

United States Coast Guard Auxiliary



Strategic Plan 2013 - 2017

1 November 2013

Table of Contents

1. Executive Summary	3
2. Organization of the US Coast Guard Auxiliary	4
2.1 Organization Chart	6
3. Mission, Vision, and Value Statements	7
4. Strategies, Goals and Objectives	8

1. Executive Summary

Recent years have been turbulent in terms of organizational structure, fiscal cutbacks, and expanding missions for the Auxiliary.

The organizational restructuring of our parent service appears to be stabilizing. We can expect to see increasing competition for resources provided both by the Coast Guard and by other sources through our financial arm, the Coast Guard Auxiliary Association, Inc. It will be increasingly important for us to be good stewards of the resources entrusted to our care.

The expanding number of operational, administrative, and logistical missions, which we are able to perform, gives us ever-increasing opportunities for service. Every member should be able to attain personal satisfaction within that array of missions.

My Watchwords - Training, Communication, and Members - are intended to guide our focus as we move forward.

Semper Paratus!

Thomas C. Mallison
National Commodore

2. Organization of the US Coast Guard Auxiliary

Established by Congress in 1939 under *title 14, §§ 23* of the U.S. Code, the United States Coast Guard Auxiliary is Semper Paratus (Always Ready).

When the Coast Guard "Reserve" was authorized by act of Congress on June 23, 1939, the Coast Guard was given a legislative mandate to use civilians to promote safety on and over the high seas and the nation's navigable waters.

Two years later on February 19, Congress amended the 1939 act with passage of the Auxiliary and Reserve Act of 1941. Passage of this act designated the Reserve as a military branch of the active service while the civilian section, formerly referred to as the Coast Guard Reserve, became the Auxiliary under title *14, chapter 23* of the USC.

When we entered World War II, 50,000 Auxiliary members joined the war effort as military teams. Many of their private vessels were placed into service in an effort to protect the U.S.

Today, the Auxiliary is active in

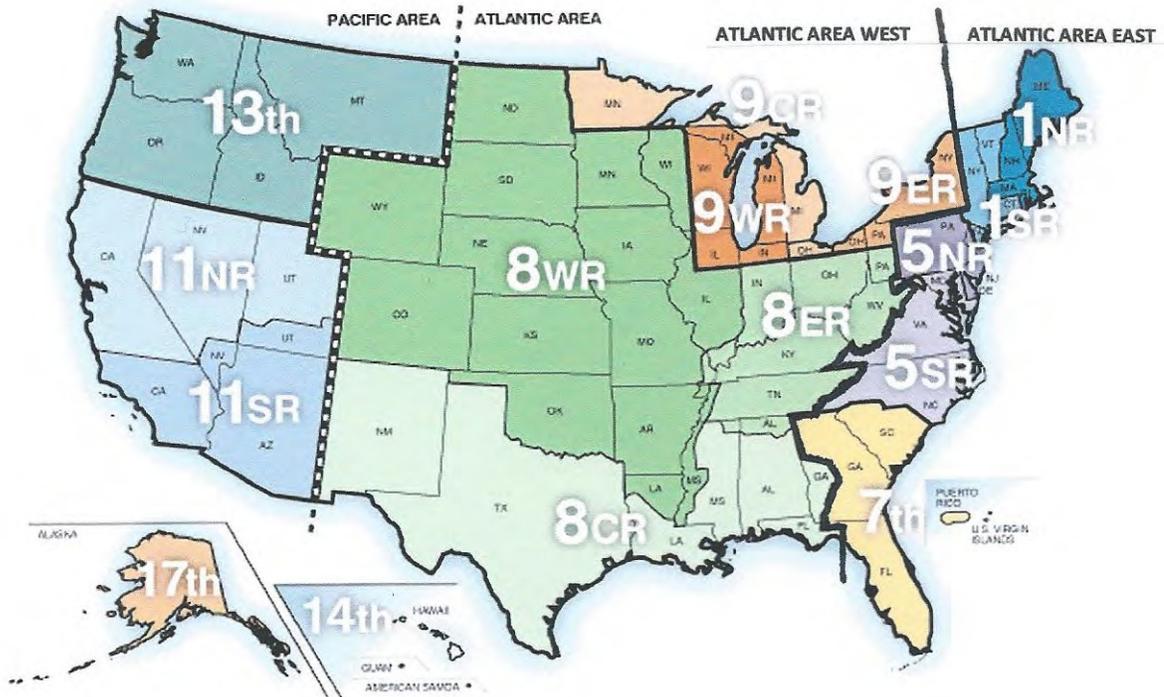
- Recreational Boating Safety
- Recreational and commercial fishing vessel exams
- Safety and security patrols
- Search and rescue
- Mass casualty and disaster response
- Pollution response & patrols
- Homeland security
- Providing platforms for boarding parties
- Recruiting for the Coast Guard

In addition to the above, the U.S. Coast Guard Auxiliary can perform any mission as directed by the Commandant of the U.S. Coast Guard or Secretary of Homeland Security except for law enforcement or military operations.

The Auxiliary has a presence in all 50 states, Puerto Rico, the Virgin Islands, American Samoa, and Guam.

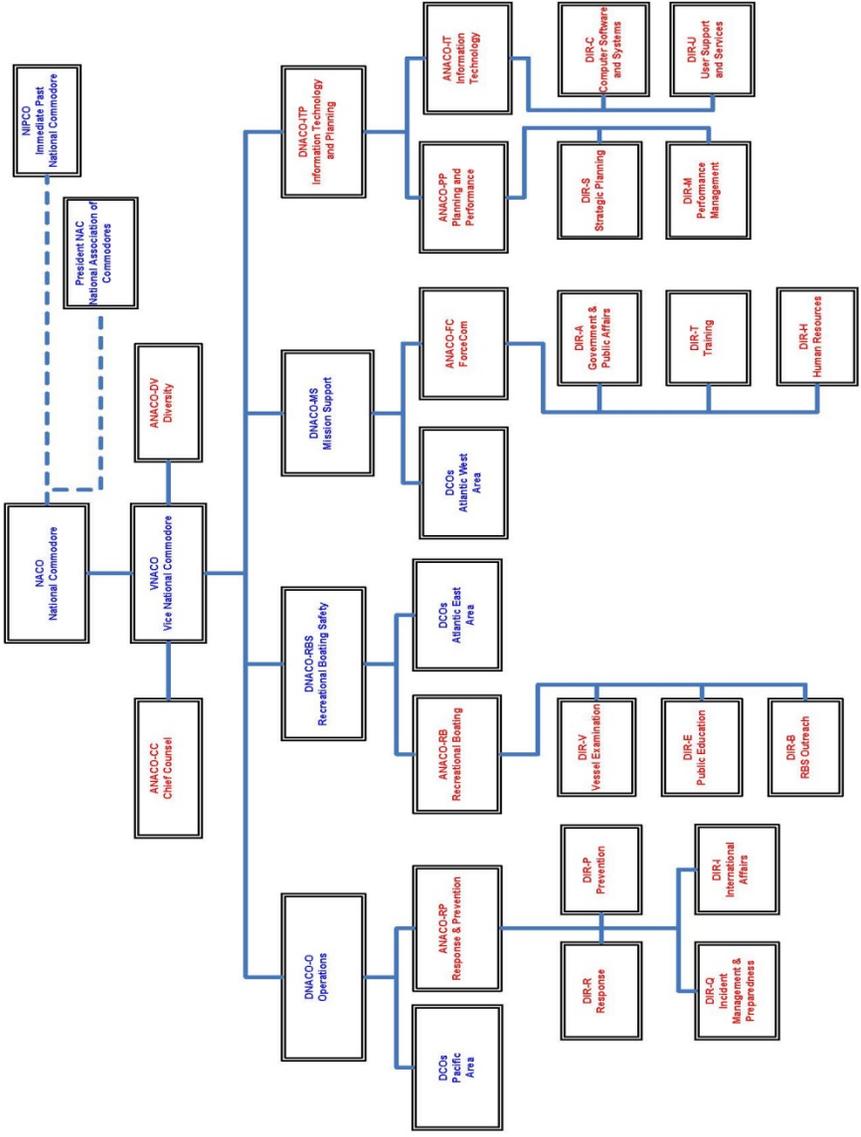
Under the direct authority of the U.S. Department of Homeland Security via the Commandant of the U.S. Coast Guard, the Auxiliary's internally operating levels are broken down into four organizational levels: Flotilla, Division, District, and National.

U.S. COAST GUARD AUXILIARY AREAS, DISTRICTS, AND REGIONS



- **National** - The National leadership is responsible under the governing policies established by the Commandant of the Coast Guard for the administration and policy-making for the entire Auxiliary.
- **District** -The District provides administrative and supervisory support to Divisions and promotes District and National policy.
- **Division** - Flotillas in the same general geographic area are grouped into Divisions. The Division provides administrative, training, and supervisory support to Flotillas and promotes District and National policy.
- **Flotilla** - The Flotilla is the basic organizational unit of the Auxiliary and is comprised of at least 15 qualified members, who perform the day-to-day activities of the unit. Every Auxiliary member is part of a Flotilla.

**U.S. Coast Guard Auxiliary
Organization Chart
1 November 2012**



3. Mission, Vision, and Value Statements

1. Mission Statement

- To promote and improve Recreational Boating Safety
- To provide trained crews and facilities to augment the Coast Guard and enhance safety and security of our ports, waterways, and coastal regions
- To support Coast Guard operational, administrative, and logistical requirements

2. National Commodore's Vision

The United States Coast Guard Auxiliary – the best trained most valued maritime volunteer organization in the world – highly effective during normal operations and ready for emergencies.

3. The Coast Guard Auxiliary Core Values

- **Honor** – Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all of our personal and organizational actions. We are loyal and accountable to the public trust.
- **Respect** – We value our diverse membership. We treat each other and those we serve with fairness, dignity, respect, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.
- **Devotion to Duty** – We are volunteers who seek responsibility, accept accountability, and are committed to the successful achievement of our organizational goals. We exist to serve. We serve with pride.

4. Watchwords

- Training
- Communication
- Members

4. Strategies, Goals, and Objectives

A. Service Strategy

1. External (Partners) Goals

a. Recreational Boating Public Objectives

- i. Field electronically delivered public education courses and enhanced e-books. Auxiliary safe boating course content is among the finest available. Course construction and delivery is being revised to meet the faster-paced lifestyles of today. Not all courses need to be taught in a classroom, and to stay relevant in the public safe boating environment, Auxiliary safe boating courses are being adapted when applicable to on line presentation under agreement with BoatUS Foundation. Enhanced e-books are also being developed under agreement with Kalkomey Enterprises (dba BoatEd). When either one electronic public education course or one enhanced e-book is published, the goal will be 50% complete. It will be 100% complete when both electronic public education course and enhanced e-book are published.
- ii. Ensure that the public education courses being offered are ones the public desires. Education is ineffective if the target audience does not robustly participate. Safe boating courses will be evaluated to be sure they meet the needs of the boating public as well as state and federal mandates. The number of each public education course will be tracked. An increasing trend showing growth of 5% or more per year will indicate that the public desires the course, and the goal is being met.
- iii. Establish MOUs or MOAs with new external partners and follow through on responsibilities. Delineating expectations and responsibilities of a partnership makes good business sense whereby all parties understand and agree to expectations. Professionalism requires follow through, and to make that possible, agreements should follow the SMART model (Specific, Measurable, Attainable, Relevant, Time-based). As new opportunities emerge with other RBS partners, a MOU or MOA will be established. The number of partners with which the Auxiliary has cooperative programs in place but with no MOU or MOA should be zero.

iv. Reaffirm MOUs or MOAs with current external partners and follow through on responsibilities. The Auxiliary has MOUs and MOAs with many diverse organizations. These instruments will be reviewed, and responsibilities and expectations will be charged to the responsible program managers for planning and completion. Following review should no clear SMART model exist for the expectations, one will be created to meet the desired goals. The RBS Outreach Directorate will take the lead to identify all MOU and MOA with which the Auxiliary is a party. The goal is to have 100% of all such MOU and MOA reviewed by 31 October 2014 to ensure the programs are current and that the responsibilities of all parties are being carried out.

b. United States Coast Guard Objectives

i. This plan is in alignment with the Strategic Plan of the National Recreational Boating Safety Program, the Report on that Plan, and the strategies in that plan called out for Auxiliary participation. Specific Strategies are 1.3, 2.4, 3.2, 3.3, 4.3, 6.5, 8.1, 8.3, and 8.6. Strategies that involve the Auxiliary as a provider of boating safety courses are 1.1, 2.3, 3.1, 5.1, 5.3, and 6.5.

(a) Strategy 1.1 – Track the Number of Certificates-States. Track the number of students and the number of boating education classes conducted. Data is found in the PE Report in the AUXINFO modules under reports. Goals are to have 50,000 graduated students and 3,000 course completions by 31 October 2014.

(b) Strategy 1.3 – Strengthen Boating Laws. Encourage states to strengthen boating education laws through activity of State Liaison Officers. Goal is to have SLOs contact the state Boating Law Administrators (BLAs) at least once per quarter in those states not having boating education laws and discuss the effect of such laws on boating deaths and accidents at every opportunity.

(c) Strategy 2.3 – Deliver Boating Safety Education Messages through Grassroots Efforts. Data is found in the PA Report in the AUXINFO modules under reports. Goal is to present 4,000 Boating Safety messages under code 10f by 31

October 2014.

- (d) Strategy 2.4 – Deliver Branded Messages through Traditional Mass Media. Data is found in the PA Report in the AUXINFO modules under reports. Goal is to present 1,600 messages under code 10c by 31 October 2014.

- (e) Strategy 3.1 – Track Participation in and Effectiveness of Advanced Education and On-Water, Skills-based Boating Education Courses. At present the Auxiliary is not able to carry on a robust on the water education program due to authorization by the Auxiliary Manual and Operations Manual. Additionally, large classes to observe boat handling techniques are adversely affected by licensing requirements dealing with six or more passengers for hire. In the unlikely event that these limitations are changed at Coast Guard Headquarters, the Auxiliary will endeavor to partner with other boating organizations that do not have such limitations. Conceptually, the Auxiliary would teach the dockside material, and the partner organization would teach the on-water material. Goal is to have a partner identified and an agreement in place by 31 October 2014.

- (f) Strategy 3.2 – Coordinate Best Practices for On-Water, Skills-Based Boating Education Courses. The partner agreement identified in (e) above would include coordination of best practices.

- (g) Strategy 3.3 – Set Numerical Targets for Participation in Advanced Education and On-Water, Skills-Based Boating Education courses. Goals for on-water courses will be included in the partner agreement identified in (e) above. Goals for the presently authorized Public Education effort are as follows. The data is found in the PE Report in the AUXINFO modules under reports. Goals are 6,000 instructors, 3,000 courses completed, and 50,000 graduates by 31 October 2014.

- (h) Strategy 4.3 – Engage all RBS Professionals in Public Demonstrations of Inflatable Life Jackets. Vessel Examiners have been provided with inflatable life jackets. Goal is to

have all Vessel Examiners wear those jackets when conducting Vessel Safety Checks. This is a matter of leadership emphasis and a program necessity. Reporting statistics will not be expected for compliance with this policy.

- (i) Strategy 5.1 – Expand the Number of States with Mandatory Boating Safety Classes for NAVRULES Violators. The Auxiliary is not permitted to lobby directly per guidance in the Auxiliary Manual. However, education and advertising can include the message that Boating Safety Classes are a way to improve the safety of boaters, and that message is measured by Public Affairs efforts in (c) and (d) above.
- (j) Strategy 5.3 – Increase Navigation Rule Awareness Among Boaters. A discussion of the Rules of the Road is included in Public Education Courses. Goals for those courses are set forth in (g) above.
- (k) Strategy 6.5 –Conduct BUI Awareness and Enforcement Campaign. The Auxiliary is prohibited from direct Law Enforcement of BUI laws. Discussion of the adverse safety impact of BUI is included in Public Education Courses. Goals for those courses are set forth in (g) above.
- (l) Strategy 8.1 – Evaluate Incidents of Non-Compliance with Specific USCG Required Safety Equipment. Reasons for failure of Vessel Safety Checks are included in a data collection effort presently in progress. Goal is to provide reasons for all VSC failures as a part of that collection effort.
- (m) Strategy 8.3 – Assess effectiveness of current boater education outreach and law enforcement programs to achieve higher compliance rates with USCG Safety Equipment carriage requirements, including life jackets. Evaluation of the data collected as a part of the collection effort in (l) above will measure progress. That report will be rendered by the agency sponsoring the study.
- (n) Strategy 8.6 – Increase Boaters’ Knowledge of Safety Equipment. Auxiliary effort to interact directly with boaters to check their knowledge of safety equipment is through the

Vessel Safety Check and Recreational Boating Safety Visitor Programs. Data is found in the Exams and PV Reports in the AUXINFO modules under reports. Goals are to conduct 100,000 Vessel Safety Checks and 80,000 RBS Visitations by 31 October 2014.

- ii. Promote Auxiliary District interaction with Coast Guard units at all levels. Auxiliary District leadership should establish a close working relationship with the area Coast Guard District leadership so that they can assist and support Sector and local Auxiliary operations. At the national level, the goal is to have an Auxiliary Sector Coordinator (ASC) appointed for every Coast Guard Sector. At the District level the goal is to also have an Auxiliary Unit Coordinator (AUC) appointed for every Coast Guard unit within the District's Area of Responsibility (AOR) below Sector level. The District Commodore (DCO) will set local goals for the frequency of contact expected (e.g., at least weekly contact) of such appointed ASCs and AUCs. Duties of ASCs and AUCs as set forth in Chapter 1 of the Auxiliary Manual include the following:
 - (a) Encourage local units to determine support needed by local Coast Guard units such as personnel skills, number of facilities, and other resources. Local Auxiliary units must work with local Coast Guard units to identify what support is desired. Once those needs have been identified, they should be matched with Auxiliary capabilities. When appropriate, recruiting and additional training may be employed to fill those support needs.
 - (b) Encourage local units to continually advise Coast Guard units of available Auxiliary capabilities. Coast Guard units at all levels must know the capabilities and capacities of the members of local flotillas and divisions in order to accurately integrate the Auxiliary members into Coast Guard activities. Each Auxiliary unit must keep Coast Guard units apprised of Auxiliary assets and capabilities and their operational status.
- iv. Exploit Skills Bank implemented in 2013 and explain its capabilities to Coast Guard units. To be able to be of service to the Coast Guard, the Sector must know who is available, where they are, what skills and/or facilities they have, and how to contact

Auxiliarists quickly. The Skills Bank is such a tool. Auxiliary unit leaders at all levels should make their Coast Guard counterparts aware of the Skills Bank and how to access it. Members must enter their unique talents into the Skills Bank in order for it to be effective. Goal is for 25% of the membership to be entered into the Skills Bank by 31 October 2014.

2. Internal (Members) Goals

- a. Increase Auxiliary membership through defined programs. The average attrition rate for the Auxiliary is around 4,000 members each year. While attrition in any organization is normal, the Auxiliary, because of its maturing membership, must develop a plan to attract a younger and a more diverse membership or face an eventual degradation of capabilities. Recruitment should be flexible and reflect the desires of those program areas that show the most need for qualified members. Retention programs need to be formalized so existing members can find continued satisfaction in their areas of interest and provide access to programs as members' interest and abilities change. The goal is to maintain at least a 2% compound growth rate. The goal to be attained by 31 October 2014 is at least 32,750 members as reported on the monthly Unit Summary Data report.
- b. Develop recruiting efforts to provide branded messages. Not all recruiting messages resonate across the board. Care should be used in selecting appropriate language and message for diverse groups based on the demographic being addressed. Whatever the message, the style should show the Auxiliary graphic style and contain common elements across the country. The goal is for the Recruiting Division of the Human Resources Directorate to produce at least six recruiting messages that can be used by all districts to enhance their recruiting efforts by 31 October 2014.
- c. Encourage retention of existing members through mentoring, awards programs, and similar active efforts to let members know that their efforts are needed and appreciated. Not all members serve at the same levels or in the same programs. The Auxiliary honors all members for their service. That includes not only the most active members but also those who may be less active yet still continue to support the organization with their advocacy and dues. Too often members' activities are taken for granted or not recognized. Volunteers have

justifiable pride in their service, and all levels should be recognized across the organization. The goal is for the disenrollments reported on the monthly Unit Summary Report to be below 1,800 by 31 October 2014.

- d. Encourage diversity in recruiting. Especially encourage recruitment of Millennials and growing minority groups. Demographic surveys of the Auxiliary show a maturing membership. In order to be a vital organization, the Auxiliary needs to recruit younger members. While membership is open to any generation, special efforts should be aimed at the Millennials (particularly those born after 1986) many of whom are now in college. The Auxiliary University Programs is specifically geared to these future leaders and should be expanded across the country. Far from reflecting the ethnic makeup of the United States, the Auxiliary should seek to engage these diverse groups to bring their experience and cultural richness to the organization. The NACO Three Star Award for Diversity is intended to encourage improvement in the environment within the Auxiliary that would make the Auxiliary attractive to prospective members in under-represented demographics. Applications for the award have been lagging. The goal is to have ten percent (10%) of the flotillas in every district apply for the NACO Three Star Award for Diversity for activities conducted in 2014.
- e. Promote communication among all levels of the Auxiliary. Communication is essential to our success. Advances in technology have moved very rapidly in the last few years. We must be careful to not disenfranchise some members who are less technically advanced, while at the same time we must use available technology to more efficiently and effectively reach the bulk of our members and the boating public. We will rely more and more on electronic classroom and meeting technology in the years to come. Establish regular meetings of the National Board by electronic means as soon as software program has been identified with sufficient available capacity to conduct such meetings with all members and necessary advisors in attendance. Goal is to use software selected in objective 2.f. below.
- f. Promote the use of communication technology within the Auxiliary. Leverage e-systems: web sites, social media, and teleconferencing. Except at local levels, the Auxiliary is primarily a virtual organization. As the economy continues to impose strict budget concerns, units should maximize available technology for internal as well as external communication. The fast-paced society of today leaves less disposable

time for volunteers than in the past. Therefore, emphasis should be made to reach out using e-systems to better engage members particularly those who are younger and those who are more technically savvy. DNACO-ITP is to review the merits of WebEx, GoToMeeting, and similar programs to determine the most effective and affordable solution for electronic meeting and classroom use. Goal is to have a system selected that has at least 30 seats available for national and 50 seats available for district meetings and classes. Selection is to be identified by N-Train 2014 for presentation to and review by the National Board.

- g. Publicize and analyze results from 2013 member survey. Develop strategies to improve organizational effectiveness from analysis. Include suggestions for improvement. Volunteer payback is personal satisfaction in a job well done as well as satisfaction in the organization to which they belong. To establish trends in member satisfaction, a survey of the membership will be held every two years beginning in 2013 to consider course corrections based on the data received. Results from the 2013 member survey are to be published during November 2013. Analysis of responses is to be completed by NEXCOM by N-Train 2014 for short-range action items to be implemented in 2013. Long range action items to be identified and incorporated into the Strategic Planning process by 1 May 2014.
- h. Cultivate leadership skills and succession management. This goal applies to both elected and appointed officers. The best volunteer organization needs the best elected and appointed leaders. The Auxiliary is using an older model of leadership training that needs updating. Recent budget-driven changes in Coast Guard funding have made it extremely difficult to provide leadership training through C-School courses. Most C-School courses have strong management training curricula but less intensive leadership training. That, coupled with a culture that results in a diminishing desire or sense of urgency to take leadership courses, often leaves both field and staff units with fewer outstanding leaders than they need. Succession management is a key to developing exemplary teamwork and leaders yet is not widely practiced at sustainable levels. It is imperative that a leadership culture and training continuum be updated and be supported by strong succession planning throughout the Auxiliary. A study to reorganize training for both elected and appointed leaders as well as staff officers will be commissioned by NACO. The study committee will include elected and appointed members from all levels from Flotilla to National.

Monthly status reports will be provided to NEXCOM by the first day of March and April 2014. The final report of the study will be due to NEXCOM by 1 May 2014. Recommendations for action will be provided to the National Board by 1 June 2014, with final recommendation of the National Board to be forwarded to CG-BSX-1 by NACON 2014.

- k. Ensure qualification requirements reflect the mission for which the member is being trained. A review of mission and program qualification requirements will be made to ensure members are trained to meet mission readiness without promoting training unrelated to the requirements of the mission. Program managers will review qualifications for each program area, identify any requirements that appear not to be directly related to the mission, and request the appropriate Coast Guard program manager to delete such requirements from qualification standards. Each Director will perform such review in consultation with appropriate District Staff Officers and provide results of such review through their ANACO and DNACO to NEXCOM by 1 April 2014. Resulting recommendations for action will be provided to the National Board by 1 May 2014, with final recommendations of the National Board to be forwarded to CG-BSX-1 by NACON 2014.

B. Infrastructure Strategy

1. Financial goals

- a. Identify funding required to promote authorized Auxiliary activities and work with BSX to determine availability of Coast Guard funding. A common annual request form should be submitted by each level at Directorate and higher. A budget manager should consolidate the requests. Budget requests should be vetted and matched against available funding from each source and then forwarded to the appropriate funding source (CGAuxA or Coast Guard) for acknowledgement that requested needs match available resources. Obtain budget inputs from National staff and elected officers by 1 May 2014 to reflect resources needed to conduct 2015 activities. NEXCOM budget officer will provide consolidated budget to NACO by 1 June 2014 with recommendations for Coast Guard Auxiliary Association, Inc. (CGAuxA) vs Coast Guard funding. NACO will refine and provide the Coast Guard request to CHDIRAUX by 1 July 2014.

- b. Work with the Coast Guard Auxiliary Association, Inc. to develop revenue sources such as Grants, Donations, Endowments, etc., to meet funding requirements not provided by the Coast Guard. The CGAuxA is charged by the Commandant with managing fundraising efforts as provided in the AUXMAN. Our 32,000 members can provide additional breadth to a nationwide information effort to identify potential donors and provide solicitation details so that CGAuxA can establish formal contact and follow up to obtain funding support. NEXCOM budget officer will provide consolidated budget to NACO by 1 June 2014 with recommendations for CGAuxA funding. NACO will refine and provide the CGAuxA request to the CGAuxA Fiscal Committee by 1 July 2014.

2. Process goals

- a. Expand the formal training program for staff developed in 2013 to districts so they may more effectively fulfill their responsibilities in service to membership. There is limited training for members newly appointed to the National Staff and what there is has often been self-directed on the job training. To ensure alignment across the staff, a formal training program will be developed and required for all new National Staff Officers so that they will be able to provide exemplary program management for the benefit of the Coast Guard and the Coast Guard Auxiliary. Develop an exportable training course that can be presented via Webinar or the equivalent to train staff officers at district level in the procedures developed and taught to the National staff in 2013. Provide staff training instruction at N-Train to reinforce key elements of that training program. Goal is for the electronic program to be completed by 31 October 2014.
- b. Implement an efficient mechanism to facilitate simple changes to the Auxiliary Manual. Changes to the Auxiliary Manual, because it is a Commandant Instruction, have a Coast Guard process that has to be followed involving sequential or concurrent clearance by many offices and commands. Simple changes that do not require signoff by all offices and commands should have a more direct process to be more timely and responsive to the needs of the members. BSX-1 has drafted a process that will facilitate implementing changes to the Auxiliary Manual using the processes that will be used for concurrent clearance within the Headquarters to effect manual changes. Goal is for the final process to be vetted by NEXCOM and ready for presentation to the National Board at N-Train 2014.