



**United States Coast Guard**  
U.S. Department of Homeland Security

01 JUL 2021  
FM: CHDIRAUX  
TO: ALAUX  
ALAUX 025/21

Subj: CHANGE TO THE COAST GUARD AUXILIARY OPERATIONAL SUPPORT  
PERSONNEL SECURITY INVESTIGATION (OS PSI) POLICY

1. The below ALCOAST COMDT NOTICE (CAN 063/21) announces an update to the Auxiliary Manual (COMDTINST M16790.1G) that formalizes the current initial and annual OS PSI background check processes which are already in place.
2. If you have any questions or comments, please address them within your Chain of Leadership and Management (COLM) prior to reaching out to your servicing District Director of Auxiliary (DIRAUX) office.

Respectfully,  
Captain Troy P. Glendye, U.S. Coast Guard  
Chief Director of Auxiliary (CG-BSX)

---

R 281541Z JUN 21  
FM COMDT COGARD WASHINGTON DC  
TO ALCOAST COMDT NOTICE  
BT  
UNCLAS  
ACN 063/21  
SSIC 16790

SUBJ: CHANGE TO THE COAST GUARD AUXILIARY OPERATIONAL SUPPORT  
PERSONNEL SECURITY INVESTIGATION (OS PSI) POLICY

A. Auxiliary Manual, COMDTINST M16790.1G

1. Purpose. This ACN announces an update to REF (A) to formalize the initial and annual OS PSI background check processes needed to enroll and maintain membership in the Auxiliary. This update reflects current Auxiliary enrollment and annual background check policy as developed by the Office of Security Policy and Management (CG-DCMS-34) and the Office of Auxiliary and Boating Safety (CG-BSX).
2. Background. Newly enrolled Auxiliarists started undergoing OS PSI background checks based on a Special Agreement Check (SAC) in 2003. The SAC process proved unnecessarily long and prevented newly enrolled Auxiliarists from quickly and fully integrating into Auxiliary service. COMDT (CG-DCMS-34) in conjunction with COMDT

(CG-BSX) identified a more efficient and timely OS PSI process by adopting the Federal Bureau of Investigation (FBI) National Crime Information Center Interstate Identification Index (NCIC-III) check as the vetting standard. This process provides proper background checks for Auxiliarists to enroll, serve, and access Coast Guard facilities without undue delay.

3. Policy. The following changes to REF (A) are in immediate effect:

a. Section 3.C.2. Types and Durations of Personnel Security Investigations (PSI): There are three types of Auxiliary PSIs:

(1) Operational Support (OS). Applicable for entry level membership and most activities. Must be completed with a Favorable determination prior to enrollment or re-enrollment, regardless if the applicant possesses a current Favorable PSI from any federal agency, as well as on an annual basis thereafter.

(2) Direct Informational (DI). Applicable for Auxiliarists who require logical access to Coast Guard Standard Work Stations (SWS) and/or networks (i.e., the dot mil domain) due to the nature of the support that they provide to a Coast Guard unit.

(3) Direct Operational (DO). Applicable for more advanced and mission sensitive activities that require an Auxiliarist to hold a security clearance or be security clearance-ready.

Favorable OS, DI, and DO PSI determinations reflect an individual's suitability for different types of service in the Auxiliary as defined in sections C.2.a, C.2.b, and C.2.c of this chapter. At a minimum, applicants for enrollment and re-enrollment must submit to and undergo an OS PSI which is a Federal Bureau of Investigation (FBI) National Crime Information Center Interstate Identification Index (NCIC-III) check. Appropriate paperwork to properly conduct the OS PSI must be included as part of any enrollment and re-enrollment package submission. A DI PSI package requires submission of fingerprints in addition to an SF-85 (Questionnaire for Non-Sensitive Positions) package to complete its Tier 1-level PSI (i.e. old National Agency Check and Inquiries (NACI)). A DO PSI package requires submission of fingerprints in addition to an SF-86 (Questionnaire for National Security Positions) to complete its Tier 3-level PSI (i.e. old National Agency Check with Law and Credit (NACL)).

If an applicant or member has undergone a previous DI or DO PSI performed by a federal agency, is still within its effective period, and can provide appropriate source documentation, then the applicant or member must include a copy of such documentation for Coast Guard Security Center (SECCEN) validation in lieu of standard PSI documents in order to avoid having to undergo an entirely new DI or DO PSI process.

Favorable DI and DO PSI determinations reflect readiness for the granting of more extensive access within Coast Guard information systems and to classified information, respectively. Favorable DI and DO PSI determinations do not have an expiration date unless the Auxiliarist is granted a security clearance in which case applicable security clearance renewal and associated PSI update requirements apply. An Auxiliarist with a Favorable DI or DO PSI may otherwise retain that PSI status indefinitely without further review unless otherwise directed by the Coast Guard. Auxiliarists with a Favorable DI or a DO PSI must still participate in the annual NCIC-III check.

b. Section 3.C.2.a. Operational Support (OS): Operational Support (OS) is defined as all Auxiliarists who are not designated as Direct Informational (DI) or Direct Operational (DO) in terms of a PSI. The FBI NCIC-III check is the vetting standard for all new enrollees, re-

enrollees, and subsequent annual Auxiliary OS PSI background checks. A Director or Coast Guard command may also authorize the conduct of an OS PSI as part of a disciplinary investigation or as precursor to potential disciplinary investigation. The NCIC-III check will:

(1) Identify criminal convictions or other issues that would result in an Unfavorable (UNFAV) PSI determination.

(2) Conduct a wants/warrants check.

(3) Conduct a sex offender check.

(4) Look at the Terrorist Watch List.

(5) Conduct a Foreign Fugitive File Check.

(6) Assist DIRAUX offices in determining suitability for Auxiliary Service and physical access to Coast Guard facilities and installations. (Note: Suitability determinations are based off of the results of the NCIC-III check. Results from the check will be compared to the "Criteria for Denying Unescorted Access" document found on the CG-DCMS-341 Coast Guard Portal page which is classified as For Official Use Only (FOUO).)

Essential elements of an OS PSI are: the Auxiliary Enrollment Application (ANSC 7001) with Full Name (first, middle, and last), Social Security Number, Date of Birth; a signed consent to release information for the purpose of a background check (NCIC-III Check); and acceptable form(s) for proof of identity and proof of U.S. citizenship as per page 4 (Lists of Acceptable Documents) of the USCIS Form I-9, Employment Eligibility Verification, Department of Homeland Security, U.S. Citizenship and Immigration Services.

c. Section 3.C.2.a.(1). Verification of U.S. Citizenship: The only Auxiliarists who may verify an applicant's status as a national of the United States are those who have qualified as an Auxiliary Fingerprint Technician (FT) or Citizenship Verifier (CV). Such verification may also be performed by Coast Guard or federal, state, or local law enforcement personnel who are authorized to perform such functions. Such verification must be noted in the appropriate section of the Auxiliary Enrollment Application (ANSC 7001).

An Auxiliarist must have at least a Favorable OS PSI in order to qualify as a Fingerprint Technician (FT) or Citizenship Verifier (CV). Qualification is based on successful completion of the FT/CV training programs available through the Auxiliary Human Resources Directorate web site at:

(Copy and Paste Below URL into Browser)

<http://www.uscgaux.info/content.php?unit=H-DEPT&category=resource-toolkit>

The CV qualification is a sub-element of the FT qualification. There is no FT or CV currency maintenance requirement once qualified.

d. Section 3.C.2.a.(2). OS PSI Results: Results of the OS PSI process will be entered into AUXDATA II by DIRAUX personnel. Visibility will normally be limited to DHS, USCG, and the federal Office of Personnel Management (OPM) on a need-to-know basis only. However, all information is eligible for official sharing to other federal agencies for official purposes on a need-to-know basis. Auxiliarists shall only know that the results were FAV or UNFAV. No specific or personal data shall be disclosed to other Auxiliarists.

4. These changes will be incorporated into the next revision of REF (A), which will be released within the next year.

5. This message will be canceled on 28 JUN 2022.

6. POC: General policy questions may be directed to COMDT (CG-BSX-1), at:

[USCGAUX@uscg.mil](mailto:USCGAUX@uscg.mil).

7. Released by RDML J. W. Mauger, Assistant Commandant for Prevention Policy (CG-5P).

8. Internet release is authorized.

---

\*\*\*For many reasons including the value of keeping communication lines clear and open as well as facilitating access to training and educational tools, all Auxiliarists are urged to have their own email address and to keep it updated in AUXDATA.\*\*\*

---

\*All ALAUX's are posted on the Chief Director of Auxiliary web site located at: [CHDIRAUX ALAUX](#)

---

If you have a question regarding this ALAUX, please seek resolution within your Chain of Leadership and Management (COLM) including up to your servicing District Director of Auxiliary (DIRAUX). If your question still cannot be resolved after that, then please email [CGAUX@uscg.mil](mailto:CGAUX@uscg.mil).