U.S. Department of
Homeland Security

United States
Coast Guard

Commandant
United States Coast Guard

2703 Martin Luther King Jr. Ave SE
STOP 7501
Washington, DC 20593-7501
Staff Symbol: (BSX-1)
Phone: (202) 372-1265
Fax: (202) 372-1920
Email: CGAUX@uscg.mil

16790 / AUX-PL-004(A)
BSX Policy Letter 19-04
12 Jul 19

MEMORANDUM

From: S. L. Johnson, CAPT /s/   Reply to   LCDR C. Brock
         COMDT (CG-BSX)   Attn of: (202) 372-1056

To: Distribution

Subj: AUXILIARY DATABASE (AUXDATA) INFORMATION SYSTEM ACCESS

Ref: (a) Auxiliary Manual, COMDTINST M16790.1 (series)

1. <u>PURPOSE</u>. This policy letter defines criteria, requirements, and procedures for the granting, maintenance, and revocation of access to the Auxiliary Database (AUXDATA) information system. Its provisions shall also be applicable to any successor to AUXDATA upon system activation.

2. <u>ACTION</u>. All Coast Guard Auxiliarists and District Directors of Auxiliary (DIRAUX) offices shall comply with the provisions in this Policy Letter.

3. <u>DIRECTIVES AFFECTED</u>. These requirements shall be incorporated into the next revision of reference (a).

4. <u>BACKGROUND</u>.

    a. The Auxiliary Database (AUXDATA) is the Coast Guard's information system of record for its Auxiliary program. It is the repository for data of both a personal and activity-based nature for active and retired members of the Auxiliary. As such, access to it shall be minimized, controlled, accounted for, and warrant deliberate consideration, recognition, and acknowledgement of any prospective user's AUXDATA proficiency and need for access to the system.

    b. AUXDATA has two principle components: the training database and the production database. The training database facilitates the testing and evaluation of potential changes to AUXDATA before full implementation. Once ready for full implementation, changes are institutionalized in the production database where they remain available for system users.

    c. Two types of AUXDATA access exist: read-write (RW) access and read-only (RO) access. RW access is applicable to both AUXDATA's training database and production database. RO access is only applicable to AUXDATA's production database. Tracking of both types of access is an important indicator of system security awareness.

Subj: AUXILIARY DATABASE (AUXDATA) INFORMATION SYSTEM ACCESS

5. <u>DISCLAIMER</u>. This Policy Letter is not a substitute for applicable legal requirements, nor is it a rule. It is intended to define training requirements for Coast Guard Auxiliary personnel and is not intended to, nor does it impose legally-binding requirements on any party outside the Coast Guard.

6. <u>DESIGNATION AND AUTHORITY.</u> Only designated Executive Assistants (EA) to the Chief Director of Auxiliary (CHDIRAUX) for AUXDATA management (AUXDATA EA) and CHDIRAUX staff are authorized to grant and revoke AUXDATA access for Auxiliarists, DIRAUX staff, and any other potential AUXDATA user. This designated authority may not be re-delegated except as defined in this policy letter. Questions that may arise from these provisions, or determinations that need to be made about them, shall be resolved by the Auxiliary Division (CG-BSX-1).

7. <u>QUESTIONS</u>. Questions concerning this policy letter should be directed to the Office of Auxiliary and Boating Safety, Auxiliary Division (CG-BSX-1) at CGAUX@uscg.mil. This policy letter and other policy documents shall be on the Auxiliary website.

8. <u>REQUEST FOR CHANGES</u>. Units and individuals may recommend changes in writing via the chain of command to Commandant (CG-BSX-1), ATTN: Office of Auxiliary and Boating Safety, Auxiliary Division (CG-BSX-1), U. S. Coast Guard Stop 7501, 2703 Martin Luther King, Jr. Avenue SE, Washington DC 20593-7501.

#

Dist: CG-761, CG-681, OSC, DIRAUX, NEXCOM, ANACO-IT

Encl: (1) AUXDATA Information System Access Guidelines

Auxiliary Database (AUXDATA) Information System Access Guidelines

Table of Contents

Encl (1)

1. **General Guidelines**

    a. As the Coast Guard's information system of record for its Auxiliary program, access to AUXDATA shall be minimized, controlled, and warrant deliberate consideration, recognition, and acknowledgement of any prospective user's AUXDATA proficiency and need for access to the system. In determining whether or not a request for access is justified enough to be granted, the following shall be considered:

        (1) The individual's organizational position. Justification is generally strongest for Auxiliary Information Services (IS) officers because of the nature of their defined data handling functions. Auxiliary positions of elected leadership generally do not require AUXDATA access particularly in light of the ability of other systems to meet information needs (e.g., AUXDIRECTORY and AUXINFO).

        (2) Ability of other systems (e.g., AUXDIRECTORY and AUXINFO) to provide sufficient information to meet the individual's need. These other systems draw extensive personal contact and activity information directly from AUXDATA in timely fashion, effectively negating the need for the vast majority of individuals to have access to AUXDATA.

    b. Any request for Read-Write (RW) or Read-Only (RO) access to the AUXDATA production or training database shall be submitted and justified in writing (email acceptable).

    c. Whenever there is more than one Executive Assistant (EA) to the Chief Director of Auxiliary (CHDIRAUX) for AUXDATA management (AUXDATA EA), CG-BSX-11 shall designate one of them as lead (email acceptable).

    d. The scope of AUXDATA access that may be granted by an AUXDATA EA, CHDIRAUX staff, or any other individual authorized to grant AUXDATA access of any type shall be limited to no higher and no broader than the organizational level of the Information Services (IS) officer to whom it is being granted. For example, AUXDATA access of any type shall be limited to that of the flotilla to which a Flotilla Staff Officer for Information Services (FSO-IS) belongs. It shall not include access to other Auxiliary units' information. The only exceptions shall occur when an FSO-IS, as identified by a Division Staff Officer for Information Services (SO-IS), requires division-level RW access for the purpose of division-wide data input, or when an SO-IS, as identified by a District Staff Officer for Information Services (DSO-IS), requires district-level RW access for the purpose of district-wide data input and no other Assistant DSO-IS (ADSO-IS) is available.

    e. If an AUXDATA EA has any question or concern about granting RW access, they shall first consult with the cognizant DSO-IS and DVC-UI to seek resolution. Resolution may include their approval or denial of access based solely upon their assessment of the consultation. They shall advise BSX-11 of any denial of access. Only BSX-1 may override a denial of access.

2

f. If an AUXDATA EA has any question or concern about granting RW access to any individual requested by the CHDIRAUX, DIRAUX, or their staff, they shall first consult with them to seek resolution. Resolution of requests may include the AUXDATA EA's denial of access based solely upon their assessment of the consultation. They shall advise BSX-11 of any such denial of access. Only BSX-1 may override a denial of access.

g. Upon granting RW access to an individual, the AUXDATA EA shall notify that individual of such action in writing (email acceptable) and copy the cognizant DSO-IS and DIRAUX, DVC-UI, appropriate Directorate Chief if for a national staff member, and BSX-11 if appropriate (e.g., if the CHDIRAUX office was the requestor).

h. The lead AUXDATA EA shall maintain an up-to-date running record of all Auxiliarists for whom AUXDATA EAs grant or revoke RW access, their staff office or reason for access, and the associated dates that access was granted and revoked.

i. AUXDATA EAs are authorized and expected to immediately revoke any level of AUXDATA access from anyone who:

(1) Requests their own revocation; or,

(2) No longer serves as an IS officer for any reason (e.g., non-reappointment, removal, resignation); or,

(3) Demonstrates behavior that may compromise the integrity of AUXDATA, is detrimental to the good order and proficient operation of AUXDATA in any way, or gives rise to the request and justification by any officer in the chain of leadership of the member in question; or,

(4) Demonstrates behavior that is inconsistent with the high levels of trust and integrity expected of an AUXDATA user or IS staff officer, or gives rise to the request and justification by any officer in the chain of leadership of the member in question; or,

(5) Is confirmed by higher authority (i.e., requested and justified in writing (email acceptable) by any officer in the individual's chain of leadership) to no longer require or warrant access. As a minimum, higher authority is defined as follows:

(a) The elected leader at a staff officer's organizational level (e.g., for an FSO-IS it would be the Flotilla Commander (FC); for a District Commodore it would be the appropriate Deputy National Commodore (DNACO); for an elected DNACO, it would be the Vice National Commodore (VNACO); or,

(b) The appointed officer at a staff officer's next highest level (e.g., for an SO-IS it would be the DSO-IS; for the DVC-UI it would be the Assistant National Commodore for Information Technology (ANACO-IT)); or,

(c) The DIRAUX, DCO, or DSO-IS for any individual within their Auxiliary region; or,

3

(d) The CHDIRAUX's office, National Commodore (NACO), DNACO for Information Technology and Planning (DNACO-ITP), ANACO-IT, DIR-U, or DVC-UI for any individual at national staff level, or at regional level only after advising the cognizant DIRAUX and DCO (email acceptable); or,

(e) The cognizant instructor of the individual who has been granted access.

(6) Is otherwise directed by other Coast Guard authority to be so revoked (e.g., directed by District Commander or CG CYBER Command).

j. Upon revoking AUXDATA access, the AUXDATA EAs shall notify the individual of such action in writing (email acceptable) and copy the cognizant DSO-IS and DIRAUX, DVC-UI, appropriate Directorate Chief if for a national staff member, and BSX-11 if appropriate.

k. The following sections provide guidance when temporary IS officer vacancies occur at all organizational levels. In the event of temporary SO-IS and DSO-IS officer vacancies, those who coordinate the replacements shall also ensure that DIRAUX is notified of such.

2. Criteria and Procedures for Granting, Maintaining, and Revoking Read-Write (RW) Access to the AUXDATA Production Database

a. RW access may only be granted to Auxiliarists who meet the following requirements and who require such access for their performance of duty as appointed IS staff officers at any organizational level:

(1) Successful completion and currency in all Auxiliary Core Training (AUXCT) requirements; and,

(2) Current favorable Operational Support (OS) background check; and,

(3) Successful completion of one of the following three training options (successful completion is defined as achieving a score of at least 90 percent on an end-of-instruction exam that consists of a total combination of at least 30 conventional true-false and multiple choice test questions and at least 24 practical data entry exercises, and which has been approved by the Division Chief for User Information (DVC-UI)):

(a) The Auxiliary Information Systems Training (AUX-10) C-school as reflected by AUXDATA entry; or,

(b) An AUX-10 Auxiliary region-level course as reflected by AUXDATA entry. Such course must be taught by at least one national AUX-10 instructor and at least one of a cadre of knowledgeable and experienced members who have been selected by the District Staff Officer for Information Services (DSO-IS) and approved by the District Commodore (DCO). The course must also be approved by the DVC-UI; or,

(c) An interim AUX-10-based Auxiliary region-level workshop taught by at least one of a cadre of knowledgeable and experienced members who have been selected by the DSO-IS and approved by the DCO. Such workshop must be approved by the DVC-UI, and its successful completion must be confirmed by the DSO-IS. This training option shall only be acceptable when an urgent need for AUXDATA entry access exists as determined by the DSO-IS and with the concurrence of the Director of Auxiliary (DIRAUX). The workshop's instruction material must be obtained from the DVC-UI. Resultant access shall only be granted for a period not to exceed one year during which the Auxiliarist must complete either 2.c.(1) or 2.c.(2) in order to retain access. Their RW access shall be immediately revoked if not successfully completed within that time period.

b. AUXDATA EAs are not authorized to grant RW access to individuals who are not serving as IS staff officers unless:

(1) Specifically directed by a DIRAUX or a staff employee; or,

(2) Specifically directed by the CHDIRAUX or a staff employee.

(3) Petitions to the CHDIRAUX or DIRAUX offices for non-IS staff officer RW access must be submitted with justification by the requestor in writing (email acceptable).

c. Organizational Guidelines.

(1) Flotilla-level.

AUXDATA EAs are authorized to grant flotilla-level RW access to the FSO-IS as requested and justified by the DSO-IS (email acceptable). Such access shall be limited in scope to the flotilla to which the FSO-IS is assigned. No other flotilla elected or appointed officer or other member may be authorized such access. Access to the Security section is not authorized. The DSO-IS shall maintain an up-to-date running record of all district FSO-IS who have flotilla-level RW access.

(a) The DSO-IS shall advise the individual to whom access is granted that they must notify the DSO-IS when their access is no longer needed, including when their office appointment ends. Whenever otherwise determined that the individual is no longer serving as the FSO-IS, their access shall be immediately terminated.

(b) In the event of a temporary FSO-IS vacancy (e.g., due to severe injury/illness or death), the FSO-IS functions shall be assumed by the respective SO-IS until the FSO-IS is able to resume their functions or a new FSO-IS is trained and appointed. The SO-IS shall notify the DSO-IS whenever such vacancy occurs and when it is resolved (email acceptable).

(2) Division-level.

   (a) AUXDATA EAs are authorized to grant division-level RW access to the SO-IS as requested and justified by the DSO-IS (email acceptable). Such access shall be limited in scope to the division and its flotillas to which the SO-IS is assigned. No other division elected or appointed officer or other member may be authorized such access except for prospective SO-IS replacements when necessary to prepare them for SO-IS functions. Access to the Security section is not authorized. The DSO-IS shall maintain an up-to-date running record of all district SO-IS who have division-level RW access.

   (b) The DSO-IS shall advise the individual to whom access is granted that they must notify the DSO-IS when their access is no longer needed, including when their office appointment ends. Whenever otherwise determined that the individual is no longer serving as the SO-IS, their access shall be immediately terminated.

   (c) In the event of a temporary SO-IS vacancy (e.g., due to severe injury/illness or death), the DSO-IS shall identify another qualified IS officer to assume the SO-IS functions until the SO-IS is able to resume their functions or a new SO-IS is trained and appointed. The DSO-IS shall notify the DIRAUX whenever such vacancy occurs and when it is resolved (email acceptable).

(3) District-level.

   (a) AUXDATA EAs are authorized to grant district-level RW access to the DSO-IS as requested and justified by the DCO with concurrence of the DIRAUX. Such access shall be limited in scope to the district and its divisions and flotillas to which the DSO-IS is assigned. No other district elected or appointed officer or other member may be authorized such access except for an ADSO-IS who is identified as the primary DSO-IS replacement described in paragraph 2.c.(3)(b) below. If access to the Security section is requested, that authorization must first be specifically approved by CG-BSX-11. The lead AUXDATA EA shall maintain an up-to-date running record of all DSO-IS and any other members who have district-level RW access.

   (b) All DSO-IS shall identify an ADSO-IS to be ready as their primary replacement in the event of their temporary vacancy (e.g., due to severe injury/illness or death) and advise the DCO and DIRAUX of such. If an ADSO-IS has not been so identified when a vacancy arises, then the DCO shall identify another qualified IS officer to assume the DSO-IS functions until the DSO-IS is able to resume their functions or a new DSO-IS is trained and appointed.

   (c) AUXDATA EAs are authorized to grant district-level RW access to the DIRAUX and their designated staff, including Auxiliarists who augment the DIRAUX staff, as requested and justified by the DIRAUX. Such access shall be limited in scope to the district and its divisions and flotillas to which the staff are assigned. Access to the Security section is authorized.

(d) AUXDATA EAs shall advise the individual to whom access is granted that they must notify the AUXDATA EAs when their access is no longer needed, including when their office appointment or assignment to the DIRAUX office ends. Whenever otherwise determined that an individual is no longer serving as the DSO-IS or assigned to the DIRAUX office, their access shall be immediately terminated.

(4) National-level.

(a) AUXDATA EAs are authorized to grant national level RW access to the CHDIRAUX and their designated staff, including Auxiliarists who augment the CHDIRAUX staff, as requested and justified by CG-BSX-11. If access to the Security section is requested for anyone, authorization must first be specifically granted by CG-BSX-11. No other national elected or appointed officer or other member may be authorized such access.

(b) AUXDATA EAs are authorized to grant national level Security section RW access to Coast Guard Intelligence Coordination Center (ICC) staff designated by the ICC liaison to CG-BSX-1 and as requested and justified by CG-BSX-11. They are also authorized to grant the same access to Coast Guard Security Policy and Management (DCMS-34) staff designated by the DCMS-34 liaison on CG-BSX-1 and as requested and justified by CG-BSX-11.

(c) AUXDATA EAs shall advise the individual to whom access is granted that they must notify the AUXDATA EAs when their access is no longer needed, including when their assignment to the CHDIRAUX staff, ICC, or DCMS-34 ends. Whenever determined that the individual is no longer so assigned, their access shall be immediately terminated.

d. Revocations shall be made in accordance with guidance in paragraph 1 above.

3. Criteria and Procedures for Granting, Maintaining, and Revoking Read-Only (RO) Access to the AUXDATA Production Database

a. Flotilla level.

(1) AUXDATA EAs and DSO-IS are authorized to grant flotilla-level RO access to any flotilla elected or appointed staff officer, except the FC, as requested and justified by the FC or appropriate DCDR, DCO, or DIRAUX (email acceptable). The DSO-IS shall maintain an up-to-date running record of all district FSO-IS who have flotilla-level RO access.

(2) Whomever grants the access shall advise the individual to whom access is granted that they must notify them when their access is no longer needed, including when their office appointment ends.

b. Division level.

    (1) AUXDATA EAs and DSO-IS are authorized to grant division-level RO access to any division elected or appointed staff officer, except the DCDR, as requested and justified by the DCDR or appropriate DCO or DIRAUX (email acceptable). Such access for the DCDR must be similarly requested and justified by the appropriate DCO or DIRAUX. The DSO-IS shall maintain an up-to-date running record of all SO-IS who have division-level RO access.

    (2) Whomever grants the access shall advise the individual to whom access is granted that they must notify them when their access is no longer needed, including when their office appointment ends.

c. District level.

    (1) AUXDATA EAs are authorized to delegate district-level RO access granting authority to the DSO-IS of any district or region. Such delegated authority shall be exercised in accordance with the same guidelines described herein. The lead AUXDATA EA shall maintain an up-to-date running record of all DSO-IS and any other members who have district-level RO access.

    (2) AUXDATA EAs and DSO-IS are authorized to grant district-level RO access to any district elected or appointed staff officer as requested and justified by the DCO or appropriate DIRAUX (email acceptable).

    (3) Whomever grants the access shall advise the individual to whom access is granted that they must notify them when their access is no longer needed, including when their office appointment ends.

d. National level.

    (1) AUXDATA EAs are authorized to grant national-level RO access to any national staff member, as requested and justified by CHDIRAUX, CG-BSX-1, CG-BSX-11, NACO, or VNACO (email acceptable). Similar requests from a DNACO, ANACO, or Directorate Chief (DIR) may be granted for national staff members within their respective national staff elements.   The lead AUXDATA EA shall maintain an up-to-date running record of all members who have national-level RO access.

    (2) AUXDATA EAs are authorized to grant national-level RO access to Coast Guard Uniform Distribution Center (UDC) staff designated by the UDC director and approved by CG-BSX-11.

    (3) AUXDATA EAs shall advise the individual to whom access is granted that they must notify the AUXDATA EA when their access is no longer needed and that such access will otherwise be terminated upon completion of their term of office.

e. Revocations shall be made in accordance with guidance in paragraph 1 above.

4. Criteria and Procedures for Granting, Maintaining, and Revoking Read-Write (RW) Access to the AUXDATA Training Database

a. The AUXDATA training database shall be used solely to practice entering data or to test a procedure where such action will not affect any data in the production database.

b. AUXDATA EAs are authorized to delegate division-level RW access granting authority to AUX-10 C-school instructors designated by the CG-BSX-1 Auxiliary training program manager who shall also advise the appropriate DCO and DIRAUX. Such delegated authority shall be exercised in accordance with the same guidelines described herein and only applied to individuals who are preparing for AUX-10 C-school. AUX-10 C-school instructors may not grant such access without adhering to these same guidelines.

c. AUXDATA EAs are authorized to grant division-level RW access to individuals who have division-level RW access in the production database, as requested and justified by the DSO-IS (email acceptable). The DSO-IS shall maintain an up-to-date running record of all district SO-IS who have division-level RW access.

d. AUXDATA EAs are authorized to grant district-level RW access to individuals who have district-level RW access in the production database and those preparing for district-level RW access (e.g., a new DSO-IS appointed by an incoming DCO whose term is to begin on January 1), as requested and justified by the DSO-IS (email acceptable). The lead AUXDATA EA shall maintain an up-to-date running record of all DSO-IS and any other members who have district-level RW access.

e. AUXDATA EAs are authorized to grant national-level RW access to individuals who have national-level RW access in the production database, as requested and justified by CHDIRAUX, CG-BSX-1, or CG-BSX-11 (email acceptable). The lead AUXDATA EA shall maintain an up-to-date running record of all members who have national-level RW access.

f. Revocations shall be made in accordance with guidance in paragraph 1 above.