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## Chapter 3 Membership

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**Introduction** This chapter describes the eligibility requirements, privileges, and conduct requirements for Auxiliarists.

**In this Chapter** This chapter contains the following sections:

Section	Title	See Page
A	Eligibility	3-3
B	Enrollment	3-9
C	Auxiliary Personnel Security Program	3-13
D	Membership Accession	3-23
E	Transfers	3-35
F	Auxiliary Administrative Discipline	3-39
G	Informal Disciplinary Action	3-45
H	Formal Disciplinary Action	3-49
I	Temporary Suspensions	3-57
J	Appeals of Disciplinary and PSI Actions	3-61
K	Information Retention and Handling	3-65

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## Section A. Eligibility

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**Introduction** The Auxiliary is an organization of uniformed volunteers. Pursuant to provisions of this chapter, membership is open to any citizen of the U.S. and its territories and possessions who is seventeen years of age or older. Membership is predicated on successful completion of the Auxiliary enrollment application (including the passing of the New Member Exam), and receipt of a favorable (FAV) Personnel Security Investigation (PSI) in accordance with the Personnel Security and Suitability Program Manual, COMDTINST M5520.12 (series), and paragraph C.3 of this chapter.

Individuals who hold dual citizenship with the U.S. and another country may become members of the Auxiliary. Such individuals whose other country of citizenship is one of those specifically identified in Table 2.C of the Personnel Security and Suitability Program Manual, COMDTINST M5520.12 (series), will not be authorized to pursue a Direct Informational (DI) or Direct Operational (DO) PSI nor any of its associated activities. Similarly, an Auxiliarist who holds dual citizenship and who pursues a DI or DO PSI must clearly indicate in their DI or DO PSI package the willingness to renounce their other country's citizenship if circumstances dictate. Failure to so indicate will be recognized by the Director as sufficient grounds to immediately terminate the DI or DO PSI process.

Auxiliary membership is open to all U.S. citizens, or those of dual citizenship as described above, who are current military active duty or Reserve personnel, or veterans of these services who were discharged under honorable conditions (see section 3.A.6 of this Manual).

Facility (vessel, aircraft, or radio station) ownership and special skills are desirable, but not mandatory for membership.

### **A.1. Facility Definition**

A facility is a privately owned boat, yacht, personal watercraft, aircraft, fixed land, or land mobile radio station, at least 25 percent of which is owned by the Auxiliarist. Under certain conditions, the Director may grant a waiver for corporate or government owned facilities. All surface facilities, however, must meet the requirements stated for vessels in the Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series); the Vessel Examiner Manual, COMDTINST M16796.2 (series); and local requirements established by the District Commander. For aircraft or radio facilities, the requirements are in the Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series). To become a facility it must meet applicable requirements, be offered for use, and be accepted by the Director.

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Auxiliarists may offer their Personally Operated Vehicles (POV) for use if they anticipate having to tow government property. Such offers for use shall be made to ensure appropriate liability coverage can be provided by the Coast Guard while the POV is operated by an Auxiliarist who requires the vehicle pursuant to their assignment to duty. Such offers and acceptances will not constitute facility status for the POV. Additional guidance can be found in section 5.J of this Manual.

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### **A.2. Special Skills**

An Auxiliarist's special skills and experience can rapidly enhance a flotilla's ability to carry out Auxiliary programs. Examples of such include licensed aircraft pilots, those with foreign language skills (Interpreter Corps), health care professionals (Coast Guard Auxiliarists Participation in Coast Guard Health Care Activities, COMDTINST 6010.2 (series)), radio operators, professional mariners, and educators. Other such skills and experience include computer technicians or data processors, desktop publishing, fingerprinting experience, past and current military service, and membership in other safe boating organizations like the U.S. Power Squadrons (USPS).

Flotillas will make all due effort to ensure such information is obtained during enrollment of new Auxiliarists. Additionally, they shall ensure that it is forwarded to appropriate Auxiliary Unit Coordinators (AUC) and Auxiliary Sector Coordinators (ASC) for their awareness and use in support of local Coast Guard units.

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### **A.3. Residence Requirements**

An Auxiliarist may join any flotilla of their choice regardless of geographic location and/or boundaries. Appendix C specifies elected office eligibility criteria, including membership in an appropriate Auxiliary unit depending upon the elected office sought by a nominee. Although not required in some cases pursuant to this section, nominees are highly encouraged to live within or near the geographic location and/or boundaries of the Auxiliary unit to which they seek election.

Regardless of geographic location, all assignments to duty will be in accordance with the Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series).

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### **A.4. Criminal Convictions, Behavior, and Waivers**

The following provisions guide the consideration of different types of criminal records and behaviors of individuals who seek enrollment in the Auxiliary.

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A.4.a. Felony Convictions	<p>Application for Auxiliary membership should be denied by the Director if the applicant indicates any conviction, particularly those related to drug possession or use (including trafficking, trading, selling), sexual deviation, or aggravated assault, as set forth in the Coast Guard Recruiting Manual, COMDTINST M1100.2 (series). Paragraph A.4.e below provides additional details. Such denial shall be regarded as final. However, the Director may forward an application to the Coast Guard Security Center (SECCEN) for normal PSI processing with a recommendation to waive the felony conviction as a reason for an unsuitable for service determination if the Director determines that reasonable circumstances exist for such waiver consistent with provisions of the Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).</p>
A.4.b. Major Misdemeanor	<p>Application for Auxiliary membership should be denied by the Director if the applicant indicates any major misdemeanor conviction related to drug possession or use (including trafficking, trading, selling), sexual deviation, aggravated assault, and those other major misdemeanor crimes as set forth in the Coast Guard Recruiting Manual, COMDTINST M1100.2 (series). Paragraph A.4.e below provides additional details. Such denial shall be regarded as final. However, the Director may forward an application to the SECCEN for normal PSI processing with a recommendation to waive the major misdemeanor conviction as a reason for an unsuitable for service determination if the Director determines that reasonable circumstances exist for such waiver consistent with provisions of the Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).</p>
A.4.c. Minor Misdemeanor	<p>Application for Auxiliary membership should not normally be denied by the Director if the applicant has a record of minor misdemeanor offenses (e.g., traffic and non-traffic conviction(s)). Paragraph A.4.e below provides additional details. However, the Director may deny an application if, based upon all available information presented or after initiating further inquiry to gather additional relevant facts, these convictions provide evidence of personal character inconsistent with Coast Guard core values. Such denial shall be regarded as final.</p>
A.4.d. Other Than Prior Criminal History	<p>Auxiliary membership is a privilege, not an entitlement. Accordingly, suitability for service in the Auxiliary is predicated as much on high standards of personal character as it is on the review of an individual's criminal history and the associated outcome of the PSI process.</p>




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If at any time during the enrollment process up to and including submission of the enrollment application, the Director becomes aware, either through first-hand observation(s) and/or verified third-party report(s), of any element(s) of an individual’s personal behavior and/or moral character that is inconsistent with Coast Guard core values, the Director may deny the individual’s application. The Director shall make this determination, in consultation with the District legal office and the Chief Director, and notify the individual of such denial and its reason. There shall be no avenue of appeal of this denial.

If at any time after acceptance of an individual’s enrollment application by the Director up to and including receipt of the PSI determination from SECCEN, the Director becomes aware, either through first-hand observation(s) and/or verified third-party report(s), of any element(s) of an individual’s personal behavior and/or moral character that is inconsistent with Coast Guard core values, the Director may disenroll the individual for cause in accordance with section H.5 of this chapter.

Circumstances surrounding civil court action involving an applicant may warrant a determination of lack of suitability for Auxiliary service (e.g., acquittal of egregious criminal charges, but conviction on associated civil charges), whether the circumstances are discovered prior to acceptance of the enrollment application or subsequent to enrollment. The Director shall make this determination, in consultation with the District legal office and Commandant (CG-5421). Anyone denied enrollment based upon this provision may appeal to the Director’s supervisor. The Director’s supervisor’s decision shall be final and not subject to further review or appeal. This provision also applies to an applicant who may be awaiting trial or sentence by a civil court.

A.4.e.  
Disclosure of  
Felony, Major  
Misdemeanor, or  
Minor  
Misdemeanor  
Conviction

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The following provisions deal with the requirement to provide notification and information regarding conviction for a felony, major misdemeanor, or record of minor misdemeanors when applying for Auxiliary membership.

A.4.e.(1)  
Required  
Conviction  
Information

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Applicants with a conviction for a felony, major misdemeanor, or record of minor misdemeanors shall submit the following with their enrollment package:

- (a) Any records regarding the conviction(s).
  - (b) Letter briefly explaining the background and mitigating circumstances.
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Any applicant who fails to provide such notification and information as part of their enrollment package shall be disenrolled by the Director upon confirmation of these missing elements. Such disenrollment shall be regarded as final and will not be subject to appeal.

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A.4.e.(2)  
Waivers

If the conviction is for a waivable offense, and the Director determines that a waiver is appropriate, then the Director shall submit the applicant's PSI package to the SECCEN with a notice of intent to waive the felony. If not a waivable offense, the Director shall reject the application in accordance with paragraphs A.4.a thru c above.

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A.4.e.(3)  
Information  
Retention

Copies of all correspondence associated with these aspects of Auxiliary membership shall be kept in the individual's file in the Director's office.

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**A.5. Physical  
Fitness  
Requirements**

There are no specific physical standards that must be met in order to be eligible to enroll in the Auxiliary. There are also no requirements for Auxiliarists to schedule physical examinations solely for the purpose of evaluating their physical fitness to perform missions. However, all Auxiliarists and Coast Guard Order Issuing Authorities (OIA) are expected to take all appropriate action to ensure the safety of assigned crews, facilities, the public, and Auxiliarists themselves.

Any Auxiliarist, regardless of physical limitations, may participate in training to achieve certification in an operational position. However, to become certified in an operational discipline, Auxiliarists must demonstrate their ability, mobility, and endurance to satisfactorily complete performance-based training and qualification tasks that are based on the procedures outlined in associated qualification guide(s) as established by Commandant (i.e., the Auxiliary Boat Crew Training Manual, COMDTINST M16794.51 (series), and associated qualification guides). Once certified, Auxiliarists must meet currency maintenance requirements in order to validate their continued ability, mobility, and endurance to safely perform any qualification task for which they are certified.

Auxiliarists are charged with the responsibility to use good judgment and common sense when evaluating their continuing ability to carry out assignments to duty. Of particular note, if a physician has advised an Auxiliarist that a condition exists which may preclude safe and reliable performance while conducting Auxiliary activities or comparable non-Auxiliary activities, that Auxiliarist must neither seek nor accept orders to perform those duties. The Auxiliarist is required to make these circumstances known to the Flotilla Commander and any appropriate OIA.

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If an OIA is made aware of an Auxiliarist's physical condition that may preclude safe and reliable performance while on orders, then orders shall not be issued pending notification and guidance from the Director via the chain of command. In the case of a first-hand observation by anyone of such a circumstance, an OIA may immediately deny or revoke any orders. In either case, the Director shall suspend the Auxiliarist's certification until that Auxiliarist can demonstrate to the Director or the OIA, or their designated representative, the ability, mobility, and endurance to satisfactorily perform the assigned duty.

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**A.6.  
Circumstances  
for Ineligibility**

Individuals are not eligible for enrollment in the Auxiliary when any of these circumstances, which shall be addressed by all individuals in the course of application for enrollment, exist:

- a. Does not possess a Social Security Number (SSN).
- b. Any pending or unresolved criminal court action or judicial proceeding (including pre-trial intervention or diversionary program sanctions).
- c. Convicted of a felony, major misdemeanor, or minor misdemeanor(s) given consideration for waiver in accordance with provisions of this section.
- d. Current or prior registered sex offender.
- e. Convicted of any domestic violence charge.
- f. Currently under criminal restraint, serving a sentence, on parole, probation, or other civil restraint.
- g. Prior military service with a DD-214 that reflects a reenlistment code of RE-4 (individual's ineligibility for reenlistment is based on unsatisfactory performance due primarily to personal behavior/conduct). Limited circumstances may warrant waiver, in which case the Director shall consult with the Chief Director prior to any such action.

Individuals are also not eligible for enrollment in the Auxiliary when any of these circumstances exist:

- a. Raised and trained in institutions having mental or correctional features, including voluntary.
  - b. A history of psychotic disorders.
  - c. Repeated drug, including marijuana, or chemical substance abuse/use, where the use of and reliance on these substances are part of the person's behavior pattern (this includes participation in a drug rehabilitation program, but does not include drug experimentation which is defined as a few times for reasons of curiosity, peer pressure, or similar reasons).
  - d. Intoxicated or under the influence of alcohol or drugs at the time of application or during any stage of processing.
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## Section B. Enrollment

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**Introduction** This section describes the criteria for applicants and former Auxiliarists to enroll in the Auxiliary.

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**B.1. Initial Enrollment** The Director is responsible for approving Auxiliary enrollments.

When an individual meets all enrollment eligibility criteria, the Director shall accept and sign their enrollment application and enter them in AUXDATA in Approval Pending (AP) status.

If this is the first time the individual has ever undergone the PSI process, then the individual shall remain in AP status until receipt of a Favorable (FAV) PSI determination from the SECCEN. If the individual has undergone a previous PSI and can provide a copy of appropriate source documentation as part of their enrollment package, then the individual shall remain in AP status until the SECCEN validates the previous PSI. In either case, the individual shall have the privileges of Auxiliary membership as described in paragraph D.2 of this chapter.

Once the SECCEN has provided either a FAV PSI determination or validation of a previous FAV PSI, the Director may place the individual in an appropriate status in AUXDATA as provided for in paragraph B.1 of Chapter 8. At that time, the individual shall have the additional privileges of Auxiliary membership as described in paragraph D.3 of this chapter. The individual may then be administered the Pledge for New Members (see Figure 3-1) at an appropriate event (e.g., next flotilla meeting).

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**B.2. Re-Enrollment** Former Auxiliarists who have been separated or retired from the Auxiliary may be considered for re-enrollment provided they were not disenrolled for any disciplinary action or cause. To re-enroll, such individuals must submit regular enrollment packages. The Director shall retrieve their previous AUXDATA records from the archive and place them in AP status until their PSI determinations are received. While in AP status, the individual shall have the privileges of Auxiliary membership as described in paragraph D.2 of this chapter. The Director may re-establish corresponding certifications for such an individual if the individual meets all current requirements where certification requirements exist (e.g., the Director may restore a re-enrolling Auxiliarist's Vessel Examiner certification if they meet appropriate currency maintenance requirements, but the Director may not restore a Coxswain certification until a Favorable PSI determination is received).

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If an individual has received a FAV PSI determination in the past, then a copy of the source document from the SECCEN must be provided with the enrollment application to avoid having to undergo the PSI process again. If the individual has not undergone the PSI process or cannot provide a source document, then the individual shall be processed as though for initial enrollment, although all aspects of their historical Auxiliary activity (e.g., Base Enrollment Date, awards) shall still apply to this re-enrollment period.

Once the SECCEN has provided either a FAV PSI determination or validation of a previous FAV PSI, the Director may place the individual in an appropriate status in AUXDATA as provided for in paragraph B.1 of Chapter 8. At that time, the individual shall have the additional privileges of Auxiliary membership as described in paragraph D.3 of this chapter.

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### **B.3. Employee Identification Number**

When an individual has been accepted into the Auxiliary by the Director, a unique Employee Identification Number (EMPLID) is assigned. The EMPLID is critical for entering activity data, awards, and other information into AUXDATA.

The EMPLID is composed of seven digits. It replaced the old member identification number that was composed of numerical region, division, flotilla, and member designator. It shall be used as the principal means to distinguish any Auxiliarist from all others.

An Auxiliarist's EMPLID shall be rendered inactive when the Auxiliarist is disenrolled or placed in retired status. Upon return to an active status, the Director shall re-issue the original EMPLID to the Auxiliarist.

When a Flotilla is chartered, no unique EMPLIDs shall be issued.

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## Prologue and Pledge for New Members

The pledge you are about to take is your commitment to support the United States Coast Guard Auxiliary, an organization dedicated to the promotion of boating safety and providing assistance to the United States Coast Guard in the fulfillment of its civil functions. You accept this membership as a volunteer, and as a member you are charged with certain responsibilities and obligations. These include your willingness to support the Coast Guard Auxiliary and its purposes, to faithfully execute your duties, and to participate in its authorized programs to the best of your ability and to the extent that time and circumstances permit.

As an Auxiliarist, you enjoy certain honors and privileges, among them, wearing the Auxiliary uniform and flying the Auxiliary Ensign. Wear the uniform neatly and correctly and fly the Blue Ensign proudly. Remember that your conduct reflects directly upon the image of both the Coast Guard and the Auxiliary.

The satisfaction you derive from your Auxiliary membership will be in proportion to your level of participation in the organization's activities. The success of the Coast Guard Auxiliary will depend upon the extent of your participation and upon the quality of the Auxiliary leaders that you, the member, select.

(ASK THE AUDIENCE TO RISE)

If you feel that you can be an active and productive member of the United States Coast Guard Auxiliary, please raise your right hand and repeat after me:

**"I, (your name), solemnly and sincerely pledge myself to support the United States Coast Guard Auxiliary and its purposes, to faithfully execute my duties, and to abide by the governing policies established by the Commandant of the United States Coast Guard."**

**Figure 3-1**  
**Prologue and Pledge for New Members**






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## Section C. Auxiliary Personnel Security Program

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**Introduction** Since establishment of the Coast Guard Auxiliary by law in 1939, it has played an increasingly vital role in support of Coast Guard missions. Following the tragic events of 11 September 2001, the Auxiliary has set the nation's standard for volunteerism and patriotism. As the leading volunteer organization in the Department of Homeland Security, the Auxiliary has significantly expanded its support to the Coast Guard's Maritime Homeland Security (MHLs) and Maritime Domain Awareness (MDA) efforts.

To increase its overall readiness and capability, the Auxiliary initiated Operation Patriot Readiness (OPR). As a direct result of this unprecedented undertaking, the Auxiliary has significantly enhanced its preparedness to support the Coast Guard.

In 2003, the Commandant mandated that all Auxiliarists undergo a Personnel Security Investigation (PSI) as criteria for enrollment in the Auxiliary. The reasons for this mandate centered on:

1. The Coast Guard's new and sensitive post-9/11 missions.
2. The Coast Guard's higher focus on security of all of its workforce elements.
3. Increased Auxiliary augmentation of Coast Guard units and billets.
4. Increased Auxiliary visibility to the public, the Coast Guard, and other DHS agencies.
5. Increased reliance on Auxiliarists to act as trusted agents of the Federal government.

The Auxiliary PSI program was established as a requirement to assess the suitability of individuals for membership in the Auxiliary.

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### **C.1. Base Enrollment Date**

The Base Enrollment Date (BED) for individuals who enroll in the Auxiliary for the first time shall be the date that the Director signs their enrollment application understanding that it has been received with all other required paperwork.

The BED for re-enrollment applicants shall recognize all prior documented and validated Auxiliary service regardless of whether such service was performed prior to the implementation of the Auxiliary PSI program or not.

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## **C.2. Types and Durations of Personnel Security Investigations**

There are three types of Auxiliary PSIs:

- a. Operational Support (OS) – applicable for entry level membership and most activities.
- b. Direct Informational (DI) – applicable for Auxiliarists who require 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.
- c. Direct Operational (DO) – applicable for more advanced and mission-sensitive activities that effectively require an Auxiliarist to be security clearance-ready.

As a minimum, applicants for enrollment shall submit to and undergo an OS PSI. Appropriate paperwork to properly conduct the PSI shall be included as part of any enrollment package submission. With the exception of fingerprint cards, all required OS PSI documents are included with the online version of the Auxiliary enrollment application. A DI or DO PSI package is predicated on the same documents for an OS PSI. It also requires submission of an SF-85 (Questionnaire for Non-Sensitive Positions) package to complete a National Agency Check and Inquiries (NACI) or submission of an SF-86 (Questionnaire for National Security Position) to complete a National Agency Check with Law and Credit (NACLC), respectively.

If an individual has undergone a previous PSI that is still within its effective period and can provide appropriate source documentation, then the individual must include a copy of such documentation for SECCEN validation in lieu of standard PSI documents in order to avoid having to undergo an entirely new PSI process.

Favorable OS, DI, and DO PSI determinations principally 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. The suitability for these different types of service, as reflected by corresponding FAV PSI determinations, has no expiration date. Therefore, once an Auxiliarist has achieved a FAV OS, DI, or DO PSI determination, they may remain in that PSI status indefinitely without further review.




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Favorable DI and DO PSI determinations also reflect a degree of readiness for the granting of more extensive access within Coast Guard information systems and to classified information, respectively. DI and DO PSIs are predicated on a NAC. NACs have an effective period of 10 years. If an Auxiliarist has a security clearance pursuant to the NAC performed as part of their FAV DI or DO PSI, and there is continued need for them to retain their security clearance, then they must undergo a NAC update by the end of their current NAC's 10-year effective period. It is the responsibility of an Auxiliarist with a FAV DI or DO PSI to monitor the effective period of their NAC, and submit a new NAC package at least one year in advance of its expiration if DI or DO PSI renewal is needed.

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C.2.a.  
Operational  
Support (OS)

OS is defined as all Auxiliarists who are not designated as DI or DO in terms of a PSI. The centerpiece of an OS PSI is a Special Agreement Check (SAC). The SAC serves to:

- (1) Determine if there are convictions that would result in an Unfavorable (UNFAV) PSI determination.
- (2) Conduct a wants/warrants check.
- (3) Help verify U.S. citizenship.
- (4) Validate suitability for basic Auxiliary service.

Essential elements of an OS PSI are: Special Agreement Check (OFI-86C form); Authorization for Release of Information (SF-85 form, page 6 only); 2 fingerprint cards (FD-258 form); acceptable form for proof of U.S. citizenship (original birth certificate or original passport (current or expired) are most common).

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C.2.a.(1)  
Verification of  
U.S. Citizenship

The verification of U.S. citizenship may only be performed by an Auxiliarist who possesses a FAV OS PSI and who has qualified as an Auxiliary FP Technician. Such verification shall be noted in the appropriate section of the enrollment application.

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C.2.a.(2) OS  
PSI Results

Results of the OS PSI process will be incorporated into the SECCEN personnel security suitability database and entered into AUXDATA by SECCEN 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 if, and as needed, 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.

**NOTE** 

Only FPs using black ink will be accepted. Non-black ink prints can occur when FPs are taken using an inkless method, electronic scan, or transfer method, and the FPs are taken through a heating-pad machine, potentially causing the ink to turn red. However, if the final FP ink remains black from an electronic FP process, then the FPs are acceptable.

C.2.b. Direct  
Informational  
(DI)

DI is defined as Auxiliarists who require access to Coast Guard Standard Work Stations (SWS) and networks (i.e., the dot mil domain) due to the nature of the support that they provide to a Coast Guard unit. DI is only necessary for the Auxiliarist to obtain the Auxiliary Logical Access Credential (ALAC) in order to perform authorized activities that require the SWS and/or dot mil domain. An ALAC is not a Common Access Card (CAC) in that it does not display a photograph, does not convey benefits, entitlements, or privileges, and shall not be used for physical access. Additional ALAC information can be found in Chapter 5 of this Manual.

C.2.b.(1)  
National Agency  
Check and  
Inquiries (NACI)

The centerpiece of a DI PSI is a NACI. The NACI serves to:

- (a) Encompass all that is included in the SAC.
- (b) Validate suitability for service in programs and positions that require DI for ALAC issuance purposes. A NACI does not, in and of itself, make an Auxiliarist security clearance-ready as does a NACLIC, but it does satisfy requirements for SWS and/or dot mil domain access.

Essential elements of a DI PSI include the Questionnaire for Non-Sensitive Positions (SF-85 form) and other requirements as defined by SECCEN.

C.2.b.(2) DI PSI  
Results

Results of the DI PSI process will be incorporated into the SECCEN personnel security suitability database and entered into AUXDATA by SECCEN personnel. Visibility will normally be limited to DHS, USCG, and the Federal Office of Personnel Management on a need-to-know basis only. However, all information is eligible for official sharing to other Federal agencies for official purposes if, and as needed, 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.



C.2.c. Direct  
Operational  
(DO)

DO is defined as Auxiliarists whose qualifications involve the following:

- (1) Air Operations.
- (2) Command Center/Operations Center/Communications Center watchstanding.
- (3) Auxiliary elected and staff officers as determined by active duty Operational Commander, Director of Auxiliary, or the Chief Director. Minimum elected officer DO requirements are contained in Appendix C.
- (4) As directed by a Coast Guard command authority for any Auxiliarist who, due to the nature of the support they provide, has a clear, articulable, and recurring need for a security clearance (e.g., an Auxiliary watchstander whose duties require access to and handling of classified material along with commensurate need-to-know).

C.2.c.(1)  
National Agency  
Check With Law  
and Credit  
(NACLCL)

The centerpiece of a DO PSI is a NACLCL. The NACLCL serves to:

- (a) Encompass all that is included in the SAC.
- (b) Validate suitability for service in programs and positions that require DO.
- (c) Help expedite granting of a SECRET clearance, if necessary. It does not provide the complete base for the granting of a SECRET clearance. A SECRET clearance must be requested and justified by cognizant Coast Guard command authority.

Essential elements of a DO PSI are: Personnel Security Action (CG-5588 form); Questionnaire for National Security Positions (SF-86 form, submitted thru the Electronic Questionnaire for Investigations Processing (e-QIP) system); DHS Credit Release (DHS-11000-9 form); 3 fingerprint cards (FD-258 form).

C.2.c.(2) DO  
PSI Results

Results of the DO PSI process will be incorporated into the SECCEN personnel security suitability database and entered into AUXDATA by SECCEN personnel. Visibility will normally be limited to DHS, USCG, and the Federal Office of Personnel Management on a need-to-know basis only. However, all information is eligible for official sharing to other Federal agencies for official purposes if, and as needed, 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.



#### C.2.d. Security Clearances

The purpose of the Auxiliary PSI program is to determine suitability for service, not to grant security clearances. The Personnel Security and Suitability Program Manual, COMDTINST M5520.12 (series), contains appropriate policy and guidance for the request and granting of security clearances. Security clearances are only good for designated periods of time and are normally subject to review by the cognizant command authority to determine if renewal is appropriate.

To receive a SECRET clearance, the cognizant Coast Guard command authority that needs an Auxiliarist to have the security clearance must submit the request for such to the SECCEN and ensure that all appropriate paperwork is submitted, including a Personnel Security Action Request form (CG-5588) and a Classified Information Non-Disclosure Agreement form (SF-312). To receive a security clearance higher than SECRET, the Coast Guard command authority and the Auxiliarist must follow appropriate procedures as defined in the Personnel Security and Suitability Program Manual, COMDTINST M5520.12 (series).

The Coast Guard command authority shall notify the Director whenever it initiates the security clearance process for an Auxiliarist. Only SECCEN can grant an interim security clearance or a final security clearance for an Auxiliarist. SECCEN will notify the Director when it grants an interim security clearance or a final security clearance for an Auxiliarist.

#### C.3. Security Center Determinations

The SECCEN shall make all determinations regarding suitability for service in the Auxiliary. The SECCEN shall be governed by policy as set forth in the Personnel Security and Suitability Program Manual, COMDTINST M5520.12 (series). The SECCEN, under program management of the Office of Security Policy and Management (DCMS-34), is responsible for adjudicating PSI concerns.

The SECCEN shall make one of two types of determinations for any OS, DI, or DO package:

- a. Favorable (FAV)
- b. Unfavorable (UNFAV)

#### C.3.a. Favorable Determinations

The Director shall notify AP Auxiliarists when their FAV PSI determination is received in order to commence the process for issuance of an Auxiliary ID card.

- (1) If an AP Auxiliarist receives a FAV PSI determination, then the Director shall change that Auxiliarist's status in AUXDATA to IQ, BQ, or AX, as appropriate.



- 
- (2) If an AP Auxiliarist is re-enrolling and receives a FAV PSI determination, then the Director shall restore that Auxiliarist's status of IQ, BQ, or AX, as appropriate.
  - (3) If an Auxiliarist receives a FAV DI PSI determination, then that Auxiliarist becomes eligible for issuance of an ALAC.
  - (4) If an Auxiliarist receives a FAV DO PSI determination, then that Auxiliarist becomes eligible to fully qualify and participate in any DO disciplines.
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C.3.b.  
Unfavorable  
Determinations

If an Auxiliarist in AP status receives an UNFAV OS PSI determination, then that Auxiliarist shall be disenrolled pursuant to the following provisions and paragraph C.4 below:

- (1) It is possible for an Auxiliarist who has received a FAV OS PSI determination to receive an UNFAV DI or DO PSI determination upon completion of the latter PSI process. Under such circumstances, the Auxiliarist shall be limited to Auxiliary activities that may only be performed by those with a FAV OS PSI.
  - (2) The confidentiality of the Auxiliarist during the PSI determination process and the appeal process, if pursued, is paramount. If the SECCEN makes an UNFAV determination, it shall notify the applicant via the Director in letter format (or other medium if a more timely method is warranted).
  - (3) The Director shall notify the Auxiliarist's FC. The FC is not authorized to notify anyone else until completion of the appeal and adjudication process, if pursued. If, at the completion of the appeal and adjudication process, the applicant is still found UNFAV, the Director shall notify the FC, who may in turn notify the Auxiliarist's mentor, if assigned. The mentor shall not notify anyone else. Only the applicant may notify others, if they so desire.
  - (4) If the Auxiliarist is an elected officer, then the Director shall also notify the next elected leader in the chain of leadership (e.g., if the Auxiliarist is an FC, then the Director shall also notify the Division Commander (DCDR)). If the Auxiliarist is an appointed staff officer, then the Director shall also notify the elected leader to whom the Auxiliarist reports (e.g., if the Auxiliarist is an SO-MS, then the Director shall also notify the DCDR). If the Auxiliarist is a National Staff officer, then the Director shall notify the NACO and the Chief Director. No person who has knowledge of a suspension is authorized to notify any other person. If any duly notified elected leader needs to inform someone else, they must obtain permission from the Director. This authority cannot be delegated.
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#### **C.4. Adjudication, Suspensions, and Appeals**

The SECCEN shall notify the Director when it makes an UNFAV PSI determination on an Auxiliarist. The Director shall notify the Auxiliarist of such determination and advise them of their discretion to participate in the adjudicative process with the SECCEN in order to arrive at a final PSI determination. Adjudication of PSIs is coordinated by the SECCEN, and it is designed to settle any questionable matters that pertain to a PSI in process. It is the responsibility of the Auxiliarist to fully comply with the needs and direction of the SECCEN in order to properly and expeditiously complete the adjudicative process. Particularly, this means that the SECCEN has no obligation to unreasonably apply its staff and resources to pursue and garner information from the Auxiliarist, nor shall there be any expectation on behalf of the Auxiliarist of such. The Auxiliarist's failure to fully comply with the needs and direction of the SECCEN will likely result in a final UNFAV PSI determination. Further, the Auxiliarist is responsible for all associated personal expenses during the adjudicative process including the conduct of their own research and copies of any pertinent reference materials.

If an Auxiliarist in AP status receives an UNFAV OS PSI determination, then the Director may suspend any and all aspects of the Auxiliarist's membership including certifications, duties of office (elected and appointed), and/or membership itself and its privileges throughout the adjudicative process until final determination is made. No avenue of appeal of such suspension shall be afforded an Auxiliarist in AP status who is subject to these circumstances. An Auxiliarist who, upon completion of the OS PSI process including adjudication, receives a final UNFAV PSI determination shall be disenrolled. There is no avenue for appeal.

If an Auxiliarist who possesses a FAV OS PSI (and is pursuing a DI or DO PSI) receives an UNFAV DI or DO PSI determination, then the Director shall limit their activities to those within the scope of OS FAV while the DI or DO PSI is adjudicated. If a final UNFAV DI or DO PSI determination is made, then their activities shall be limited to those within the scope of OS FAV. There is no avenue for appeal.

In order to keep appropriate elements of an Auxiliarist's chain of leadership aware of these circumstances, the Director shall make specific notifications. For Auxiliarists in any of the above circumstances, the Director shall, as a minimum, notify the FC. If the Auxiliarist is a division staff officer, then the Director shall notify the FC and the DCDR. If the Auxiliarist is a district staff officer, then the Director shall notify the FC and the DCO. If the Auxiliarist is a national staff officer, then the Director shall notify the FC, the NACO, and the Chief Director. Anyone so notified shall not be authorized to notify anyone else without expressed approval by the Director, or the Chief Director for national staff officers.




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**C.5.  
Certifications**

To upgrade a certification into DI or any of the DO disciplines in paragraph C.2 above, a DI or DO PSI application package (SF-85 or SF-86, DHS 11000-9, fingerprint cards, etc.) must be submitted to the Director or the appropriate Coast Guard command authority that desires the Auxiliarist's upgraded PSI. The DI or DO PSI application package must be reviewed by the Director or the appropriate Coast Guard command authority that desires the Auxiliarist's upgraded PSI, and be deemed to have no obvious errors, omissions, or glaring issues prior to forwarding to the SECCEN.

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**C.6.  
Notifications to  
SECCEN**

Upon becoming aware of the arrest of another Auxiliarist, an Auxiliarist is obligated to immediately notify the Director. The Director shall immediately notify the SECCEN and the appropriate Command Security Officer of same using a Coast Guard Personnel Security Action form (CG-5588).

Among all Coast Guard personnel, including Auxiliarists, marriage to or cohabitation with a non-U.S. citizen may result in the loss of eligibility for a security clearance and suitability for service. Therefore, if an Auxiliarist with a FAV DI or DO PSI marries or cohabitates with a non-U.S. citizen, then the Auxiliarist must immediately inform the Director of the marriage or cohabitation. The Director shall then immediately notify the appropriate Command Security Officer and submit a CG-5588 Form along with an OFI Form 86C to SECCEN within 30 days of the marriage or cohabitation. This must be done regardless of whether or not the Auxiliarist possesses a security clearance.

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**C.7.  
AUXDATA**

AUXDATA has been designed to assist Auxiliarists, Auxiliary leadership, the Director and the Chief Director, and the SECCEN in tracking, managing, and creating reports for implementation and management of the PSI program. Much of the policy as written in this section has been programmed to automatically generate the required reports, notifications, emails, etc.

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**C.7.a. Security  
Access**

In accordance with the requirements of 5 U.S.C. 552a, The Privacy Act of 1974, the Government shall not disclose any record contained in AUXDATA, by any means of communication, to any person without the prior consent of the individual to whom the record pertains. Therefore, access to the AUXDATA Security Tab shall be limited to "paid Federal Government employees" only, including Directors of the Auxiliary, their Operations Training Officer (OTO), and permanently assigned office staff. Access shall require special access authorization. This access authorization will not normally be granted to members of the Auxiliary, except under the circumstances discussed below.

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SECCEN personnel who are required to enter the results of security checks will be granted special security access. Requests for this access may be made by the Director (in writing) to the Chief Director, with copy to the SECCEN.

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C.7.b.  
Exceptions to  
Access  
Requirement

One of the few exceptions to access limitation is for disclosures to members of the agency with a “need to know.” Determining who has a “need to know” is a matter of agency discretion. Further, if the Director cannot realign jobs/responsibilities within the Director’s office to free up permanently assigned employees to perform the Security AUXDATA work, and there is an absolute and justified agency “need” to grant access to an Auxiliarist, who is a member of the Director’s office team, then a waiver procedure based on a “need to know” and agency “need to perform required work” shall be followed.

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C.7.c. Waiver  
Request  
Procedures

Waiver requests shall not be initiated until the Auxiliarist has submitted all required DI or DO PSI information and after careful personal review by the Director to ensure there are no glaring, potentially derogatory or questionable issues at time of submission/review. If any irresolvable issues arise during the investigation, AUXDATA security access will be reconsidered jointly by the Director and the Chief Director, and may be immediately revoked if deemed appropriate. The following procedures apply for requesting a waiver to the “paid Federal Government employee” requirement:

- (1) The Director shall submit a signed, written request for waiver (e-mail is acceptable) to the Chief Director that summarizes the attempts to realign office work to free up permanently assigned employees to perform the AUXDATA work along with justification to clearly establish the agency need. Additionally, the Director shall include any information about the Auxiliarist that may help review and consider the request.
  - (2) Blanket waivers will not be issued as a matter of controlling or limiting access. However, it is possible for a single Director’s office to have more than one Auxiliarist with access, based on the Director’s cited justification and need.
  - (3) The Chief Director shall review and either approve or disapprove all waiver requests and directly respond in writing (e-mail is acceptable) with copy to the SECCEN.
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## Section D. Membership Accession

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**Introduction** To become an Auxiliarist, an applicant must meet eligibility requirements for membership, complete the New Member Training Program, and be approved by the Director for enrollment.

**D.1. Membership Accession** The following actions must be completed by an applicant in order to enroll in the Auxiliary:

- a. The applicant must complete the Enrollment Application Form (ANSC-7001). The FC may designate another flotilla member who is in Initially Qualified (IQ), Basically Qualified (BQ), or Operational Auxiliary (AX) status to conduct the interview. With the exception of requisite fingerprint forms, the Enrollment Application Form captures all information necessary to start the PSI process at the Operational Support (OS) level. An applicant may submit a DI or DO PSI package with their Enrollment Application Form instead of an OS PSI package, but it should be clearly understood that OS PSI packages are normally processed to completion significantly faster than DI or DO PSI packages. When coupled with provisions that allow for interim program certification of Auxiliarists who have Favorable OS PSI determinations but are pursuing qualification in an Auxiliary program that requires a Favorable DI or DO PSI determination, all applicants should be highly encouraged to submit the OS PSI package as part of their enrollment package instead of a DI or DO PSI package.
  - b. The applicant must complete the New Member Training Program (NMTP) and successfully pass the current open book examination with a score of 80 percent or better. This examination may be self-administered or administered by any elected officer, MT staff officer, HR staff officer, or designated IT. Examination results shall be recorded on the Enrollment Application. The understanding and expectation for self-administration of any Auxiliary exam is that the individual, and only the individual without other personal assistance, shall complete all facets of the exam, unless such exam is specifically authorized to be taken with a team approach among Auxiliarists (e.g., AUXSC&E specialty course). If an Auxiliarist becomes aware that there is any reason to suspect otherwise, then the Auxiliarist shall inform the appropriate chain of leadership (up to and including the Director) so that they are able to assess the circumstances and determine propriety of self-administration.
  - c. The FC shall forward the Enrollment Application Form, the NMTP examination answer sheet, and all requisite PSI forms as a complete package to the Director.
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- d. The Director shall review all enrollment packages and determine whether or not to accept an applicant. If accepted, the Director shall sign the Enrollment Application Form, continue the administrative processing of the applicant's PSI, place the applicant in AP status, make appropriate AUXDATA entries, and issue the applicant an Employee Identification number (EMPLID). The Director shall notify the AP Auxiliarist of these actions and their EMPLID by signed memo.
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**D.2. Privileges and Provisions for Auxiliarists in Approval Pending (AP) Status**

Once the Director has reviewed, approved, and signed an enrollment package, that individual may be placed in Approval Pending (AP) status until the result of the PSI process is determined. While Auxiliarists are in AP status, the following privileges and provisions apply (for applicable provisions dealing with training, qualifications, and course and test administration, refer to paragraph B.1 of Chapter 8).

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D.2.a. Member Status and AUXDATA Entries

- (1) Auxiliarists in AP status shall remain in such status, as reflected by AUXDATA, until receipt of a Favorable PSI determination. At that point, the Director shall make the change to AUXDATA to reflect the Auxiliarist's new, most appropriate member status (i.e., IQ, BQ, or AX).
  - (2) Auxiliarists in AP status shall be regarded as any other Auxiliarists in IQ, BQ, or AX status in terms of counting on Auxiliary membership rosters at any organizational level. This includes counting toward Flotilla membership requirements and for the purpose of meeting minimum membership thresholds to establish a new Flotilla or Flotilla Detachment.
  - (3) AUXDATA entries may be made as they are reported for Auxiliarists in AP status just as they may be made as reported for any other Auxiliarists in IQ, BQ, or AX status.
  - (4) The base enrollment date for an Auxiliarist in AP status shall coincide with the date of issue of their EMPLID.
  - (5) Auxiliarists in AP status are entitled to be placed on distribution for Auxiliary publications (e.g., flotilla newsletters), electronic Auxiliary mailings, and The Navigator magazine. Placement is voluntary and may be withdrawn by the individual from any or all such distributions at any time subject to appropriate notification of the source of mailing distribution information.
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D.2.b. Organizational Assignments and Authorities

- The following organizational assignments and authorities apply to Auxiliarists in AP status:
- (1) Auxiliarists in AP status shall be recognized as employees of the Coast Guard for the purposes of all liability and worker's compensation coverage provisions afforded through the Coast Guard, provided they meet all of the following criteria:
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- (a) Are assigned to duty by appropriate order issuing authority.
  - (b) Act within the scope of employment during such assignment.
  - (c) Abide by the governing policies established by the Commandant of the Coast Guard.
- (2) Auxiliarists in AP status are entitled and strongly encouraged to attend all Auxiliary national, district, division, and flotilla meetings, training sessions, and social events in order to learn about Auxiliary organization, policies, procedures, and programs.
  - (3) Auxiliarists in AP status may provide direct administrative support to Coast Guard units but must have the concurrence of the command to do so. Auxiliary Unit Coordinators (AUC) are specifically tasked with ensuring that the command and the Director are advised in advance of any Auxiliarists in AP status who desire to do so, and that appropriate arrangements for recurring access are made.
  - (4) Auxiliarists in AP status are not authorized to run for, accept nomination for, or hold any elected office. However, requests for waiver that are properly routed through the chain of leadership may be granted by the Director or the Chief Director, as appropriate.
  - (5) Auxiliarists in AP status are not authorized to accept or hold any appointed staff office. However, requests for waiver that are properly routed through the chain of leadership may be granted by the Director or the Chief Director, as appropriate.
  - (6) Auxiliarists in AP status must pay dues as part of their enrollment. Initial payment shall be by check which will be immediately processed like any other such dues payment by an Auxiliarist in IQ, BQ, or AX status. In the event of an Unfavorable PSI determination that leads to disenrollment, only the total amount of dues paid up to that time by the individual shall be reimbursed to the individual.
  - (7) Auxiliarists in AP status may vote in any Flotilla matter.

Auxiliarists in AP status are not authorized access to the Coast Guard's Mutual Assistance (CGMA) program nor direct participation in the Coast Guard Morale, Well-Being, and Recreation (MWR) program.

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D.2.c. ID Cards and EMPLIDs

- (1) Auxiliarists in AP status shall be issued EMPLIDs as part of the approval of their enrollment packages by the Director.
  - (2) Auxiliarists in AP status are not authorized to be issued an Auxiliary ID card. They may only receive an Auxiliary ID card upon receipt of a Favorable PSI determination.
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- (3) Auxiliarists in AP status may not be issued an Auxiliary Logical Access Credential (ALAC). By definition of ALAC authorization terms, an Auxiliarist must have received at least a Favorable OS PSI determination and have submitted either a NACI (if pursuing a DI PSI) or NACLCLC (if pursuing a DO PSI) package in order to be authorized ALAC issuance.
  - (4) Auxiliarists in AP status should never be placed in the position of having to attempt to gain access to a Coast Guard facility alone. All due effort shall be made by mentors and Auxiliary leaders to ensure that whenever Auxiliarists in AP status may have need to gain access to a Coast Guard facility, they have an Auxiliarist in IQ, BQ, or AX status to escort them.
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D.2.d.  
Uniforms,  
Awards, and  
Ceremonies

- (1) Auxiliarists in AP status are authorized to obtain and wear the Auxiliary uniform with proper devices and insignia of the current or highest past office held to the extent that applicable policies allow. Auxiliarists in AP status are authorized to use DoD exchanges only when purchasing articles and accessories of the uniform. Since Auxiliarists in AP status will not have ID cards, they will not be able to make purchases at point-of-sale venues like DoD uniform shops. Auxiliarists in AP status are authorized to shop in Coast Guard exchanges with the same authorization as Auxiliarists in other-than AP status. In order to use this privilege, Auxiliarists in AP status must present a copy of the memo on Coast Guard letterhead from the Director notifying them of their AP status, along with a government-issued photo identification card (e.g., current valid State-issued driver's license).
  - (2) Auxiliarists in AP status may be administered the Pledge for New Members and presented with the Auxiliary membership certificate at an appropriate time and venue.
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- (3) Auxiliarists in AP status may fly the Auxiliary Ensign on any currently inspected facility that displays a current facility decal, including vessel, aircraft, or radio facilities, in accordance with Chapter 3 of the Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series). They may also fly the Auxiliary Ensign on their own vessels that are not offered/accepted for use as long as the vessel has successfully completed a Vessel Safety Check (VSC) and displays a current VSC decal. While underway, at least one Auxiliarist must be on board when flying the Auxiliary Ensign. Auxiliarists in AP status may also fly the Auxiliary Ensign on or near buildings or homes in which such facilities are located or in which the Auxiliarist resides. Those Auxiliarists may fly the Auxiliary Ensign day and night. If an Auxiliarist is present, the Auxiliary Ensign may be displayed in appropriate public places in order to promote the purposes of the Auxiliary. The Auxiliary Ensign must be maintained in good condition at all times (true color, no tattered corners, strings, etc.) to bring credit to the organization.
  - (4) Auxiliarists in AP status may earn and wear appropriate Auxiliary and Coast Guard awards if they meet established award criteria. Appropriate AUXDATA entries shall be made to reflect these awards.
  - (5) Auxiliarists in AP status may participate on Auxiliary committees (e.g., Flotilla Change of Watch committee).
  - (6) Auxiliarists in AP status may participate in Auxiliary ceremonial events (e.g., Emcee of a Change of Watch; member of an Auxiliary color guard).
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D.2.e. Auxiliary  
Courses and Test  
Administration

- (1) Auxiliarists in AP status are authorized to take any and all Auxiliary courses. Flotillas may provide essential course materials to Auxiliarists in AP status in order to facilitate learning as they would for any other Auxiliarists in IQ, BQ, or AX status.
  - (2) Auxiliarists in AP status are authorized to take any and all end-of-course exams associated with these courses.
  - (3) Auxiliarists in AP status may be presented the corresponding course completion certificates in appropriate ceremonial venues upon successfully completing all course requirements.
  - (4) Test results may be entered in AUXDATA for Auxiliarists in AP status as test results are similarly entered for any other Auxiliarists in IQ, BQ, or AX status.
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D.2.f. Training,  
Qualifications,  
and Activities

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- (1) Auxiliarists in AP status may train in any program like any other Auxiliarists in IQ, BQ, or AX status. This includes mentor assignments, workshop attendance, and enrollment in Coast Guard or Coast Guard Auxiliary "C" schools. However, they may not displace any Auxiliarists in IQ, BQ, or AX status who desire to participate in any training venue.
  - (2) Auxiliarists in AP status must successfully complete BQ status requirements identified in section 8.B.1.c of this Manual in order to qualify in any Auxiliary program authorized for them.
  - (3) Auxiliarists in AP status may perform and have signed-off all tasks that must be completed to earn qualification in any program, with the exception of those aviation competency tasks that must be performed in an airborne facility.
  - (4) Auxiliarists in AP status may be qualified by the Director or appropriate qualifying authority in any program except as Coxswain and Personal Watercraft Operator (PWO) in the boat crew program, as any of the aviation program competencies (i.e., Aircraft Commander, First Pilot, Co-Pilot, Air Crewman, Air Observer), and as a Fingerprint Technician. Pursuant to qualification, Auxiliarists in AP status may engage and participate in Auxiliary programs with the following qualifiers:
    - (a) Auxiliarists in AP status who qualify as Instructors or as Marine Environmental Education Specialists (AUX-MEES) as part of the Auxiliary Trident program may teach public education courses in Lead status, but they must be in the company of at least one other Auxiliarist in IQ, BQ, or AX status or an active duty supervisor while doing so.
    - (b) Auxiliarists in AP status who participate in Auxiliary public affairs/outreach events (e.g., Coastie demonstration; public affairs booth) may do so in Lead status, but they must be in the company of at least one other Auxiliarist in IQ, BQ, or AX status or an active duty supervisor while doing so.
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- (5) An Auxiliarist who, for whatever reason, disenrolls or retires from the Auxiliary and then attempts to re-enroll without ever having obtained a Favorable PSI determination shall be processed as any other Auxiliarist in AP status in terms of PSI processing. Although the re-enrollee may effectively resume certification at the corresponding point of currency maintenance, they must also pursue PSI determination like any other Auxiliarist in AP status. If the re-enrollee was certified in a program that requires a Favorable DO PSI determination, then an interim certification may be issued by the Director or operational commander while the DO PSI package is processed to completion.
  - (6) Auxiliarists in AP status may offer surface and air facilities for use, and have them accepted for use (including designation of authorized operators), with the understanding that they will not be able to operate them as a coxswain or pilot, respectively, until they have completed all applicable training and have received at least a Favorable OS PSI determination.
  - (7) Auxiliarists in AP status may offer personal vehicles for use, and have them accepted for use (including designation of authorized operators), for the purpose of towing government equipment, but they must be in the company of at least one other Auxiliarist in IQ, BQ, or AX status or an active duty supervisor while engaged in such towing. Whenever operating a personal vehicle while assigned to duty, they shall adhere to all prescribed and appropriate government operating requirements and expectations, including the prohibition to read, type, or send text messages or e-mail.
  - (8) Auxiliarists in AP status may be authorized by proper Coast Guard authority to use government vehicles to perform official business, but they must be in the company of at least one other Auxiliarist in IQ, BQ, or AX status or an active duty supervisor while engaged in such use. Whenever operating a government vehicle, they shall adhere to all prescribed and appropriate operating requirements and expectations, including the prohibition to read, type, or send text messages or e-mail.
  - (9) Allowance for interim certifications remains in place. Specifically, Auxiliarists who have received a Favorable OS PSI determination, have submitted the requisite DO PSI package, and have completed all training requirements for qualification in any of the aviation program competencies may be granted interim certification for such by the Director or appropriate qualifying authority pending receipt of a Favorable DO PSI determination.
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**D.3. Privileges and Provisions for Auxiliarists in Initially Qualified (IQ), Basically Qualified (BQ), and Operational Auxiliarist (AX) Status**

Once a Favorable PSI determination for an Auxiliarist in AP status has been received by the Director and appropriate change has been made to AUXDATA to reflect the revised member status (i.e., IQ, BQ, AX), the following privileges and provisions apply in addition to those detailed in paragraph D.2 above:

- a. Authorized to receive an Auxiliary membership photo identification (ID) card.
- b. Authorized to hold any elected or appointed office for which eligible.
- c. Authorized to use Coast Guard Exchange System (CGES) facilities and services, pursuant to the limited exchange privileges contained in the Coast Guard Non-appropriated Fund Instrumentalities Manual, COMDTINST M7010.5 (series).
- d. Authorized to use Department of Defense (DoD) exchanges, pursuant to the limited exchange privileges contained in Armed Services Exchange Regulations, DoD Instruction 1330.21 (series). Specifically, Auxiliarists are limited to purchasing uniform articles and accessories that are authorized by Coast Guard policies.
- e. Authorized access to the Coast Guard Mutual Assistance (CGMA) program for its services as described in the Coast Guard Mutual Assistance Operating Manual including no interest loans or grants for emergencies and student loans.
- f. Authorized access to the Coast Guard MWR program for its services as described in the Coast Guard Morale, Well-Being, and Recreation Manual, COMDTINST M1710.13 (series). This does not include patronage of Child Development Centers (CDCs). Any eligibility to use Coast Guard CDCs may be found in the Child Development Services Manual, COMDTINST M1754.15 (series). Additional Coast Guard MWR resource, facility, and services information can be found at [www.uscg.mil/mwr](http://www.uscg.mil/mwr).
- g. Authorized to independently perform any activity without the company of another Auxiliarist or an active duty supervisor as required by paragraph D.2 above.

**D.4. Retired Status**

Retired status is designed to recognize Auxiliarists who no longer desire or are unable to participate in the authorized activities for their sustained Auxiliary membership, performance, and adherence to the principals of the Auxiliary membership oath and the Coast Guard's core values.

Retired status is not a membership status and it is not intended for all Auxiliarists. It is a conditional status that must be earned subject to prescribed requirements. Retired status, if earned, shall be recognized by certificate that should be presented at an appropriate ceremony.



D.4.a.  
Requirements

An Auxiliarist must have served in the Auxiliary for at least fifteen (15) cumulative years from base enrollment date to achieve retired status. Under rare and special circumstances, the Director may waive this requirement.

A written request (i.e., Change of Membership Status Form, letter, or e-mail are acceptable) for retired status must be submitted through the Auxiliarist's FC to the Director. Also routing the request through the DCDR is optional. A specific retirement date may be specified (e.g., retirement effective at the end of the calendar year, 31 December). However, if sufficient lead time to properly process such request is not provided, then the Director shall make all due attempt, within reason, to fulfill the retirement request by the soonest date thereafter.

The Director shall validate and approve any request for retired status before making appropriate service record changes. As a conditional status, the Director may deny a retirement status request and simply disenroll an Auxiliarist if, in the course of such validation, it is determined that the Auxiliarist had not adhered to the principals of the Auxiliary membership oath and the Coast Guard's core values (this includes an Auxiliarist who requests retirement status while pending investigation and possible disciplinary action). The Director shall take into account the Auxiliarist's entire record of service, in addition to such determination, before denying a retirement status request. If denial is the final action, then the Director shall communicate the reason in writing to the Auxiliarist with specific mention that the Auxiliarist's entire record of service had been considered. There shall be no appeal of such action.

D.4.b.  
Restrictions

The following restrictions apply to all retired Auxiliarists:

- (1) Cannot vote.
- (2) Cannot hold office.
- (3) Cannot participate in other than Auxiliary social programs.
- (4) Cannot receive Coast Guard orders to perform a specific duty or be assigned to duty.
- (5) Cannot use Government exchanges, vehicles, postage, or MWR facilities.
- (6) Must return unexpired U.S. Government Auxiliary ID card and other Auxiliary or Government property to appropriate Coast Guard authority no later than the retirement date.

D.4.c. Privileges

The following privileges apply to retired Auxiliarists:

- (1) Authorized to wear the Auxiliary uniform with such insignia as the highest past office entitles at appropriate functions.



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- (2) May fly the Auxiliary Ensign on their own vessels as long as the vessel has successfully completed a Vessel Safety Check (VSC) and displays a current VSC decal. They may also fly the Auxiliary Ensign on or near buildings or homes in which such facility is located or in which the retired Auxiliarist resides. Those Auxiliarists may fly the Auxiliary Ensign day and night. While underway, a retired Auxiliarist must be on board when flying the Auxiliary Ensign. The Auxiliary Ensign must be maintained in good condition at all times (true color, no tattered corners, strings, etc.) to bring credit to the organization.
  - (3) May attend Auxiliary meetings and participate in fellowship activities.
  - (4) If circumstances change, a retiree may properly apply to the Director to return to a previous full membership status.
  - (5) Will no longer pay dues.
  - (6) May be placed on distribution for Auxiliary publications (e.g., flotilla newsletters) as the resources that support those publications allow electronic Auxiliary mailings and The Navigator magazine. Placement is voluntary and may be withdrawn by the individual from any or all such distributions at any time subject to appropriate notification of the source of mailing distribution information.
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#### **D.5. Life Membership**

This membership category is awarded to DCOs and all appointed Commodores at the conclusion of their term of office in recognition of service. The minimum service requirement is that for wearing of the past officer device described in section 10.F.9 of this Manual. This does not change the Auxiliarist's status or carry any special privileges except exemption from paying national dues. A certificate shall be presented at the National Conference (NACON) or other appropriate occasion (district/region conference) in the final year of their term of office.

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#### **D.6. Honorary Membership**

Individuals who are not Auxiliarists, including non-U.S. citizens, may be awarded Honorary Membership. This distinction recognizes individuals who have provided a significant and notable service to the Auxiliary and its programs. Honorary Membership is ceremonial in nature and shall be recognized by the awarding of the corresponding certificate appropriately mounted on a plaque. It does not impose either the authorities, obligations, or expectations identified in section 3.D.2.

Unless otherwise specified, Honorary Membership shall be understood to be of life duration. Honorary Membership may have a specified duration, such as for a yacht club commodore whose term of office is two years. In such cases, the duration shall be indicated on the certificate.

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At the regional level, Honorary Membership shall be based upon nomination by the DCO and the Director. The District Commander shall be the approval authority and sign the corresponding certificate. At the national level, it shall be based upon nomination by the NACO and the Chief Director. CG-DCO shall then be the approval authority and sign the corresponding certificate. Any nomination of a non-U.S. citizen shall be forwarded through the NACO and the Chief Director for review by the Coast Guard International Affairs Directorate (CG-DCO-I) prior to forwarding to the appropriate approval authority.

Restrictions applicable for retired Auxiliarists as described in section D.4 of this chapter also apply to Honorary Members.

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#### **D.7. Honorary Commodore**

In certain limited and selected cases, non-Auxiliarists may be awarded the title of Honorary Commodore. This distinction is intended for prominent individuals who provide notable service or are considered of exceptional value to the Auxiliary and its programs. The honoree must have proven their value and commitment to the Auxiliary on an international, national, or district level.

Only the Commandant can award this honorary title. Recommendations for the award may be made by the NACO with concurrence of the National Board. A DCO may also submit a recommendation after obtaining concurrence of the respective district board. It must then be submitted through the chain of leadership and management to the NACO for concurrence by the National Board before forwarding to the Commandant.

If approved, an appropriate plaque, signed by the Commandant, or designated District Commander, will be presented to the recipient of this honor by the Commandant, District Commander, or designated representative.

Restrictions applicable for retired Auxiliarists as described in section D.4 of this chapter also apply to Honorary Commodores.

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## Section E. Transfers

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**Introduction** This section addresses circumstances for transfers of Auxiliarists within and between districts, and for denial of transfers.

**E.1. Within a Region** An Auxiliarist may request transfer to another flotilla within the region at any time. The request shall be submitted on the Member Transfer Request Form (ANSC-7056) to the Director, via the Auxiliarist's FC, and endorsed by the FC of the prospective flotilla. Information copies shall be concurrently provided to appropriate DCDRs.

Both FCs shall endorse an Auxiliarist's transfer request and forward it through the chain of leadership and management, according to district policy, to the Director. Either FC may recommend denial of the transfer request particularly if the Auxiliarist is delinquent in financial obligations, has not accounted for all assigned property, has administrative investigatory or disciplinary actions pending, or has a documented history of being a disruptive influence to Auxiliary personnel and/or programs (including having been subject of disciplinary action). A recommendation of denial shall address such considerations, provide details of same, and identify a period of time after which approval of the transfer request should be re-considered. The DCDR of the division from which the Auxiliarist seeks transfer may similarly submit a recommendation of denial to the Director if aware of any of the aforementioned circumstances about the Auxiliarist as well as failure to make such recommendation by the Auxiliarist's FC.

The transfer shall be made effective when approved by the Director.

**E.2. Between Regions** An Auxiliarist should, but is not required to, request transfer between regions upon a change in permanent residence from one region to another. Such request shall be submitted on the Member Transfer Request Form (ANSC-7056) to the Auxiliarist's Director, via the Auxiliarist's FC. An information copy shall be concurrently provided to the Auxiliarist's DCDR.

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The Auxiliarist's FC shall endorse an Auxiliarist's transfer request and forward it through the chain of leadership and management, according to district policy, to the Director. The Auxiliarist's FC may recommend denial of the transfer request particularly if the Auxiliarist is delinquent in financial obligations, has not accounted for all assigned property, has administrative investigatory or disciplinary actions pending, or has a documented history of being a disruptive influence to Auxiliary personnel and/or programs (including having been subject of disciplinary action). A recommendation of denial shall address such considerations, provide details of same, and identify a period of time after which approval of the transfer request should be re-considered.

The Director of the Auxiliarist's original region may communicate with the Director of the Auxiliarist's destination region about a request for transfer at any time. If the Director of the Auxiliarist's original region approves the request for transfer, then all records shall be sent to the Director of the Auxiliarist's destination region once the transfer has been approved by that Director.

An Auxiliarist is obligated to ensure the original FC and Director have a way of communicating with the Auxiliarist throughout the transfer process. The Auxiliarist may request assistance by the original Director to facilitate identification of an appropriate flotilla in the destination region in which to transfer.

The Director of the Auxiliarist's destination region shall not approve a request for transfer until the gaining FC has been made aware of the transfer and has contacted the Auxiliarist. If the Auxiliarist has already selected and contacted a flotilla, the gaining FC should advise the Director through the usual channels.

Upon transfer, an Auxiliarist is obligated to update their record address and other pertinent information through the new Flotilla Staff Officer-Information Services (FSO-IS).

### **E.3. Denial of Transfer**

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The Director may deny an Auxiliarist's request for transfer to another flotilla within the district or to another district based upon the FC's or DCDR's recommendation as described earlier in this section, and whenever the Director determines that the Auxiliarist:

- a. Is delinquent in any financial obligation.
  - b. Neither accounted for nor returned Auxiliary or Coast Guard property.
  - c. Is the subject of any pending administrative investigatory or disciplinary action.
  - d. Has a documented history of being a disruptive influence to Auxiliary personnel and/or programs (including having been subject of disciplinary action).
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- E.3.a. Notification of Transfer Denial
- The Director shall notify the Auxiliarist in writing of the reason for denial of a transfer request and identify the time at which approval of the request may be re-considered (e.g., upon fulfillment of financial obligation, upon return of property, upon completion of pending administrative investigatory or disciplinary action). Such notification must be issued within 30 days of receipt of the transfer request.
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- E.3.b. Appeal of Transfer Denial
- If the reason for denial of an Auxiliarist's transfer request is based upon a documented history of being a disruptive influence to Auxiliary personnel and or programs, the Director may identify a period of up to one year from the date of reply to the transfer request at which point approval of the request may be re-considered. Only this latter reason for denial of a transfer request may be appealed to the Director's supervisor. Such appeal must be submitted in writing within 30 days of receipt of notification from the Director, and shall only be subject to technical review to ensure appropriate foundation for denial and timeliness of process. After a final decision, the appeal package shall be retained as part of the Auxiliarist's service record for a period of two years. The technical review of the appeal by the Director's supervisor is considered final.
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## Section F. Auxiliary Administrative Discipline

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### Introduction

Auxiliary administrative discipline is meant to:

1. Correct inappropriate behavior.
2. Maintain good order throughout the organization.
3. Be conducted at the lowest Auxiliary organizational level that circumstances allow.
4. Be carried out by the Auxiliary organization itself to the maximum extent possible.

All Auxiliarists should consider that in many situations, particularly those of a first-time and minor nature which might otherwise result in informal disciplinary action pursuant to section G of this chapter, inappropriate or incorrect conduct is most appropriately and effectively dealt with on-the-spot and in non-confrontational fashion. Frank, mature, and respectful discussion of inappropriate or incorrect conduct, coupled with informal instruction on expected behavior and/or correct performance, often prevents any need to expend significant time and effort associated with administrative disciplinary processes. However, this type of action clearly provides cause for further action as described in sections G and H of this chapter if there is recurrence of inappropriate or incorrect conduct.

Normally, only when all other reasonable attempts to correct inappropriate behavior have failed shall disenrollment be considered. Certain offenses are so unacceptable that they may cause serious discredit to the organization's core values and warrant disenrollment as a disciplinary action. The Director (or Chief Director for National Auxiliary leaders/Staff) shall make these determinations following the procedures in sections G and H of this chapter. As members of the Coast Guard's uniformed volunteer organization, Auxiliarists are not subject to the Uniform Code of Military Justice (UCMJ). Auxiliarists may be subject to various administrative actions, however, including disenrollment from the Auxiliary. Such administrative actions may be initiated when Auxiliarists fail to abide by the governing policies established by the Commandant.

Provisions of this chapter address the administration of disciplinary action principally from the perspective of an Auxiliary unit elected leader or appropriate appointed leader (hereinafter referred to as "the leader") in keeping with the authority conveyed to the Auxiliary to effectively administer and manage the conduct of its missions and programs. They do not preclude the Director, Chief Director, Coast Guard officers in their respective chains of command, or a Coast Guard command that exercises order issuing authority over an Auxiliarist from similarly administering Auxiliary disciplinary action if circumstances warrant.

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Notwithstanding the above, an Auxiliarist for whom it is subsequently determined had attempted to employ Auxiliary administrative disciplinary policies in a frivolous, disruptive, or deliberately malicious manner may, as a consequence, subject themselves to administrative disciplinary action.

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### **F.1. Right of Membership**

Membership in the Coast Guard Auxiliary is not a constitutionally protected liberty or property interest. Nor is it an entitlement due to the meeting of basic membership eligibility criteria, namely citizenship, age, skill, and desire. Further, the scope of membership depends upon the determination of suitability for service stemming from requisite Personnel Security Investigations (PSI).

Auxiliary membership may reasonably be expected to be granted and sustained only as long as an individual meets basic eligibility and suitability for service criteria in addition to demonstrated and consistent adherence to the principles encapsulated in the New Member Pledge (see Figure 3-1). Moreover, membership hinges upon the demonstrated commitment to and practice of the Coast Guard's core values: Honor, Respect, and Devotion to Duty. These considerations are significant in the context and application of administrative discipline.

Membership shall be provided the minimal due process protections as set forth in this chapter, including consideration of an individual's length and quality of Auxiliary service in the event administrative discipline is applied. However, such consideration shall in no way be regarded as an assurance of mitigation given the circumstances concerning the frequency and/or gravity of any inappropriate action or behavior.

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### **F.2. Request for Investigation**

Any member of Coast Guard Forces (active duty, Reserve, Auxiliary or civilian employee), who believes an Auxiliarist has violated the governing policies established by the Commandant, may make a request for a preliminary investigation. A request must be clear in its intent and substance in order to be actionable (i.e., a report of just circumstances or opinions without the clear desire of the reporting source for investigation may not warrant action by the individual to whom it is reported). Moreover, a request for investigation does not in and of itself guarantee the conduct of an investigation. If the leader receiving the request needs additional information and/or documentation to determine whether a valid request for an investigation has been made, the leader receiving the request may ask in writing, or orally, for further information from the complainant in order to make the determination.

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F.2.a.  
Guidelines for  
Investigations

Prior to instituting any Coast Guard or Auxiliary disciplinary action towards an Auxiliarist, the pertinent facts surrounding the circumstances must be determined, including what offenses (if any) occurred, and any matters in defense or explanation. This request may be oral or in writing and shall be made to the leader at the lowest level of the organization capable of handling the complaint. The following guidelines apply to facilitate such determinations:

- (1) Matters that involve Flotillas Staff Officers (FSOs) and flotilla members should be directed to the Flotilla Commander (FC).
- (2) Matters that involve Division Staff Officers (SOs), committee members, or flotilla elected leaders should be directed to the Division Commander (DCDR).
- (3) Matters that involve division elected leaders should be directed to the appropriate District Captain (DCAPT).
- (4) Matters that involve district staff officers (including corresponding aides and committee members), Auxiliary Sector Coordinators (ASCs) and Auxiliary Unit Coordinators (AUCs), DCAPTs, the President of the Past Commanders Association, and Immediate Past District Commodores (IPDCOs) should be directed to the DCO.
- (5) Matters that involve the District Chief of Staff (DCOS) or the DCO should be directed to the appropriate Deputy National Commodore (DNACO).
- (6) Matters that involve National Staff should be directed to the appropriate Directorate Chief (DIR).
- (7) Matters that involve Directorate Chiefs should be directed to the appropriate Assistant National Commodore (ANACO).
- (8) Matters that involve ANACOs should be directed to the appropriate DNACO or the VNACO.
- (9) Matters that involve National aides, NACO staff members, DNACOs, the VNACO, the President of the National Association of Commodores (NAC), or the Immediate Past National Commodore (IPNACO) should be directed to the NACO.

The Director shall assist, as requested, in determining the appropriate level of organization to address complaints against members of their region. The Chief Director shall assist, as requested, in determining the appropriate level of organization to address complaints submitted to DIRs, ANACOs, and National Executive Committee (NEXCOM) members.



**F.2.b.**  
**Investigation**  
**Notification**  
**Requirements**

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It is of utmost importance that the subject of any request for investigation be kept apprised of all aspects of associated proceedings in timely fashion. Accordingly, the leader shall immediately notify, in writing, any Auxiliarist who is subject of a request for investigation of the following:

- (1) The basic grounds for the request.
- (2) The source of the request.
- (3) The right to address, in writing, an investigator or investigating committee prior to any report to the elected leader.
- (4) The elected leader's initial plan of action.

The leader shall provide the Auxiliarist with similar timely notifications at appropriate waypoints throughout the process.

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**F.3.**  
**Investigative**  
**Options**

The leader receiving a request for investigation shall make a determination as to the propriety of an investigation and take action as described in the following provisions. This determination shall be made within seven (7) days of receipt of the request.

Nothing shall preclude any leader, Director, Chief Director, Coast Guard officers in their respective chains of command, or a Coast Guard command that exercises order issuing authority over an Auxiliarist from initiating an investigation of any Auxiliarist's behavior, actions, or inactions based upon first-hand observation.

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**F.3.a.**  
**Investigation Not**  
**Warranted**

If the determination is that no investigation is warranted, then the leader shall notify the Director of such, including justification for the determination, via the chain of leadership and management. If the leader is a DIR, ANACO, or National Executive Committee (NEXCOM) member for matters as described in paragraph F.2 above, then the leader will notify the Chief Director, including justification for the determination, via the chain of leadership and management.

The Director, or Chief Director as appropriate, shall review the request and the justification for this determination, and shall confer directly with the leader about them to ensure awareness and understanding. If in concurrence, then the Director, or Chief Director as appropriate, shall notify the leader in writing (e-mail is acceptable), and the leader shall include mention of this concurrence in written replies to the Auxiliarist who submitted the request and the Auxiliarist who is the subject of the request. If not in concurrence, then the Director, or Chief Director as appropriate, shall notify the leader in writing (e-mail is acceptable), and the leader shall pursue investigation in accordance with the following section.

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**F.3.b.**  
**Investigation**  
**Warranted**

If the determination is that investigation is warranted, then the leader shall promptly notify the chain of leadership and management, in writing (e-mail is acceptable), including the Director, or Chief Director as appropriate, and the source of the request for investigation. The leader shall concurrently appoint, in writing, an Auxiliarist or committee to conduct the investigation. The leader may specify a period of time up to 60 days for a report of investigation to be completed and submitted.

Appointees may belong to the same Auxiliary unit as the Auxiliarist who is the subject of the investigation. However, the leader shall ensure that any appointee is clearly detached from any issues around which the investigation centers as well as clearly impartial in terms of the Auxiliarist who is the subject of the investigation.

If the leader appoints a committee, it will consist of two to three people who may be any members of Coast Guard Forces. The leader shall work with the Director, or Chief Director as appropriate, to facilitate the identification and appointment of non-Auxiliary committee members as well as to employ appropriate reference to the Coast Guard Administrative Investigations Manual, COMDTINST M5830.1 (series), for general guidance about investigation elements and format (e.g., findings of fact, opinions, recommended action).

The leader shall also concurrently notify the Auxiliarist who is subject of the investigation that investigative action is being pursued and that the Auxiliarist has the right to address, in writing, the investigator or investigating committee prior to any report to the leader.

**F.4.**  
**Preliminary**  
**Determination**

Once the report of investigation has been received, the leader shall make a preliminary determination as to whether or not a violation of Coast Guard or Auxiliary policy was committed by the Auxiliarist who is subject of the investigation. This preliminary determination shall be made within fifteen (15) days of receipt of the report of investigation and shall be made in consultation with the DSO-LP, if the leader serves at or below district level, or with the ANACO-CC, if the leader serves at the ANACO level or above.

**F.5.**  
**Non-Violation**  
**Determination**

If the leader determines that no violation of Coast Guard or Auxiliary policy occurred, then the leader shall notify in writing (e-mail is acceptable) all those who were initially notified of the investigation of such determination. This notification shall be made within five (5) days of its determination.



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**F.6. Violation**

If the leader determines that a violation of Coast Guard or Auxiliary policy occurred, then the leader shall notify in writing (e-mail is acceptable) all those who were initially notified of the investigation of such determination and shall proceed in accordance with sections G and H of this chapter, as appropriate. This notification shall be made within five (5) days of its determination.

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## Section G. Informal Disciplinary Action

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**Introduction** Informal disciplinary action provides the structured, non-judicial course of action that an Auxiliary unit elected leader or appropriate appointed leader (hereinafter referred to as “the leader”) should follow when the determination is made pursuant to provisions of section F of this chapter that a minor violation of Coast Guard or Auxiliary policy has occurred. It is meant to document and address the commission and correction of such violation.

Although the Director, Chief Director, and Coast Guard commands that exercise order issuing authority over Auxiliarists may administer informal disciplinary action as described in this section, it is principally designed and intended for application by the Auxiliary chain of leadership and management.

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- G.1. Infractions Warranting Informal Disciplinary Action** Infractions that may warrant informal disciplinary action include, but are not limited to:
- a. Failure to apply and adhere to Coast Guard core values in the conduct of Auxiliary programs.
  - b. Exerting a disruptive influence upon the conduct of Auxiliary business.
  - c. Flagrant and/or repeated uniform or grooming violations.
  - d. Unintentionally compromising or mishandling Coast Guard or Auxiliary examinations, privacy act information, or sensitive official message traffic or correspondence.
  - e. Unwarranted violations or abuse of the chain of leadership and management. See paragraph C.1 of Chapter 1 relative to policies regarding the chain of leadership and management.
  - f. Failure to follow procedures prescribed by Coast Guard or Auxiliary written directives, procedures, standing rules, or policies. In reviewing a complaint of this nature, the facts must show that the Auxiliarist had knowledge or reasonably should have had knowledge of the directives, procedures, standing rules, or policies.
  - g. Misrepresentation in official correspondence or reports.
  - h. Misrepresenting Coast Guard authority, rank, Government title, or Auxiliary position or status, either implied or by design.
  - i. Failure to follow established patrol procedures as prescribed by written directives or policies.
  - j. Failure to follow published Auxiliary web policies and guidelines.
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**G.2. Elements and Types of Informal Disciplinary Action**

In the administration of any type of informal disciplinary action, the nature of such action shall be documented and communicated by the leader to the Auxiliarist who is subject of the action, in writing (by memo or letter), within 10 days of that leader’s determination of the propriety of such disciplinary action. This documentation may be combined with the notification required by paragraph F.6 of this chapter. Copies of such correspondence shall be provided to all those who were initially notified of the investigation, including the appropriate Director even in situations that involve National elected staff officers, aides, and committee members.

**G.2.a. Elements of Informal Disciplinary Action**

The leader shall ensure that such correspondence describes, as a minimum:

- (1) The unacceptable conduct.
- (2) Any specific deficiencies on the part of the Auxiliarist.
- (3) That any statements submitted by the Auxiliarist were considered.
- (4) The expected and acceptable behavior.
- (5) The effective period of the action (which shall not exceed three years from the date of issuance).
- (6) The right to appeal as described in paragraph G.3 below.

**G.2.b. Types of Informal Disciplinary Action**

Types of informal disciplinary action that may be administered pursuant to this section include:

- (1) Counseling session.
- (2) Suspension of web privileges.
- (3) Letters of Caution.

These types of informal disciplinary action may be administered individually or in combination.

**G.2.c. Counseling Session**

A counseling session is a documented discussion between the leader, the complainant (if other than the leader), and the subject Auxiliarist. It may be applied for any circumstance that has been determined to warrant informal disciplinary action.

**G.2.d. Suspension of Web Privileges**

Suspension of Auxiliary web privileges may be applied as an informal disciplinary action for violation of Auxiliary web policies and guidelines.

**G.2.e. Letter of Caution**

A Letter of Caution shall be specifically titled as such and addressed to the Auxiliarist who is subject of the informal disciplinary action. It may be applied for any circumstance that has been determined to warrant informal disciplinary action. A Letter of Caution meets the requirement for documentation and communication described in paragraph G.2 above.




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Auxiliary unit elected leaders, DIRs, ANACOs, and NEXCOM members are authorized to issue Letters of Caution.

In addition to its application as a tool of informal disciplinary action, a duly titled Letter of Caution may be independently issued by the above authorized elected and appointed officers, as well as elected officers in a Vice position at any organizational level, as a tool to address and improve performance of assigned staff duties and responsibilities. When so applied, a Letter of Caution is not subject to the provisions of section G of this chapter.

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**G.3. Appeal of Informal Disciplinary Action**

An Auxiliarist may appeal, in writing (memo or letter), an informal disciplinary action that is not purely counseling in nature (e.g., a Letter of Caution that only counsels an Auxiliarist may not be appealed). Such appeal must be made within thirty (30) days of the written date of the notification described in paragraph G.2 above. The recipient of the appeal shall ensure that a copy is provided to the Director and the Chief Director, as appropriate. Section J of this chapter contains additional appeal guidance.

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**G.4. Disposition Upon Completion of Informal Disciplinary Action**

If no further disciplinary actions are recorded or pending upon completion of the informal disciplinary action's effective period, then the Director shall remove all associated documentation from the Auxiliarist's file. The documentation may also be removed at any time during the specified duration if the leader, upon joint review with the Director (or Chief Director, as appropriate) of present circumstances, determines that such removal is appropriate. Upon removal, a separate permanent record shall be retained by the Director for the sole purpose of documenting prior disciplinary action should the need arise. The leader may also retain such a file.

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## Section H. Formal Disciplinary Action

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**Introduction** Formal disciplinary action provides the structured, non-judicial course of action that an Auxiliary unit elected leader or appropriate appointed leader (hereinafter referred to as “the leader”) should follow when the determination is made pursuant to provisions of section F of this chapter that a major violation of Coast Guard or Auxiliary policy has occurred. It is meant to document and address the commission and correction of such violation.

Although the Director, Chief Director, and Coast Guard commands that exercise order issuing authority over Auxiliarists may administer formal disciplinary action as described in this section, it is principally designed and intended for application by the Auxiliary chain of leadership and management.

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**H.1. Infractions Warranting Formal Disciplinary Actions** Infractions that may warrant formal disciplinary actions include, but are not limited to:

- a. Failure to apply and adhere to Coast Guard core values in the conduct of Auxiliary programs to a greater degree than that warranting informal disciplinary action.
- b. Exerting a disruptive influence upon the conduct of Auxiliary business to a greater degree than that warranting informal disciplinary action.
- c. Any action which may or does bring discredit to the Coast Guard or Coast Guard Auxiliary, whether assigned to duty or not. This includes violation of the Commandant’s zero tolerance policy on drug/alcohol abuse, as evidenced by driving or boating under the influence or while intoxicated (DUI/DWI) convictions, as well as conviction of a state or federal felony or misdemeanor related to drug possession or use, sexual deviation, or aggravated assault after exhaustion of any appeals.
- d. Refusing to follow regulations for the wearing of the Auxiliary uniform or insignia, including misrepresentation as a Coast Guard employee, or flagrant or repeated misuse of rank, titles, or insignia.
- e. Misuse of Coast Guard or Auxiliary funds or property, including the use of Coast Guard or other government property without proper authority.
- f. Repeated actions prejudicial to the good order of the Auxiliary or any of its programs, as documented in the Auxiliarist’s record.
- g. Failure to follow appropriate civil rights laws, the Commandant’s Equal Opportunity Policy Statement, and/or the Commandant’s Anti-Discrimination and Anti-Harassment Policy Statement.

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- h. Any attempt to deceive or issue false official statement, oral or written, including when involved with an enrollment application, a facility offer of use, a facility inspection or vessel examination, test taking and administration, and performance reporting and recognition. This includes forging signatures on an official document as well as falsification of an official record.
  - i. Breaches of electronics and communications protocols or any other public communications media, so as to reflect discredit or to publicly embarrass the Coast Guard or Auxiliary.
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**H.2. Elements and Types of Formal Disciplinary Action**

If a violation is deemed to be serious by the leader upon completion of the investigation, then the leader shall notify the DCO and the Director, or the NACO and the Chief Director as appropriate, in writing (by memo or letter) via the chain of leadership and management with the recommendation to commence formal disciplinary action.

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H.2.a. Elements of Formal Disciplinary Action

The leader shall ensure that such correspondence includes the complete investigation package and describes, as a minimum:

- (1) The unacceptable conduct.
- (2) Any specific deficiencies on the part of the Auxiliarist.
- (3) That any statements submitted by the Auxiliarist were considered.
- (4) The expected and acceptable behavior.
- (5) The recommended formal disciplinary action.

The leader shall concurrently send a copy of the written notification, without copy of the investigation package, to the Auxiliarist who is subject of the investigation.

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H.2.b. Types of Formal Disciplinary Action

Types of formal disciplinary actions that may be administered pursuant to this section include suspension of any and all aspects of an Auxiliarist's membership, including:

- (1) Suspension or revocation of any offer-for-use.
  - (2) Suspension or revocation of any qualification and/or certification.
  - (3) Suspension or revocation of any elected and/or appointed office, accompanied by the denial to wear any insignia or past officer pin for such office.
  - (4) Suspension of eligibility for elected office and/or availability for appointed office.
  - (5) Suspension of any of the following membership privileges:
    - (a) Participation in any Coast Guard or Auxiliary training programs, including C-schools.
    - (b) Use of CGES facilities and services, pursuant to the restrictions contained in the Coast Guard Non-Appropriated Fund Instrumentalities Manual, COMDTINST M7010.5 (series), for all but uniform purchases.
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(c) Authorized access to the Coast Guard MWR program for its services as described in the Coast Guard Morale, Well-Being, and Recreation Manual, COMDTINST M1710.13 (series).

- (6) Loss of time toward Auxiliary longevity awards and retirement.
- (7) Letter of Reprimand.
- (8) Disenrollment.

These types of formal disciplinary action may be administered individually or in combination, with the exception of disenrollment which shall be administered separately and immediately.

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**H.3.  
Leadership  
Review, Initial  
Notification,  
and Response**

Upon receipt of the notification package from the leader, the DCO and the Director shall each review the package, confer with the DSO-LP as necessary (the NACO and the Chief Director shall confer with ANACO-CC, as necessary), and make a determination as to the propriety of formal disciplinary action as well as whether the action shall be taken solely by one of them or jointly together (e.g., a Letter of Reprimand that consists solely of an admonishment without suspension or revocation of any aforementioned privileges or qualifications, may be signed by both the DCO and the Director).

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H.3.a.  
Notification of  
Disciplinary  
Action

The DCO and/or the Director shall jointly notify, in writing (by memo or letter), the Auxiliarist who is the subject of an investigation of their determination within 30 days of the receipt of the notification package (if the DCO and the Director received the notification package on different dates, then the 30 days shall be measured from the latter date). Such notification shall include a summary of allegations, the facts and information upon which this determination has been based, and the processing of the investigation up to that point. Copies of this correspondence shall be provided to all those who were initially notified of the investigation, including the appropriate Director in situations that involve National elected staff officers, aides, and committee members.

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H.3.a.(1)  
Informal  
Disciplinary  
Action

If the determination is that informal disciplinary action is appropriate, then such notification shall so state and indicate that the package will be sent back to the leader for disposition. The package shall be sent back to the leader within five days of this notification.

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**H.3.a.(2) Formal Disciplinary Action** If the determination is that formal disciplinary action is appropriate, then such notification shall so state (a description of specific formal disciplinary action is not required to be provided at this time). Additionally, the Auxiliarist who is the subject of the investigation shall be notified of their opportunity to respond again to the allegation(s), including factors for which the Auxiliarist may desire consideration by the DCO and/or the Director before imposition of any formal disciplinary action. The Auxiliarist shall have 30 days from the date of the notification memo (or letter) to submit such response in writing (by memo or letter). Any denials of an allegation(s) not made in good faith may alone provide sufficient basis to warrant additional disciplinary action. This written response shall be in addition to anything submitted during the investigation.

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**H.4. Letter of Reprimand**

A Letter of Reprimand is a form of formal disciplinary action. It shall be specifically titled as such and addressed to the Auxiliarist who is subject of the formal disciplinary action. It may be applied for any circumstance that has been determined to warrant formal disciplinary action with the exception of disenrollment.

Only DCOs, Directors, the NACO, and the Chief Director are authorized to issue Letters of Reprimand. Before issuing any Letter of Reprimand, the DCO and Director, or the NACO and Chief Director, should discuss the situation and agree on appropriate wording and content. Letters of Reprimand may be jointly signed by these pairs of leaders if it consists solely of an admonishment without suspension or revocation of any aforementioned privileges or qualifications. Such letters shall be issued on the letterhead of the Director or Chief Director, as appropriate, and a copy shall be sent to the SECCEN.

In addition to its application as a form of formal disciplinary action, a duly titled Letter of Reprimand may be independently issued by the NACO or Chief Director to National Board members, National Staff members, ANACOs, or other NEXCOM members as a tool to address and improve performance of assigned duties and responsibilities. When so applied, a Letter of Reprimand is not subject to the provisions of section H of this chapter.

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**H.4.a. Content**

A Letter of Reprimand will discuss the specific improper action(s) and the acceptable standards. It will include consideration of any written statements submitted by the subject Auxiliarist and how such statements influenced the decision. References to any previous disciplinary action(s) may be included.

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If the Letter of Reprimand consists solely of an admonishment without suspension or revocation of any aforementioned privileges or qualifications, then the subject Auxiliarist shall be advised that the letter may not be appealed but that a written reply may be made within 30 days of the date of the Letter of Reprimand. Additionally, that such a reply will be retained by the Director, along with the Letter of Reprimand, in the Auxiliarist's service record commensurate with the letter's specified effective period.

If the Letter of Reprimand includes formal disciplinary action beyond admonishment, then the subject Auxiliarist shall be advised that the letter may be appealed in accordance with the provisions of section J of this chapter. Additionally, that such appeal and its outcome shall be retained by the Director, along with the Letter of Reprimand, in the Auxiliarist's service record commensurate with the letter's specified effective period.

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H.4.b. Effective Period

The effective period for a Letter of Reprimand shall not exceed three years without the concurrence of both the DCO and the Director. The effective period for ineligibility for elected office and/or non-availability for appointed office, if any, including vacating any elected or appointed office, and the denial to wear any insignia or past officer pin for such office, shall be determined by the DCO and the Director.

For National elected leaders and staff officers, the same provisions apply, but cannot exceed three years without the concurrence of the NACO and the Chief Director.

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H.4.c. Removal of Letter

A Letter of Reprimand may be removed from an Auxiliarist's service record at the discretion and agreement of the DCO and the Director, or the NACO and the Chief Director as appropriate, when they feel the situation is corrected.

If, after the effective period, no further adverse action is reported, then the Letter of Reprimand and all associated documentation relating to it shall be removed from the Auxiliarist's service record. A separate permanent file of the Letter of Reprimand and all associated documentation shall be separately retained by the Director for the sole purpose of documenting prior discipline should the need arise.

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## **H.5. Disenrollment**

Disenrollment may be exercised as a form of formal disciplinary action. When so exercised, it shall not be applied in conjunction with any other form of disciplinary action.

The authority for disenrolling an Auxiliarist rests with the Commandant, who has delegated this authority to the Director and the Chief Director. No Auxiliarist may disenroll another Auxiliarist.

### **H.5.a. Basis for Disenrollment**

The Director (or the Chief Director, as applicable) may exercise the authority to disenroll a member for any one of the following reasons:

- (1) Upon an Auxiliarist's request.
- (2) Pursuant to provisions regarding the failure to pay financial obligations (i.e., dues).
- (3) Upon an Auxiliarist's ceasing to possess the qualifications for membership, including pursuant to formal disciplinary action.
- (4) For cause.
- (5) Upon direction of the Commandant.
- (6) Upon death.

Subsequent to all disenrollments, the Director shall make appropriate notifications to ensure the individual is appropriately removed from distribution lists (e.g., removal from electronic address lists).

### **H.5.a.(1) Upon Request**

An Auxiliarist may request disenrollment at any time at their prerogative. Such request must be in writing and submitted to the FC. The FC shall promptly forward all such requests to the Director, with a copy to the DCDR and the DSO-HR. Appropriate efforts should be made by the Auxiliarist's chain of leadership to determine the reason for such request before it is forwarded to and processed to completion by the Director, but nothing shall unduly hinder an Auxiliarist's desire to disenroll.

If an Auxiliarist still wishes to resign after consultation with the chain of leadership, then the Director will request return of the Auxiliarist's ID card and the return of any Government or Auxiliary owned property in the Auxiliarist's possession. Upon receipt of the written request, the Director shall remove the Auxiliarist's name from the regional AUXDATA rolls and provide written acknowledgement to the individual of their request, service, and disenrollment.




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If an Auxiliarist's request for disenrollment is received by anyone in the chain of leadership at any time while the Auxiliarist is subject of investigative action that may result in any form of disciplinary action, then the Director shall be immediately notified of such request. The request shall be processed as normal. However, the Director may withhold disenrollment action, given these circumstances, until completion of the investigation and any subsequent disciplinary action. Such action by the Director shall not be subject to appeal.

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H.5.a.(2) Failure to Pay Financial Obligations

It is the responsibility of all Auxiliarists to meet their financial obligations (i.e., payment of dues) in accordance with regional and local provisions and timelines. Failure to do so shall result in disenrollment. Upon removal of the Auxiliarist's name from the regional AUXDATA rolls, the Director shall provide written acknowledgement to the individual of their service and disenrollment. This disenrollment action shall not be subject to appeal. The Director may restore the Auxiliarist's time, certifications, and all aspects of membership status if the Auxiliarist applies for re-enrollment, concurrent with full restitution, within three months of disenrollment.

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H.5.a.(3) Ceasing to Possess Qualifications for Membership

The Director may disenroll an Auxiliarist whenever it is determined that the Auxiliarist ceases to possess any of the qualifications for membership set forth in this chapter. This includes a determination made pursuant to investigation that results in disenrollment as the appropriate form of disciplinary action.

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H.5.a.(4) For Cause

Any infraction outlined in this section and sections F and G of this chapter may lead the Director to disenroll a member. However, if in the Director's opinion, an Auxiliarist's action(s), though not cited in this section and sections F and G of this chapter, has a disruptive impact that adversely affects the normal operations, administration, functions, and/or resource allocations to support them for the Auxiliary, Coast Guard unit, or other entity, then the Director may take appropriate disciplinary action including disenrollment. Appeal of such action may be made pursuant to section J of this chapter.

The Director shall take such action based upon all available information presented or after initiating further inquiry to gather additional relevant facts when, in the Director's judgment, it is deemed necessary. Such detrimental conduct may arise from a single incident or be the result of a pattern of conduct which warrants immediate disciplinary action by the Director so as to preserve program integrity and/or the good order of the Auxiliary.

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H.5.a.(5)  
Commandant  
Direction

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When so directed in writing by the Commandant, an Auxiliarist will be disenrolled by the Director.

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H.5.a.(6) Death

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An Auxiliarist's death should be verified by the best available means before disenrollment action is taken. Upon removal of the Auxiliarist's name from the regional AUXDATA rolls, the Director should provide written acknowledgement to the next-of-kin of their service. If no next-of-kin can be readily identified, then such acknowledgement should be addressed to the Auxiliarist's FC.

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## Section I. Temporary Suspensions

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**Introduction** Recognizing that Auxiliary membership is a privilege, not a right, at any point during the processing of an Auxiliarist's PSI or pursuant to sections F thru H of this chapter, an Auxiliarist may be subject to temporary suspension action as described in this section, pending the outcome of the proceeding. This section describes suspension authority, effect on duties, and other related matters.

**I.1. Authorization and Scope** The Director is authorized to place temporary suspensions in effect throughout the completion of a PSI or disciplinary proceeding. The Director shall consult with the DCO before imposition of any temporary suspension action. If an involved Coast Guard command or program authority deems temporary suspension of an Auxiliarist as an appropriate course of action during the course of an investigation involving the Auxiliarist, then the Coast Guard command or program authority shall consult and work with the cognizant Director to effect same.

Temporary suspension action should not normally be taken during the course of a matter that would likely result in informal disciplinary action, nor in cases of PSIs that are likely to result in an Unfavorable DO determination but a Favorable OS determination.

Temporary suspension action extends to the suspension of any and all aspects of an Auxiliarist's membership, including those listed in paragraph H.2 of this chapter. This suspension must be in writing (memo or letter) to the Auxiliarist, and it must detail the reason, terms, and length of the suspension. The length of the suspension may be defined by a specific number of days, weeks or months, by a specific date, or simply through the completion of the investigation or proceeding (e.g., completion of a criminal trial and appeal process).

**I.2. Effect on Leader Duties, Qualifications, Certifications, and Membership** The following provisions describe actions that may or must be taken regarding elected and appointed offices, qualifications and certifications, and Auxiliary membership time with respect to temporary suspensions and whether or not disciplinary action is awarded.

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**I.2.a. Leader Duties**

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If any qualification and/or certification are suspended, and the Auxiliarist is the senior elected leader of an Auxiliary unit, then the suspension shall include elected leader duties. If the Auxiliarist whose qualification and/or certification are suspended is an elected leader or the immediate past Auxiliary unit elected leader, but not the senior elected leader of an Auxiliary unit or an appointed leader, then the suspension may include elected and/or appointed office duties.

An Auxiliarist may resume the duties of these offices when full Auxiliary rights and privileges are regained and if the term of office has not expired.

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**I.2.b. Qualifications and Certifications**

If, as a result of the terms and duration of any temporary suspension, an Auxiliarist is unable to maintain a qualification or certification of any type, and if any disciplinary action is awarded, informal or formal, then the Director may formalize the loss of such qualification or certification. The Auxiliarist would then be responsible for all appropriate requalification or recertification action.

If, as a result of the terms and duration of any temporary suspension, an Auxiliarist is unable to maintain a qualification or certification of any type, and if no disciplinary action is awarded, then the Director shall fully restore the Auxiliarist's qualification or certification to the status at the commencement of the temporary suspension. The Director may also waive any requalification or recertification requirements in order to sustain the Auxiliarist's currency, if appropriate.

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**I.2.c. Membership**

If any disciplinary action is awarded, informal or formal, then the Director may deduct the duration of any associated temporary suspension from the Auxiliarist's membership as it may apply toward any longevity awards and retirement.

If no disciplinary action is awarded, then the Director shall ensure that the duration of any associated temporary suspension is fully credited toward any subsequent longevity awards and retirement.

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**I.3. Extensions**

If an investigation, including PSI under adjudication, requires additional time, then an associated suspension may be extended accordingly if a specific time period or date was initially defined. The extension's circumstances must be explained in writing (memo or letter) to the Auxiliarist, and the Auxiliarist may appeal such extension to the Director's supervisor.

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**I.4. Appeal**

An Auxiliarist who receives notice of temporary suspension of any type may appeal the Director's action directly to the Director's supervisor. Such an appeal must be submitted in writing (memo or letter) within 20 days of the date of the Director's notice of temporary suspension. Temporary suspensions will remain in effect, unless overturned on appeal.

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**I.5. Notification Regarding National Leadership and Staff**

The Director shall immediately notify the NACO and the Chief Director of any temporary suspension action taken against a NEXCOM member, ANACO, National Staff member, or National Board member.

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**I.6. Temporary Suspension of Director's Services**

Notwithstanding temporary suspension action that may be taken by the Director against individual Auxiliarists as previously described in this section, the Director may also temporarily suspend the administrative services of the Director's office to any Flotilla and/or Division that fails to comply with repeated requests for information necessary to facilitate administration and accountability for the smooth conduct of regional Coast Guard and Auxiliary business. For example, repeated requests by the Director for an inventory or viewing of Coast Guard property in the custody of a Flotilla that are not acknowledged or not accommodated may result in the Director's temporary suspension of any or all of the Director's administrative services to the entire Flotilla until such requests are fully accommodated. The Director may only take such action after:

- a. duly and reasonably working with the Auxiliary unit's chain of leadership;
- b. consultation with and approval by the NEXCOM; and,
- c. concurrent with written notification (memo or letter) to the senior elected leader of the specific Auxiliary unit (copy to elected leaders in the Auxiliary unit's chain).

Such action is not subject to appeal.

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## Section J. Appeals of Disciplinary and PSI Actions

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**Introduction** Appeals may be made for both informal and formal disciplinary actions as well as Unfavorable OS PSI determinations that lead to disenrollment. This section describes the processes and procedures for appeals under these circumstances. Failure of any appeal to meet established submission deadlines may be viewed by the appeal authority to whom it is submitted as sufficient cause for the forfeiture of review. If so viewed, then the disciplinary action shall stand as issued. Therefore, any Auxiliarist who is subject of disciplinary action or an Unfavorable OS PSI determination and who desires to appeal such action is strongly encouraged to promptly submit an appeal.

**J.1. Informal Disciplinary Actions** Appeal of informal disciplinary action must be made in writing (memo or letter) within 30 days of the written date of notice of the action. It must be directed in accordance with the following provisions and without endorsements from the chain of leadership and management:

- a. Appeal of an informal disciplinary action taken by an Auxiliary elected leader shall be to the senior Auxiliary elected leader at the next higher level in the chain of leadership and management within the district or region.
- b. Appeal of an action taken by a DCO shall be to the appropriate DNACO.
- c. Appeal of an action taken by a DNACO, ANACO, VNACO, or Directorate Chief shall be made to the NACO.
- d. Appeal of an action taken by the NACO shall be made to the Chief Director.
- e. Appeal of an action taken by the Director shall be made to the Director's supervisor, unless otherwise noted.

The authority to which an appeal is made shall conduct a complete review of the entire record of the informal disciplinary action, with appropriate Auxiliary or Coast Guard legal counsel, and make a determination that revokes, modifies, or sustains the informal disciplinary action. The standard of review shall be limited to whether prescribed disciplinary procedures were followed. The appeal authority shall notify, in writing (memo or letter), the Auxiliarist who is subject of the action of such determination with copies to the authority who issued the informal disciplinary action, and the Director, or Chief Director, as appropriate.

The determination of the appeal authority shall be final.

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**J.2. Formal  
Disciplinary  
Actions and  
Disenrollments**

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Appeal of formal disciplinary action must be made in writing (memo or letter) within 30 days of the written date of notice of the action.

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**J.2.a. Appeal of  
DCO's Action**

Appeal of a formal disciplinary action taken by a DCO must be made in writing (memo or letter) to the appropriate DNACO within 30 days of the written date of notice of the action.

The DNACO shall conduct a complete review of the entire record of the formal disciplinary action, with appropriate Auxiliary legal counsel, and make a determination that revokes, modifies, or sustains the formal disciplinary action. The standard of review shall be limited to whether prescribed disciplinary procedures were followed. The DNACO shall notify, in writing (memo or letter), the Auxiliarist who is subject of the action of such determination with copy to the DCO and the Director.

The DNACO's determination shall be final.

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**J.2.b. Appeal of  
NACO's Action**

Appeals of formal disciplinary action taken by the NACO must be made in writing (memo or letter) to the Chief Director within 30 days of the written date of notice of the action.

The Chief Director shall conduct a complete review of the entire record of the formal disciplinary action, with appropriate Coast Guard legal counsel, and make a determination that revokes, modifies, or sustains the formal disciplinary action. The standard of review shall be limited to whether prescribed disciplinary procedures were followed. The Chief Director shall notify, in writing (memo or letter), the Auxiliarist who is subject of the action of such determination with copy to the NACO and the Director.

The Chief Director's determination shall be final.

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**J.2.c. Appeals of  
Director's Action**

Appeal of formal disciplinary action taken by the Director must be made in writing (memo or letter) to the Director's supervisor within 30 days of the written date of notice of the action.

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The Director's supervisor shall conduct a complete review of the entire record of the formal disciplinary action, with appropriate Coast Guard legal counsel, and make a determination that revokes, modifies, or sustains the formal disciplinary action. The standard of review shall be limited to whether prescribed disciplinary procedures were followed. The Director's supervisor shall notify, in writing (memo or letter), the Auxiliarist who is subject of the action of such determination with copy to the DCO and the Director.

The Director's supervisor's determination shall be final.

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J.2.d. Appeals of  
Chief Director's  
Action

As the Commandant's program manager for the Auxiliary, any disciplinary action taken by the Chief Director shall be final and not subject to appeal.

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J.2.e.  
Disenrollment  
Appeals

Appeal of disenrollment resulting from formal disciplinary action must be made in writing (memo or letter) to the District Commander within 30 days of the written date of notice of the disenrollment.

Appeals of disenrollment to the District Commander shall include a complete review of the entire record of either the formal disciplinary action or the PSI package, with appropriate Coast Guard legal counsel. The standard of review shall be limited to whether prescribed disciplinary procedures were followed. The District Commander shall make a determination that revokes or sustains the disenrollment. In the case of disenrollment stemming from formal disciplinary action, the District Commander may also make independent findings of facts and conclusions that warrant a lesser form of disciplinary action than disenrollment and issue such accordingly. The District Commander shall notify, in writing (memo or letter), the Auxiliarist who is subject of the action of such determination with copy to the DCO and the Director.

If the District Commander's determination includes revocation of disenrollment and a lesser form of disciplinary action, then the Director may deduct the duration of the disenrollment period from the Auxiliarist's membership as it may apply toward any longevity awards and retirement.

If the District Commander's determination includes revocation of disenrollment without any lesser form of disciplinary action, then the Director shall ensure that the duration of any associated temporary suspension is fully credited toward any subsequent longevity awards and retirement. This provision shall apply to the revocation of disenrollment stemming from an Unfavorable OS PSI determination.

The District Commander's determination shall be final.

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**J.3. Additional  
Procedural  
Rules for  
Appeals**

The following additional procedural rules apply for all appeals:

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**J.3.a. Effect of  
Appeal**

No appeal, once submitted, shall in any way suspend the implementation of any disciplinary action once issued during the processing of the appeal.

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**J.3.b. Right to  
Appeal and  
Right to Object**

The right of appeal extends only to an Auxiliarist who is the subject of disciplinary action and to no other person.

Notwithstanding this section in terms of disciplinary action, a complainant may communicate in writing (memo or letter) their objection to the degree of disciplinary action taken within 30 days of the written date of notice of the action. Such objection shall be submitted to the appeal authority whether or not any appeal was submitted. The appeal authority is under no obligation to review any part of the record of the disciplinary action in response to such objection.

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## Section K. Information Retention and Handling

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**Introduction** This section describes the requirements for retaining information obtained during the course of investigating complaints and of processing appeals to disciplinary actions.

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**K.1. Records** Copies of any records of any disciplinary action taken with regard to an Auxiliarist shall be retained by the Director for up to three years from the date of the action, in accordance with the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series).

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**K.2. Record Removal** As described above, these records shall be removed from an Auxiliarist's service record if no subsequent disciplinary action has been initiated or finalized during the specified period of time. These records shall be placed in a separate permanent file, independent of the Auxiliarist's service record, retained by the Director for the sole purpose of documenting prior disciplinary action should the need arise.

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