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



National Response Directorate Surface Operations Workshop 2020



Welcome

What this workshop provides:

- Policy Review
 - Safety Enhancements
 - It is NOT a replacement for TCT
- **DO NOT ALTER** this presentation
 - But you can add local information to the end





Ground Rules

- This Workshop should be Interactive, NOT all lecture
 - Ask Questions
 - Answer questions
 - Share experiences (keep between the buoys)
 - Share Insights

Participate Participate Participate





Risk Management (RM)

- Coast Guard (including Auxiliary) operations are inherently complex, dynamic, potentially dangerous, and, by nature, involve the acceptance of some level of risk
- Risk **MUST** be continuously evaluated throughout every mission not just at the initial briefing
- Mission plans and risk profile should be reported to OIA





Risk Management As A Way Of Life

- We Continually Make Decisions Based on How Much Risk We Are Willing To Accept
 - Personal
 - Auxiliary
- By Increasing Our Understanding Of Risk Management – We Will Increase Our Performance and Safety





Risk Management

Risk Management is more than filling out a form or a process.

It is a **mindset** and awareness of risk and reward that can be used not only in your Auxiliary life but in everything that we do in our personal lives.

It is a **Safety Culture!**





What is Risk Management

A continuous, systematic process of identifying and controlling risk in all activities according to a set of pre-conceived parameters by applying appropriate management policies and procedures.

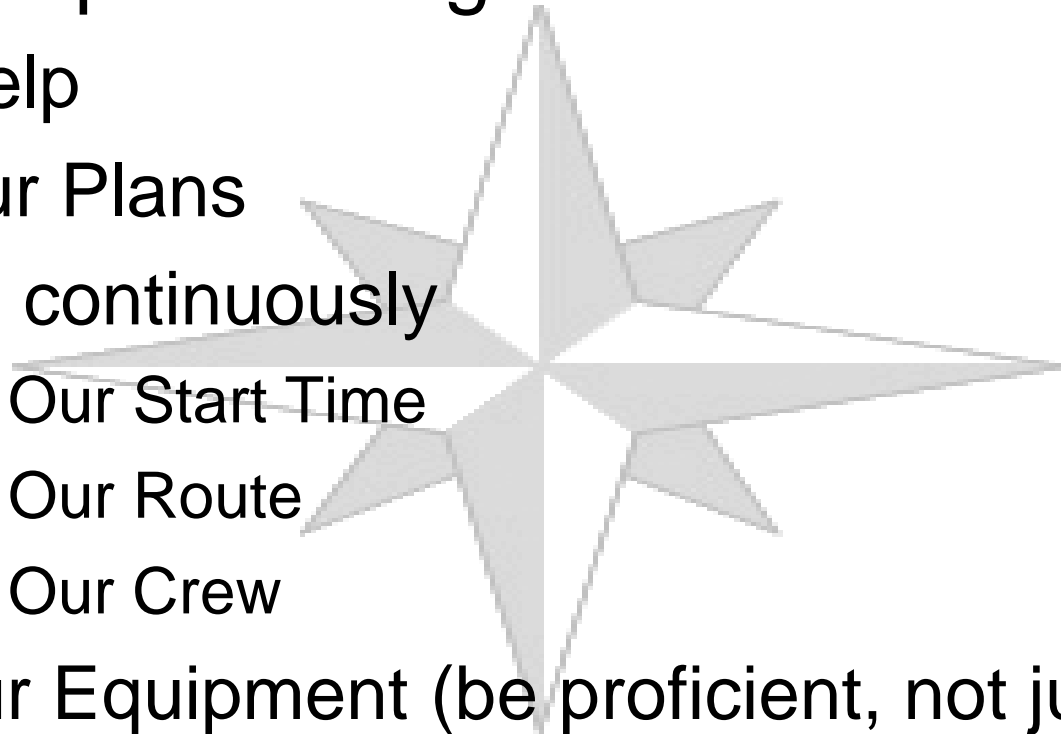
This process includes detecting hazards, assessing risk, and implementing and monitoring risk controls to support effective, risk-based decision-making.





Risk Management As A Way Of Life

- We Take Steps To Mitigate The Risks
 - Ask for Help
 - Modify Our Plans
 - Reassess continuously
 - Change Our Start Time
 - Change Our Route
 - Change Our Crew
 - Check Our Equipment (be proficient, not just aware)





Major Changes to RM

The Risk Management Instruction (COMDTINST 3500.3A)

- Updates the RM process from 7 steps to the new 5 step process
- Reintroduces the PEACE and STAAR models
- Introduces the Risk Assessment Matrix (RAM)
- Requires the use of GAR 2.0



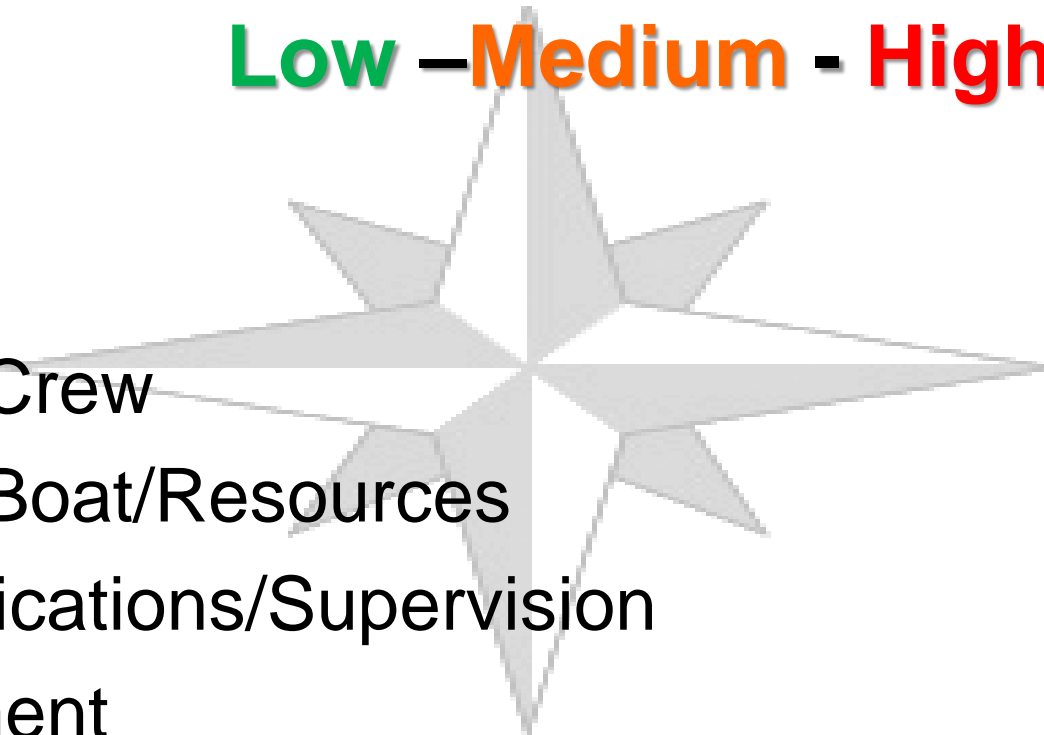


PEACE Model

- New GAR tool uses PEACE and scores the risk

Low – Medium - High

- Planning
- Event
- Assets - Crew
- Assets - Boat/Resources
- Communications/Supervision
- Environment





STAAR Model

- Spread out – Disperse the risk by increasing time between events or using additional assets
- Transfer – If possible, locate a better suited asset to conduct the mission
- Avoid – Wait for risk to subside (daylight?)
- Accept – Benefit should outweigh Risk
- Reduce – Use PPE, additional training or rest, stress reduction





GAR 2.0 MATRIX

| Risk vs. Gain | High Gain | Medium Gain | Low Gain |
|--------------------|--|--|---|
| Low Risk | Accept the Mission. Monitor Risk Factors and re-evaluate if conditions or mission/activities change. | Accept the Mission. Monitor Risk Factors and re-evaluate if conditions or mission/activities change. | Accept the Mission. Monitor Risk Factors and re-evaluate if conditions or mission/activities change. |
| Medium Risk | Accept the Mission. Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change. | Accept the Mission. Monitor Risk Factors and employ Controls when available. Re-evaluate if conditions or mission change. | Accept the Mission Only with Command Endorsement Communicate Risk vs. Gain to Chain of Command. Implement Controls and continuously evaluate conditions and mission for change. |
| High Risk | Accept the Mission Only with Command Endorsement. Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change. | Accept the Mission Only with Command Endorsement. Communicate Risk vs. Gain to Chain of Command. Implement Controls and monitor Risk Factors. Continuously evaluate conditions and mission change. | DO NOT Accept the Mission. Communicate to Chain of Command. Wait until Risk Factors change or Controls are available to warrant Risk exposure. |





What You Need to Do in Surface Operations

- Complete the online “Introduction to Risk Management” training course 100202 (one time)
- Attend “Annual Risk Management TCT Refresher”
 - The training shall be delivered by certified facilitators
 - New qualifications for Auxiliary TCT facilitator qualifications provided on BSX Policy Letter 19-03 (03 July 2019)
 - Auxiliary facilitators (TCTAUX) should make annual TCT Refreshers more available





Mission Risk

- Everyone on board should evaluate the risks
 - Do we have the right facility for the mission?
 - Is the weather within safety limits now and expected throughout the mission?
 - Do we have the correct mix of crew/experience for the mission?
 - Do we clearly understand our tasking?
 - Am I ready/capable for this mission?
 - Is the rest of the crew ready and capable for the mission?





I'M SAFE

Are you fit for your mission?

- I** = Illness - Do I have an illness or symptoms of illness?
- M** = Medication - Am I taking prescription or over-counter drugs?
- S** = Stress - Am I under psychological pressure from the job? Worried about financial matters, health problems or family discord?
- A** = Alcohol - Have I been drinking within eight hours? Within 24 hours? Note: Marijuana is not legal for use under federal law
- F** = Fatigue - Am I tired and not adequately rested?
- E** = Eating - Am I adequately nourished?



Keys to Achieving Safety

- Training / Crew Qualifications - Train for “Proficiency” not just enough to “qualify” or “re-qualify”
- Use your Risk Management Tools
PEACE, STAAR, GAR 2.0
- Don’t just be a member of the “12 Hour Club”.
Always strive to exceed minimum training hours



Mishap Reporting

ALL mishaps must be reported to the Order Issuing Authority (OIA) immediately!

- A Coast Guard mishap is defined as any unplanned, unexpected or undesirable event that causes injury, occupational illness, death, material loss or damage.
- Additionally the Auxiliary requires any incident which causes a disruption or alteration of the mission reported.
- **This allows the mishap to become an education opportunity to be shared across the entire organization.**





Mishap Reporting

- Mishap report does not equal punishment
 - However this does not apply for reckless or foolhardy actions
 - Incidents occur
 - Not reporting a mishap MAY lead to punitive action
- All Districts must report summaries (**no names**) of damage & injury type mishaps to:

Roy Savoca, DIR-Rd email: roy@savoca.us





Coxswain Responsibilities Review

- Obtain orders from OIA
- Ensure currency:
 - Of Facility Inspection
 - Of Crew certifications
- Responsible for **ENTIRE** crew
 - From pre-mission brief to debrief
 - Ensuring each member knows their role AND is capable of filling that role





Coxswain Responsibilities

- Designate primary lookout(s)
- Exercise DIRECT supervision when facility is being operated by crewmember
- Ensure that helmsman NOT leave the helm station
- Ensure kill switches are used (when applicable)





Coxswain Responsibilities

- Ensure all crew members are capable of performing the mission
- Ensure crew follows fatigue standards in Aux Ops Policy Manual
- Ensure all crew are equipped with required PPE and are proficient in its use
- Ensure PPE maintained in accordance with Maintenance Procedure Cards

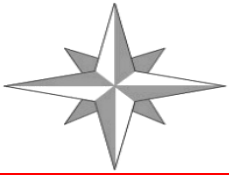




Quote from Ops Policy Manual ...

*Each Auxiliarist is charged with an ongoing responsibility to use good judgment and common sense when evaluating their continuing ability to carry out their assignments. Each individual's responsibility to exercise sound judgment requires each operator or crewmember, prior to departing on an ordered mission, to **evaluate their own physical status** and decline orders when unable to perform the required duties ... It is incumbent upon the member to self-enforce; however, this does not always occur. It is critically important that **the coxswain evaluate each crew member's physical abilities prior to getting underway** and this too does not always occur.*





Quote from Ops Policy Manual ...

It is the responsibility of each crew member to evaluate other crew members with regards to physical abilities to perform the tasks.

– *The Operations Policy Manual contains the following:*

*In the event a crew member becomes aware of a physical or mental condition in one of the other crew members or in himself/herself, which may jeopardize the safety of the mission, said person has **a responsibility for immediately bringing the condition to the attention of the coxswain, FC, and Director via the chain of leadership and the OIA.***





Coxswain & Crew Responsibilities

Per the Ops Policy Manual, maintain awareness of physical limitations, i.e. vision & hearing acuity, in yourself and in others

- First line of defense – Coxswain during pre-underway briefing
- Second line of defense – crew continually observing each other during mission for physical limitations
- Third line of defense – QE check rides but that only happens once every three years





Crew Responsibilities Review

Safety is paramount

- If you see something, say something
- Use your Risk Management Tools
- Remember ORM (Operational Risk Management)
- Ensure you are well rested prior to getting underway





Important Reminders

- Mobile Devices
 - Use of Mobile Devices (phones, tablets) is **PROHIBITED** without permission from Coxswain (**NEVER** used by the helmsman)
 - Ref: BSX Policy Letter (19-05)
 - If necessary (and if Coxswain must use), come to dead stop to use mobile device
- A Proper lookout must be maintained at all times





Important Reminders

Radio Watch

- All vessels equipped with a VHF marine radiotelephone must maintain a watch on channel 16 whenever the radio is not being used to communicate. See National SAR Manual (COMDTINST M16130.2F) chapter 2 / SAR Communications, Paragraph 2.5.6 Channel 16 Monitoring Requirements (page 2-29)
- Do not simply monitor your ops channel (use dual watch, scan, or 2nd radio)





Important Reminders

Radio Communications

- In all radio communications, we are to act as professionals
- At no time shall we make reference to ethnicity, race, gender, sexual orientation or religious affiliations in radio transmissions
- This is a zero tolerance policy and must be strictly adhered to





“Happen Upon” Policy Reminder

If you discover a vessel during routine patrol that requests assistance **and** that vessel has not been in contact with the Coast Guard or a private tow service:

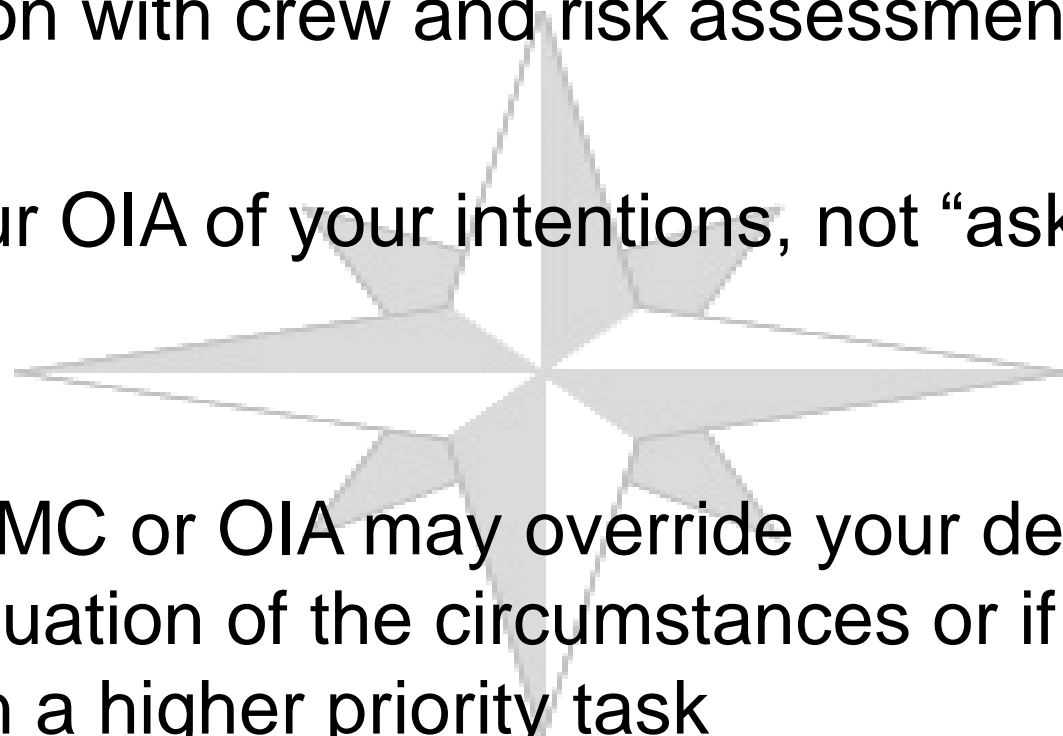
- You may render assistance including tow if capable
- Notify the Operational Commander, identify the location and identity of the vessel and the intended towing destination
- If vessel is in danger and you are unable to safely tow, you may endeavor to safely remove persons from the vessel until additional help can arrive on scene





“Happen Upon” Policy Reminder (Con’t)

- Coxswain decides on whether or not to assist vessel based on consultation with crew and risk assessment
- Inform your OIA of your intentions, not “ask for permission to tow”
- The CG SMC or OIA may override your decision if warranted by an evaluation of the circumstances or if your facility is needed on a higher priority task





Assistance to Auxiliary Facilities

- Coast Guard resources or Auxiliary facilities may be used to help Auxiliary facilities in need of assistance at any time
- An Auxiliary Facility is defined as an Operational Facility having a current accepted offer of use whether under orders or not
- It is NOT just any boat owned by an Auxiliary member





Safety is ALWAYS Priority 1

- Remember **safety of the crew**, the public, and the vessel are more important than the mission
- PLB (Personal Locator Beacon)
 - Have it on your person at all times when underway
 - Check the battery expiration date and perform required monthly test per MPC
 - Keep it registered with NOAA (every 2 years)
 - As of 1 June 2016, all crew and coxswain on board must have/wear a PLB
- HAZMAT
 - Steer well clear of ANY HAZMAT situation unless you have a certified HAZMAT responder on your crew





Provide SAR Response

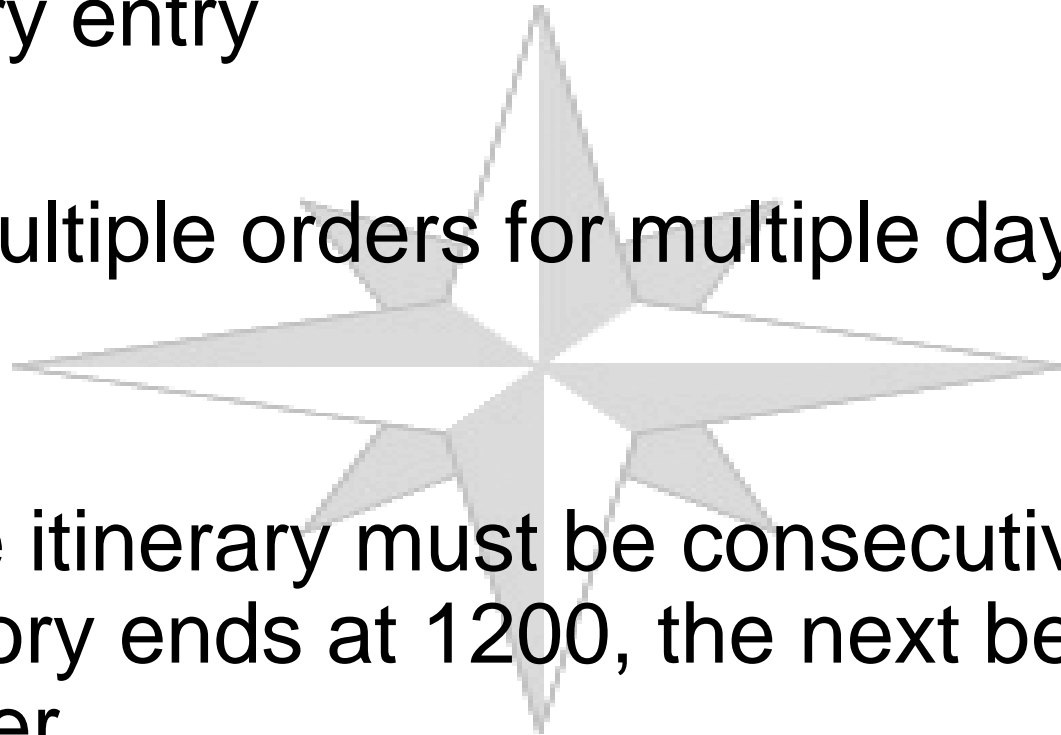
- Do only what you & your facility/crew are capable of.
- Safety of your Crew Always Comes First
- Operate at safe speed for the sea conditions and local environment
- Observe all NO WAKE zones – set the example for all other boaters





AOM Reminders

- Patrol orders are good for a 24 hour period from the first itinerary entry
- Request multiple orders for multiple days – do not combine
- Time in the itinerary must be consecutive with no gaps. One category ends at 1200, the next begins at 1200, **Not** 1201 or later





AOM Reminders (Con't)

- Mission Code 01D – Operational Standby, used for time when you are not underway but available such as:
 - Prior to getting underway, crew prepping for mission
 - When moored for meals, breaks, logistics stops
 - Debriefing and cleaning up after a mission
- Important since hours accumulated in 01D are included in calculating “crew fatigue parameters”





AOM Reminders (Con't)

- Training missions (22A) do **not** require a QE to be on-board
- If on a QE check ride, use 22A and list the QE as required by your district and note in comments box the QE's name and actual time doing QE activity
- If a mid-patrol crew change, list all crew members and note times for each in the comments box. The coxswain and/or facility cannot be changed
- The IS officer will adjust the entries in AUXDATA





AOM Reminders (Con't)

- Mission code 23A – SAR Standby
 - Use only when specifically assigned by OIA to assume dedicated SAR standby or actual SAR mission
 - Qualified crew must be in immediate vicinity of facility and in prescribed uniform.
 - Examples: prolonged searches where Active Duty (AD) crews may exceed fatigue standards, AD assets not available, busy/holiday weekends





AOM Reminders (Con't)

- When requesting orders, always check the last Facility Inspection Date
 - If the patrol date will be 1 year + 45 days from the last inspection, a new offer for use must be submitted before the patrol. AOM will not allow order completion with an out of date inspection
 - If the date you try to complete orders is over 1 year + 45 days from the last inspection, AOM will not allow completion of the orders, even if the patrol date was within the 1 year + 45 days





AOM Reminders (Con't)

- Meals are not automatically checked off - must be selected manually for **each** member
 - Select only the meals that were actually consumed during the underway portion of the patrol, not before and after
 - FINCEN does not pay for water, soda, snacks, etc.
 - If you receive fuel or meals at no cost from the Coast Guard, check “Government Provided” box





AOM Reminders (Con't)

- Do not claim engine oil; it is included in your SAMA payment
 - Fuel additives are 2-cycle oil, ethanol mitigation, injection cleaner, stabilizers, octane enhancer, etc.
 - Include receipts as required. CG policy is \$75; Districts may require receipts at a lower amount to include any and all claimed expenses
 - Per the Operations Policy Manual, patrol orders must be submitted within 30 days after completion of the patrol





Subsistence Payment Reminders

- Subsistence (meal) payments go to the Owner or Operator as selected on the order request
 - The member receiving the subsistence payment is obligated to either
 - Turn the payment over to each crew member or
 - Provide a meal(s) to each crew member commensurate with at least the subsistence amount paid
 - Subsistence payments are not to be kept by the owner or operator or put in a boat maintenance fund. This is what SAMA is for





New AUXDATA

New AUXDATA / AOM System

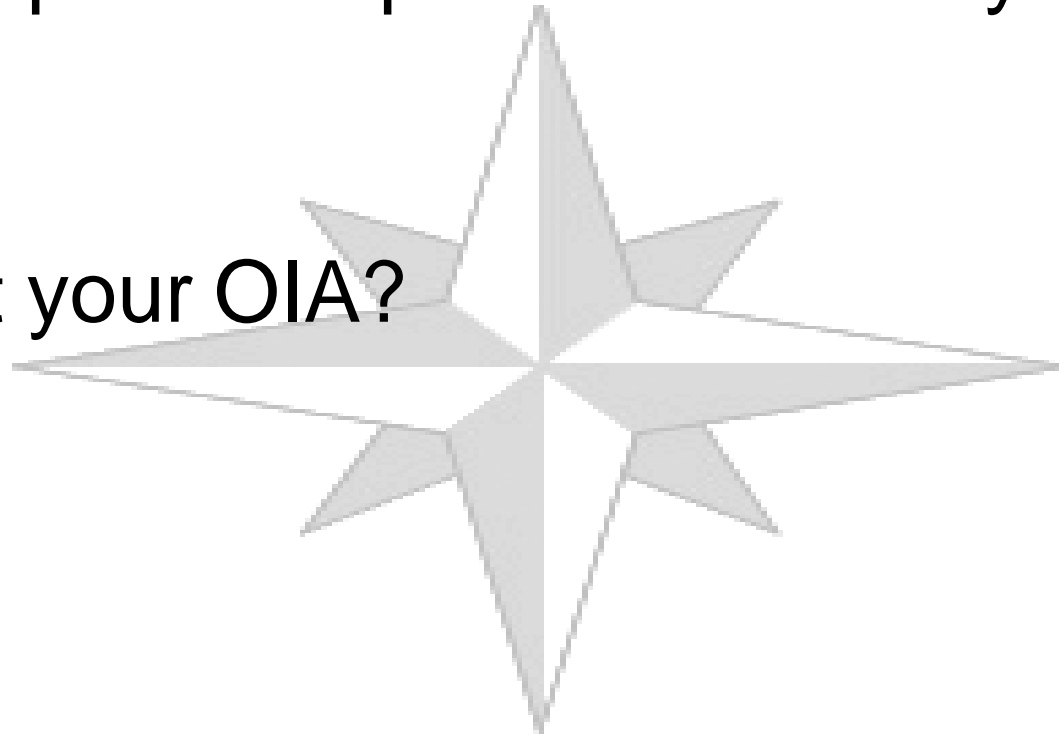
- The functions of AOM will be incorporated into the new AUXDATA system
- There will no longer be two separate systems
- Patrol orders will be managed in the new AUXDATA system when it comes on line.





Additional Reminders

- Any other special requirements from your local DIRAUX?
- How about your OIA?





AUXSCOUT

Auxiliary-Sea Scout Youth Development Program



- When involved with Sea Scouts, observe ALL provisions of the SOP published 01 November 2019





Bravo Zulu!



Great Job!

Thank you for your participation in the 2020 Surface Operations Workshop.

Please share your thoughts and feedback about this workshop with us.

Send your comments to:

Division Chief, Operations Projects and Educational Outreach

Bruce.Pugh@cgauxnet.us

Bruce Pugh, DVC-RE

Rick Saunders, DIR-R

Roy Savoca, DIR-Rd

