



CGD1SRINST 16791.1  
15 APRIL 2004

FIRST COAST GUARD DISTRICT SOUTHERN REGION INSTRUCTION 16791.1

Subj: PERSONNEL SECURITY INVESTIGATION (PSI) PROCESS

Ref: (a) 181104Z DEC 03 ALCOAST 550/03 Coast Guard Auxiliary Personnel Security

1. **PURPOSE.** The purpose of this instruction is to provide members of the First Southern Region easy to follow guidance for preparing and processing both new enrollments and existing members through the personnel security process. Reference (a) applies.
2. **ACTION.** The following procedures will be followed in processing new enrollments, existing members undergoing operational support level clearance and existing members undergoing direct operational clearance. Pay close attention to the specific requirements of each different category of clearance when preparing the appropriate paperwork.

**A. PROSPECTIVE AND/OR RE-ENROLLING AUXILIARIST**

(1) New Enrollment Packages Must Contain

- (a) Enrollment Application (CGAUX-32)
- (b) Prospective Member Interview (CGAUX-2)
- (c) ID Form
- (d) ID Picture with a RED background (on disk or CD in .jpg format)
- (e) (3) Fingerprint Cards (FD-258)
- (f) Authorization for Release of Information (SF 85)

[http://www.cgaux.info/g\\_ocx/administration/security/85release.pdf](http://www.cgaux.info/g_ocx/administration/security/85release.pdf)

- (g) Special Agreement Check (SAC) Form (OFI-86C)

[http://www.cgaux.info/g\\_ocx/administration/security/SACAgreementBVS-INSw-citizenship2.pdf](http://www.cgaux.info/g_ocx/administration/security/SACAgreementBVS-INSw-citizenship2.pdf)

- (2) Felony Conviction Information: If a prospective Auxiliarist has any felony convictions that may be waived based on the AUXMAN, they must submit the following information for waiver consideration, and may do so directly to the DIRAUX
  - (a) Felony Conviction – the specifics
  - (b) Date of felony
  - (c) City and state felony occurred
  - (d) Disposition
- (3) The Prospective Auxiliarist is entered, by DIRAUX into AUXDATA with the status AP (Approval Pending). Only DIRAUX staff will be able to view these entries.
- (4) The Prospective Auxiliarist (and the Flotilla Commander) will receive a letter from DIRAUX designating him/her as an Approval Pending (AP) Member of the Auxiliary. The letter explains the membership process that is used and the fact that the PSI is underway. The letter also explains that the AP may begin preparation for entry into cornerstone programs but may not actively participate in training or testing.
- (5) An AP member may NOT wear the Auxiliary uniform, vote on any flotilla matter, be elected or appointed to office or be active in any cornerstone program. An AP Auxiliarist may attend Flotilla meetings, public education classes and study for exams.
- (6) A former Auxiliarist desiring to re-enroll will be retrieved from AUXDATA archive and his/her status changed to AP, until the required determination is received from Security Center (SECCEN).
- (7) Favorable Determination
  - (a) When an AP member receives a favorable determination, DIRAUX will change his/her status to IQ or BQ as appropriate, and his/her name is entered on the rolls of his/her flotilla, and the member will be considered to be classified as Operational Support (OS).
  - (b) When re-enrollee applicant receives a favorable determination, DIRAUX will change his/her status to IQ, BQ or AUXOP, as appropriate, and his/her name is entered on the rolls of his/her flotilla.
  - (c) DIRAUX will send the new Auxiliarist package to the FC. This package will include a New Member Handbook, New Member Certificate, welcome letter and an Auxiliary ID card.
  - (d) Upon completion of the PSI for new membership, and/or re-enrollment, the subsequent enrollment in the flotilla, a new member may begin the process toward qualification in a Direct Operational program. These programs are:
    - a. Aircraft Commander, First Pilot, Co-Pilot, Air Crew, Air Observer
    - b. Coxswain, Boat Crew Member, Personal Watercraft Operator

c. Operations or Communications Watchstanders

(8) Unfavorable Determination

- (a) If an AP member or a re-enrollee receives an unfavorable OS determination by the SECCEN, they will be denied membership, pending appeal and adjudication.

**B. OPERATIONAL SUPPORT MEMBERS – OFI86C AND FORM 85**

(1) Packages Must Contain:

- (a) (3) Fingerprint Cards (FD-258)  
 (b) Authorization for Release of Information (SF 85)

[http://www.cgaux.info/g\\_ocx/administration/security/85release.pdf](http://www.cgaux.info/g_ocx/administration/security/85release.pdf)

- (c) Special Agreement Check (SAC) Form (OFI-86C)

[http://www.cgaux.info/g\\_ocx/administration/security/SACAgreementBVS-INSw-citizenship2.pdf](http://www.cgaux.info/g_ocx/administration/security/SACAgreementBVS-INSw-citizenship2.pdf)

- (2) Members are encouraged to complete this package as soon as possible, unless previously submitting an SF86 package after the call out from the director.

**C. DIRECT OPERATIONAL MEMBERS – (SF86) PACKAGE SUBMITTAL**

- (1) ALL SF-86 packages will be called for by DIRAUX, in a call out message sent directly to the members involved. Send COMPLETE package to DIRAUX 1SR in a double envelope. This means the following:

- (a) SF-86 questionnaire (all three parts), 1 original and 1 copy with original signatures  
 (d) FD 258 Fingerprint Card, 3 originals  
 (e) DOT Form 1631 original. The inner envelope should have the member's name and "SF-86" written across the front. Office staff opens the outer envelope and sees the inner envelope

with "SF-86". They log in the member's SF-86 as they are received. The inner envelope is left sealed and the package is locked in a limited access cabinet. Packages are checked for proper completion of SF-86. No copies of the SF-86 are made by DIRAUX; members will keep their own copies. Reviewed/Completed packages are forwarded to Security Center. The process for review at SECCEN takes about 120 days. If you have not received a call out request, **DO NOT SUBMIT YOUR SF86 PACKAGE.**

(2) Favorable Determination

- (a) If the Auxiliarist receives a favorable DO determination, he/she becomes eligible to, or continues eligibility for, participation in any of the DO competencies.

(3) Unfavorable Determination

- (a) If the Auxiliarist receives an unfavorable DO determination, he/she will receive notification from SECCEN via DIRAUX.
- (b) The SECCEN information will only be revealed to the Auxiliarist and full-time paid DIRAUX staff; however, the FC, DCP or RCO and DCO will receive notification that an unfavorable determination has been received. They will not be privileged to the information from SECCEN.
- (c) DIRAUX will provide guidance/steps to take so that an appeal may be submitted.

**D. CURRENT AUXILIARIST with Felony Convictions**

- (1) If an Auxiliarist had previously indicated that he/she had a felony conviction and was granted a waiver from DIRAUX that waiver will still be in effect.
- (2) If a current member joined the Auxiliary prior to the Application asking about felony convictions, and has any felony conviction that may be waived based on the AUXMAN, he/she must submit the following information for waiver consideration and may do so directly to the DIRAUX
  - (a) Felony Conviction – the specifics
  - (b) Date of felony
  - (c) City and state felony occurred
  - (d) Disposition
- (3) If a current member answered **NO** or failed to reply to the felony question on the application and the member does have a felony conviction, he/she will be disenrolled immediately.



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First Coast Guard District Southern Region