06SEP2019

FIFTH DISTRICT INSTRUCTION MMS-PR-AUX (D5NR 16791)-A-CHAPTER 02-(01)

Subj: FIFTH DISTRICT NORTHERN REGION (D5NR) AUXILIARY POLICY MANUAL – MEMBERSHIP & GENERAL INFORMATION

Ref: (a) Coast Guard Fifth District Northern Region Auxiliary Policy Manual, MMS-PR-AUX (D5NR 16791)-A-(series)
(b) Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series)
(c) Coast Guard Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series)
(d) Auxiliary Boat Crew Training Manual, COMDTINST M16794.51 (series)

1. **PURPOSE.** This manual outlines policies and procedures for the Coast Guard Auxiliary within Fifth District Northern Region (D5NR) per reference (a). The Auxiliary D5NR is comprised of Auxiliary units and the District Auxiliary staff in the state of Delaware, in areas of Pennsylvania and New Jersey that are within the Coast Guard Sector Delaware Bay area of responsibility. This manual supplements national level guidance provided by reference (b) and (c).

2. **ACTION.** Commanders, Commanding Officers, Officers in Charge, Director of Auxiliary and Auxiliarists within D5NR shall comply with the provisions of this instruction.

3. **DIRECTIVES AFFECTED.** The previous edition of the D5NR Policy Manual Chapter 02 (D5NRINST M16790.1d of 13 Mar 2012) is cancelled.

4. **DISCUSSION.** This manual has been revised due to recent changes in Coast Guard and Coast Guard Auxiliary. The D5NR Policy Manual (POLMAN) addresses policies and programs locally. It should be reviewed by regional Auxiliary leadership and referred to frequently for clarification and guidance, particularly in the support and execution of references (b) thru (d).

5. **CHANGES.** Recommendations for changes to this instruction are encouraged and forwarded to the Director of Auxiliary via the chain of leadership and management. A list of recent changes are included.

6. **PROCEDURES.** Official distribution of this manual will be via electronic copy to the Auxiliary Executive Committee (EXCOM) and e-mailed for distribution. An electronic version will be located at: https://5nr.org/diraux-guidelines-policies-and-manuals/

7. **PRIVACY COMPLIANCE.** When completed, the numerous forms identified or referred to in this instruction contain Personally Identifiable Information (PII). The Privacy Act of 1974, 5 U.S.C. 522a, mandates that agencies establish administrative, technical, and physical safeguards to ensure the integrity of records maintained on individuals. The Privacy Act also requires the protection against any anticipated threats which could result in substantial harm, embarrassment, or compromise to an individual. In order to maintain the public’s trust and prevent privacy breaches, the Coast Guard has a duty to safeguard all types of PII in its possession. Unintended disclosure or compromise of an individual’s PII constitutes a Privacy Incident and must be reported in accordance with COMDTINST
8. **RESPONSIBILITY**. Commander, Fifth Coast Guard District, Director of Auxiliary (dpa-n), is responsible for the content and upkeep of this instruction. Questions or concerns about this material contained in manual should be emailed to Director of Auxiliary (D5NR) at D5NRDIRAUX@USCG.MIL.

9. **DISCLAIMER**. This instruction is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational direction for Coast Guard personnel and is not intended nor does it impose legally-binding requirements on any party outside the Coast Guard.

10. **RECORDS MANAGEMENT CONSIDERATIONS**. All data and documents created for Coast Guard use and delivered to, or falling under the legal control of the Coast Guard are Federal records. Ensure that all records created as a result of processes described in this directive are maintained and disposed of in accordance with the Coast Guard Information and Life Cycle Management Manual, COMDTINST M5212.12 (series).

11. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS**. This directive will not have any of the following: significant cumulative impacts on the human environment, substantial controversy or substantial change to existing environmental conditions; or inconsistencies with Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from general policies in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates.

12. **FORMS AVAILABILITY**. All forms required by this instruction may be ordered from the Auxiliary National Supply Center.

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_Victoria L. Taylor, LCOR_  
17 Sep 2019

V. L. TAYLOR  
Lieutenant Commander, U.S. Coast Guard  
Fifth Coast Guard District Northern Region  
Director of Auxiliary
Significant changes to the D5NR Policy Manual made in this revision:

Chapter 2 – Membership and General Information

1. Updated per MMS-PR-AUX(D5NR 16791)-A-01
2. Incorporated the Security Center and/or COASTWATCH will do Personnel Security Investigations (PSI)
3. Updated Disenrollment date to 30 June for Non Payment of Current Year dues.
4. Updated the term Retired ID Cards to Retired Status Cards.
5. Updated Point of Contact for Travel Claims to be the DIRAUX office.
6. Updated Fifth Northern Region Auxiliary New Enrollment Checklist and Enrollment Process Guide
7. Updated Membership Dues to be in alignment with COMDTINST M1679.1 series Auxiliary Manual.
8. Added section for annual background checks / PSI.
9. Added uniform information that Dinner Dress White Jacket is worn at all D5NR DTRAINS, no matter the time of year.
10. Updated D5NR general calendar dates to align with new deadlines.
11. Added the D5NR ADMIN-1 Transfers within D5NR form.
12. Updated National and District Dues section to follow the Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series) guidelines.
13. Added the D5NR ADMIN-11 Member ID Card Information form.
15. Added D5NR ADMIN-2 Certification of Elections
16. Added D5NR ADMIN-7 Coast Guard Property Inventory
17. Updated Pay & Personnel Center’s (PPC)’s website – this used to be PSC.
18. Removed FINCEN as PPC is the best point of contact for travel claims.
19. Added D5NR FIN-1 Record of Receipts and Disbursements form.
20. Added D5NR FIN-2A Check Request Form (A).
21. Added D5NR FIN-2B Check Request Form (B).
22. Added D5NR FIN-3 Audit Committee Guide.
23. Added Upgrade to Personnel Security Investigation (PSI) Member Guidelines.
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CHAPTER 2

MEMBERSHIP & GENERAL INFORMATION

A. Enrollment and Disenrollment Procedures.

1. Enrollment Requirements.

   a. Introduction. To become a member of the United States Coast Guard Auxiliary, an applicant must meet general eligibility requirements for membership outlined in the Auxiliary Manual, COMDTINST M16790.1 (series). Applicants must complete the Auxiliary member enrollment program with the Flotilla Commander (FC) or the Flotilla Staff Officer-Human Resource (FSO-HR) and pass a short, open book general test about the basic structure of the Auxiliary. FCs must ensure that the prospective new member understands the Privacy Act Statement and implications of failing to properly disclose conviction of a felony or major misdemeanor in the appropriate section of the Enrollment Application form. Failing to do so could result in immediate denial of membership upon subsequent discovery of such. All applicants must ultimately be approved by the Director of Auxiliary (DIR Auxiliary).

   b. Enrollment Process. A complete enrollment package must be submitted for every new member. An incomplete package will not be processed. Notification will be sent to the FC with detailed information regarding required items that have been missed. It is incumbent upon the FC to ensure that all enrollment documentation is complete to prevent unnecessary delays. In order for a new member to be enrolled, counted, and credited in the current year, their complete enrollment package must be received by the DIR Auxiliary office no later than December 21. The required documents are as follows and the checklist can be found towards the bottom of this manual called the "Fifth Northern Region Auxiliary New Enrollment Checklist".

      (1) Enrollment Checklist Form

      (2) Enrollment Application (Auxiliary National Supply Center)(ANSC-7001)

      (3) Photo on a CD in JPEG format per guidelines in the CG Auxiliary Manual, COMDTINST M16790.1 (series) or via electronically to the DIR Auxiliary email, D5NRDIRAUX@uscg.mil.

      (4) Copy of state birth certificate, U.S. passport, or naturalization papers (or other authorized document) that verifies U.S. citizenship, with full first, middle, and last name.

      (5) Coast Guard Auxiliary Association Consent Form

Note: Documents are not to be stapled or double-sided.

c. A Unit check for the amount of current District and National dues (except for new members enrolling between October 1 and December 31) made payable to D5NR Auxiliary are sent directly to the District Staff Officer -Finance (DSO-FN). Individual checks must be submitted for each prospective member. Incomplete enrollment packages received during the “open” enrollment time frame will be subject to dues if discrepancies are not corrected by 21 December.
d. **Approval Pending Status.**

(1) The enrollee shall be recognized as a Coast Guard Auxiliarist for purposes of liability coverage and protection in the course of their Auxiliary training and program participation. Their status as reflected by AUXDATA shall remain Approval Pending (AP) until the completion of required Core Training and Basic Qualification courses are recorded in AUXDATA.

(2) Current guidance from the Chief Director’s office dictates what is authorized and not authorized for members in Approval Pending (AP) status. This information can be found in the Auxiliary Manual (AUXMAN) and on the D5NR web site: [https://5nr.org/diraux-guidelines-policies-and-manuals/](https://5nr.org/diraux-guidelines-policies-and-manuals/)

e. **DIRAUX Action.** Upon receipt of the prospective member enrollment package, the DIRAUX office will review the package and if complete:

(1) Process the application to the CG COASTWATCH team for a basic background check.

(2) On receipt of a favorable determination by the CG COASTWATCH team, DIRAUX shall enter the applicant’s information into the AUXDATA Program and place them in Approval Pending (AP) status. A Welcome letter shall be sent to the new member identifying their member number and unit. A membership certificate will be generated and mailed to the respective Division Commander (DCDR) for presentation.

(3) Upon completion of the required Core Training and Basic Qualifying Course series (BQII), DIRAUX will change the new member’s status (i.e., to Basically Qualified (BQ) = to indicate the member has successfully completed a boating safety course or to Initially Qualified (IQ) = to indicate that the member has not yet successfully completed a boating safety course), mail a letter of notification about the status change to the member, and mail the new ID card to their Flotilla Commander (FC).

(4) Open and maintain an electronic Auxiliary member service record.

(5) In the event of an unfavorable determination by the CG COASTWATCH team, the applicant will be notified by mail by DIRAUX. The letter will identify the reason(s) for the decision along with instructions for response or challenge. If no response or challenge is made the decision will stand as final and no further action will be taken.

f. **Re-enrollment of Former Members.** Former members must complete a full enrollment package and it must be forwarded to the DIRAUX office via the normal routing procedure for new enrollments as noted in A.1.b of this manual. The former member’s prior member number and disenrollment date must be entered in Section IV of the form. If this information is not known, the individual will receive a new member number. The disenrollment date directs DIRAUX to the correct archived file for retrieval of the Member Service Record. Former members may be considered for re-enrollment if they were separated from the Auxiliary for reasons other than conviction of a felony or an administrative determination.

g. **Re-Gaining Status and Qualifications.** If the former member has been out of the Auxiliary for more than two years and had attained Operational Auxiliarist (AUXOP) status or passed any specialty courses, then copies of appropriate supporting documents should be included in the request for re-enrollment. The member will be returned to AUXOP status upon completion of
the current AUXOP requirements. Re-enrolled members may regain program currency in accordance with current Auxiliary program requirements.

h. Return of Retired Members. Retired members must follow the same process outlined above for new applicants and former members. Retired members may regain any prior program currency in accordance with normal Auxiliary program requirements.

i. Annual PSI. Every D5NR Auxiliary member will have a background check/PSI each year. This process will not require any member action unless the background check/PSI results in an unfavorable determination.

2. Disenrollments. The authority for disenrolling a member rests with the Commandant who has delegated this authority to DIRAUX. Disenrollment request for non payment of current year dues must be submitted by the FC to the DSO-HR by 30 June. This allows the FSO-FN to maintain proper organization of financial records, reducing the number of disenrollments at the end of the year. Disenrollment requests must be postmarked to the DSO-HR by 15 November of each year in order to prevent the member’s disenrollment from being postponed into the following year (which would make the Flotilla responsible for the member’s dues for another year). While inactivity is not an authorized reason for disenrollment, every effort should be made to encourage members to remain active in Auxiliary programs. Once a disenrollment package has been forwarded from the Flotilla level, the only individuals who can request the DIRAUX office to stop processing it to completion are the FC and DSO-HR. In such cases, a preliminary phone request to DIRAUX must be followed by an e-mail or fax within 24 hours; otherwise the disenrollment will continue to be processed. As a general rule (with exceptions as determined by DIRAUX), D5NR members who depart Auxiliary service with more than 15 years of Auxiliary membership shall be placed in retired status. AP disenrollment forms must be signed by the DCDR and the FC. The deadline for DSO-HR submission to DIRAUX is 21 December to ensure end of year processing. The following describes disenrollment procedures:

a. Member’s Request. Every effort should be made to ensure that a member’s request for resignations is a last resort action.

(1) Member Action. The member shall complete a change of membership status form Auxiliary National Supply Center (ANSC) 7035, attach his/her identification card to the form and forward directly to their FC. The form must be signed by the member.

(2) FC. Every member joined for a reason. FCs should determine through personal contact why that reason no longer exists and if there might be some other interest that would keep the individual as a productive member. If the FC cannot obtain a response from the member, they must indicate the attempts they made to establish contact and include this information in the package that is forwarded to the DSO-HR.

(3) DSO-HR. The DSO-HR shall verify completeness of the disenrollment request/package and then forward the request/package to DIRAUX for action.

(4) DIRAUX. The DIRAUX office will acknowledge the completion of the disenrollment process by letter to the member that will include an open invitation to return to full membership status should the individual wish to do so at a later date.

b. Non-Payment of Financial Obligations.
(1) **Effort.** Every reasonable effort must be made to collect financial obligations incurred by a member in the course of their normal Auxiliary membership. While timely payment of financial obligations is expected of every member, non-payment of dues shall not be used as a convenient method for disenrollment.

(2) **FC Responsibility.** After appropriate attempts at notification, the Change of Membership Status form, ANSC-7035, should be used as a **final** effort to notify members that dues are payable. At least **two (2) documented** attempts by the FC, FSO-FN or someone designated by the FC to inform members that they are not meeting their financial obligations and that they could by disenrolled, the FC will document these actions on the ANSC-7035 form and forward it to the DSO-HR who will review, log, and forward to DIRAUX. Copies of any correspondence used to notify the member shall be attached to the form (i.e.: log of phone calls or personal contact; copy of correspondence including email messaging. The phone call log must consist of the date and time of the call, the member making the call, the member who is called, and the result of the conversation). Forms submitted without such statement and/or paperwork shall be returned to the FC by the DSO-HR. Note: A roster with check marks or written notes without dates is will not be accepted.

(3) **Non-Dues Flotillas.** Flotillas that are not required to pay dues should not submit disenrollment paperwork for failure to pay dues. The request(s) for disenrollment will fall under Member Request or Retirement. The ANSC-7035 must include at least two (2) attempts to contact the member as described in A.2.b.2 of the manual. The non-dues flotilla is not exempt from attempting to contact a member or include the requested copies of attempts of contact.

(4) **Approval Pending Status.** Disenrollment requests for members in Approval Pending (AP) status must be routed to the respective Division Commander (DCDR) for signature in Section III of the ANSC-7035 before submitting to the DSO-HR.

(5) **Other Financial Obligations.** With regard to other types of financial obligations, members are expected to pay them in a timely manner. Payments shall be made in accordance with the payment policy of the vendor. If a member fails to pay a financial obligation after three notifications of any type (i.e.: phone calls, written notices, e-mails) in the course of three weeks, then the responsible officer (e.g., FC, FSO, Staff Officer (SO)) shall notify their respective chain of leadership and management (COLM) and forward any associated copies of notifications. If the issue remains unresolved after intervention with the member by the District Captain (DCAPT), then an assessment of likelihood that the financial obligation will be paid shall be forwarded to the DIRAUX office (via the District Commodore (DCO)) with a recommendation on whether or not to proceed with disenrollment. DIRAUX will make a final determination concerning disenrollment action. If disenrollment is the final determination, then the member shall be notified in writing by DIRAUX.

c. **Retirement.** The Coast Guard Auxiliary Manual, COMDTINST M15790.1 (series) outlines eligibility and retirement proceedings for members of the Auxiliary with 15 or more years of service. All requests must have the member’s signature. As a general rule (with exceptions as determined by DIRAUX), D5NR members who depart Auxiliary service with more than 15 years of Auxiliary membership shall be placed in retired status.

d. **Administrative Actions.** Disenrollments stemming from administrative action are serious in nature. Strict adherence to procedures in the Auxiliary Manual is required. Prior to initiating any action, the nature of the events that could lead to this action must be documented and
discussed among the FC, DCDR, DCAPT, DCOS, DCO and DIRAUX.

e. **General DSO-HR Processing.** Due to the timelines associated with disenrollments, the changes in member status are likely to be submitted for processing in significant volume during relatively short time periods – making it difficult for one member to process everything in a timely manner. The DSO-HR is encouraged and expected to fully utilize their ADSOs to ensure that the leadership and members are aware of proper administrative processes, to answer any questions about such processes, and to screen and review associated paperwork as they deem necessary so as to minimize their direct personal involvement in every case while providing timely processing of the same. It is incumbent upon The DSO-HR to question the FC and/or member if there is a concern with a particular request and to ensure all paperwork is in order before sending to DIRAUX.

3. **Death of Member.**

   a. **Not Assigned On Orders.**

      (1) **Immediate Action.** The FC shall notify the following offices/personnel by e-mail or by phone when a Flotilla member passes away: DIRAUX, DCDR, DSO-HR and DSO-Secretary/Records (SR). Deaths should be immediately reported along with a name and address for the member’s next-of-kin (if known). The FC should follow initial notification with information pertaining to funeral or memorial services that may be open to friends of the deceased and ensure this information is passed to the rest of the Flotilla. Note: The Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series) contains procedures to conduct an Auxiliary Funeral Service along with further detail on proceedings and protocol required for a member’s death.

      (2) **Subsequent Action.** A Change of Membership Status form, ANSC-7035 shall be submitted to the DSO-HR as soon as possible. The FC shall ensure that the SO/FSO-Publications (PB) remove the member from mailing list(s). The DSO-HR will maintain a list of all Auxiliarist deaths to be used for the announcement of members “Crossing the Bar” at District conferences.

   b. **Auxiliarists Under Orders.** The FC will contact the Order Issuing Authority (OIA) immediately to verify any prior reports. The OIA will notify the District Commander and DIRAUX, who will notify the DCO. Following these notifications, the DCAPT, DCDR, DSO-HR and DSO-SR shall be notified.

4. **Transfers.** All transfer requests must be received by DIRAUX no later than **21 December** to ensure end of year processing. The Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series) outlines required actions to transfer members between Flotillas and Districts. For transfers **within DSNR**, the ADMIN-1 (Transfers within DSNR) form is to be used instead of ANSC-7056. The DSNR ADMIN-1 form can be found towards the end of this manual, in the **MMS-PR-AUX (DSNR 16791)-A-CHAPTER 19-(01)**, and is posted on the DSNR web site: [https://5nr.org/diraux-guidelines-policies-and-manuals/](https://5nr.org/diraux-guidelines-policies-and-manuals/)

B. **Membership Dues**

1. **National and District Dues.** All members are required to pay dues to National and District organizations, according to the Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series).
a. The DSO-FN sends a bill for annual dues to Flotillas in January of each year. These bills are based on the personnel carried on AUXDATA records as of 31 December’s previous year. Checks made payable to “U.S. Coast Guard Auxiliary – Fifth District (NR)” should be sent to the DSO-FN immediately upon receipt of the bill.

b. Dues not received by the DSO-FN by 15 March will be considered delinquent. District assessments that remain unpaid will be acted on by the District as specified in the D5NR Standing Rules. These standing rules can be found on the D5NR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/

2. **New Member Dues.** National and District dues for new members are payable at the time of enrollment according to the following guideline:

<table>
<thead>
<tr>
<th>Enrolled</th>
<th>Amount of Dues</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 October – 31 December</td>
<td>None</td>
</tr>
<tr>
<td>01 January – 30 September</td>
<td>Per National Requirements</td>
</tr>
</tbody>
</table>

3. **Division and Flotilla Dues.** Divisions and Flotillas may have dues apart from those discussed above. The applicable Finance Officer, in accordance with the unit’s standing rules will send the bills for annual dues. New members, regardless of enrollment date, may be required to pay these dues at the discretion of the unit. Collection procedures are also at the discretion of the unit.

C. **ID Cards.** Homeland security concerns warrant special attention to the issuance of ID cards in any military service. The increasing prevalence of digital photo technology and ID card software has made it possible and prudent to issue photo ID cards only. Therefore, the following provisions apply:

1. **New Members.** Member photos must be submitted individually as part of a complete enrollment package on a CD or via electronic submission using Subject Line: New Applicant Photo (e.g., not on a CD with photos of other members). Required data is captured on the U.S. Coast Guard Auxiliary Enrollment Application, ANSC 7001, Section 1 and this application can be found on the D5NR website: https://5nr.org/d5nr-programs/logistics-directorate/human-resources/. Understanding that applicants do not have a uniform, guidelines for appropriate clothing must be followed as stated in section C.2.b of this manual.

2. **Replacement ID Card Requests.** Auxiliary ID cards are valid for five years before they require replacement.

   a. Replacement of an Auxiliary ID card shall be requested by the FC with the required D5NR ADMIN-11, Member ID Card Information form. The D5NR ADMIN-11, Member ID Card Information form can be found towards the end of this manual, in the MMS-PR-AUX (D5NR 16791) – A-CHAPTER 19–(01), and is posted on the D5NR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/. A photo submitted to DIRAUX either via regular mail or electronically to the DIRAUX email will be submitted with this form. A new ID card should not be requested unless it has expired or will soon expire (i.e. within two to three months). A replacement ID card may also be requested if a current ID card is stolen or lost. However, in such a circumstance, written notification of the theft or loss must be made to the DIRAUX office, via the respective FC and COLM, as part of the request for a new ID care. This email request must reflect the circumstances of theft/loss as best possible (e.g., approximate date/time of theft/loss, suspected location of theft/loss, whether or not theft/loss was part of a report to authorities). Requests for replacement ID cards that do not include this information will not be processed. The FCs signature on the D5NR ADMIN-11, Member ID Card Information form
shall be recognized as confirmation that the member’s photo does correspond to the new member. Requests for replacement ID cards may be submitted electronically to DIRAUX according to the Electronic Submissions Guidelines found towards the end of this manual.

b. Photos. Digital photos of members requesting a replacement ID card must be in JPEG format as a file on a CD or submitted electronically with the Subject Line: Replacement ID Card. It must be taken so as to show above the member’s complete head (face forward), below the shoulders and from shoulder to shoulder in front of a solid red background (i.e., the color of red comparable to that of the U.S. flag) that shows for all parts of the photo save for the member’s head and neck. The member must be in uniform. Hats, scarves, sunglasses, chokers (or any large jewelry) may not be worn in the photo. Earrings are not authorized for male Auxiliarists. Exact guidelines for the photo can be found in the Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series), Chapter 5.

3. Retired Status Cards. Retired Status Cards are not issued by DIRAUX directly. Rather, DIRAUX provides a commercial vendor with the name and mailing address of newly retired Auxiliarists; and the vendor issues Retired Status Cards to members in due time. Note: Retiring Auxiliarists must first return their Auxiliary Identification Card to DIRAUX in order to be eligible for a Retired Status Card.

4. Additional Guidance. On-the-spot ID card processing will not be performed in the DIRAUX office. Each Division has digital cameras for photo sessions as needed as well as red back-drop equipment. DCDRs and FCs shall work together to ensure that all members are notified when and where photographing will take place. FCs shall keep track of those members who are in need of a new ID card.

D. Uniforms.

1. Auxiliary Uniforms. The Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series), prescribes policy regarding uniforms, proper wear, what uniform is required or appropriate at various activities, and other descriptions.

2. Regional Policy. The following uniforms are authorized for wear by Auxiliarists in D5NR during the indicated periods. The appropriate uniform will normally be specified by the person in charge of a particular event:

<table>
<thead>
<tr>
<th>Uniforms</th>
<th>Authorized Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dinner Dress Blue Jacket</td>
<td>Winter (Note 1)</td>
</tr>
<tr>
<td>Dinner Dress White Jacket</td>
<td>All Year</td>
</tr>
<tr>
<td>Dinner Dress Blue</td>
<td>All Year</td>
</tr>
<tr>
<td>Service Dress Blue (Alpha)</td>
<td>All Year (Note 2)</td>
</tr>
<tr>
<td>Service Dress Blue (Bravo)</td>
<td>All Year (Note 3)</td>
</tr>
<tr>
<td>Winter Dress Blue</td>
<td>Winter (Note 1)</td>
</tr>
<tr>
<td>Tropical Blue Long</td>
<td>All Year</td>
</tr>
<tr>
<td>Operational Dress Uniform</td>
<td>All Year (Note 4)</td>
</tr>
<tr>
<td>Operations Polo Shirt</td>
<td>All Year (Note 4)</td>
</tr>
<tr>
<td>Auxiliary Flight Suit</td>
<td>All Year</td>
</tr>
<tr>
<td>Hot Weather Boat Crew Outfit</td>
<td>Summer (Note 4)</td>
</tr>
</tbody>
</table>

Note 1: In the Fifth District, the summer period starts April 1. The winter period starts November 1. For D5NR DTRAIN, Dinner Dress White Jacket is worn at the March and September formal events.
Note 2: Specific to the Auxiliary (i.e., is no longer worn by the active duty Coast Guard).
E. Election and Appointment of Officers.

1. Election Guidelines. Elections are to be held in accordance with the Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series), and applicable District, Division, or Flotilla Standing Rules. National elections shall be held first, District elections, Division elections, and Flotilla elections, in that order. DCDCRs are required to identify and appoint an interim FC and/or VFC if Flotilla elections have not been held by 15 December. Presiding Officers shall be assigned in accordance with guidelines set forth in paragraph E.4. To be valid, a quorum of 25% is required for all Division and Flotilla elections.

2. Screening Committee. The Screening Committee is responsible for ensuring that all nominees for elected office either meet all appropriate election eligibility criteria or have obtained an appropriate waiver. The Screening Committee shall notify the unit commander in a timely manner of any circumstances that may require a DIRAUSt waiver. They shall ensure that all members who are fully eligible to serve in an elected office have been surveyed about their desire to serve before they forward any request for waiver of eligibility criteria for a nominee. Further, they shall ensure the eligibility of each candidate through AUXDATA and shall include a hard-copy AUXDATA printout of such information to the unit commander as part of its final nomination package.

3. Election Eligibility Waiver Guidelines. Auxiliary leaders at all levels must mentor prospective future leaders through the year so that eligible candidates will be available for the following year’s elections. Mentoring of this nature will reduce the necessity for waivers for isolated and unusual circumstances. The Coast Guard Auxiliary Manual, COMDTINST M16790.1 (series), allows waivers for certain eligibility criteria that can only be granted by DIRAUSt. A written request for waiver must arrive at the DIRAUSt office at least two weeks in advance of the election and must reflect attempts to ensure that all eligible members have been addressed insofar as their ability and desire to fill the election need. Requests shall indicate who, what, where, and when (e.g., Jan Smith, APC, Flotilla 2-76, 31 Dec), with amplification as prudence dictates. Flotilla requests for waivers must be submitted via the DCDCR and appropriate DCAPE. Division requests for waiver must be submitted via the appropriate DCAPE and the DCO. Requests that are not properly routed will be returned to the sender without action. E-mail requests are encouraged provided they are electronically forwarded through the specified personnel (i.e., not sent “To” to the DIRAUSt office and “Copy” to the respective officers). Those personnel in the routing chain must indicate their endorsement, positive or negative, before routing it further. Waiver request approval should not be assumed to be automatic, nor should it be taken for granted. DCAPEs and DCDCRs shall follow up for all waivers in their area of responsibility. Failure to comply with terms and conditions of the waiver shall be addressed by EXCOM and will normally result in direction of a new election.

4. Certification of Election. Presiding Officers will be assigned to District, Division and Flotilla elections as follows:

a. The National Commodore shall appoint a Presiding Officer to monitor and certify District elections.

b. The DCO shall appoint a Presiding Officer to monitor and certify DCAPE elections (if not held in conjunction with District elections) and Division elections.
c. The DCDR shall appoint a Presiding Officer to monitor and certify Flotilla elections.

d. In all cases, the Presiding Officer is responsible for certifying and reporting the results of the election to the DIRAUX office. This should be accomplished by completing a Certification of Elections (ADMIN-2) form and submitting it to the DIRAUX office either by regular mail or via electronic submission to DSNRDIRAUX@uscg.mil on the next working day following the election (in the case of District elections, the incumbent DCO shall submit this form no later than 01 December). The form must be filled in completely so as to reflect the Screening Committee Chairman’s certification and that of the Presiding Officer, and that all candidates nominated for elected office met the eligibility requirements (this includes those nominated from the floor, in which case it is the primary responsibility of the member who makes such a nomination to provide the Nominating Committee and Presiding Officer with appropriate proof of eligibility for the nominee at the time of nomination). It should also reflect that if no eligible members had run for the office, then an appropriate written waiver had been requested and granted by DIRAUX prior to the election. The Presiding Officer is authorized to postpone the election if any of this prerequisite information is not made available by the time the election is ready to be held. Further, if it is subsequently discovered that certification and waiver procedures were not properly followed, then the election shall be immediately declared void by DIRAUX and a new election directed and supervised by EXCOM. The D5NR ADMIN-2, Certification of Elections form can be found towards the end of this manual, in the MMS-PR-AUX (D5NR 16791)–A-CHAPTER 19–(01), and is posted on the D5NR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/.

5. Administrative Responsibilities of Newly Elected Officers. The DCO, DCDR and FC elect is responsible for completing and submitting the Annual Unit Officers Report (ANSC-7007), to the respective SO-Information Systems (IS) by 15 December. This submission date is necessary for data entry purposes and in order to facilitate timely reporting to the Chief Director of Auxiliary and National Auxiliary leadership. Outgoing officers should give the forms to newly elected officers. This form can be found on the USCG Auxiliary website: http://forms.cgaux.org/forms1.php.

6. Changes to Appointed Staff Officer Appointments. Whenever a change occurs to any staff officer assignment, a Change of Officer Report form (ANSC-7006) must be completed and submitted to the respective SO-IS. Upon completion of data entry, the SO-IS shall forward the form to the DIRAUX office to report the changes. This form can be found on the USCG Auxiliary website: http://forms.cgaux.org/forms1.php.

Note: This does not apply to interim election results or appointed FC/VFC offices; as these situations should be reported on the Certification of Elections (ADMIN-2) form.

7. Delegation of Duty. Whenever a DCDR or FC is not able to perform in the capacity of their elected office, either due to illness or vacation and have the need to delegate their duties to the VCDR or VFC, notification must be sent to DIRAUX via the Chain of Leadership/Management (COLM) indicating the begin and return date.

F. Standing Rules and Unit Reporting.

1. Standing Rules. Standing Rules are required for all Divisions and Flotillas in D5NR. Once completed, Flotilla and Division Standing Rules are routed through the District Parliamentarian, District Commodore and then to DIRAUX for final approval. The DIRAUX office will send a copy of the approved Standing Rules to the unit, the organizational level immediately above them, and file a copy in the unit’s record at the DIRAUX office.
2. **Meeting Minutes.** While prescribed paper forms for reporting of Division and Flotilla meetings are acceptable for distribution, electronic versions of these reports are encouraged whenever possible. Such submissions may be transmitted as e-mail attachments or as the main body of the e-mail and they shall contain all elements comparable to those captured on paper. District Board minutes shall be processed as prescribed in the District Standing Rules. Flotilla and Division meeting minutes shall be submitted and distributed as follows:

   a. **Flotilla Minutes.** Minutes of each Flotilla meeting shall be drafted by the FSO-SR and shall be forwarded through the FC for approval (distribution from the FCs e-mail address may be recognized as their electronic signature for this purpose). If the FC is unable to make timely distribution due to an absence or illness, then the VFC may forward the minutes. Flotilla minutes (written or electronic submissions) shall be submitted to the DCDR and respective DCAPT by the 15th day of the month following that of the meeting. If either DCDR or DCAPT determine that any aspect of any report is inappropriate, questionable or warrants higher-level awareness, they shall immediately forward a copy to the DCO and DIRAUX with the issue. Flotillas are responsible for maintaining a paper or electronic copy of their minutes indefinitely. Failure of a Flotilla to submit its meeting minutes consistently and in a timely manner may result in administrative action against the FC and/or the Flotilla as a whole.

   b. **Division Minutes.** Minutes of each Division meeting shall be drafted by the SO-SR and shall be forwarded through the DCDR for approval (distribution from the DCDRs e-mail address may be recognized as their electronic signature for this purpose). If the DCDR is unable to make timely distribution due to an absence or illness, then the VCMDR may forward the minutes. Division minutes (written or electronic submissions) shall be distributed to the respective DCAPT and FC. The Division may establish its own standard distribution date in order to best coincide with submissions of meeting minutes from its Flotillas, but such date shall not be any later than the last day of the month following the month in which the meeting was held. If the DCAPT determines that any aspect of any report is inappropriate, questionable or warrants higher-level awareness, they shall immediately forward a copy to the DCO and DIRAUX with the issue. Divisions are responsible for maintaining a paper or electronic copy of their minutes indefinitely. Failure of a Division to submit its meeting minutes consistently and in a timely manner may result in administrative action against the DCDR and/or the Division as a whole.

G. **Forms.**

1. **General.** Forms, by their very nature, are designed to capture and relay information needed to manage and administer programs and operations. It is incumbent upon every member to capture individual and collective efforts and submit them in a timely fashion so that credit can be accorded not only to the individual, their Flotilla and Division, but also to the region as a whole as well as the Coast Guard. Without these submissions, entire training and qualification programs as well as budgetary and resource support efforts for the region and the Coast Guard will be significantly hindered, delayed or, in worst cases, lost. Further, forms constitute official documentation of qualifications, performance and intentions that reflect the foundation and integrity of Coast Guard programs and services. They can also be subject to legal review and assessment. Accordingly, forms ultimately destined for the DIRAUX office shall be originals, not copies (unless specifically allowed for otherwise). In particular, forms that reflect facility offers for use, unit Coast Guard property, changes in personnel information or status, and program qualifications and currency maintenance must be original in order to be accepted and processed by the DIRAUX office unless otherwise stated in another DSNR Policy Manual. Routing guidelines for forms can be found in this manual in Table 2-1, Summary of Forms.
2. Nationally Published Forms. The Auxiliary Member Forms Guide identifies authorized forms. All forms in the guide are available by ordering from ANSC and can either be ordered through normal channels or locally reproduced. These forms can be obtained from the Auxiliary web site (www.cgaux.org) in its AUX Members section.

3. Regional Forms. Regional forms can be found towards the end of this manual, in the MMS-PR-AUX (D5NR 16791)-A-CHAPTER 19-(01), and is posted on the D5NR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/.

H. Property.

1. Annual Inventory of Coast Guard Property. All Coast Guard property temporarily transferred to Auxiliary units and/or individual members must be inventoried annually. Accurate property records are vital to determine future program direction and budget for repair and/or replacement of essential equipment. Inventories are conducted in accordance with the following procedures:

   a. On or about 01 November, DIRAUX will provide each DCDR and Auxiliary Property Custodian a copy of the Division's current property list. If the DCDR and/or Property Custodian has changed or will soon change as a result of the election process, the outgoing DCDR and/or Property Custodian shall pass the property list to the new DCDR and/or new Property Custodian immediately following the election. The property list shall indicate the Property Custodian (Division, Flotilla, or individual member) and identify each item of property by name, model number, quantity and serial number.

   b. Property Custodians shall obtain a Coast Guard Property Inventory form (ADMIN-7) and contact the Auxiliarist who will hold the office indicated below on 01 January of the coming year to arrange for the required joint physical inspection of accountable property. The D5NR ADMIN-7, Coast Guard Property Inventory form can be found towards the end of this manual, in the MMS-PR-AUX (D5NR 16791)-A-CHAPTER 19-(01), and is posted on the D5NR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/.

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<thead>
<tr>
<th>Custodian</th>
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<tr>
<td>Individual members</td>
<td>FC</td>
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<td>FCs</td>
<td>DCDR</td>
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<tr>
<td>DCDRs</td>
<td>DCAPI</td>
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</tbody>
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   c. During conduct of the joint inspection, the custodian and applicable officer shall complete an ADMIN-7 as follows:

   (1) Neatly print the information at the top of the form.

   (2) Physically inspect all items on the inventory list for which the custodian is responsible. Copy applicable information from the inventory list to Section 1 of the ADMIN-7. Then line out items on the list that the custodian does not hold. Add items not on the list that the custodian does hold (complete the first three columns of Section 1 for each item added). All changes must be fully explained on the back of the form.

   (3) Complete the Condition Code column for each item held.

   (4) Complete Sections 2 and/or 3 (as applicable).

   (5) Both officers must sign the bottom of the form.
2. Upon completion of the above (including required signatures), custodians shall submit the ADMIN-7 to DIRAUX by 01 February.

3. Any Division or Flotilla requesting new equipment must return the items that are being replaced prior to being issued new equipment. Additional equipment will not be issued until a current inventory is on file with the DIRAUX office.

4. Until appropriate National and Coast Guard Headquarters resolution of issues regarding transfers to and acceptance of major property or equipment items (e.g., trailers, buildings, boats) by Auxiliary units, such property or equipment shall only be allowed to be acquired through ownership transfer of the property or equipment to the Auxiliary Association Inc. (note - it must be remembered that provision for the custodial Auxiliary unit to hold significant insurance coverage on the property is a likely requirement whenever property is brokered through Auxiliary Association Inc.). Another workable course of action, circumstances and Coast Guard unit ability permitting, is for property or equipment to remain on the Coast Guard unit's property inventory but issued, under orders, to an Auxiliary unit for use as needed. If any uncertainty exists about the nature of the property or equipment or the elements of this provision, then the DSO-Legal (LP) should be consulted.

5. Determinations as to whether or not certain Coast Guard property should be listed on an Auxiliary unit's ADMIN-7 shall be made by the DIRAUX office. At a minimum, the following types of Coast Guard property that are transferred to an Auxiliary unit shall be listed on an ADMIN-7: computers, projectors, printers, TVS, DVD players, motors, generators, pumps, boats, trailers, radio equipment. Note: PFDs, float coats, anti-exposure coveralls, and survival equipment i.e. knives, strobes, whistles etc. shall not be listed on an ADMIN-7 unless directed.

6. Backlog Process. The DCOS shall maintain a prioritized list of backlog requests should funding become available. The DCOS and DIRAUX will liaison with each other as necessary to accommodate procurement of new property and supplies when funding allows. Auxiliary leaders at all levels shall ensure the DCOS is aware of pending needs, to include a detailed description of the desired equipment and the impact that having it would have on the Auxiliary, Coast Guard and/or boating public.

I. Donations and Gifts.

1. The Auxiliary Manual, COMDTINST M16790.1 (series) provides specific guidance on the constitution and processing of donations and gifts to Auxiliary units. It also addresses concerns about solicitations and prohibited sources. All such guidance shall be adhered to in the determination of how any donations or gifts shall be received, processed for approval, and administered.

2. Some members may be fortunate to be employed by companies that have recognition and award programs for employee volunteer efforts. In some cases, these programs provide cash donations to the employee's volunteer organization. As long as the program is offered to all employees without any bias, then employees who are Auxiliarists may apply to those programs, if application is necessary, in order to be recognized and to have their respective Auxiliary unit (i.e., Flotilla, Division, SARDET) receive the associated award. Any such application should be submitted to the DSO-LP for regional legal review before actual submission to the employer in order to make a preliminary determination that there is no potential conflict of interest or reason to deny acceptance of the donation/gift.

3. As indicated in the preceding section concerning property, it must be remembered that provision for the custodial Auxiliary unit to hold significant insurance coverage on property that is donated to an
Auxiliary unit is a likely requirement whenever such a property donation is brokered through Auxiliary Association Inc.

4. In all cases of donations, Auxiliary units must realize that properly processing such offers for approval takes at least four to six weeks if all necessary information is provided at the outset. Expectations of both donor and recipient about complete processing of the donation must be managed accordingly.

J. Travel Claims.

1. Timely processing and reconciliation of travel claims are critical to accurate budgetary management of funds for the order issuing authority. Auxiliarists who travel under orders issued by DIRAUX for processing (e.g., travel to National events, conferences, etc.) must submit their travel claims to the DIRAUX office within three working days of completion of travel. Failure to do so will result in delayed reimbursement. Significantly late travel claim submissions may result in complete loss of reimbursement, particularly if submitted close to the end of the fiscal year, which is 30 September. The responsibility for timely submission rests with the member.

2. Following travel claim processing by DIRAUX, the member may call or email the DIRAUX office to inquiry about the status of their claim. Please allow three weeks after submission of your claim to inquire.

K. Youth Training Programs.

1. Auxiliarists and Auxiliary units are not authorized to sponsor any youth group (e.g., Jaycee Jr., Yacht clubs, Youth Regatta Programs, Sea Explorers, Boy/Girl Scouts, Junior ROTC, and Naval Sea Cadets) unless specifically approved by Commandant. In other words, an Auxiliary unit should not sponsor organizations like a local bakery may sponsor a Little League baseball team. However, this does not preclude an Auxiliary unit from interacting on a professional basis with units of these organizations. If, for example, a Flotilla is approached and requested to periodically take members of a local Sea Scout Ship on patrol with them as part of a training partnering effort, or if the Flotilla conducts a similar outreach effort with a local Sea Scout Ship, then the Flotilla may do so. In such cases, the Flotilla must ensure that the appropriate Order Issuing Authority and Operations Training Officer (OTO) is advised of the individuals who will be on each facility for order issuing purposes.

2. While patrolling with or teaching young members of an organization like Sea Scouts or Boy Scouts is allowable, Auxiliary units must do so with prudence. It is important to safeguard against possible accusations or liability concerns particularly when dealing with youth. Auxiliary units must ensure that at least one of the organization’s adult leaders is present and in sight of their youth at all times during which the Auxiliary unit may be interacting with them. If verbal discipline or physical restraint in a disciplinary manner is warranted for any reason to be applied to a youth, then it must come from their leaders and not from Auxiliarists.

L. Sexual Harassment.

1. Auxiliary policy clearly reflects that sexual harassment of any kind is simply not tolerated. It is a form of discrimination and is disrespectful.

2. Any and all cases of sexual harassment warrant investigation and appropriate administrative action. Such action shall be based upon the circumstances of each case – there is no default disciplinary action. Additionally, such action shall be taken at the lowest appropriate levels of regional Auxiliary
organization, and shall be referred up to appropriate levels of the chain of leadership whenever uncertainty exists by an individual who should take action or when circumstances of the case warrant. At a minimum, the appropriate DCDR shall be notified. The DCDR shall notify the DSNR Civil Rights Officer (CRO) if they determine that such further notification is warranted or they require CRO assistance. Appropriate administrative actions, ranging from training and mentoring of the offender for minor breaches to disenrollment for flagrant and egregious violations, shall be taken upon proper and due assessment.

3. While it is the responsibility of the regional Auxiliary leadership to enforce Coast Guard sexual harassment policy, it is ultimately up to each individual Auxiliarist to be aware of Coast Guard expectations in terms of sexual harassment. Accordingly, all Auxiliarists shall practice proper behavior that embraces the Coast Guard’s Core Values of Honor, Respect, and Devotion to Duty.

M. Unit Finances.

1. Financial recording, reporting and auditing are straightforward processes. Specific information about Flotilla finances can be found in the Administrative Procedures Guide – Flotilla Administration, COMDT/PUB P16791 (series). It identifies and addresses items like budgets, character of income and expenses. It also provides fundamental guidance for all unit financial matters. This section provides additional information stemming from regional experience and lessons learned.

2. Unit Fund Management and Federal Tax Exemption Number.

   a. The Record of Receipts and Disbursements form (FIN-1) may be effectively utilized by the FSO-FN to not only account for Flotilla funds but to also present as the unit financial report at unit meetings. The DSNR FIN-1, Record of Receipts and Disbursements form can be found towards the end of this manual, in the MMS-PR-AUX (DSNR 16791)–A-CHAPTER 19–(01), and is posted on the DSNR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/. This is a cumulative form that, if all appropriate columns are routinely totaled, will provide end-of-year information needed for the Financial Report of an Auxiliary Unit (ANSC-7025). This ANSC-7025 form can be found on the USCG Auxiliary website: http://forms.cgaux.org/forms1.php. The latter form should be prepared by the FSO-FN as soon as the bank statement for 31 December has been received and reconciled. That report should then be immediately forwarded to the FC for presentation to the unit audit committee for their review and approval.

   b. FIN-2A Check Request Form for Flotilla and Division Funds and FIN-2B Check Request Form for District funds provide an easy mechanism for requesting unit funds and documenting appropriate approval of disbursements. The DSNR FIN-2-A and 2-B, Check Request form can be found towards the end of this manual, in the MMS-PR-AUX (DSNR 16791)–A-CHAPTER 19–(01), and is posted on the DSNR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/.

   c. Any concerns regarding unit finances should be addressed to the next higher level in the chain of leadership and management. Concerns about Flotilla finances should be referred to the SO-FN. If resolution cannot be attained at that level, then they shall be referred to the DSO-FN.

   d. Per the Auxiliary Manual, COMDTINST M16790.1 (series), the proper Federal taxpayer identification number issued by the IRS for all units of the Auxiliary is 52-1500576. If ever in doubt about its applicability or use, the DSO-LP and/or DSO-FN should be consulted.
3. **Audit Procedures.**

   a. A Unit Audit Committee should be annually appointed by the unit commander. It should be specifically charged to audit specific unit records. Care and good judgment should be applied by all members of the Audit Committee. A typical audit is not intended to check and verify every transaction. A sampling of transactions should be tested to assure compliance with internal control factors established by the unit (e.g., check request approvals, required signatures). To be truly effective and to properly complete its assigned duties, the Audit Committee must employ an organized approach to apply standard auditing procedures.

   b. An audit of unit funds should be completed as quickly as possible after December 31 of each year so as to be finalized in sufficient time to submit the required unit financial statement to the Senior Elected Officer of the unit who, in turn, must submit the approved report through the chain of leadership and management in accordance with the Auxiliary Manual.

   c. The Audit Committee Guide (FIN-3) provides an organized approach and a checklist to be completed by the audit committee for the proper conduct of their audit. The D5NR FIN-3, Audit Committee Guide can be found towards the end of this manual, in the MMS-PR-AUX (D5NR 16791)–A-CHAPTER 19–(01), and is posted on the D5NR web site: https://5nr.org/diraux-guidelines-policies-and-manuals/.

N. **Use of Coast Guard Real Property.**

   1. Ethics regulations and other laws prohibit use of Coast Guard properties for personal use or private gain. Care must be taken to ensure that even the image of impropriety is not created with respect to utilization of property by anyone. While Auxiliary units may hold social events or have established hours for business, visits or public contact on Coast Guard properties, members may not monopolize such properties for personal use.

   2. In general, boats that belong to Auxiliarists, even if they are accepted surface facilities, should not remain tied up at Coast Guard moorings for extended periods of time if it is evident that they will not be used under orders and that such mooring largely provides convenience for the owner. Similarly, parking personal vehicles at Coast Guard facilities for extended periods of time during which the owner is not under orders is not appropriate. Case-by-case assessment of propriety should be broached with the member’s Auxiliary unit leader whenever doubt exists. If there is an identifiable Coast Guard unit command associated with the property, then that unit command should also be approached in advance about proposed use of the property.

O. **Personnel Security Investigations.**

   1. **Enrollments.** New members are vetted by the Coast Guard Security Center (SECCEN) or COASTWATCH and must receive a favorable Operational Support (OS) finding before a member is designated as IQ/BQ and is eligible to receive an ID card.

   2. **Annual Background Checks.** Background checks are performed on all Auxiliary members each year. If a member has had an arrest or conviction, did not self-report and it is recorded on the annual background check, then the member will be subject to automatic disenrollment.

   3. **Upgrade of PSI Status.** Members who require an upgrade to their PSI status, in accordance with the Auxiliary Manual, COMDTINST M16790.1 (series), shall follow the procedures outlined in Upgrade to Personnel Security Investigation (PSI Member Guidelines, which can be found towards
P. Auxiliary Support to Coast Guard Units. Members are authorized to support CG Units when fully vetted by DIRAUX.

1. Intent to support a CG Unit must be submitted to the member’s Flotilla Commander who will work with the member, the auxiliary unit coordinator, and the CG Unit. The CG Unit will determine the type of support and notify DIRAUX.

2. DIRAUX will review the member’s status and notify the CG Unit and member if additional action is required such as an upgrade to PSI status

Q. Safeguarding Personally Identifiable Information (PII). All efforts shall be made to ensure all PII and sensitive data is safeguarded so that it is not subject to compromise in any way. Some information that contains a certain combination of an individual’s data must be safeguarded so that it is not compromised in any way.

1. Item 8 in the Commandant’s Letter of Promulgation which can be found in the Coast Guard Auxiliary Manual, COMDTINST16790.G (series), directs privacy compliance. Enrollment paperwork contains the most PII, however, other information such as patrol schedules and attendance of CG high ranking officers at a conference or meeting should be safeguarded. Also, medical information regarding injury reporting and communications may contain PII.

2. Enrollment Data. All enrollment forms must be held to the highest degree of protection. Copies of the ANSC-7001, Enrollment Application Form, shall not be made or maintained on file. The Unit leadership should already have contact information. This ANSC-7001 form can be found on the USCG Auxiliary website: http://forms.cgaux.org/forms1.php.
   a. Incomplete enrollment forms shall be given to the applicant for safe keeping. Once the package is completed, the FC must immediately place the documents in a sealed envelope and ensure timely forwarding directly to DIRAUX.
   b. Enrollment packages that are physically brought to the DIRAUX office must be in a sealed envelope and marked accordingly, whether given directly to DIRAUX staff or put in the drop box after hours.

3. Operations.
   a. Operational Security (OPSEC): All members must avoid unnecessary distribution or sharing of patrol schedules and OPSEC information. Any information as to when, who, where, and why operations are conducted is to be handled carefully and not disclosed to the public. This type of sensitive operational information shall not be shared with anyone who does not have a need to know. The DSO-OP and the ADSO-OPS are authorized to send Patrol Schedules to the SecDelBayCC@uscg.mil email in-box each Friday during the patrol season. Division SO-OPS are also authorized to report upcoming Patrol activity to the ADSOs for further reporting to the Sector.
   b. Communications Security (COMSEC): All Radio Communications must follow standard protocol and proper radio policies when in use. All members communicating on clear/open frequencies must be conscious of the type of information they are sharing over
the radio and avoid passing any sensitive operational information that may be intercepted by our adversaries.

4. **Faxed Submissions.** Paperwork that is faxed to the DIRAUX office must not contain PII **unless** DIRAUX staff is notified prior to faxing.

5. **Disposal of PII.** All forms of PII must be shredded when the information is no longer required. Data containing an individual’s PII must be given to the applicant or member for their own safekeeping or disposal at their discretion. No circumstance shall warrant anyone to hold onto another’s PII.
FIFTH NORTHERN REGION AUXILIARY
NEW ENROLLMENT CHECKLIST

DATE: ________________________________

This is an enrollment package for __________________________ UNIT: 053-________

1. ____ Enrollment Application (ANSC-7001, Rev 05/15): ORIGINAL PAPERWORK
   ** DO NOT DOUBLE-SIDE or HOLE-PUNCH FORMS **
   - PAGE 1, SECT IV, MUST BE COMPLETED AND ENDORSED BY FC ONLY
   - PAGE 3, SECT IX, MUST BE ENDORSED BY FINGERPRINT TECHNICIAN ONLY
   - PAGE 4, MIDDLE NAME OF PARENTS MUST BE INCLUDED ON (NMN)
     
     NOTE: If Passport is provided, the data must appear in Section C
     
     - PAGE 5, FULL MIDDLE NAME MUST BE PRINTED AND COMPLETELY SPELLED OUT IN BOX

2. ____ Coast Guard Auxiliary Association, Inc., Consent to Membership Form

3. ____ ID Card Photo in CD - IAW Guidance: COMDTINST M16790.1G (series)
   
   NOTE: One photo per CD / If via DIRAUX email must have “NEW ENROLLMENT” in subject line with applicant name and unit.

4. ____ Copy of Document (e.g., Birth Certificate, Passport) verifying U.S. citizenship.
   
   NOTE: - DD-214 AS APPLICABLE SHOWING RE-ENTRY CODE (RE-4 MEANS NO ENTRY)

PLEASE MARK SEALED ENVELOPE:    ATTN: (ENROLLMENTS)
## GENERAL CALENDAR DATES

This calendar is a list most of the general annual occurrences per Commandant and D5NR instruction.

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<thead>
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<tr>
<td>01</td>
<td>Enrollment Fee for New Member Applications Start</td>
</tr>
<tr>
<td>Last week of Jan</td>
<td>National Training (NTRAIN)</td>
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<tr>
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<tr>
<td>01</td>
<td>Coast Guard Property Inventory (ADMIN-7), send to DIRAUX</td>
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<tr>
<td>01</td>
<td>Financial Reports (ANSC-7025), send to DSO-FN</td>
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<tr>
<td>2\textsuperscript{nd} weekend</td>
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<tbody>
<tr>
<td>31</td>
<td>National Required Workshops - Deadline</td>
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<table>
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<tbody>
<tr>
<td>01</td>
<td>Next FY Training Plan – From DCOS to DIRAUX</td>
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<td>30</td>
<td>Disenrollments (ANSC-7035) for failure to pay Current Year dues to DSO-HR. Must be postmarked by 30JUN.</td>
</tr>
<tr>
<td>30</td>
<td>D5NR Required Workshops - Deadline</td>
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<thead>
<tr>
<th>JULY</th>
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<tbody>
<tr>
<td>5</td>
<td>Next FY budget to district</td>
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<tr>
<td>15</td>
<td>Workshop data entry by SO-IS</td>
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<thead>
<tr>
<th>AUGUST</th>
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<tbody>
<tr>
<td>Generally 3\textsuperscript{rd} week of August</td>
<td>National Conference (NACOM)</td>
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<tr>
<th>SEPTEMBER</th>
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<tbody>
<tr>
<td>2\textsuperscript{nd} weekend</td>
<td>D5NR Fall DTRAIN</td>
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<td>End Current Year Workshops</td>
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<thead>
<tr>
<th>OCTOBER</th>
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<tbody>
<tr>
<td>01</td>
<td>Enrollment Fee for New Members Waived through 31 December</td>
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<table>
<thead>
<tr>
<th>NOVEMBER</th>
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<tbody>
<tr>
<td>01</td>
<td>DIRAUX to mail audio/visual inventory forms</td>
</tr>
<tr>
<td>15</td>
<td>Disenrollment Deadline (ANSC-7035) to DSO-HR. Must be post marked by 15 Nov</td>
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<tr>
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<tbody>
<tr>
<td>15</td>
<td>Certification of Election (ADMIN-2) to DIRAUX</td>
</tr>
<tr>
<td>15</td>
<td>Annual Unit Officer Report Form (ANSC-7007) to SO-IS</td>
</tr>
<tr>
<td>21</td>
<td>New Member enrollment packages to DIRAUX</td>
</tr>
<tr>
<td>21</td>
<td>Transfers to DIRAUX</td>
</tr>
<tr>
<td>21</td>
<td>Disenrollments (ANSC-7035) to DIRAUX by DSO-HR</td>
</tr>
<tr>
<td>31</td>
<td>Data Entry by SO-IS (Elections &amp; Mission Activity)</td>
</tr>
<tr>
<td>FORM #</td>
<td>CG #</td>
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<tr>
<td>ADMIN-1</td>
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<tr>
<td>OPS-5</td>
<td></td>
</tr>
<tr>
<td>TRAIN-1</td>
<td></td>
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</tbody>
</table>

**Note:** Use ANSC-7056 form for inter-District transfers (i.e., from D5NR to another District). Use ADMIN-1 form for intra-District transfers (i.e., within D5NR).
Section 1 – Member Request

From: _______________________, Member Number ______________

To: _______________________, FC of Flotilla ________________ (Current Flotilla)

I desire to transfer to Flotilla ________________, D5-NR, effective ________________ (enter date).
I have accounted for all Auxiliary and Coast Guard Property.

Signed: ______________________ Date: ________________ (Forward to Current FC)

Section 2 – Transferring Flotilla Commander Endorsement

From: _______________________, FC of Flotilla ________________ (Transferring Flotilla)

To: _______________________, FC of Flotilla ________________ (Receiving Flotilla)

_____ I recommend approval. _____ I do not recommend approval (my reasons are attached).

Signed: ______________________ Date: ________________ (Forward to Receiving FC)

Section 3 – Receiving Flotilla Commander Endorsement

From: _______________________, FC of Flotilla ________________, D5-NR

To: Director of Auxiliary, D5-NR

_____ I recommend approval. _____ I do not recommend approval (my reasons are attached).

Signed: ______________________ Date: ________________ (Forward to DIRAUX)

Section 4 – Director of Auxiliary Approval / Disapproval

From: Director of Auxiliary, D5-NR

To: FLOTILLA COMMANDER ________________, D5-NR _____ Approved _____ Disapproved

Signed: ______________________ Date: ________________

Note: This request and all endorsements received due consideration. DIRAUX decision on this matter is final.
D5NR ADMIN-11

MEMBER ID CARD INFORMATION

(Rev. 01/16)

Unit: 053 - ________________

Member Number: ________________

Last Name: ________________ First Name: ________________ Middle Initial: ___

Date of Birth: ________________

Blood Type: ___ Weight (lbs) ___ Height (inches): ___ Hair Color: ___ Eye Color: ___

Lost - Stolen Card - Other: (Y/N) If Yes, explain on next line:
Explanation of circumstances: ____________________________________________________

______________________________

Expired Card: (Y/N)

Date of Expiration: ________________

Member Signature / Date

FC Endorsement: ________________ / FC TO Email via: D5NRDIRAUX@USCG.MIL

FC Signature / Date

(MUST BE PDF DOCUMENT)

*FC OR ABOVE AUTHORIZED TO SUBMIT TO DIRAUX ONLY

23
UNIVERSITY STATES COAST GUARD
D5NNDIRARAUX@USCG.MIL DIRECTOR OF AUXILIARY
D5NNDIRARAUX@USCG.MIL
FIFTH DISTRICT NORTHERN REGION

ELECTRONIC SUBMISSIONS GUIDELINES

IDENTIFY YOURSELF (NAME, UNIT AND OFFICE)
SHORT SUBJECT LINE MUST BE COMPLETED

1. ID CARD REQUESTS:
   *APPLIES TO EXISTING MEMBERS ONLY
   - ADMIN-11 MUST BE ATTACHED AND COMPLETED ACCORDINGLY.
   - PHOTO MUST BE ATTACHED AS A JPEG AND WITHIN GUIDELINES ACCORDING TO
     COMDTINST M16790.1G
   - IF REQUEST IS DUE TO LOST OR STOLEN CARD, MEMBER MUST SUBMIT WRITTEN STATEMENT
     WITH EXPLANATION OF CIRCUMSTANCES.

2. END OF COURSE COMPLETIONS:
   - END OF COURSE COMPLETIONS INCLUDE ALL BS&S FOR IQ TO BQ CHANGES, ICS COURSES,
     C-SCHOOL COURSES OR ANY OTHER COURSE THAT IS NOT AN AUXILIARY COMPETENCY.

3. TEST REQUESTS:
   - TEST REQUESTS MAY BE SUBMITTED FOR AUX NAV-B ONLY AS AN ATTACHMENT WITHIN
     GUIDELINES ACCORDING TO COMDTINST M16790.1G.

4. PROGRAM AND INITIAL QUALIFICATION REQUESTS:
   - FC OR PROGRAM MANAGER MAY SUBMIT REQUEST AS AN ATTACHMENT ACCORDING TO
     RESPECTIVE QUALIFICATION PROCEDURES.

5. REYR/REWK REMOVALS:
   - FC OR SO-1S MAY SUBMIT REQUESTS REGARDING REMOVAL OF REYR/REWK STATUS.

6. SUPPLY REQUESTS:
   - DCDRS ARE AUTHORIZED TO SUBMIT REQUESTS FOR SUPPLIES FOR THEIR UNIT.

7. MEMBER ISSUES:
   - DCDRS ARE AUTHORIZED TO SUBMIT INQUIRIES REGARDING ALL MEMBER ISSUES ACCORDING
     TO D5NR POLMAN, CGDFIVEINST M16791.1D
   - ALL DISCREPANCIES ARE TO BE RESOLVED AT THE LOWEST AUXILIARY LEVEL POSSIBLE.
CERTIFICATION OF ELECTIONS

To be filled out by Screening Committee Chairman

Division / Flotilla: ___________________________ Date of Election: ___________________________

1. Election for (circle as applicable): DCDR / VCDR FC / VFC

   a. Screening Committee Chairman Name and Title: __________________________________________

   b. If no eligible members ran for office, a written waiver was requested, routed and obtained from DIRAUX PRIOR to election: Yes / No (copy of waiver presented to Presiding Officer) 

   Screening Committee Chairman (sign/date)

   To be filled out by Presiding Officer

3. Quorum present at the meeting? Yes / No (Quorum is 25% of total number of members in respective unit)

   Number of members to meet quorum: ________________ Number of members present: ________________

   Total eligible to vote: ________________ (Majority to elect = 1 + 50% of eligible voting members present)

4. Nominations called for from the floor? Yes / No

5. All provisions of the unit’s Standing Rules met? Yes / No

6. Names of persons nominated by the committee:

   DCDR / VCDR: __________________________________________

   FC / VFC: __________________________________________

7. Names of persons nominated from the floor:

   DCDR / VCDR: __________________________________________

   FC / VFC: __________________________________________

8. Confirm that all nominees meet election eligibility criteria or have appropriate waiver granted. Without waiver when needed, nominees are not eligible for election.

9. Names of tellers: __________________________________________

10. Results of the election (name and EMPLID): (PRINT)

    For DCDR / FC: ________________ Member Number: ________________

    For VCDR / VFC: ________________ Member Number: ________________

11. I, as an elected officer of the Coast Guard Auxiliary and this election’s Presiding Officer, certify that each item above is true and correct.

    Presiding Officer Name and Title (print): ___________________________ Member Number: ________________

    Presiding Officer sign/date: __________________________________________

   ___________________________
# COAST GUARD PROPERTY INVENTORY

**5NR ADMIN-7**

<table>
<thead>
<tr>
<th>From:</th>
<th>Custodian Name</th>
<th>Unit</th>
<th>Date</th>
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</table>

<table>
<thead>
<tr>
<th>To:</th>
<th>DIRAUX, D5-NR</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Thru:</th>
<th>DCAPT/DCDR</th>
<th>Date</th>
</tr>
</thead>
</table>

Do not include films, videos, slides, manuals and/or textbooks

## 1. Equipment on Hand

<table>
<thead>
<tr>
<th>ITEM NAME AND MODEL NUMBER</th>
<th>QTY</th>
<th>SERIAL NUMBER</th>
<th>CONDITION</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

## 2. The following Equipment will require replacement next year:

<table>
<thead>
<tr>
<th>ITEM NAME AND MODEL NUMBER</th>
<th>QTY</th>
<th>SERIAL NUMBER</th>
<th>CONDITION</th>
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<tbody>
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</table>

## 3. I request the following additional equipment for this unit:

- 
- 
- 
- 

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Custodian Signature

DCAPT/DCDR Signature as applicable
CHECK REQUEST FORM (A)  (Rev. 10/11)

U.S. COAST GUARD AUXILIARY
FIFTH COAST GUARD DISTRICT (NR)

Division ______ / Flotilla ______

CHECK REQUEST FORM

Instructions:  1) Complete Part A of the form.
2) Attach all original receipts and invoices to substantiate the request.
3) Forward to Division Captain / Flotilla Commander for approval.
4) DCDR or FC will forward to SO-FN or FSO-FN for payment.

Part A: Payment Request

Payee: ____________________________  Total Amount

Name

Address

____________________________________________________________________

Explanation of expenses: _____________________________________________

____________________________________________________________________

____________________________________________________________________

Date of Request: ______________  Signature of Requester

Part B: Approval Endorsements

Approved for payment: ______________________ Date: ____________

DCDR / FC

Part C: Accounting

Check No. _______ Date: ____________
U.S. COAST GUARD AUXILIARY
FIFTH COAST GUARD DISTRICT (NR)

CHECK REQUEST FORM
(District Funds)

Instructions:
1) Complete Part A of the form.
2) Attach all original receipts and invoices to substantiate the request.
3) Obtain proper approval endorsements in Part B as required.

Approval Endorsements:
* DSO requests must be approved by the DCO and DCOS.
* ADSO requests must be approved by the DCO, DCOS and DSO.
Requests not having the proper approvals will be returned unpaid.

Part A: Payment Request

Payee: ________________________________
Name

Address
__________________________________

Total Amount Requested: $__________

Explanation of expenses:
__________________________________

Date of Request: ________________
Signature of Requester and Office Held

Part B: Approval Endorsements

Approved for payment:  DSO __________________________ Date: ___________
DCOS ________________________ Date: ___________
DCO __________________________ Date: ___________

Request returned for the following reason:
__________________________________

When all approvals are complete, forward to DSO-FN for payment.

Part C: Accounting

Request Received ________________ Request Paid ________________ Check No. __________
Posting: Account __________ Account __________ Account __________ Account __________
Amount __________ Amount __________ Amount __________ Amount __________
The accounting year for Auxiliary units is a calendar year; therefore, the audit of unit funds should be completed as quickly as possible after 31 December of each year so as to be finalized in sufficient time to submit the requisite financial statement to the unit commander who must submit the report through the chain of leadership and management in accordance with the Auxiliary Manual.

To be effective and to properly complete their assigned purpose, the Audit Committee must use an organized approach and should apply standard procedures.

The typical audit is not intended to check and verify every transaction nor is it designed to absolutely detect fraudulent transactions although they may come to light during the course of the audit. A sampling of transactions is tested to assure compliance with the internal control factors established by the unit such as required approvals, segregations of duties, etc.

While the organizations (District, Division and Flotilla) are not extensive, there are still opportunities to provide some segregation; for example, the bank statement could be received from the bank by the Senior Elected Officer of the unit who would examine it for any unusual or unauthorized transactions and then forward it to the finance officer for reconciliation with the books of account.

The following audit procedures and program is intended to provide guidance for Audit Committees at all levels of the Auxiliary organization – District, Division and Flotilla.

**Audit Procedures and Program Checklist**

**General**

1. Obtain a detail of the financial activity for the year; the form may be:
   a. Record of receipts and disbursements (FIN-1).
   b. General ledger (usually at District level only).
   c. Monthly financial statements.

   These items should have been prepared by the finance officer.

2. Obtain a completed copy of *Financial Report of an Auxiliary Unit* (ANSC Form 7025 prepared by the finance officer).

3. Remember that net revenues from public education classes
   a. **Cannot** be used for unit social activities.
   b. **Can** be used for flotilla supplies and other educational supplies.
Audit Program

1. Cash Accounts
   a. See that all bank statements are reconciled to the balances shown in the financial records.
   b. Verify the existence of all savings accounts or certificates and reconcile to the balances shown in the financial records.
   c. Determine the authorized signers and the number of signatures required on all accounts.
   d. Are all checks appropriately signed?
   e. Are receipts being deposited in a timely manner?
      Note: Correlate deposit of funds with the event generating them (e.g., unit dues, public education classes).

2. Revenues
   a. Check the reasonableness of income recorded:
      (1) Member dues (number of members times dues rate).
      (2) Interest income (balance at interest times interest rate)
   b. Does recorded revenue appear reasonable?

3. Expenditures
   a. Assure that all expenditures have been approved:
      (1) Examine original invoice.
      (2) Check for appropriate approvals.
      (3) Compare cancelled check to invoice checking for:
         (a) Amount
         (b) Authorized signatures
   b. Do categories and amounts of expenses appear reasonable?
4. Materials

Generally, separate financial and accounting records associated with ‘materials’ are maintained only at the District level. Transactions relative to the purchase and sale of materials to the membership at Division and Flotilla levels are ordinarily included in the general financial records. The following checklist relative to ‘materials’ transactions should be used as applicable and appropriate.

a. General

(1) Obtain a detail of financial activity from the Materials Officer.

(2) Obtain copies of the month reports provided to the Finance Officer or Senior Elected Officer of the unit.

(3) Assure that ‘materials’ transactions are included in the financial report for the unit.

b. Cash Accounts

(1) See that all bank statements are reconciled to the balance shown in the financial records.

(2) Determine the authorized signers and the number of signatures required.

(3) Are all checks appropriately signed?

(4) Are all receipts being timely deposited?

c. Materials Inventory

(1) Obtain a detailed listing of all materials on hand, priced at cost and test for accuracy.

(2) Test the accuracy of the listing by verifying the existence and quantity of the items.
5. Financial Report

Once the audit testing has been done to the satisfaction of the audit committee, the Financial Report of an Auxiliary Unit (ANSC Form 7025) should be checked for completeness and accuracy.

a. Do beginning balances agree with the prior years ending balances?

b. Do categories of revenues and expenses agree with the unit financial records?

c. Is the form mathematically correct?

d. Do ending balances agree with the reconciled accounts?

6. Recommendations

a. Does the Audit Committee have any recommendations to the unit Senior Elected Officer?

   (1) Are established procedures being followed?

   (2) Are approvals properly completed?

   (3) Are funds being deposited in a timely manner?

   (4) Other recommendations?
       Note: If recommendations are to be made, prepare a letter to the unit Senior Elected Officer summarizing those recommendations.

b. The “lead” member of the audit committee should sign the Financial Report as appropriate and forward to the Unit Senior Official for other required signatures and transmittal through the chain of leadership and management in accordance with the Auxiliary Manual.

Important:

Inasmuch as the specific accounting records maintained by the individual Auxiliary units may vary considerably, it is important to note that these audit procedures are the minimum for an adequate audit of unit funds and should be modified or added to as circumstances dictate.

Recommendations by the audit committee may include that the unit establish the standard accounting practices suggested in order provide better financial information to the unit.
UPGRADE TO PERSONNEL SECURITY INVESTIGATION (PSI)

MEMBER GUIDELINES

Name of Member: __________________________  EMPLID: _________  Unit: _________

Reason for Upgrade (circle one):  AVIATION    EXCOM

OTHER (explain) ____________________________

Step One:

NOTIFICATION

- Member will contact FC with intention of participation in one of the above program areas or leadership positions.

- FC routes request for endorsement by area DCAPT or Program Coordinator via the respective DCDR. DCAPT or Program Coordinator forwards approval or disapproval to DIRAUX.

ENDORSEMENT

- Endorsement consists of a simple email chain stating that the member is approved to proceed in the respective chosen area.

Step Two:

ACTION

- DIRAUX will contact member by e-mail to coordinate completion of the appropriate form via the Electronic Questionnaire for Investigations Processing (E-QIP) system along with additional instruction.

FOR AIR PROGRAM Qualification Only:

- Member may continue as a trainee in the Air Program while waiting for a favorable PSI determination.

- Member may be qualified in the Air Program once the SF-86 has been successfully submitted to the SECCEN.
<table>
<thead>
<tr>
<th>DSNR FIN-1</th>
<th>UNIT: DSNR</th>
<th>Record of Receipts &amp; Disbursements</th>
<th>Funds Disbursed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>Check No.</td>
<td>Received</td>
<td>Disbursed</td>
</tr>
<tr>
<td>Received From/ Payee</td>
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<tr>
<td>Bank Balance</td>
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<tr>
<td>TOTALS</td>
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(Rev. 10/11)