From: CDR Scott Rogerson, USCG (Fifth Northern Director of Auxiliary)
To: Fifth Northern Auxiliary Members & Prospective Members

Subj: PERSONNEL SECURITY INVESTIGATIONS – FREQUENTLY ASKED QUESTIONS

Top Questions Regarding Personnel Security Investigations in Fifth Northern

WHY ARE PSIs REQUIRED?
Today’s Auxiliary is an integral component of Team Coast Guard. As such, all Auxiliarists must be vetted for membership. See the Auxiliary Manual and multiple ALCOAST messages (available on-line) for greater details.

WHAT IF I DON’T PARTICIPATE IN THE PSI PROCESS?
You will not be permitted to join the Auxiliary.

HOW DO I KNOW MY PRIVACY WILL BE PROTECTED?
You complete the forms per the guidance below and meet with a designated/qualified Fingerprint Technician (FP) to complete the required Fingerprint Cards. You may or may not allow/desire the FP to look at your forms; that is clearly a personal decision that only you can make. Be sure to submit complete and legible forms (and the right ones) or your submission will be returned. Once you and your FP are satisfied that your complete and legible package (with all the right forms) is ready for submission, your FP or Flotilla Commander (FC) should seal everything in an envelope for submission to my office in Philadelphia, clearly marking the envelope to indicate that it contains an Enrollment (for new members) or DO PSI package (for upgrades for existing members). On receipt in DIRAUX, submissions are reviewed to ensure that they are complete and legible, entries are made in AUXDATA, and the forms & FP cards are mailed to the Coast Guard Security Center for investigation (using DHL).

WHAT IS “OS” VERSUS “DO”?  
OS stands for Operational Support and is the type of PSI that prospective members should submit. DO stands for Direct Operational and applies to EXCOM, Fingerprint Technicians, Auxiliarists in the Aviation Program (regardless of qualification/level), and select Auxiliarists as determined/required by local operational commanders (e.g., Watch Standers at Sector Delaware Bay). See ALCOAST 231/06 and the Auxiliary Manual for more information.

WHAT DOES AN ENROLLMENT PACKAGE CONSIST OF?
See the most recent 5NR Enrollment Checklist.

WHAT DOES A DO PACKAGE CONSIST OF?
Beginning in 2007, Direct Operation submissions will be done differently than in the past. Specifically, SF-86s will be done through a web-based program, with signature pages and FP cards submitted separately. See your FP for guidance. Additional details will be published as necessary.

WHAT IF I HAVE A RECENT OR CURRENT BACKGROUND CHECK OR CLEARANCE?
The Security Center is able to research Prior & Current Clearances within the last 10 years and may be able to find you Favorable (for OS or DO as required) if you provide documentation that clearly indicates what agency investigated you, at what level, and when. Contact your local FP with any questions about this option.

Enclosure ( )
WHEN AND HOW CAN I EXPECT TO HEAR THAT I WAS FOUND FAVORABLE?
For new members, you will know you were found Favorable when your enrollment is fully processed and you receive a Welcome Aboard Letter (along with a Coast Guard Auxiliary ID Card). DIRAUX does not notify members individually when they are found Favorable (SECCEN & DIRAUX do contact members for Unfavorable findings) – the expectation is that DCPs, FPs or FCs will tell you when you show up as Favorable in monthly reports that are distributed via the chain of leadership and management.

WHAT HAPPENS IF I AM FOUND UNFAVORABLE?
First, you will be notified of what was found and given an opportunity to appeal/explain. Should you fail to reply to a first notification or not satisfactorily explain the matter; a second letter will be mailed to you. Follow the guidance in any letter(s) you receive from SECCEN. If you are found Unfavorable for DO but Favorable for OS (e.g., for major indebtedness issues), you will be permitted to remain in the Auxiliary but not to participate in programs or positions that require a Favorable DO. If you are ultimately found Unfavorable for OS (even after appeal…or if you do not reply), you will be disenrolled from the Auxiliary and notified accordingly.

WHAT IF I AM WORRIED ABOUT SOMETHING FROM MY PAST OR HAVE OTHER PERSONAL CONCERNS/QUESTIONS?
About 3% of 5NR members have been contacted by SECCEN for additional information for many different reasons. The majority of reasons can be summarized as follows (along with what action is usually appropriate):

- **Criminal History (ancient)** – These are most easily characterized as “youthful indiscretions” and are usually explained as “I was young, stupid, careless, with the wrong crowd, high or drunk, framed, and/or given bad legal advice.” I can request a waiver for these either up front (if you communicate the information with initial submission of your PSI package) or when you reply to the Security Center (which is usually thru me, but not always…it depends on the situation). In short, these are not that big a deal as long as you explain the issue to my satisfaction.

- **Criminal History (recent)** – These are tougher. I am less likely to request a waiver (if you were found guilty), but you will certainly be given an opportunity to explain what happened and how you have changed since the event(s) in question.

- **Medical Condition (for DO)** – The SF86 includes some questions about mental health. Answer these truthfully and completely, explaining what counseling you have sought (if applicable). This advice applies for initial submissions and for any subsequent contact from the Security Center.

- **Indebtedness (for DO)** – Direct Operational investigations include a review of your financial situation. You may be found Unfavorable for DO if you have significant debts. You will be given the opportunity to review what SECCEN finds for you and to either resolve the issues or explain what steps you are taking to resolve them. Individuals with light to moderate indebtedness who can convey that they are concerned about the situation and are engaged in resolving it (e.g., lay out a reasonable payment plan and timeline for resolution) may be found Favorable for Direct Operations (possibly with conditions or another caveat).

If you still have questions after reading all of this information and want to talk with me personally, you may call me at 215-271-4932 and I will do my absolute best to answer your questions/concerns and/or give you appropriate advice on how to proceed. Please see Chapter 3 and Appendix K of the Auxiliary Manual before calling me. Finally, please note that ultimately, I have an obligation to protect the integrity of the U.S. Coast Guard and USCG Auxiliary, a responsibility that I do not take lightly. Note: If you are contacted by SECCEN, please reply to them in accordance with the letter you receive from them. For requests for additional information, SECCEN mails a letter directly to you and you should mail a letter directly back to them. For Unfavorable findings, you should reply to SECCEN thru me so that I can evaluate your situation and decide how to proceed.

WHERE CAN I FIND OUT MORE?
See your local leadership (DCP, FC, FP), Chapter 3 & Appendix K of the Auxiliary Manual, and on-line at the 5NR web site, National web site, and/or Chief Director’s web site.