



16790 / AUX-PL-001(A)
BSX Policy Letter 19-01
February 1, 2019

From: S. L. JOHNSON, CAPT
COMDT (CG-BSX)

To: All DIRAUX (dpa)
All Auxiliary (AL AUX)

Subj: RISK MANAGEMENT TRAINING REQUIREMENTS FOR THE COAST GUARD
AUXILIARY

Ref: (a) Risk Management, COMDTINST 3500.3A
(b) Auxiliary Aviation Training Manual, COMDTINST M16798.5B (series)
(c) Auxiliary Manual, COMDTINST M16790.1 (series)
(d) Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series)
(e) Auxiliary Boat Crew Training Manual, COMDTINST M16794.15 (series)
(f) ALAUX 10/13 – Team Coordination Training (TCT)

1. PURPOSE. This policy letter defines Risk Management (RM) training requirements for specified Auxiliary competencies and staff officer positions in accordance with references (a) through (f).

2. ACTION. All Auxiliarists, District Directors of Auxiliary (DIRAUX), and order issuing authorities (OIA) must comply with the provisions in this Policy Letter. Internet release is authorized

3. DIRECTIVES AFFECTED. These training requirements will be incorporated into the next revisions of references (b) through (e). Reference (f) is cancelled.

4. BACKGROUND. Reference (a) was signed by the Assistant Commandant for Capability on 06 March 2018. This new Commandant instruction establishes updated RM training requirements for all Coast Guard personnel and details updated RM tools and processes. The following directives were cancelled: Operational Risk Management, COMDTINST 3500.3, Team Coordination Training, COMDTINST 1541.1, and Crew Endurance Management, COMDTINST 3500.2.

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

6. MAJOR CHANGES: Major changes to RM training for the Auxiliary are summarized below:

- a) Expands the RM training requirements for additional competencies and select appointed/elected positions.
- b) Changes the initial TCT requirement course to the 90 minute Introduction to Risk Management Course (100202) which is available on the Auxiliary Learning Management System (AUXLMS).
- c) Standardizes the recurrent RM training frequency for affected competencies.
- d) Designates AUX Crew Resource Mgt/ORM (AUX-17) as the initial Crew Resource Management (CRM) course for Auxiliary aviation personnel which must be completed **prior** to designation in any flight crew position, and then every five years thereafter.
- e) Stipulates that the AUXAIR Spatial Disorientation/CRM (AUX-18) course must be completed **prior** to designation in any pilot position and must be completed every five years thereafter.

7. TRAINING REQUIREMENTS. In collaboration with Auxiliary Leadership, the Offices of Safety and Environmental Health (CG-113), Boat Forces (CG-731) and Shore Forces (CG-741), the Office of Auxiliary & Boating Safety (CG-BSX) has established the following RM training requirements for members of the Auxiliary. The following are instituted immediately:

- a) RM/TCT Initial. The Introduction to Risk Management course (100202) is the initial RM/TCT requirement. This course is required for all elected positions and for select appointed positions and competencies listed in Enclosure (1). This course is available on AUXLMS. For those who may have difficulty accessing AUXLMS, the course can be taken in a classroom setting so long as the course is viewed in its entirety.
 - (1) Elected Positions: The course must be completed prior to a nomination or notice of intent to run for any elected position.
 - (2) Appointed Positions: The course must be completed prior to starting an appointed position.
 - (3) Competencies: The courses must be completed prior to becoming certified for a listed competency. In effect, these courses become required tasks for all listed competencies.
 - (4) All affected incumbent elected/appointed personnel and anyone currently certified in a competency listed in Enclosure (1) must complete the Introduction to Risk Management course by 30 April 2019.
- b) TCT Refresher. This course is required for specified competencies listed in Enclosure (1). It must be completed as soon as possible after completion of the Introduction to Risk Management course and then annually, no later than the end of the 15th month following initial TCT or subsequent TCT Refresher training. Auxiliarists needing a TCT Refresher session may work with their OIA, AUXLO, and/or DIRAUX/OTO to request TCT Refresher training using their district's process. Directors may grant waivers of TCT Refresher requirements if a lack of training availability will prevent a member from

maintaining qualification. In such cases, the TCT Refresher must be completed as soon as possible.

- c) CRM Initial. AUX Crew Resource Management (AUX-17) Course Code 501573. This course is the initial CRM training specified in references (a) and (b). All Auxiliary pilots, air crew, and observers must attend this C-school **prior** to certification in any Auxiliary aviation position. It must then be taken on a recurring basis with an interval not to exceed five calendar years. Auxiliarists who attended this course prior to January 1, 2017 have until the end of calendar year 2022 to complete their first recurrent attendance. Currently certified members who have never completed the course will have until 31 December 2019 to complete the course. Non-aviation Coast Guard and Auxiliary personnel who routinely use aviation assets to conduct missions are strongly encouraged to seek CRM training opportunities.
- d) CRM Refresher. Must be completed annually, no later than the end of the 15th month following AUX-17 or subsequent CRM Refresher training. Must be completed by all pilots, air crew, and observers during the annual unit safety fly-in or other regional training event.
- e) AUXAIR Spatial Disorientation/CRM (AUX-18). Spatial Disorientation/CRM (AUX-18) Course Code 501574: All Auxiliary pilots must attend a course on spatial disorientation and flight physiology on an initial and recurring basis. Initial attendance is required at the C-school provided by the FAA Civil Aerospace Medical Institute (CAMI) **prior** to certification in any Auxiliary pilot position. It must then be taken either at CAMI or at a commercially provided, Auxiliary-approved vendor on a recurring basis with an interval not to exceed five calendar years. Auxiliarists who attended this course prior to January 1, 2017 have until the end of calendar year 2022 to complete their first recurrent attendance. Currently certified pilots who have never completed this course will have until 31 December 2019 to complete the course.
- f) Required Yearly Not Met (REYR) Status: All Auxiliarists who are required to take an initial and/or recurring risk management course must complete the course(s) or be placed in REYR Status for applicable competencies and/or positions. In addition, Auxiliarists shall neither request nor accept orders if these specific courses have not been completed.
- g) AUXDATA Tracking. Introduction to Risk Management, TCT Refresher, CRM Initial and CRM Refresher will be added as required tasks in AUXDATA for all competencies listed in Enclosure (1) as applicable and will eventually be added to AUXDATA eligibility algorithms for all elected positions which require the training. Completion of the Introduction to Risk Management course in AUXLMS will be automatically logged in the member's AUXDATA training record. Completion of AUX-17 and AUX-18 will be entered into AUXDATA using the current process. TCT Refresher and CRM Refresher, instructors/facilitators must send class attendance rosters to the respective IS officers for

entry into AUXDATA. Course names and short titles for AUXDATA are listed in enclosure (2).

- h) Instructor/Facilitator Requirements. The following are the requirements to be able to teach/facilitate initial and refresher RM training sessions.
- (1) TCT Refresher. Must be delivered by a certified CG TCT Facilitator (AUXDATA Competency TCTFAC) or certified unit senior supervisory personnel per reference (a), section 14.d.2.c and 14.d.3. Members certified as Auxiliary TCT Facilitators (AUXDATA Competency TCTAUX) cannot currently deliver/facilitate the TCT Refresher per reference (a)¹.
 - (2) CRM Initial. Only those instructors who have completed the Auxiliary CRM Initial training syllabus and are currently qualified by ATC Mobile to teach the course are authorized to teach CRM Initial (AUX-17) to Auxiliary personnel.
 - (3) CRM Refresher. Only those instructors who are currently qualified by ATC Mobile and have attended the Aviation Safety Standardization Course (500609) in conjunction with the Aux District Flight Safety course (AUX-14) within the previous two years are authorized to teach CRM Refresher to Auxiliary personnel.
- i) All Coast Guard operations and activities expose personnel and equipment to some level of risk. Auxiliarists who do not hold a position or competency listed in Enclosure (1) are not required to complete risk management training, but they may complete these courses for the purpose of building and fostering a culture of safety and professionalism.

8. QUESTIONS. Questions concerning this policy letter should be directed to the Office of Auxiliary and Boating Safety, Auxiliary Division COMDT (CG-BSX-1) at CGAUX@uscg.mil. This policy letter and other policy documents are posted on the CG Auxiliary website at: <http://wow.uscgaux.info/content.php?unit=T-DEPT&category=risk-mgt>

9. REQUEST FOR CHANGES. 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. AVE SE, WASHINGTON DC 20593-7501.

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Enclosure: (1) Risk Management Training Requirements List
(2) AUXDATA Course names and short titles

¹ CG-BSX is working with CG-113 and a team of Auxiliarists to develop the process to allow qualified Auxiliarists to deliver the TCT Refresher.

Risk Management Training Requirements List

Competency Based Training Requirements

1. Introduction to Risk Management Course ONLY

Auxiliary Food Service Specialist	Auxiliary Public Affairs Specialist (All Levels)
Certified CPR Provider	Certified EMT
Certified First Aid Provider	Certified Paramedic
Interpreter	Auxiliary Build (AUXBUILD) Program
Vessel Examiner	Instructor

2. TCT Initial (Introduction to Risk Management course) and TCT Refresher

Boat Crew Coxswain	Boat Crew Crewmember
Personal Watercraft Operator	Personal Watercraft Operator (In Training)
AUXPAD Operator	AUXPAD Sit on Top Operator
Qualification Examiner	AUXPAD Qualification Examiner
Aid to Navigation Technician	Aid to Navigation Verifier –PQS
Telecommunications Operator	Watchstander
Assistant Container Inspector	Assistant Facilities Inspector
Assistant Life Raft Inspector	Assistant Pollution Investigator
Assistant Pollution Response Specialist	Assistant Port State Control Examiner
Aux Assistant Barge Inspector	Aux Assistant Foreign Freight Vessel Examiner
Aux Assistant Foreign Passenger Vessel Examiner	Aux Assistant Hull Inspector
Aux Assistant Machinery Inspector (Steam)	Aux Assistant Marine Casualty Investigator
Aux Assistant Maritime Enforcement Investigator	Aux Assistant T-Boat Inspector
Uninspected Passenger Vessel Examiner	Commercial Fishing Vessel Examiner
Uninspected Towing Vessel Examiner	

3. CRM Initial (AUX-17) and CRM Refresher

Instructor Pilot/Flight Examiner	Aircraft Commander
Air First Pilot	Air Co-Pilot
Air Crew	Air Observer

4. Spatial Disorientation (AUX-18)

Instructor Pilot/Flight Examiner	Aircraft Commander
Air First Pilot	Air Co-Pilot

Position Based Training Requirements (Introduction to Risk Management course ONLY)

1. All Elected Positions

2. Appointed Positions National:

DNACO ITP	All Response Directorate (R) Appointees
All NACO/VNACO/DNACO Executive Assistants (EA)	All Incident Management & Preparedness (Q) Appointees
All ANACOs	All International Affairs (I) Appointees
All Deputy ANACOs	All Prevention (P) Appointees
All Directors	All Public Affairs (A) Appointees
All Deputy Directors	All Training (T) Appointees

3. Appointed Positions – Flotilla, Division, and District:

Aviation (AV)	Operations (OP)
Communications (CM)	Member Training (MT)
Flight Safety Officer (DFSO)	Navigation Systems (NS)
Marine Safety and Environmental Protection (MS)	Marketing and Public Affairs (PA)
District Directors of Response	District Directors of Prevention
District Directors of Logistics	Auxiliary Sector Coordinators
Auxiliary Unit Coordinators	

AUXDATA Course Names and Short Titles

Short Title	Task Description	Category	Training Type	Frequency
RM-INTRO	Introduction to Risk Management Course (100202)	General	Currency Maintenance Tasks	Permanent
TCT-REFRESH	Annual TCT Refresher	General	Currency Maintenance Tasks	Annual, not to exceed 15 months from previous training
AUX-17	Aux Crew Resource Mgt/ORM	AIR-MP	Currency Maintenance Tasks	Every 5 years
CRM-REFRESH	Annual CRM Refresher	AIR-MP	Currency Maintenance Tasks	Annual, not exceed 15 months from previous training.
AUX-18	Spatial Disorientation/CRM	AIR-MP	Currency Maintenance Tasks	Every 5 years