or human resource management because these competencies have been addressed at level two. AMLOC introduces information relevant to the “political savvy” competency as this becomes more important at this performance level.

-Level Four (DIR, DCOS, DCAPT, DSO)

Auxiliarists at level four have had the opportunity to complete all courses for level three leadership: New Member course, APC, FCA, AUXLAMS and AMLOC. The course specifically designed for level four leaders is the District Captain Course. The responsibilities at level four change quite a bit from level three leadership competencies. This course focuses on the DCAPTs and DC-ds and their attainment of “3s” in

Accountability and Responsibility, Effective Communications, Conflict Management and Process Improvement. The course will also prepare the level four leaders with more advanced Team Building skills to enhance their District and Department projects. This enables the leaders to not only apply these competencies in their world of work, but to also be responsible to ensure that the members in their care have the proper training in these areas. The District Captain Course will not focus on many of the competencies that are listed in the category of “Leading the Auxiliary.”

-Level Five (NEXCOM, ANACOs, DCO, DCOS)

Level five leaders have should have had the opportunity to complete the New Member course, APC, FCA, AUXLAMs, AMLOC and DCAPT. The Auxiliary Senior Officer Course (ASOC) is actually designed to prepare members to transition to level five, to the positions of District or Directorate Commodore. ASOC emphasizes “3s” in most of the competencies it teaches. DCOSs, ANACOS and DCOs who attend this course are expected to master competencies in all four categories, Follow-up on additional competencies is done with the level five leaders through workshops and independent study projects relative to their positions.

With the exception of APC, the leadership course opportunities listed are not mandatory. However, it is suggested that members who wish to advance through the elected and selected leadership chains of the Auxiliary, should make every effort to complete all course offerings at each level. This course completion will enhance the members transferable skills, bring the member into alignment with organization norms, and enhance transitions from one leadership level to the next.

Performance/Responsibility Level One: Member

Category	Competency	New Member Orientation	APC
Leading self	Accountability & responsibility	1	
	Followership	1	
	Self awareness and learning	1	
	Aligning values	1	
	Health and well being		
	Personal conduct	1	
	Technical proficiency		
Leading others	Effective communications	1	1
	Influencing others	1	
	Respect for others and diversity management	1	
	Team building	1	
	Taking care of people	1	
	Mentoring		
Leading performance And change	Customer focus	1	
	Management & process improvement		
	Decision making and problem solving		
	Conflict management		
	Creativity & innovation		
	Vision development and Implementation		
Leading the Auxiliary	Stewardship		
	Technology management		
	Financial management		1
	Human resource management		
	Partnering		
	External awareness		
	Entrepreneurship		
	Political savvy		
	Strategic thinking		

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- Application:** The Auxiliarist is capable of applying the concepts and principles of the leadership competency in his/her customary work environment (e.g., at the Flotilla, Division, District, or National Levels).
- Overall responsibility:** The Auxiliarist has awareness, application skills, and overall responsibility for ensuring that members in their care have sufficient training and skills.

Performance/ Responsibility Level Two: FC, VCF, FSO

Category	Competency	Flotilla Leadership Course	AUXLAMSA & B
Leading self	Accountability & responsibility	2	3
	Followership	2	3
	Self awareness and learning	2	2
	Aligning values	2	3
	Health and well being		1
	Personal conduct	2	3
	Technical proficiency	1	1
	Leading others	Effective communications	2
Influencing others		2	3
Respect for others and diversity management		2	3
Team building		2	3
Taking care of people		1	3
Mentoring		2	2
Leading performance And change		Customer focus	2
	Management & process improvement	1	1
	Decision making and problem solving	1	2
	Conflict management	2	2
	Creativity & innovation	1	1
	Vision development and Implementation	1	
	Leading the Auxiliary	Stewardship	1
Technology management		1	
Financial management		2	
Human resource management		2	2
Partnering		1	
External awareness		1	1
Entrepreneurship			
Political savvy			
Strategic thinking		2	

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Performance/Responsibility Level Three: DCDR, VCDR, SO

Category	Competency	AMLOC
Leading self	Accountability & responsibility	3
	Followership	2
	Self awareness and learning	2
	Aligning values	2
	Health and well being	
	Personal conduct	2
	Technical proficiency	
Leading others	Effective communications	3
	Influencing others	2
	Respect for others and diversity management	2
	Team building	2
	Taking care of people	
	Mentoring	2
Leading performance And change	Customer focus	
	Management & process improvement	2
	Decision making and problem solving	1
	Conflict management	3
	Creativity & innovation	2
	Vision development and Implementation	2
Leading the Auxiliary	Stewardship	
	Technology management	
	Financial management	
	Human resource management	
	Partnering	2
	External awareness	1
	Entrepreneurship	
Political savvy	1	
Strategic thinking	2	

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- Overall responsibility:** The Auxiliarist has awareness, application skills, and overall responsibility for ensuring that members in their care have sufficient training and skills.

Performance/Responsibility Level Four: DCAPT, DIR-d

Category	Competency	District Captain Course
Leading self	Accountability & responsibility	3
	Followership	
	Self awareness and learning	
	Aligning values	2
	Health and well being	1
	Personal conduct	2
	Technical proficiency	
Leading others	Effective communications	3
	Influencing others	
	Respect for others and diversity management	1
	Team building	2
	Taking care of people	
Leading performance And change	Mentoring	
	Customer focus	
	Management & process improvement	3
	Decision making and problem solving	
	Conflict management	3
	Creativity & innovation	
Leading the Auxiliary	Vision development and Implementation	
	Stewardship	
	Technology management	
	Financial management	1
	Human resource management	
	Partnering	
	External awareness	
	Entrepreneurship	
	Political savvy	
Strategic thinking	2	

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Performance/Responsibility Level Five: DCOS, ANACO, DCO

Category	Competency	ASOC
Leading self	Accountability & responsibility	3
	Followership	
	Self awareness and learning	3
	Aligning values	3
	Health and well being	1
	Personal conduct	3
	Technical proficiency	
Leading others	Effective communications	3
	Influencing others	3
	Respect for others and diversity management	
	Team building	3
	Taking care of people	
	Mentoring	
Leading performance And change	Customer focus	
	Management & process improvement	
	Decision making and problem solving	3
	Conflict management	3
	Creativity & innovation	
	Vision development and Implementation	3
Leading the Auxiliary	Stewardship	
	Technology management	
	Financial management	3
	Human resource management	
	Partnering	3
	External awareness	
	Entrepreneurship	
	Political savvy	2
	Strategic thinking	3

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3. **Overall responsibility:** The Auxiliarist has awareness, application skills, and overall responsibility for ensuring that members in their care have sufficient training and skills.

AUXILIARY LEADERSHIP CONTINUUM

Desired State

Category	Competency	NM Intro	APC	FLA	AUX LAMS A & B	AM LOC	DCAP	ASOC
Leading self	Accountability & responsibility	1		2	3	3	3	3
	Followership	1		2	3	2		
	Self awareness and learning	1		2	2	2		3
	Aligning values	1		2	3	2	2	3
	Health and well being				1		1	1
	Personal conduct	1		2	3	2	2	3
	Technical proficiency			1	1			
Leading others	Effective communications	1	1	2	3	3	3	3
	Influencing others	1		2	3	2		2
	Respect for others and diversity management	1		2	3	2	1	
	Team building	1		2	3	2	2	3
	Taking care of people	1		1	3			
	Mentoring			2	2	2		
Leading performance And change	Customer focus	1		2	2			
	Management & process improvement			1	1	2	3	
	Decision making and problem solving			1	2	1		3
	Conflict management			2	2	3	3	3
	Creativity & innovation			1	1	2		
	Vision development and Implementation			1		2		3
Leading the Auxiliary	Stewardship			1	1			
	Technology management			1				
	Financial management		1	2			1	3
	Human resource management			2	2			
	Partnering			1		2		3
	External awareness			1	1	1		
	Entrepreneurship							
	Political savvy					1		2
	Strategic thinking			2		2	2	3

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3. **Overall responsibility:** The Auxiliarist has awareness, application skills, and overall responsibility for ensuring that members in their care have sufficient training and skills.