



SECCHSINST 16790.3

SECTOR CHARLESTON INSTRUCTION 16790.3

Subj: COAST GUARD AUXILIARY STANDARD OPERATING PROCEDURES (SOP)

Ref: (a) Auxiliary Manual, COMDTINST 16790.1G
(b) U. S. Coast Guard Sector Organization Manual, COMDTINST M5401.6
(c) Auxiliary Operations Policy Manual, COMDTINST M16798.3E
(d) Seventh Coast Guard District Auxiliary Policy Directive AD-02

1. PURPOSE. The purpose of this instruction is to implement the provisions of references (a) through (d) and to promulgate policy as to the utilization and support of the Coast Guard Auxiliary within the Sector Charleston area of responsibility (AOR).
2. ACTION. This instruction provides guidance for Sector Charleston with regards to the roles, responsibilities and most efficient use for the Auxiliary and its members. The Auxiliary is an integral part of "Team Coast Guard" and shall be used to the maximum extent possible as a force multiplier in all authorized areas of response, prevention, planning, training, logistics and administration. This includes using a member's knowledge, experience and training; as well as Auxiliary boat, aircraft and radio facilities to the fullest extent.
3. DIRECTIVES AFFECTED. SECCHSINST 16790.2 is cancelled.
4. BACKGROUND. Originally formed as the Coast Guard volunteer Reserve in 1939, it was renamed the Coast Guard Auxiliary two years later. The Auxiliary serves as a vital component to Coast Guard forces and much like the active duty, Reserve, and civilian counterparts, is included under the general organizational umbrella. The Auxiliary, by statute, is a non-military entity, restricting its members from participating in combat or direct law enforcement. Comprised of over 30,000 members, the Auxiliary is the largest volunteer organization within the Department of Homeland Security (DHS). There are 6,000 members within District Seven and 800 members in the Sector Charleston AOR. Auxiliary membership is open to anyone 17 years of age or older who is able to successfully pass the new member examination and a security investigation.
 - a. The primary Auxiliary mission has traditionally been and remains focused on recreational boating safety; however, the Coast Guard Authorization Act of 1996 expanded the Auxiliary's role to read: "*The purpose of the Auxiliary is to assist the Coast Guard as authorized by the Commandant in performing any Coast Guard function, power, duty, role, mission or operation authorized by law.*" 14 U.S.C. § 822.

- b. Legislation also expanded the Commandant's authority to use the Auxiliary in assisting federal, state and local governmental agencies in areas other than recreational boating safety.
5. PROCEDURE. Within the Sector Charleston AOR, there are 03 divisions and 19 flotillas. Each division is associated with and supports an active duty small boat station, with the exception of Division 2, which supports Sector Charleston in the Georgia Lakes. Boundary lines are established for each Division in reference (d).

(1) STATION GEORGETOWN, SC

- Flotilla 12-2 Myrtle Beach, SC
- Flotilla 12-4 Central Grand Strand, SC
- Flotilla 12-10 Georgetown, SC

(2) STATION CHARLESTON, SC

- Flotilla 12-1 Lake Marion, SC
- Flotilla 12-3 Lake Murray, SC
- Flotilla 12-6 Mt. Pleasant, SC
- Flotilla 12-8 Charleston, SC
- Flotilla 12-12 Edisto, SC

(3) STATION TYBEE ISLAND, GA

- Flotilla 10-1 Beaufort, SC
- Flotilla 10-2 Savannah, GA
- Flotilla 10-11 Hilton Head, SC

(4) STATION BRUNSWICK, GA

- Flotilla 10-10 St. Simon Island, GA

(5) SECTOR CHARLESTON, SC

- Flotilla 2-1 Lake Thurmond, GA
- Flotilla 2-2 Lake Allatoona, GA
- Flotilla 2-3 Lake Chatuge, GA
- Flotilla 2-5 Lake Hartwell, GA
- Flotilla 2-7 Lake Oconee/Lake Sinclair, GA
- Flotilla 2-9 Lake Lanier, GA

- a. Assignments. As described in reference (a), the Auxiliary is comprised of a national staff, district staffs, division staffs and flotillas.

- (1) District Captain (DCAPT): Assists the District Commodore (DCO) and is the DCO's representative within a geographical area. The DCAPT is elected by Division Commanders with the intent of providing supervision and assistance as needed.
- (2) Division Commander (DCDR): Exercises administrative and supervisory responsibility over programs and activities of the division and subordinate flotillas. Division AORs are normally the same as the associated CG station. DCDRs are elected by the Flotilla Commanders within the division AOR.
- (3) Flotilla Commander (FC): Provides leadership and supervision for flotilla members. FCs are responsible for ensuring flotilla activities conform to the policies and procedures of the Auxiliary, the Coast Guard and the chain of command. FCs are elected by the flotilla membership.
- (4) Staff Officers: Appointed by the elected leaders at each organizational level, they are tasked with directing the day-to-day operations within their functional area.
- (5) Auxiliary Sector Coordinator (ASC): An experienced Auxiliarist appointed by the DCO with the concurrence of the Sector Commander and Director of Auxiliary (DIRAUX). The ASC is the primary point of contact for Auxiliary support. The ASC position is similar to that of the Senior Reserve Officer (SRO) and reports to the Sector Chief of Response and Auxiliary Liaison Officer. Functional responsibilities include:
 - Establish/maintain constructive and cooperative relationship between Auxiliary and Sector personnel
 - Monitor performance/capabilities and make recommendations to Sector and Auxiliary leadership for enhanced programs to achieve desired capabilities
 - Coordinate efforts where Auxiliary support is requested by Sector
 - Communicate with Auxiliary chain-of-command to provide/achieve desired support for Sector
 - Act as the initial point of contact for Auxiliary information flow
 - Request additional support from other Auxiliarists to assist in special projects or specific missions with the concurrence of Auxiliary leadership.
- (6) Auxiliary Unit Coordinator (AUC): The AUC is an experienced Auxiliarist appointed by the DCO in consultation with the DIRAUX and the Coast Guard unit CO/OIC to which assigned. The purpose of the AUC is to coordinate operational and administrative Auxiliary support for the associated Coast Guard unit. The AUX works closely with the CG unit and the supporting Auxiliary division.

b. Active Duty.

- (1) Auxiliary Liaison Response (AUXLO-R): Provide support and monitor Auxiliary surface operations, training, funding and administration. The AUXLO-R will have a strong working relationship with the ASC, Sector Chief of Response and small boat station personnel, helping identify specific incidents or target areas where Auxiliarists and their facilities can be used to support special events and incident response.

- (2) Auxiliary Liaison Prevention (AUXLO-P): Provide administrative support, coordinate training and the qualification process for Auxiliary members' assisting with the Marine Safety missions of the Prevention Department.
- (3) AUXDATA Order Management Location Administrator (AOM administrator): Normally assigned to an officer in the Response Department, the AOM administrator facilitates patrol order issuing and reimbursement to Auxiliarists for authorized expenses incurred during patrols conducted under orders generated by the AOM system. The AOM administrator monitors fuel and SAMA budgets, approves reimbursement requests, adds/removes users, assigns permissions and provides technical assistance for Auxiliarists using the system. The AOM administrator may be assisted by Station AUXLO or a designated Auxiliary staff officer.
- (4) Station Officer-in-Charge (OIC): Station OICs' shall utilize Auxiliary personnel and facilities as appropriate (within policy). Available Auxiliary facilities are considered station assets and will be operated in accordance with Auxiliary and station policies. The Station OIC exercises operational control (OPCON) for Auxiliary facilities owned by members of the associated division. The Station OIC's counterpart in the Auxiliary organization is the DCDR or their respective designee.
- (5) Station AUXLO: An active duty member assigned by the Station OIC who shall coordinate Auxiliary support with the local division. This includes operations afloat and ashore, training and administration. The Station AUXLO also reviews and approves proposed underway schedules to ensure patrol efforts are being conducted at the right time(s) in the right area(s).

c. Operations.

- (1) Auxiliary forces are a viable, trusted, security-vetted resource available to Coast Guard Operational Commanders for all Coast Guard missions other than combat and direct law enforcement. The following law enforcement missions may be supported by Auxiliary units as described in Chapter 4, Section E, of reference (c):
 - (a) Employ an operational facility to provide transportation of logistics support to armed Coast Guard personnel enforcing general vessel safety laws (e.g. conducting CG-4100 boardings) where there is a low chance of detecting criminal activities.
 - (b) Employ Auxiliarists as interpreters for boardings when language barriers exist. Auxiliary forces may also support other government agencies (OGA) and the boating public when approved by their order issuing authority (OIA). References (a) and (c) provide policy, procedures and responsibilities for training, utilization and administration of Auxiliarists and facilities.
- (2) Coast Guard and Auxiliary crews shall at all times conduct themselves and operate their facilities in a professional, safe and responsible manner and in accordance with current policies and procedures. Risk versus gain must be considered when

determining an appropriate response to a given situation. Standard Coast Guard risk management systems shall be used on all missions before launching and as situations evolve. All members of a crew must be qualified to perform the duties assigned and wear appropriate personal protective equipment (PPE) while underway.

(a) Security Zone Infractions. Auxiliary crews that encounter unauthorized activity in a security zone shall notify the Sector Command Center (SCC) via the Station Communications Watch immediately. The following information should be passed as soon as possible: (1) vessel location, (2) time, (3) identifying numbers, (4) color(s), (5) persons on board and (6) activity. Once information is relayed, the crew should stand by for guidance from the SCC. Auxiliary crews may inform the public about Federal Security Zones, but may not exercise any law enforcement action.

(b) Special lights and sound devices. No special lights other than the authorized Public Safety Vessel ID Light, described in chapter 4 of reference (c) or towing lights described in Rule 24 of the *Navigation Rules*, may be installed or used by Auxiliary vessels. Use of these lights conveys no special privileges, precedence or right-of-way. Blue lights and sirens shall not be installed or used on Auxiliary vessels. Sound producing devices other than sirens may be used to gain another boater's attention in order to pass information.

(c) Minimum crew. Crew requirements are contained in Chapter 1 of reference (c). OIA stations may modify crew requirements in special instances. Waivers must be in writing or email and issued prior to commencement of the mission. Waivers shall not be issued to allow single-handed operation of an Auxiliary facility under orders.

(d) Guests. In order to carry guests on a patrol, other than a Coast Guard member, the coxswain must obtain permission from the AUXLO at the time orders are requested. Requests for guests will not be granted when the patrol calls in to report getting underway. Guests should be limited to persons with a business reason to be onboard and will be typically limited to prospective members, media persons or OGA partners. Pre-approval is not required for transport of OGA's during unplanned missions or emergency call-outs. Further guidance is provided by reference (c), Chapter 4, Para E.18.

(e) Incident Action Plans and After Action Reports. For major marine events, Sector Charleston or a small boat station will prepare an Incident Action Plan (IAP) which stipulates the mission, location, units, communications and other pertinent information. For these events and others when requested, an After Action Report (AAR) will be submitted. AARs are used to share data and lessons learned that can be used to improve similar future events. Auxiliary divisions should complete and submit AARs to their station or Sector within 21 calendar days of the event. AARs should contain the following sections:

- Event name and location
- Date(s) and time
- General description of event and support provided

- Supporting units, facilities
- Personnel: Name, member number, flotilla, task (coxswain, crew, pilot, watch stander, other support)
- Lessons learned: Events that resulted in either a positive or negative outcome
- Best practices: Innovative or modified practices that resulted in an improved or more effective response and may merit adoption by other units, platforms or commands
- Point of contact

d. Training and Certifications.

(1) Approved methods and procedures for Coast Guard boat operations and Auxiliary vessel facility operations are contained in the Boat Crew Seamanship Manual, COMDTINST M16114.5C. Stations may require additional training and proficiencies for specific areas, situations or missions within their AOR. Policies and procedures for training, qualification and certification of Auxiliary members for patrol duty on Auxiliary vessel facilities are contained in the Auxiliary Boat Crew Training Manual, COMDTINST M16794.51A. Specific tasks that a candidate must satisfactorily perform for certification as coxswain, boat crew or PWC operator are contained in the following instructions:

- Auxiliary Boat Crew Qualification Guide, Volume I, Crew Member
COMDTINST M16794.52A
- Auxiliary Boat Crew Qualification Guide, Volume II, Coxswain
COMDTINST M16794.53A
- Auxiliary Boat Crew Qualification Guide, Volume III, PWC Operator
COMDTINST M16794.54A

Auxiliary coxswains, boat crews and PWC operators must be recertified every three years by a qualified Qualification Examiner (QE). To receive patrol orders in the Sector Charleston AOR, coxswains shall demonstrate proficiency in night navigation by successfully performing task COX-09-04-AUX as part of their initial or triennial QE. Annually, a minimum of four hours of night operations will be required for maintenance and currency requirements. Each Division shall maintain an updated file of their respective coxswains to ensure eligibility. Coast Guard Stations will make every effort to provide available coxswains to support night audits in the event a QE is unavailable. Stations and Auxiliary Divisions (optional) will provide and maintain one qualified QE member to assist in the Auxiliary QE process.

(2) Advanced Training (optional training which is subject to station OIC approval)

(a) Operational Excellence Program. The Coast Guard Auxiliary Operational Excellence (OE) Program provides boat crews the opportunity to demonstrate a higher degree of proficiency than normally expected. The program requires crews to plot, plan and execute a SAR scenario for a person in the water, operate a dewatering pump and use proper marine radio procedures for all activities. Upon successful

completion of the required tasks, each crewmember receives a certificate and the Operational Excellence Ribbon. The coxswain also receives an “E” decal that shall be displayed on their surface facility. Tasks completion should be coordinated through qualified active duty members who will act as proctors for this program. Specific information is contained in COMDTINST 16794.4.

(b) Auxiliary Ready for Operations (AUXRFO). The primary intent of the program is to ensure that Auxiliary crewmembers are able to complete the required practicum with a specific focus on proficiency of duties, as well as Auxiliary facilities having the capability and the required equipment to perform missions in the AOR. The requirements and tasks for AUXRFO are derived from the 25’ Defender Class RB-S drill checklists. Checklists have been modified to eliminate RB-S platform specific items. AUXRFO includes a facility inspection, a written test and underway tasks. These checks, administered by boat stations for Auxiliary crews, provide the station CO/OIC with the opportunity to observe and evaluate the proficiency and capability of their Auxiliary crews and to task them with confidence or identify areas where additional training may be required. Additional information, exams and drill sheets can be found at: <http://www.uscga-district-7.org/operationnews.html>. Including the tasks of OE in AUXRFO would provide crews with extra incentive to demonstrate their proficiency and receive the “E” ribbon and decal.

(c) County Emergency Operations Center Liaison Officers (EOC LNO). Natural disasters or other incidents requiring coordinated preparation and response may require placement of liaison officers (LNO) at county Emergency Operations Centers (EOC). The LNO represents the Coast Guard, Sector, and local station at the EOC. Active duty, Reserve and Auxiliary personnel may be assigned by the Sector Commander as a LNO to a specific county EOC. Designation as EOC LNO shall be in writing by the Sector Commander. Prerequisites, initial and recurring training requirements and designation procedures are contained in Seventh District Instruction 3025.1, Incident Management Liaison Program. Within Sector Charleston, the Chief of Planning administers this program.

- (3) The Marine Safety Insignia (Trident) Program is structured to develop and provide requisite training and qualifications for interested Auxiliary members that are directly engaged in supporting marine safety and environmental protection programs. The goal of the Trident Program is to develop a trained cadre of fully qualified Auxiliarists that can readily serve as a force multiplier during normal and surge operations in the Marine Safety mission fields. The program establishes minimum education, training and service requirements to be completed before authorized wear of the Auxiliary trident device is approved.

(a) Marine Safety Insignia Requirements. The Auxiliary Marine Safety insignia was created pursuant to establishment of the Coast Guard Marine Safety insignia. It recognizes the culmination of Auxiliary training and qualification in a Coast Guard “needs-based” program. This means that the types of program disciplines Auxiliarists may pursue will hinge upon the needs of the cognizant Sector Command (e.g., an

Auxiliarist should not expect to pursue completion of the Assistant Facility Inspector Personal Qualification Standard (PQS) if the Sector command does not have a need for Auxiliary personnel to be qualified). The Sector Command, working through the ASC and appropriate Auxiliary Unit Coordinators (AUCs), shall keep local Auxiliary units apprised of its Marine Safety program needs. The Auxiliary Marine Safety insignia is similar in appearance to the Coast Guard Marine Safety insignia with an additional blue Coast Guard Auxiliary shield with crossed anchors in the center of the device centered above the trident. Development of Auxiliary specific Personal Qualification Standards (PQS) include, but are not limited to, the areas of service described in reference (a) of this instruction. PQS workbooks may be downloaded from the Auxiliary National web site at: <http://www.auxetrain.org/tridenttext.html>

(b) Requirements. Auxiliarists who successfully complete the following tasks are entitled to wear the Auxiliary Marine Safety insignia (there is no time limit in which these tasks must be completed).

- Introduction to Marine Safety and Environmental Protection (IMSEP) course
- Good Mate course
- Incident Command System (ICS) courses 100/ 200/ 700/ 800
- ICS course 210 (Coast Guard taught) or ISC 300 (FEMA taught)
- Complete at least four Auxiliary Marine Safety PQS qualifications
- Perform at least 96 hours of program activity per year for at least five years (years do not have to be consecutive)

(c) Conditional Award Status. An Auxiliarist reaches conditional award status when all requirements for a permanent award is met, with the exception of having completed five (5) approved years of service of 96 hours each year. Auxiliarists considered for a conditional award should have performed, and are continuing to perform, significant services in support of marine safety programs. The conditional award would provide recognition for these Auxiliarists by allowing them to wear the device while completing the remaining permanent award requirements. As with permanent award, conditional award requires a recommendation by the Sector Commander. The conditional award insignia sew-on version may not be worn on ODU's.

(d) Conditional Award Consideration. In order for a member to be considered for a conditional award, they shall have completed the following requirements:

- A member shall be actively and continuously engaged in support of Marine safety missions
- A member shall have successfully completed all required courses of study
- A member shall hold four (4) Letters of Designation for approved Auxiliary or active duty PQSs at the time of application for conditional award
- A member shall be actively and continuously engaged in the completion of the remaining requirement for permanent entitlement. "Actively and

continuously engaged” is defined as recording not less than 96 hours per year in the performance of marine safety activities, using the skills of the designated marine safety qualifications, each calendar year until the requirements for permanent entitlement are met.

(e) Requirement/Failure. Should a member fail to be actively and continuously engaged until all requirements have been met for permanent entitlement, the Sector Commander shall vacate the conditional award, collect the Trident device and forward the same to the Director, along with a letter of explanation. In the event that a conditional award is vacated, the member must comply with all requirements for the permanent award of the Trident device before being authorized to wear it again.

(f) Conditional Award Application. Application for the conditional award shall be made by the Auxiliarist and be accompanied by a letter of recommendation from the Sector Commander for which he/she provides his/her services. The application with the letter of recommendation and all required documentation shall be sent to the members’ DSO-MS for review and endorsement and, if determined to be complete, shall be forwarded to the Auxiliarist’s Director for approval and entry into AUXDATA as a conditional award. Upon approval by the Director of this conditional award entitlement, the Director shall issue the conditional award certificate and the device to the Auxiliarist at an appropriate ceremony.

e. Orders and Reimbursements for Auxiliarists.

(1) Auxiliarists often expend significant amounts of personal resources to provide support for Coast Guard missions and activities. It is incumbent upon each order issuing authority to seriously consider its capacity to reimburse Auxiliarists for travel and other authorized expenses. If not full reimbursement, at least to the extent unit resources allow. To avoid misunderstandings, order issuing authorities should clearly explain reimbursement policy, procedures and expectations at the outset of support coordination. Specific guidance on order issuing can be found in Federal Travel Regulations and reference (a), Chapter 9.

(2) Coast Guard Funded TAD Orders. CG funded travel orders are issued to Auxiliarists on a CG-4251 form. The expenses for which the traveler will be reimbursed are stipulated in the order. Any questions concerning reimbursement should be resolved prior to travel. For local travel reimbursement, a CG-1164 form is normally used.

(3) Non-Reimbursable Orders. Non-reimbursable orders should be issued for Auxiliarists who perform duties for the Coast Guard at sector and stations. These orders place Auxiliarists in official duty status and provide liability coverage while “on duty” and traveling to and from the place of duty. These orders should also authorize partial rations so they may eat at Coast Guard Dining Facilities without paying for meals. A copy of the orders should be provided to the dining facility’s Food Services Officer (FSO).

(4) Patrol Orders. Orders for movement of Auxiliary air, surface and mobile radio facilities are generated and liquidated using the AUXDATA Order Management (AOM) System. Following an authorized patrol, Auxiliarists submit a reimbursement claim to the Sector AOM administrator who approves the claim and forwards it to FINCEN for payment.

f. Auxiliary Personnel Security. Numerous organizational and procedural changes were instituted following the events of September 11, 2001. These changes included a heightened security for information, systems, workforce and facilities. Along with these changes, Auxiliary volunteers were increasingly relied upon to fill specific billets that required access to sensitive information/systems and to act as trusted agents of the Coast Guard. In 2003, the Commandant mandated that all Auxiliarists undergo a Personnel Security Investigation (PSI) as a requirement for continued or new membership. There are three types of PSIs:

- Operational Support (OS) – Applicable for membership and most activities
- Direct Informational (DI) – Applicable for those who require access to Coast Guard standard workstations (SWS) and associated networks
- Direct Operational (DO) – Applicable for mission sensitive activities that require an Auxiliarist to be security clearance ready

(1) Submission of applicable forms for OS status is part of the membership application process.

(2) Members who support activities requiring DI or DO status or a security clearance shall make a request through their Director's Divisional Security Liaison (DDSL) to the appropriate Command Security Officer (CSO). Within Sector Charleston, Auxiliary air program applicants submit request to Air Station Savannah CSO. All others should be submitted to the Sector Charleston CSO. Designated personnel security (PERSEC) clerks will contact the member to initiate access to the Electronic Questionnaires for Investigations Processing (eQUIP) gateway and provide information concerning other forms and requirements for submission to SECCEN.

(3) Additional information can be found in reference (a) Chapter 3: Personnel Security and Suitability Program COMDTINST M5520.12C, Chapter 7.

g. Awards. Recognition of an Auxiliary member's service and accomplishments through appropriate and timely awards is essential to the success of the organization. Recognition by unit COs, XO's and other Coast Guard leaders is highly encouraged. Any Active Duty, Reserve, or Auxiliary member may initiate an award.

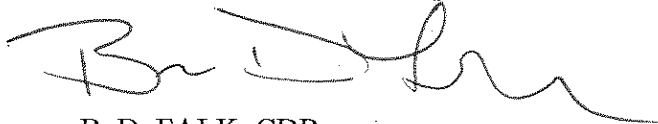
(1) Award criteria for Auxiliary members are contained in reference (a), Chapter 11. Additionally, Auxiliarists may receive and wear the following Coast Guard awards: CG Presidential Unit Citation, CG Unit Commendation, CG Meritorious Unit Commendation, CG Meritorious Team Commendation, Special Operations Service Ribbon and awards for completing recruiting requirements.

(2) Auxiliary award recommendations shall be prepared in accordance with the correct procedures and formatting contained in the Coast Guard Auxiliary Awards Primer, available through the Sector AUXLO. Awards initiated by an Active Duty or Reserve member shall be routed through Sector Charleston in the same manner as any other award. Awards initiated by Auxiliary members are routed in accordance with the Auxiliary District Seven Standing Rules, Annex A. Commander, Sector Charleston, is the approving authority for awards below the level of the Auxiliary Meritorious Service Medal (AMSM).

(3) Award recommendations should be received at Sector Charleston at least 60 days prior to the anticipated presentation date. Awards for an AMSM and above will be forwarded to the awards board at District. Additional information and examples of award recommendations can be found on the Auxiliary Chief Director's website at <http://www.uscg.mil/auxiliary/awards/awards.asp>.

h. Auxiliary Food Service Program (AUXFS). The AUXFS program provides trained and medically screened Auxiliarists for food services support in Coast Guard galleys ashore and afloat and for deployment in support of Coast Guard or other government agency (OGA) operations. Units in need of FS support should contact the Auxiliary Sector Coordinator.

i. Meeting, Training and Event Requests. Requests to host Auxiliary meetings, training or events on Coast Guard facilities should be sent through the Sector AUXLO to the Sector Logistics Officer. An Auxiliary Event/Class Request Form and Checklist should be completed and submitted a minimum of 30 days prior to the requested event date.



B. D. FALK, CDR
Acting Commander, Sector Charleston