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Homeland Security

United States
Coast Guard



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SOHVINST M16790.1D

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SECTOR OHIO VALLEY INSTRUCTION M16790.1C

Subj: SECTOR OHIO VALLEY AUXILIARY STANDARD OPERATING PROCEDURES

- Ref:
- (a) Auxiliary Operations Policy Manual, COMDTINST M16798.3
 - (b) U.S. Coast Guard Boat Operations and Training (BOAT) Manual Volume I, COMDTINST M16114.32
 - (c) Auxiliary Boat Crew Qualification Guide, Volume III: PWC Operator, COMDTINST M16794.54
 - (d) Coast Guard Claims and Litigation Manual, COMDTINST M5890.3
 - (e) U.S. Coast Guard Addendum to the United States National Search and Rescue Supplement (NSS) to the International Aeronautical and Maritime Search and Rescue Manual (IAMSAR), COMDTINST M16130.2
 - (f) Auxiliary Manual, COMDTINST M16790.1
 - (g) Boat Crew Seamanship Manual, COMDTINST M16114.5

1. **PURPOSE.** This instruction provides policy guidance for the conduct of Coast Guard Auxiliary operations under the order issuing authority of Commander, Coast Guard Sector Ohio Valley (SOHV).
2. **ACTION.** All Commanding Officers, Marine Safety Detachment Supervisors, Officers in Charge and Auxiliarists shall use this SOP for all Auxiliary related activities.
3. **DIRECTIVES AFFECTED.** Sector Ohio Valley Auxiliary Standard Operating Procedures, SOHVINST M16790.1B is cancelled.
4. **DISCUSSION.** The Auxiliary provides an invaluable operational resource that assists the Coast Guard in carrying out its missions. References (a) and (b) provide policy guidance for the conduct of Auxiliary operations and allow the Operational Commanders some discretion to apply, amplify or modify these regulations.

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NON-STANDARD DISTRIBUTION:

5. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this instruction and have been determined to be not applicable.
6. FORMS AVAILABILITY. The following Coast Guard forms are applicable: Application for approval of Marine Event, CG-4423; Aids to Navigation Report, CG-5474 AUX; Requisition and Invoice/Shipping Document, DD-1149; are available in Adobe Acrobat Portable Document Format (PDF) on SWIII or the Coast Guard Electronic Forms website: <http://www.uscg.mil/forms>.



H. M. NGUYEN

Record of changes to SOHVINST M16790.1C

Chapter 1

- 8.B. change "...Auxiliary Coxswains..." to 'Auxiliary SO-OPs'.
- 8.C. delete

Chapter 2

- 1.A.(3).i. change "...one hour..." to '30 minutes'.
- 1.A.(4). Change "...(1hour and 5 minutes)..." to '(35 minutes)'.

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CHAPTER ONE

1. OPERATIONAL COMMANDER'S RESPONSIBILITIES.

- A. Sector Ohio Valley (SOHV) Commander, Marine Safety Unit (MSU) Commanding Officers, Air Station COs, and the Director of Auxiliary (DIRAUX) are authorized to exercise "call out" authority. SOHV, as the primary order issuing authority within the Eighth District's Eastern Region, has delegated authority to generate Auxiliary orders to the following:
- (1) SOHV Officers in Charge (OINC) of SOHV River Tenders (WLRs), Marine Safety Unit Commanding Officers, Marine Safety Detachment Supervisors and the SOHV Incident Management Division Chief within the Eighth District's Eastern Region.
 - (2) SOHV Command Center will coordinate all call out of Auxiliary resources through the Division SO-OP or DSO-OP as appropriate.
 - (3) Procedures for air operations are as promulgated by CO, Air Station New Orleans.
- B. SO-OPs are authorized to generate patrol orders. The SO-OP shall coordinate Auxiliary surface operations within SOHV's Area of Responsibility (AOR) for the patrol zones within their Division's boundaries. If there is any question regarding any member's qualifications or the proposed patrol facilities, the SO-OP shall contact DIRAUX. Normal safety patrol period within SOHV's AOR is 01 April to 30 October. Patrols are authorized year-round.

2. PATROL BOUNDARIES.

- A. Division SAR zones define authorized patrol areas for Auxiliary facilities in support of Coast Guard missions. Patrols may only be conducted on sole state waters that have been identified and approved as Patrol/SAR zones by DIRAUX.
- B. Auxiliary members are authorized to patrol in areas outside of their "home" division upon prior approval by District SO-OP.

3. VESSEL PATROL STANDARDS.

- A. Conduct on Patrol. While on patrol, Coxswains shall comply with the provisions outlined in reference (a).
- B. Guests on Patrol. Operators may not allow non-Auxiliary guests or passengers (including family members) onboard any Auxiliary facility under orders unless prior authorization has been received in writing from the Chief, Response Department SOHV or Order Issuing Authority (OIA). All requests are routed through the DSO-OP. Additionally, the total number of persons onboard must not exceed the manufacturer's stated maximum capacity. All individuals' names onboard (guests/passengers as well as crew) must be given to the communications guard relay before getting underway or getting airborne and must be listed on the patrol orders. Guests and passengers may be authorized only for limited purposes (e.g., training, indoctrination, public affairs, and other circumstances

reasonably linked to the Auxiliary’s purpose and mission). When guests or passengers are contemplated in advance of orders being issued, the below must be followed:

- (1) Guest/passenger authorization must be in writing. Authorization can be by title (e.g., members of WXXX-TV news team, on-water training students of flotilla X) or by name (e.g., Mrs. Martha C. Cranberry, prospective Auxiliarist, etc.).
- (2) Operators may not involve guests or passengers in any crew activity.
- (3) All guests/passengers must wear appropriate flotation and hypothermia protective equipment when underway.
- (4) Auxiliarists who are not assigned to duty as crewmembers are not guests within the meaning of this restriction. Facility operators may take these Auxiliarists onboard at their discretion.
- (5) The transportation of state or local officials on federal or sole state waters requires the approval of SOHV Chief, Response Department.
- (6) The passenger carrying requirements do not apply to persons recovered from the water or assisted during a patrol.

C. Vessel Crew Requirements. As per reference (a), SOHV Commander has established minimum crew requirements based on the mission and operational facility.

- (1) Minimum crew requirements for boats shall be:
 - (a) Coxswain; and
 - (b) Specified minimum number of crewmembers, who may be certified crewmembers of the Coast Guard (see Table in paragraph c.(2) below). Coxswains cannot substitute trainees for any of the crew requirements on surface facilities.
- (2) Minimum crew requirements for facilities operating under SOHV orders are as follows:

<u>Vessel length (FT)</u>	<u>Operator</u>	<u>Minimum Crew</u>
PWC	01	00
<26	01	01
≥ 26 < 40	01	02
≥ 40 < 65	01	03
≥ 65	01	04

D. Crew Requirement Waivers. Waivers to the minimum crew requirements may be granted by the Sector Commander. All waivers must be in writing and must be specific to each facility and describe the precise conditions under which the waiver applies. A waiver

shall not be granted to allow single-handed operation of an Auxiliary vessel (except PWC) while conducting Auxiliary missions. PWC facilities must be accompanied by either another PWC facility or other vessel when conducting Auxiliary missions.

4. BOAT CREW HOURS (FATIGUE).

- A. Since fatigue adversely affects operational capability and safety, it is necessary to establish reasonable boat crew fatigue criteria as set forth in reference (a).
- B. Fatigue is a condition of impaired mental and physical performance brought about by extended periods of exertion and stress. Some fatigue-causing factors are sleep loss, exposure to temperature extremes, motion sickness, changes in work or sleep cycles, physical exertion, illness, hunger, and boredom. Evidence exists to associate a high percentage of mishaps with prolonged operations and crew fatigue. Auxiliarists crewing Auxiliary surface facilities or Coast Guard boats must follow Coast Guard fatigue standards provided in Table 4-1 below and as follows:
 - (1) Crew underway time begins when the crew member reports to the designated place to prepare for a specific mission. Computation of such time ends when the mission is complete. Crew underway time includes time spent accomplishing pre-mission and post-mission vessel checks.
 - (2) Time spent conducting trailering activities and at a sheltered anchorage counts as 50% underway time (e.g., one hour spent at a sheltered anchorage counts for ½ hour accumulated crew underway time).
 - (3) Coxswains may exceed crew fatigue guidelines only after receiving a waiver from Commander, SOHV in accordance with reference (b).
 - (4) The Coxswain is responsible for keeping track of crew mission time and advising the OIA when their crew mission time is approaching the limits.

Boat Crew Fatigue Standards

Boat Type	Seas < 4 ft	Seas > 4 ft	Heavy Weather	Rest Hours Required
PWCs	See Note			1
44', 47', 52' MLB	10	8	6	8
41' UTB	10	8		8
49' BUSL/ 55' ANB	10	8		8
SRB	8	6	4	8
Aux/Non-Standard <30'	8			8
Aux/Non-Standard >30'	8	6		8

Note. PWCs may not be operated in seas greater than 3 feet. PWC patrols may operate for a maximum of six hours during any 24-hour period. A mandatory one-hour off-the-water rest is required after three hours of PWC operations. See reference (c) for operational limitations.

5. PATROLS.

- A. Surface multi-mission patrols should normally coincide with the greatest threat to boating safety within a patrol area, or the time, date, and location requested.
- B. Factors to consider in patrol planning include: traffic density, accident statistics and environmental conditions including weather, special events/activities, and specific requests for Coast Guard Auxiliary support.
- C. Auxiliary Patrol Orders will normally be coordinated between the OIA (i.e., SOHV, MSU, MSD, WLR) and SO-OP.
- D. Dusk to dawn (night) patrols are authorized for area familiarization, training, marine events, and PATON. These patrols are subject to careful risk assessment by the coxswain and the SO-OP.

6. RISK ASSESSMENT.

- A. In accordance with the Commandant's Operational Risk Management Instruction, COMDTINST 3500.3, all Auxiliary facility coxswains shall complete the Green, Amber, Red (GAR) Risk Assessment Model with their crew prior to getting underway and when conditions change (i.e. weather, situation, etc.). The GAR score will be used to assess the risk of the operation, and in particular to compare the risk to the expected

gain or purpose of the evolution. The coxswain shall relay the GAR score to the Sector Command Center, or, when applicable, the patrol commander. Use the SOHV template (fig 1). There is no requirement for the Auxiliary member to send the GAR model worksheet to the Sector Command Center; however, it coxswains are encouraged to maintain the records for historic and training purposes

- B. Disagreements between coxswain, SO-OP and Active Duty Auxiliary Liaison for that CG unit within the requested patrol area regarding the objectives or risk assessment for the patrol activity shall be brought to the attention of the DSO-OP and SOHV Response Chief.

GAR Model (**GREEN-AMBER-RED**) Risk Calculation Worksheet

The purpose of the GAR model is to help identify and evaluate the **risk** of a given operation. Assign a risk code of 0 (For No Risk) through 10 (For Maximum Risk) to each element and total the sum. Keep in mind that the most important part of this process is **discussing the potential risk with your crew**, not the actual assigning of numbers to each category.

SUPERVISION

The supervisor of a given operation might be the PATCOM or the coxswain on a vessel operating independently. This factor evaluates the ability of that person to supervise the operation, ensure safety, and to identify and evaluate risk. An experienced supervisor with no other duties might be considered low risk, while a less experienced supervisor also serving as coxswain or doing other jobs might be considered higher risk.

PLANNING

This factor evaluates how much information you have, how clear it is, and how much time you have to plan the evolution or evaluate the situation. To minimize risk, planning should also consider what to do if certain events or situations occur, such as changing weather conditions, an unexpected SAR case, or a vessel attempts to violate a safety zone.

TEAM SELECTION

This factor evaluates the qualifications and experience level of the individuals used for the specific event/evolution. If new crew members are brought on board during the operation, re-evaluate this factor.

TEAM FITNESS

This factor is primarily concerned with the potential for fatigue to impact the physical and mental state of the crew. Fatigue is a function of the amount and quality of rest a crewmember has had. Quality of rest should consider how the boat rides, its habitability, potential sleep length, and any interruptions. Fatigue normally becomes a factor after 18 hours without rest; however, lack of quality sleep builds a deficit that worsens the effects of fatigue.

ENVIRONMENT

This factor evaluates the risk of environmental conditions such as weather, the time of day, temperature, humidity, wind and sea conditions, proximity of shoal water and navigational hazards. Also consider any unusual hazards such as exposure to oil, chemicals, safety hazards at a facility or shipyard, and the potential for slips, trips, and falls.

EVENT or EVOLUTION COMPLEXITY

This factor evaluates the complexity and technical challenges in an event or operation. An event might be considered to be high risk/complexity if it involves the coordinated action of more than one vessel, or several individual operations taken in sequence, or a single, technically challenging operation. Multi-mission operations, such as simultaneously enforcing a safety zone while also serving as a platform for media observers might also add complexity risk.

Assign a risk code of 0 (For No Risk) through 10 (For Maximum Risk) to each of the six elements below.

Supervision		Team Fitness	
Planning		Environment	
Team Selection		Event/Evolution Complexity	

Total Score:		
1 – 23	24 – 44	45 – 60
GREEN (Low Risk)	AMBER (Caution)	RED (High Risk)

Implement measures to reduce the overall risk of an operation. If it is not possible to reduce the risk below the **RED** threshold, do **NOT** conduct the operation without the specific knowledge and approval of the operational commander.

Report the GAR score to the PATCOM, AUXCOM, or Sector Command Center at 1-800-253-7465 before the operation

7. VESSEL PATROL ORDERS.

- A. Every deployment of an Auxiliary facility, for any activity, must be under Coast Guard Patrol Orders prior to getting underway. The operation and movement of any facility without Coast Guard orders is performed as a private U.S. citizen and not as an Auxiliarist.
- B. Patrol Orders may only be issued by an Active Duty Coast Guard Command, known as an OIA. SOHV and its subordinate commands are OIAs for Auxiliary facility movements within the Eighth District Eastern Region.
- C. Patrol orders may be reimbursable or non-reimbursable.
- D. Non-reimbursable orders do not entitle the Auxiliarist to reimbursement of expenses. These orders are issued to provide liability coverage for the Auxiliarist while performing duties for the Coast Guard.
- E. If authorized, reimbursement for a patrol may include the actual necessary expenses of operation (e.g., payment of fuel, oil, landing or ramp fees, subsistence and ice). Standard Auxiliary Maintenance Allowance (SAMA) is another reimbursable allowance; payment is subject to the availability of funds.
- F. When trailering a facility, towing vehicle mileage/fuel, bridge tolls, ramp or hoist fees, and park entrance fees may also be reimbursed.

8. PATROL ORDER MANAGEMENT SYSTEM (POMS).

- A. POMS is the mandatory method of obtaining Patrol Orders and to request reimbursement for operational expenses.
- B. Coxswains should request orders at least 48 hours in advance of planned operations. Local OIA's and Auxiliary members may develop their own schedule for requesting and issuing orders, but in general, coxswains should request orders for weekend activities no later than 0900 on Thursdays. Auxiliary SO-OPs and Active Duty Auxiliary liaisons shall work together to coordinate Auxiliary and active duty operations to make the best use of all resources.
- C. SOHV Command Center personnel and all OIAs should query POMS on a daily basis to ensure the command is aware of scheduled Auxiliary patrols.
- D. Upon completion of the patrol, the Coxswain must complete a "Claim for Reimbursement" using POMS, print and mail a copy of the claim to DIRAUX.
- E. Regulations require paper copies of all claims be maintained by the DIRAUX. Claims will not be approved until copies are submitted.
- F. Claims must be submitted within 30 days of the patrol.
- G. Claims that are incomplete (in POMS or on paper) will be returned to the coxswain.

9. OPERATION IN SOLE STATE WATERS.

- A. When an Auxiliarist is contacted to support local officials on sole state waters, they must acquire the following information to pass along to the OIA: agency, POC, phone number, operation and type of support needed. Boating safety on sole state waters is an important part of the Coast Guard's recreational boating safety mission. OIAs are authorized and encouraged to issue reimbursable orders to Auxiliarists conducting these operations.
- B. Auxiliarists assisting state or local officials on sole state waters may conduct any authorized mission.
- C. Approval to patrol on sole state waters must be first obtained through Active Duty Auxiliary Liaison for that CG unit.

10. DAMAGE CLAIMS.

- A. This section prescribes general policies and procedures for the settlement of claims by Auxiliarists for damaged/lost facilities or necessary equipment associated with a facility.
- B. Detailed guidance for Auxiliary damage claims is contained in chapter 8 of reference (d). This damage claim must be reported within 24 hours to the OIA and within 48 hours to the DIRAUX.
- C. Specific claims procedures, sample forms and examples are found in reference (d), which is available on the Intranet through CG Central or via the Internet at the Coast Guard Chief Directors site <http://www.uscg.mil/hq/cg3/cg3pcx/>. The handbook details responsibilities and provides, practical, easy-to-follow instructions on filing and processing Auxiliary claims for all levels within the approval chain. The handbook shall be used for processing Auxiliary facility damage claims. In case of conflict between this SOP and the Auxiliary Claims Handbook, the provisions of the Auxiliary Claims Handbook shall prevail.
- D. In all cases, it is the individual Auxiliarists responsibility to submit adequate and sufficient evidence to allow the claim to be adjudicated. The Auxiliarist bears the responsibility of submitting evidence and providing proof of the elements of the claim.

(1) Claims Payable:

- (a) Damage or Loss Linked to a Specific Identifiable Patrol Cause. The Coast Guard may reimburse an Auxiliarist for damage to or the loss of an Auxiliary facility and/or its necessary equipment when it is due to a specific identifiable patrol cause. The simple fact that the Auxiliarist was under official orders at the time of the damage is not sufficient reason to pay a claim.
- (b) If the damage or loss has no identifiable "patrol" cause, it is presumed that it arose from normal wear, a defect in the facility or equipment or failure to maintain the facility or equipment.
- (c) To be compensable, claims with identifiable patrol causes must be:

- i. For loss or damage to a facility and/or necessary equipment.
 - ii. All documents relating to the facility and required by the Auxiliary Operations Policy Manual must be properly executed and on file with DIRAUX.
 - iii. At the time the damage or loss was sustained, the facility was assigned by orders to authorized Coast Guard duties.
 - iv. At the time the damage or loss was sustained, the facility was operating within the scope and limitations of those orders.
 - v. In the case of mobile radio and trailered facility, the motor vehicle and trailer being used to transport the facility are considered necessary equipment. Claims for motor vehicle and trailer damage will only be considered if the damage or loss occurs while transporting the facility to/from its normal storage location, on a reasonably direct route, to its assigned location of duty, while the vehicle or trailer is parked or being used during the assigned mission.
- (d) Catastrophic Damage or Loss that occurs in the absence of a specifically identifiable cause. The Coast Guard may reimburse an Auxiliarist on a pro-rated basis (based on the ratio between use of the facility while under Coast Guard orders and other use of the facility) for damage or loss of an Auxiliary facility when the damage or loss is attributable to normal wear and tear. It is not necessary for a facility to be assigned to duties at the time of the catastrophic failure. To be compensable, catastrophic claims must be:
- i. For the failure of a facility's motor/engine, drive train, transmission, hull or other major component. A major component is one that represents at least 10% of the total value of the facility.
 - ii. The use of the facility in support of Coast Guard missions must exceed at least 25% of the total use of the facility and at least 40 hours of annual use under Coast Guard orders. With good cause, DIRAUX may waive this prerequisite and substitute the following requirement: The use of the facility in support of Coast Guard missions must exceed at least 25% of the total use of the facility and at least 120 hours of use over the three years immediately preceding the catastrophic failure.
 - iii. Catastrophic damage claim example: An Auxiliarist purchases a 20 year old vessel and starts using it 50% of the time while under Coast Guard orders. After one year of use the engine suffers a complete failure. To replace the engine with a new engine costs \$10,000.00, but the Coast Guard will not pay a claim based on the cost of a new engine. Instead the Coast Guard will adjudicate the claim based on the depreciated value of the engine. The depreciated replacement cost to replace the engine is \$2,500.00. Assuming the Auxiliarist complies with all applicable requirements and submissions, the maximum allowable reimbursement would be fifty percent of the depreciated

replacement cost, \$1,250.00. If the Auxiliarist had insurance for the loss and received insurance proceeds in the amount of \$1,500.00, then the allowable reimbursement would be reduced further to \$1,000.00 (The depreciated replacement cost of the engine, \$2,500.00, less the total amount received by the Auxiliarist from insurance, \$1,500.00). Note 1. Catastrophic damage claims require significant documentation. IO see Chapter 8, Section D-2 of the Coast Guard Claims and Litigation Manual. Note 2. Catastrophic damage or loss claims are payable to the extent that funds are available for the payment of claims. Claims will be adjudicated but not paid in the absence of funding and the claims will be held pending funding availability.

(2) Claims Not Payable. A claim is not payable if it:

- (a) Is for damage or loss of equipment that was not reasonable for the claimant to possess given the duties assigned.
- (b) Results wholly or partly from the gross negligence or willful misconduct of the claimant.
- (c) Has been the subject of a claim by the Auxiliarist against the Auxiliarist's insurer, to the extent the Auxiliarist has been reimbursed by the insurer. Is presented by, or on behalf of, insurers or other subrogates.
- (d) Results from the failure of the claimant to properly maintain the facility or equipment.
- (e) Is for the repair or replacement of a facility or equipment attributable to normal wear; except as permitted under the catastrophic claims procedures.
- (f) Is for expenses such as fuel, oil, water, power, supplies, maintenance, or provisions.
- (g) Is for damages resulting from a latent defect in the facility.
- (h) Is for insurance premiums.
- (i) Is for moorage or dockage expenses, except as may be specifically attributable to emergency docking or the cost of surveying or repairing otherwise compensable damage to the facility or equipment.
- (j) Is for loss or damage to personal property, other than a facility and its equipment. Personal property such as eyeglasses, jackets, wristwatches, boat-shoes, wallets, etc., are not facility equipment. However, Auxiliarists may be entitled to reimbursement for loss or damage to those items in accordance with the provisions of Chapter 6 of the Claims and Litigation Manual.

(3) Miscellaneous Claims Process matter:

- (a) Estimates. The Auxiliarist must submit one written estimate for loss or damage under \$200.00 and at least two written estimates if the damage exceeds \$200.00.
 - (b) Visual inspection. An inspection is mandatory and may only be waived in unusual circumstances by DIRAUX or MLCLANT (lc). This waiver authority is non-delegable. If a visual inspection is waived, DIRAUX or the CSO, should include an explanation in the claim package. Failure to conduct a visual inspection may result in denial of the claim. The inspection may be, but does not have to be, conducted by the assigned investigating officer (IO). The inspection should take place within 24 hours of receiving notice of the loss or damage.
 - (c) Investigation. All Auxiliary damage claims must be investigated. An officer or petty officer will normally be assigned to conduct the investigation (IO). An Auxiliarist may be assigned as IO only when it is not practical to assign an active duty CG member from DIRAUX or a SOHV Command. The form and extent, is dependant upon the amount claimed. Generally, a Small Claims Investigation is sufficient for claims under \$750.00, while claims above this amount require a Regular Claims investigation. A Letter Incident Report is usually adequate.
- (4) Payment for authorized reimbursable patrol expenses.
- (a) The OIA should not delay reimbursement of patrol expenses until the investigation is completed.
 - (b) Upon receipt, the Patrol Order should be reviewed, endorsed and forwarded to DIRAUX. A copy should be retained for inclusion with the claim.

11. MEDICAL CLAIMS.

- A. All Auxiliarists under orders are covered for physical injuries under the Dept of Labor, Office of Workers Compensation Programs (OWCP).
- B. Upon injury of an Auxiliary member while on patrol under orders, the following must immediately be contacted:
 - (1) Controlling Responsible Land or Mobile-Based Communications Facility.
 - (2) SOHV Command Center
 - (3) Injured member's Division Captain and SO-OP for the patrol area.
 - (4) OIA
 - (5) DIRAUX
- C. At a minimum, the following information must be provided:
 - (1) Name of Auxiliarist

- (2) Nature of injuries
- (3) Treatment facility with contact number
- (4) Doctor name and phone number
- (5) Patrol Order Number
- (6) Person Making report

- D. Auxiliarists are allowed to use the nearest treatment facility in the case of an emergency.
- E. DIRAUX will assist claimant with processing injury claims through the Dept of Labor and issue the MISHAP report as required.

CHAPTER TWO

1. COMMUNICATIONS.

A. Standard Procedures.

- (1) If a Division is going to have more than one facility underway at one time, then the Division SO-OP must designate an Auxiliary Commander (AUXCOM) to maintain the radio guard of the facilities and relay all communications guard information to the Sector Command Center. The AUXCOM shall contact the Sector Command Center via (1) VHF-FM radio channel 16, (2) 1-800-253-7465 or 502-779-5400. If there are facilities underway with no radio or cell phone coverage, then a responsible land or mobile based communications facility shall be used to gather the necessary communication guard information. A responsible land or mobile based communications facility is any CG unit, Auxiliary unit or state or local agency willing to accept the responsibilities described in this instruction. Once gathered, the information shall be relayed to the Sector Command Center.
- (2) If during a weekend an Auxiliary division anticipates a vast amount of patrols, the Auxiliary Division and the Sector command center should work together to establish an Auxiliary mobile communications command to support the required radio guard.
- (3) Communications guard information shall include specific information. The information will vary depending on the mission of the facility.
 - i. Routine Patrol. Each facility must initially pass a brief description (length, POB, endurance), GAR score, location and the time they get underway. Every hour each facility will report their position and if operations are normal. When the patrol is completed, the facility will report as such.
 - ii. Response. In addition to the actions items listed under Routine Patrol, the facility will also report when they are on scene, the situation on scene, when they depart the scene and when they return to shore after the response is complete. Auxiliary coxswains are reminded to immediately notify the Sector Command Center of a situation they believe is considered a distress. The sooner the Auxiliary coxswain can notify the Sector command center (a.k.a. SAR Mission Coordinator) on a distress situation, the sooner an effective response can be initiated.
- (4) Communications guard shall be considered lost if after 5 minutes from the time the facility was to report (1hour and 5 minutes), the Sector Command Center shall initiate the lost communications procedures to include but not limited to the following actions:
 - i. Initiate call outs

- ii. Dispatch additional resources to locate the facility
 - iii. Use active duty CG resources and/or local authorities to search for the facility
- (5) If there is no communications guard with the Sector Command Center, then orders will not be issued. Auxiliary members are reminded that the Sector Command Center may not be able to answer communications guard check-ins due to multiple cases with higher priorities. If a facility is involved with distress response, contact the Sector Command Center as soon as possible, but do not let the lack of communications degrade your SAR capabilities—act first. If a facility is involved in a non-distress response and the Sector Command Center is unable to immediately respond, the Auxiliary facility shall wait on scene until direction is given from the Sector Command Center.
- (6) If an Auxiliary facility is working in conjunction with active duty for marine event type situations, the facility shall make contact with the Sector Command Center for communications guard until they are on scene at the event. Once on scene and have checked in with the patrol commander (PATCOM), the facility shall notify the Sector Commander Center of the communication guard shift to the PATCOM. After the event is complete and the PATCOM has released the facility, the facility shall contact the Sector Command Center for communications guard until the mission is complete.
- C. Communications schedules shall be conducted as follows for surface facilities:
Hourly (60 minutes) or more frequent communications schedule shall be maintained for all surface facilities. PWCs shall to maintain a 30-minute or more frequent communications schedule.
- (1) More frequent communications should be established as needed to ensure the safety of the crew/facilities in certain operating conditions. Factors to consider include: weather, water levels, debris, Optempo, etc.
 - (2) During severe weather (i.e., wind above 30 knots or anytime National Weather Service issues “severe thunderstorm warnings” for an area):
 - (3) All Auxiliary facilities shall return to homeport or find safe haven, whichever is most expeditious.
 - (4) The frequency of communication checks shall be increased to every 30 minutes or less; 15 minutes or less for PWCs.

2. COMMUNICATIONS FREQUENCIES.

- A. Initial VHF-FM transmissions to SOHV will be made on the hailing and distress frequency 156.8 MHZ (CH 16) and then switch to the C.G./Auxiliary Liaison primary working frequency 157.175 MKZ (CH 83A).

Intra-C.G. Maritime Mobile Working Frequency
157.15 MHZ (Channel 23A)

C.G./AUX Liaison Primary Working Frequency
157.175 MHZ (Channel 83A)

- B. The CG/AUX Liaison primary working frequency (CH 83A) shall be used as the “working frequency” for Auxiliary units communicating with SOHV or the local Responsible Land or Mobile-Based Communications Facility.
- C. Division and Flotilla Staff Officers for Communications (SO-CM and FSO-CM) shall coordinate any requests for variations to the above with the SOHV command Center.
- D. Channel 22A shall be used as a working frequency to communicate with civilian vessels and Channel 23A shall be used as a working frequency to communicate with all Coast Guard units.
- E. Additional information regarding communication requirements is contained in chapter 4 of reference (a).

3. FACILITY RADIO CALL SIGNS.

- A. Vessel Radio Call Signs. A six digit alphanumeric call sign shall be used by all Auxiliary vessel facilities. For example, a 16ft facility would use the call sign “Coast Guard Auxiliary Vessel 16XXxE”. (1ST two numbers represents the length of the vessel, the next three numbers are assigned by DIRAUX, and the last letter E represents the Eastern Region).The term “Coast Guard Auxiliary Vessel” shall not be used with a vessel’s name.
- B. Radio Facilities.
 - (1) See reference (a), Annex 4 for additional information.
 - (2) Auxiliary Fixed Land Facility call signs: “Coast Guard Auxiliary (name of geographical location of unit) Radio”. Example: “Coast Guard Auxiliary Station Nashville Radio”.

CHAPTER THREE

1. REQUESTING AUXILIARY RESOURCES.

- A. Field commands (MSUs, MSDs, and WLRs) shall request CGAUX resources using the following guidance. Specific facilities and/or personnel may be requested if desired, and the CGAUX leadership will check and verify availability of the requested resources through the appropriate Auxiliary Operations Staff Officer.
- (1) Field commands shall request resources directly from the local CGAUX Division Operations Staff Officer (SO-OP) for all routine Marine Events or other operational or administrative activities (i.e., drills, changes of command, small exercises, etc.) where a limited number of resources are desired and all resources can be provided by a single CGAUX Division. The SO-OP is responsible for keeping the CGAUX elected Division leadership apprised of the situation and for maintaining necessary liaison and coordination with the requesting CG field command.
- (2) Field commands shall request resources from the CGAUX District Operations Staff Officer (DSO-OP) for larger events or operations where the need for resources is expected to extend beyond the capabilities of a single CGAUX Division. This would include larger-scale events, such as Marine Events (e.g. Tall Stacks) and exercises (e.g., multi-jurisdictional marine safety, pollution response, or maritime security exercise). The DSO-OP is responsible for keeping the CGAUX elected District and Division leadership apprised of the situation and for establishing liaison at the appropriate levels to ensure attendance at local planning meetings, and for ensuring that necessary coordination is carried out between CGAUX and the requesting CG field command.
- B. When events or operations are of such scale that they involve multiple SOHV commands (MSUs, MSDs, and/or WLRs) or involve larger-scale operational responses requiring CGAUX support to fill key roles in the Incident Command System (i.e., response to high-water/flood, hurricane support, SONS 07, etc.), field unit requests for CGAUX forces shall be routed to the SOHV Chief of Contingency Planning and Readiness for action. The Chief of Contingency Planning and Readiness shall route all such requests for resources to the District Commodore for action and staffing at the appropriate Auxiliary levels."

1. HOMELAND SECURITY AND LAW ENFORCEMENT ACTIVITIES. Auxiliarist are not to engage in homeland security or law enforcement activities other than missions related to the completion of the following:

- A. Maritime Observation Mission (MOM). MOM is a non-law enforcement mission whose primary purpose is to provide increased Maritime Domain Awareness (MDA) by observing areas of interest and report any oddities to the OIA.
- B. America's Waterways Watch Program plays a vital role in MDA. Auxiliarists are encouraged to coordinate educational outreach efforts with local Coast Guard units.

Information packs distributed to the public increases awareness helping local authorities' combat suspicious activities on our waterways.

- C. Auxiliarist may also support marine safety compliance visits and/or spot checks to shore side marine facilities or support other missions for which they are qualified. However, compliance visits must not be confused with Law Enforcement Ashore at facilities which are only to be conducted by active duty members.
- D. Carrying firearms on patrol: Pursuant to 14 USC, Section 95, the Auxiliary Manual prohibits Auxiliarist from carrying firearms regardless of their civil authorization by permit or occupation.

3. SEARCH AND RESCUE (SAR) POLICY.

A. Maritime SAR Assistance Policy. Reference (e) contains the Coast Guard Maritime SAR policy.

(1) Review of the addendum should be made part of the annual spring SO-OP Auxiliary Operations Workshop, paying particular attention to "MARB" requirements and "Cases Discovered by Auxiliary Facilities."

(2) Coxswains under orders are expected to be familiar with, and adhere to, the policies contained in reference (e). Crewmembers should be afforded the opportunity to read the material contained in chapter 3. The following is a list of questions the Sector Command Center will need from the coxswain in order to prosecute a case:"

- What is the position of the distressed vessel?
- How many people are on board?
- What is the nature of the distress?
- What is the name of the vessel?
- What is the description of the vessel?
- What actions have already been taken?
- Are there any medical conditions responders should know about?
- Are there other responders on scene?
- Are the persons in distress asking for or refusing assistance?
- What are the Auxiliary's intentions?
- What is the on scene weather and river condition?

(3) SOHV will perform the duties of SAR Mission Coordinator (SMC) on the Inland Rivers within the SOHV area of responsibility (AOR). Auxiliary facilities are directed to contact SOHV in the event an incident is discovered while on patrol. SMC will determine the emergency classification and the appropriate course of action.

However, the coxswain has the responsibility to determine the appropriate course of action in a life or death situation.

- (4) Inland Lakes: SOHV will not perform the duties of SMC on the Inland Lakes. Auxiliary facilities assisting state or local authorities are required to do so within the scope of Coast Guard Policy.

B. SAR Notification.

- (1) SOHV will provide the Initial SAR Information (name of vessel, POB, position, nature of distress, and description of vessel) to expedite the case.
- (2) Division SO-OPs will maintain a list of all deployable Auxiliary assets, the proximity and ETA to ports of departures.
- (3) General notification to Auxiliary may require Auxiliary assets be deployed depending on the magnitude of the case and limited local state, county or federal SAR responders. When auxiliary assets are called out for SAR assistance, the:
 - (a) SO-OP will provide the closest responding asset with the Initial SAR Information.
 - (b) Deploying Auxiliary facility coxswain will call SOHV at 1-800-253-7465 or CH-16 VHF-FM for initial check-in, orders issued and to obtain additional information relating to the case prior to getting underway.
 - (c) Coxswains will maintain their communications guard with SOHV throughout the mission.

If a communications guard cannot be established or maintained with SOHV, the coxswain or SO-OP must establish communications with a Responsible Land or Mobile-Based Communications Facility to relay of SAR information to SOHV Command Center.

- (d) Coxswains will only render assistance to the degree qualified to perform.
- (4) SOHV will provide the SO-OP with updates of distress cases in which Auxiliary assets are used. Situation reports can be viewed in MISLE upon completion or suspension of the distress case. If the SO-OP does not have access to MISLE, he/she may request a MISLE case printout from SOHV command center personnel or SOHV Response staff.

C. Responding to SAR:

- (1) Responding to a SAR case of any severity does not give the Coast Guard or Coast Guard Auxiliary permission to abandon the rules of good seamanship and navigation. Although it is true that we should respond as quickly as possible, it is not prudent to endanger our own vessels and personnel or other vessels and personnel in the vicinity due to excess speed, wake, or lack of good seamanship and safety practices.

- (2) Damage or injury caused by operator negligence may not be reimbursable. After each SAR case, a SAR Incident Auxiliary Report (CG-4612 AUX) will be submitted within 24 hours to SOHV Command Center personnel for entry into MISLE and SO-IS for entry into AUXDATA.

D. Entering the Water: Auxiliarist under orders on an Auxiliary facility may not enter the water during rescue operations. Auxiliarist under orders may not enter submerged or capsized boats, vehicles or aircraft.

E. Towing:

- (1) Reference (a) states that Auxiliarists can tow at night without complying with the towing light requirement of Rule 24 in the Navigation Rules, International – Inland, COMDTINST M16672.2.

- (2) Auxiliarists will make every effort to indicate to other vessels that a boat is in tow by illuminating the tow line and tow when feasible and/or briefly showing the Public Safety Vessel Identification Light as prescribed in Annex V to the International and Inland Navigation Rules (RED and AMBER rotating Lights).

F. SAR Incident Reporting. SAR Assistance Reports (CG-4612 Aux) will be forwarded to the SO-IS, copy to SOHV Command Center, within 24 hours of the SAR incident (no later than Monday morning for weekend SAR cases). SAR incident information should be faxed, e-mailed or telephoned.

- (1) SAR incidents involving loss of life shall be reported to SOHV command center immediately.

- (2) Incidents involving lives saved, significant property value assisted, heroic or otherwise significant effort on the part of the rescuers, or anything else which might be considered especially significant shall be telephoned in to SOHV Command Center and DIRAUX as soon as practicable after the incident.

4. **GENERAL SALVAGE POLICY.** When no commercial salvage companies are available, Auxiliary facilities may engage in salvage operations (other than towing) only when limited salvage operations (e.g., re-floating, pumping, damage control measures, etc) can prevent a worsening situation or complete loss of the vessel. Auxiliary facilities and personnel shall not be unduly hazarded in performing salvage under the authority of this section. The Auxiliary coxswain must obtain permission from the SOHV Command Center prior to commencing salvage operations. The following must apply:

- A. Auxiliary facilities are capable of rendering the assistance;
- B. The owner requests the assistance and agrees to the specific effort to be made; and
- C. Auxiliary facilities and personnel are not unduly hazarded by the operation.

5. **OPERATIONAL PARAMETERS**

- A. General. All Auxiliary vessels shall operate in a conservative and safe manner, in full compliance with the navigation rules and with due regard to the weather and water conditions.
 - B. Weather. Coxswains shall give due consideration for existing and forecasted weather prior to commencing a patrol. The coxswain, OIA and/or SOHV, Chief, Response Department are authorized to cancel or terminate patrols at any time.
 - C. When a patrol is canceled or terminated, the coxswain, OIA and/or SOHV, Chief, Response Department will decide whether to place the Auxiliary vessel in a “Bravo” status at the dock. The following guidelines apply:
 - (1) At the onset of severe weather warnings, Auxiliary facilities that are underway shall proceed immediately to the nearest safe harbor and remain there until the conditions are lifted.
 - (2) Severity of the reason for termination and the need for a patrol will be taken into consideration when determining the capabilities of the facility/crew.
 - D. Areas of Operation. Auxiliary facilities shall normally operate in inland waters, including rivers and lakes, within the area of responsibility of the Eighth District’s Eastern Region.
6. **PUBLIC AFFAIRS.** The Coast Guard wants to inform the public of operations being conducted. The rule for discussing service activities with the public is simple: if you are responsible for it, you can talk about it as long as you tell the truth; state only the facts (do not speculate, don’t violate security or privacy policies and don’t interfere with law enforcement activity or judicial proceedings).
- A. Timely release of noteworthy and newsworthy activities is essential. To prevent untimely delay in the submission of information concerning operations, a phone call approval procedure is authorized for the release of information regarding Auxiliarist actions including those performed in the direct support of a CG operation. This does not, however, authorize the Auxiliary to release articles discussing actual CG operations, casualty information or speculation of fault/cause of an incident without seeking prior approval from SOHV’s Public Affairs Officer (PAO) via the SOHV Command Center.
 - B. All public/media inquires concerning Auxiliary operational missions shall be promptly referred to the Auxiliary SO-PA or FSO-PA of their Auxiliarist’s division for appropriate response in accordance with reference (f).
 - C. Press releases or inquires regarding Auxiliary missions that promote boating safety will continue to be handled through Auxiliary Public Affairs channels.
7. **INTER & INTRA OPERATIONS.**
- A. Coxswains wishing to patrol outside their division’s usual patrol area should advise their SO-OP with as much prior notice as possible. If the desired patrol area is within another

Division's area of responsibility, the respective SO-OP shall be notified to include the patrol on the availability schedule.

- B. If the patrol is in a different district, the SO-OP will contact DIRAUX for assistance in obtaining patrol orders from that district.
- C. Provisions for area familiarization must be considered when issuing patrol orders. Reimbursement will only be authorized for actual patrol expenses.

8. REGATTAS AND MARINE EVENTS.

- A. The Coast Guard regulates marine events in order to insure safety of life on the navigable waters of the U. S. Coast Guard authority and responsibility are broad and include events on the water. Reference (g) provides guidance for Auxiliary patrols of regattas and marine events. Maximum utilization by SOHV commands of auxiliary assets in patrolling marine events is encouraged.
- B. Sponsors of marine events are required to submit an application at least 135 days prior to the event for new events and 60 days prior for previous events. Auxiliarists are normally in an excellent position to become aware of marine events. Auxiliarists becoming aware of such events are encouraged to notify SOHV commands and offer their assistance to the sponsor regarding the completion of the application.
- C. SO-OPs and FSO-OPs should maintain appropriate supplies of form CG-4423 "Application for Approval of Marine Event." Requests for the form should be forwarded to the nearest SOHV command.

9. EXERCISES. Auxiliarist and operational facilities are periodically asked to support Coast Guard and/or Coast Guard-supported HLS exercises. Requirements for Auxiliary support, as well as orders, are normally provided by DIRAUX.

10. TRAINING: Sector Ohio Valley strongly encourages periodic on shore and water training opportunities between the Auxiliary and Coast Guard units.

- A. To ensure minimal impact on limited Coast Guard assets during training, SOHV commands are authorized direct liaison with local DCPs, SO-OPs in order to promote such training.
- B. SOHV Commands will conduct pre-season operational training to include, but not limited to, maritime SAR assistance policy, towing, and salvage policy and operations. Coordination with Division OPS is required to maximize participation.
- C. SOHV Commands are encouraged to support the Auxiliary's Boat Crew Qualification (BCQ) Program, Marine Safety (MS) Qualification Program and Recreational Boating Safety (RBS) Qualification Program. Qualified Coast Guard members are authorized to sign PQS for Auxiliarist.

11. NATURAL DISASTERS: During times of natural disasters, trailerable vessels may be called upon to respond to the affected areas to render assistance as needed.

- A. Coxswains of such vessels should be certain that their facility is fully prepared and ready to go when called upon.
- B. Communication, Command and Control are required to be in place prior to the dispatch of Auxiliary resources. Communication, Command and Control efforts may be from local, state, or federal authorities.

12. PATON: During the course of the boating season, Auxiliarists may be tasked with the verification of Private Aids to Navigation (PATON). The Coast Guard is tasked with verifying Class I Aids prior to December 31st. Since the boating season for the Western Rivers runs from 01 April to 30 October, this is the best time to accomplish the verification. The SO-AN and the SO-OP shall work together to provide qualified crews for PATON patrols.

A. PATON Verification Program:

- (1) District Eight will publish a listing of all Class I Aids on the western rivers during the month of February.
- (2) The responsible cutter should work closely with local Auxiliarists who are qualified as PATON Verifiers to verify all possible Class I PATON.
- (3) After the PATON Verifier has verified the aid, he/she shall notify the Flotilla AN officer. The Flotilla AN officer shall notify the Division AN officer. The Division AN officer will inform the ADSO-AN of the results. The ADSO will notify the local Cutter and the DSO-AN of the results. The DSO-AN will notify the District of the results.
- (4) The verification will be documented on CG-5474 form. The CG-5474 form will be mailed to the appropriate Division. These forms are used to enter the information in the Coast Guard's ATONIS system, which is where light list information is derived from.
- (5) PATON patrols will be conducted both during daylight hours and during dusk or evening hours when the lighted aids to navigation are operational.
- (6) Since the patrols for PATON can be planned in advance, authority to operate at night must be obtained from OIA in advance. Coxswains shall work with their flotillas and Divisions to obtain this permission.

B. ATON/PATON Discrepancy reporting:

- (1) Any Auxiliarist can report ATON/PATON discrepancies. Discrepancy reporting is the reporting of any characteristics of an ATON/PATON not in accordance with the current light list.
- (2) When operating in an area that has ATON/PATON, Auxiliarists shall make every attempt to observe the aids. Under no circumstances shall a patrol exceed the hour limitations just to observe ATON/PATON.

- (3) Coxswains shall report any discrepancy with Federal Aids to Navigation to the SOHV Command Center, via the most expeditious means. If necessary, have the responsible land or mobile-based communications facility relay the information. Waiting until the end of the patrol could mean possible damage or loss of life because the aid was not reported discrepant. The following information is needed when reporting discrepant PATON. This information is the same information that you will be asked for reporting discrepant federal aids to navigation.
- (a) Light List Number;
 - (b) Date and time discrepancy was noted;
 - (c) Reason it is discrepant;
 - (d) Discrepancy location; and
 - (e) Name, address, phone number of reporting person.

CHAPTER FOUR

1. UNIFORMS.

- A. Auxiliary members shall be in the same uniform on board an operational facility. During patrols, members shall wear the proper uniform appropriate to the climate. Reference (f) chapter 10 provides descriptions of authorized uniforms.
- B. Uniforms for PWCs shall be in accordance with reference (a) chapter 4.
- C. Any deviation from the prescribed uniform policy must be approved by Commander, SOHV.

2. PERSONAL SAFETY EQUIPMENT.

- A. Personal Flotation Devices (PFDs). Approved PFDs with required survival equipment, see reference (a) chapter 4, shall be worn and fastened at all times while underway; an international orange type III PFD is recommended. Weather conditions may warrant the wearing of a type I or II PFD or hypothermia protective clothing.
 - (1) Inflatable PFD's can only be worn on open boats. They shall not be worn on boats with enclosed spaces (i. e. cockpits, cabins, or engine rooms).
 - (2) In addition to the carriage requirements, the preventative maintenance requirements which are set forth in the Rescue and Survival Manual shall be followed and recorded appropriately.
- B. Hypothermia Protective Clothing: See chart below for requirements when to wear protective clothing.
 - (1) Reference (a) chapter 4, provides more specific guidance regarding the wearing of protective clothing.
 - (2) All Auxiliarists within SOHV's AOR, shall wear hypothermia protective clothing while conducting all authorized activities on the water when the water temperature is below 60 degrees F, unless specifically granted a waiver. Requests for waivers of hypothermia devices will be forwarded to SOHV Command, via the DSO-OP, and will be reviewed on a case-by-case basis.
 - (3) Coxswains shall ensure crews wear protective clothing, in accordance with the hypothermia protective device requirements chart below.
 - (a) If the air and water temperatures are 50 degree Fahrenheit or colder, personnel onboard shall wear a dry suit, PFD and the appropriate layer of undergarments.
 - (b) If the air temperature is warmer than 50 degrees Fahrenheit and water temperature is colder than 60 degrees Fahrenheit but not 50 degrees Fahrenheit,

personnel onboard shall wear anti-exposure coveralls with the appropriate layer of undergarments.

- (c) If the air and water temperatures are warmer than 50 degrees Fahrenheit and water temperature is warmer than 60 degrees Fahrenheit, personnel onboard shall wear work uniform with PFD.
- (4) When unsure if protective clothing is required, Auxiliarists shall contact SOHV thru SO-OP/DSO-OP for determination.
- (5) The wearing of a PFD is waived when an approved type V anti-exposure coverall is worn.
- (6) The type III international orange float coat is not considered a substitute for the anti-exposure coverall and will not be worn in place of the coverall.
- (7) When the possibility of “Thermal Stress” exists, incurred when air temperature is above 60 degrees Fahrenheit, the following actions are authorized or will be adhered to:
 - (a) Unzipping the legs and arms of hypothermia coveralls is permitted while on deck.
 - (b) The operator may terminate the patrol.
 - (c) Hypothermia coveralls may be removed from the waist up only when below decks or inside the cabin.
 - (d) The operator may enter a SAR standby status at a dock or pier.
 - (e) Hypothermia coverall shall only be completely removed when the Auxiliarist is off the facility and on shore.
 - (f) The facility operator must give due consideration to thermal stress issues prior to accepting any SAR case.
 - (g) The operator will insure that all personnel on board maintain proper fluid/electrolyte intake.
 - (h) When local assets allow, cutters and other CG units are authorized to issue hypothermia protective clothing to Auxiliarists.
 - (i) Issue will be on a temporary basis only normally for a specific patrol period.
 - (j) Issue shall be documented on form DD-1149 if needed.

Hypothermia Protective Device Requirements Chart

