

U.S. Department
of Transportation
U.S. Coast Guard
Auxiliary



GUIDELINES FOR EMERGENCY RESPONSE PLANNING U.S. COAST GUARD AUXILIARY

This document was developed by a committee of the Auxiliary National Staff, in close coordination with Coast Guard Headquarters staff, and reviewed at the District level. All users are requested to send comments and suggestions to:

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This document is also available in electronic form on the Coast Guard Auxiliary web page.

The Coast Guard/State Support Directorate

***Department of Marine Safety and Environmental Protection
Department of Operations***

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EXECUTIVE SUMMARY

This document provides guidance on developing emergency plans for and with units of the U.S. Coast Guard Auxiliary. As used in this document, emergencies are those incidents to which a successful response requires more resources than would normally be available in the field. Floods, hurricanes, oil spills, aircraft crashes, and other marine casualties are examples of emergencies that may be encountered by Team Coast Guard.

Coast Guard Auxiliary unit emergency operations do not exist in a vacuum. In practically all circumstances, the role of the Auxiliary will be to support an emergency response led by others. The lead organization may be a Coast Guard command. In other cases, it may be a State or county agency. Coast Guard Auxiliary units need to be aware of these lead entity plans, understand what they ask the Auxiliary to do, and build their own plans accordingly. Integration of Auxiliarists and Auxiliary resources into plans developed by local and area Coast Guard commands is also encouraged. This document provides information on key emergency response concepts and planning relationships that should be developed for a coordinated emergency response.

Planning is a cyclic process. The planning process begins with mission analysis and proceeds through preliminary planning to training, equipping and exercising. Exercises and real-world emergencies provide information and input for refinement of the plan.

A standard format is recommended for Auxiliary unit emergency planning. The format reflects current practice both in Coast Guard commands and in civilian agencies. The recommended format is intended to help generate precise, focused plans for dealing with likely emergencies. Resources are assessed quantitatively and key shortfalls are determined well in advance of an actual incident. Detailed guidance is provided on the completion of various elements of a plan. The guidance is based in part on lessons learned from prior disaster responses.

This document is not intended to be the sole source of information on planning for Coast Guard Auxiliarists. It is intended to be a starting point for analysis, dialogue, and learning with other members of Team Coast Guard, as well as with the broader emergency response community. The ultimate goal is the cultivation of a cadre of Coast Guard Auxiliary leaders and planners who can help build the most effective possible response organizations, well in advance of a time of actual crisis.

I. INTRODUCTION TO EMERGENCY RESPONSE PLANNING

Purpose

This document provides guidance on emergency planning for Auxiliary units. It is intended to ensure that emergency plans address all of the essentials necessary for a smooth Auxiliary response. It is also intended to help ensure that Auxiliary plans mesh smoothly with those of other Auxiliary units and local Coast Guard commands.

For the purpose of this document, an emergency or contingency is a sudden, unexpected situation which requires a response by more resources than are available during routine operations. If a situation can be handled as part of a scheduled patrol, it is not the subject of emergency or contingency planning. Examples of emergencies for which deliberate planning is desirable include floods, hurricanes, and maritime disasters.

Organization of This Document

This document is organized in two parts. The first two chapters discuss the role of the Auxiliary in emergency planning (Chapter 1) and the general concepts of emergency management in the Coast Guard and in civilian agencies (Chapter 2). The second part of the document outlines a model plan format for Auxiliary units. The recommended structure conforms closely to current Coast Guard practice. Detailed guidance is provided on the completion of a plan according to this model. Common emergency scenarios and issues are discussed in the sequence in which a planner would encounter them.

This document is not intended to be the sole source of guidance on emergency response. Emergency response tactics and emergency management practices have changed significantly in the United States over the past two decades, and are continuing to evolve. Auxiliarists and other members of Team Coast Guard who are active in emergency planning should view this document as one piece of their professional reading on the subject. Appendix A lists some other useful resources.

Who Should Plan

In the Coast Guard, responsibility for development of formal contingency plans lies with the major operational commands [Groups, Activities, Marine Safety Offices, Districts, and Areas]. The commanding officers of these units have the authority and the legal responsibility to lead a Coast Guard response to a wide range of potential emergencies within their Areas of Responsibility (AORs).

Auxiliary units are not operational commands – their members always operate under orders from an active-duty unit. Unlike active-duty units, Auxiliary units are not required by the Coast Guard to develop formal contingency plans, though they are authorized to do so by COMDTINST M16798.3 (series), the *Auxiliary Operations Policy Manual*. Auxiliary units typically become involved in emergency planning for one of several reasons:

- In order to provide input on Auxiliary resources, capabilities, and possible missions to active duty plans. Since Auxiliary units are responsible for their own recruiting, training, and equipment, they are generally well placed to describe their capabilities and possible roles. Experience has shown that if Auxiliary assets are not described tasked in Coast Guard plans, they will not be used to greatest efficiency in an emergency.
- To document operational details that cannot be accommodated in active duty plans. Mobilization of Auxiliary units requires callout of members, establishment of watches, movement of equipment from storage sheds to piers and airfields, and a host of other actions. Many of the items are Auxiliary-unique because of the locally organized, volunteer nature of Auxiliary. It would be cumbersome to record all of this in a general Coast Guard plan, but Auxiliary unit officers need to have the details available to them.
- To provide for an effective Team Coast Guard response in areas where the Auxiliary is the principal Coast Guard resource. This occurs most notably in the central United States, where active duty units are small and widely scattered. In these areas, the Auxiliary may, with Coast Guard authorization, provide the bulk of the response forces for some contingencies, or it may be assigned particularly critical functions, such as the establishment of a VHF marine radio net in an area which normally does not have one. This situation is not unique to the Midwest. Active duty units are primarily located on the coasts and the principal navigable waterways of the United States. Many Auxiliary units in all Coast Guard Districts operate on inland lakes or on portions of US waters that are used only by small vessels.
- To provide a focus for Auxiliary unit recruiting, training, budgeting, and field exercises.

Auxiliary District Commodores should work closely with Coast Guard District Commanders and field commands to ensure that Auxiliary resources are adequately documented, tasked, and supported in Coast Guard contingency plans. They should develop Auxiliary-specific supplements as necessary to provide additional information for their own use and to maximize the efficiency and effectiveness of an Auxiliary response.

Rear Commodores or other regional coordinators designated by the District Commodore should liaise with Coast Guard Groups, MSOs, and Activities for the same purpose. They also may develop notebooks or supplements to provide additional detailed information that would be useful to Auxiliarists in an emergency.

Division Captains should provide necessary input to the planning process as directed by the District Commodore and Rear Commodores. They may prepare plans or plans supplements as requested by senior Auxiliary leaders or as directed by appropriate Coast Guard authority.

Flotillas should provide input to the planning process as requested. They should not, except in unusual circumstances, develop their own detailed plans. Possible reasons include:

- Extreme geographic isolation and a flotilla-unique AOR
- Unique resources, such as a rapid response team or an ATON repair team, for which higher authority has requested a specific emergency plan.

District Commanders have authority over all shore-based Coast Guard units - Regular, Reserve, and Auxiliary - within their districts. They may, acting through the Director of Auxiliary or otherwise, promulgate regulations to promote the efficient coordination of contingency planning between Auxiliary units and active duty commands.

Plan Preparation and Review

Coast Guard and Coast Guard Auxiliary officers are already required to prepare many reports and documents. Emergency planning requirements should not add unnecessarily to this workload. Auxiliary leaders should not task their subordinates to prepare planning documents or supplements without first weighing the costs and benefits. While Auxiliary labor is free, it is not cheap. Work that is seen to fulfil the goals of Team Coast Guard builds the team and the member; work that appears to be of marginal utility drains members' energy and enthusiasm.

When preparing plans, members should maximize their use of existing data sources. If information can be found in readily available sources such as AUXMIS, unit rosters, or in published regulations, it should be referenced or attached rather than regenerated.

Rewriting and resubmission of documents should be triggered by specific events or by direction from appropriate Coast Guard authority, not by an annual calendar. However, Auxiliary unit documents should be reread and checked for accuracy periodically by the unit leader.

Documents should be sent forward for review to the extent necessary to maintain cohesion within Team Coast Guard. However, senior Auxiliary and Coast Guard officers should not be required to review everything produced by all levels below them.

Higher level planning documents should reference and summarize information in lower level documents in a format suitable for the users at that level. It is not necessary for a District document to contain descriptions of every vessel facility; a count by type and general location would be more useful. The detailed information can be retained by local unit leaders as needed.

Concepts

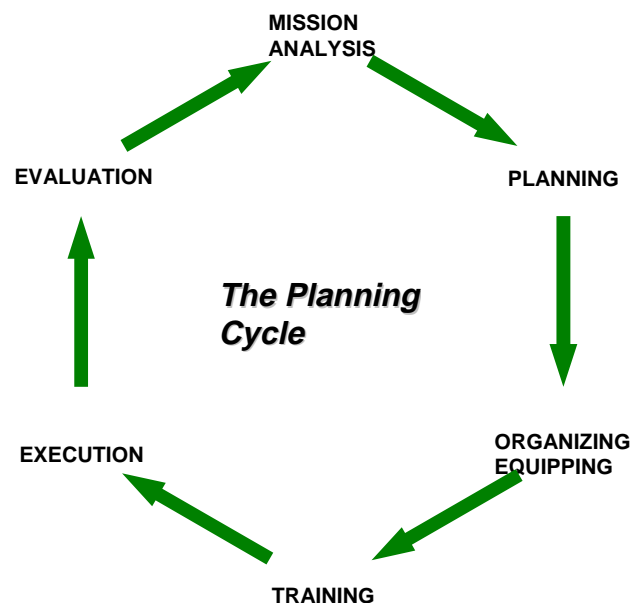
Contingencies such as floods, oil spills, and earthquakes require the application of unusually large amounts of response resources over an extended period of time. Personnel who are not normally on duty may have to be activated, and others diverted from their routine work. In most cases, the response will involve multiple agencies and the command structure will be quite different from the routine, day-to-day procedure. Approaching such an event without prior planning invites total chaos, ineffective use of available resources, or both.

It is very unlikely that Auxiliary units will be the sole or lead responders to an emergency. In the case of a major regional emergency, Auxiliary units will probably respond as part of a larger Coast Guard team. In localized emergencies, especially in inland areas, there may not be an active-duty Coast Guard response. Instead, Auxiliary units may respond as part of a local team led by the fire department or the county emergency manager.

Since Auxiliary units will not have the lead role in an emergency, their plans exist primarily to support those of the lead agency. The lead agency's plan will specify the general response goals and approaches for all participants. Other responding agencies will translate these goals into actions appropriate for their particular area of expertise and determine how to execute them. Unit leaders should be familiar with the emergency plans of those agencies that may call upon the Auxiliary for support.

The Planning Process

Planning is a cyclic process. It begins with identification of potential emergencies for which a planned response may be necessary. Formal analysis within a staff or committee then leads to a draft plan. The plan forms the basis for decisions necessary to acquire resources, organize teams, and focus training. Members of the response

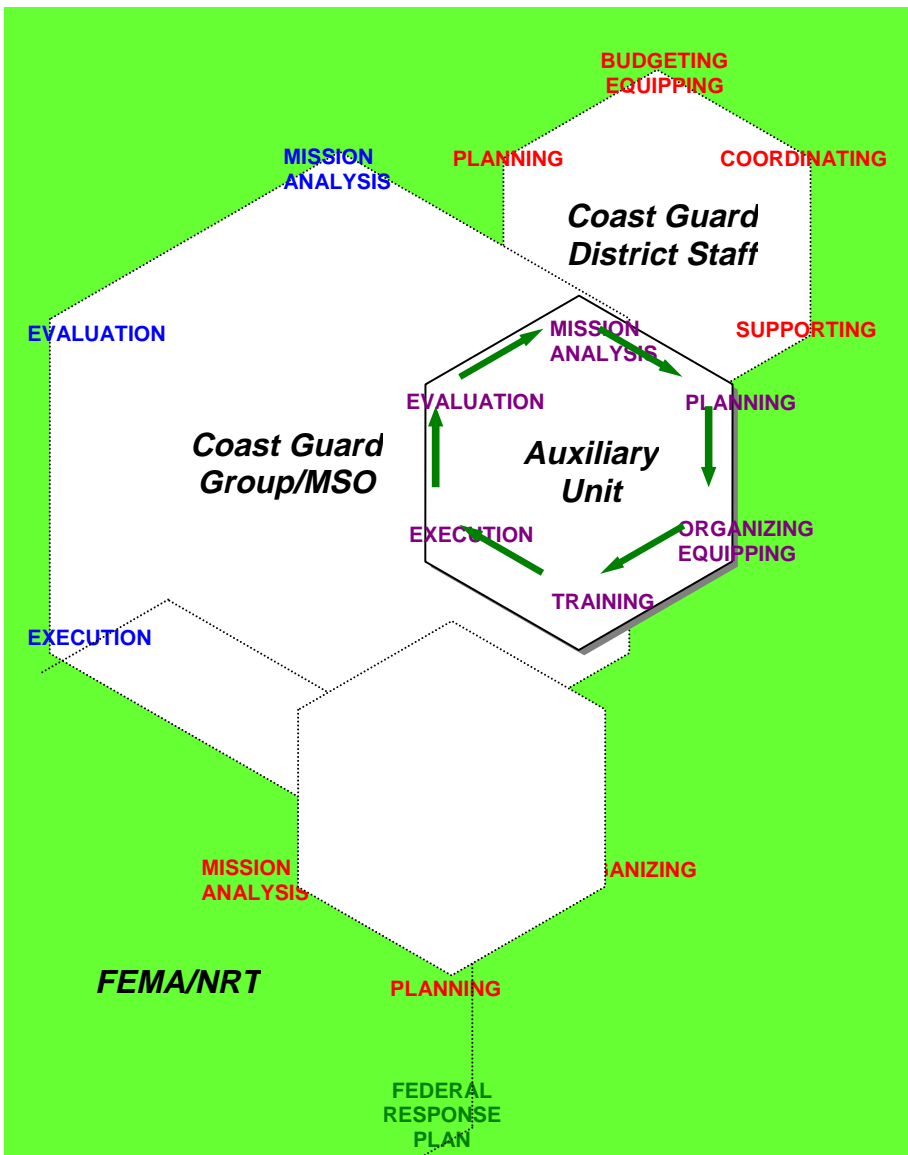


organization are indoctrinated into the plan's concepts through training and exercising. At the same time, exercising and real world response drills provide a basis for evaluation, which leads to plan refinement.

Plans do not exist in a vacuum and are not static. Awareness of hazards and assignment of priorities change over time. For example, greater attention is being paid to possible environmental disasters now than in the past. In the future, more attention may be paid to new threats. Most field-level plans are driven by direction contained in higher level plans and legislative mandates.

Organizations such as the Coast Guard contain multiple levels of leadership and management, each having particular goals for emergency response.

The components of Team Coast Guard also interact at many different levels with other Federal, State, and local agencies having an interest in emergency management. While perspectives may vary, all of these organizations share a community of interest, namely the protection of the American people, property and the nation's resources from natural disasters and human threats.



Integration of Auxiliary and Coast Guard Planning

The primary emphasis of this document is on the development of Auxiliary emergency plans. However, it is very unlikely that an Auxiliary unit will be the sole or primary responder to an emergency. Auxiliary plans exist mainly to support Coast Guard and state or local emergency operations. Experience has shown that if Auxiliarists are not involved in the preparation of

these higher level plans, effective use will not be made of the Coast Guard Auxiliary in a crisis.

The Coast Guard Auxiliary is an integral component of the Coast Guard and an important force multiplier for Coast Guard commanders. Active duty Coast Guard units operate approximately 1,400 small boats, 190 aircraft, and 250 radio stations. These operate from some 180 locations around the coast of the United States. Auxiliary units add 6,700 small boats, 125 aircraft, and 2,200 radio facilities to the service's inventory. Many of the 1,000 flotillas operating these facilities are located in inland areas where there is limited active duty presence. With appropriate prior planning and training, Auxiliary units can surge these resources quickly to support a Coast Guard disaster response. In addition, the 35,000 members of the Auxiliary can provide direct administrative and technical support to active duty units if desired. Auxiliarists are authorized to participate in all Coast Guard missions except armed combat and direct law enforcement activities.

It is important that Coast Guard Operations Plans and Area Contingency Plans contain accurate information on Auxiliary capabilities, mobilization procedures, and support needs. Auxiliarists should be directly involved in Coast Guard planning teams at the port and district levels. Information on Auxiliary resources in these plans should be specific, quantitative, and current. COMDTINST M3010.11B, the *Contingency Preparedness Planning Manual*, states that Auxiliary resources may be counted against force shortfalls in the command's Contingency Personnel Requirements List.

Joint training of Auxiliary and active duty personnel is essential for an effective and integrated response. Auxiliarists should be included in command tabletop and field exercises and active duty and Reserve personnel should be invited to participate in Auxiliary-led drills. Lessons learned should be disseminated widely through both leadership structures. The skills, personal relationships, and common *esprit de corps* developed in such activities will serve the Coast Guard well in the event of an emergency.

2. EMERGENCY PLANNING CONCEPTS

Emergency response plans are needed in order to describe i) what emergencies are credible; ii) what resources will be used to respond to them; and iii) how those resources will be managed.

Plans are intended to serve the needs of operational commanders. The Coast Guard's *Contingency Preparedness Planning Manual* defines the goal of the commander as follows:

The initial goal of any operational commander in a contingency is to gain control over the crisis response in the shortest possible time and transition from a reactive operational posture to a proactive response.

In civilian terms, this is what a fire chief does. In the initial stages of a conflagration, the automatic response is "see fire, fight fire." A fire chief assesses the situation and builds resources at the rear of the fireline until an orchestrated, well thought out attack can be made. Plans, training, and a competent staff help to make this transition possible.

It is very unlikely that Auxiliary units will be the sole or lead responders to an emergency. In the case of a major regional emergency, Auxiliary units will probably respond as part of a larger Coast Guard team. In localized emergencies Auxiliary units may respond as part of a local team led by the fire department or the county emergency manager.

Since Auxiliary units will not have the lead role in an emergency, their plans exist primarily to support those of the lead agency. The lead agency's plan will specify the general response goals and approaches for all participants. Other responding agencies will translate these goals into actions appropriate for their particular area of expertise, and determine how to execute them. Unit leaders should be familiar with the emergency plans of those agencies that may call upon the Auxiliary for support. The following sections describe two common plan types that Auxiliarists may encounter.

Coast Guard Operations Plans (OPLANs)

Every major Coast Guard command develops an Operations Plan, or OPLAN. The original purpose of these plans was mainly to support Coast Guard response to military emergencies. These plans are being revised to address other types of contingencies, including natural disasters. Flood and hurricane plans are generally included as a part of the unit OPLAN.

OPLANs follow a standardized format which is used by all of the armed services. They are internal, in that they only address the use of Coast Guard resources (including

Auxiliary), and are reviewed only within the Coast Guard chain of command. Other responding agencies are assumed to have their own plans. In the language of the Coast Guard's ***Contingency Preparedness Planning Manual, COMDTINST M3010.11B***, OPLANs are vertical, communicating intent to superiors and direction to subordinates within the Coast Guard chain of command.

Interagency Plans

The current emphasis on interagency planning developed partly out of experience among wildland firefighters in the western United States. Successful fighting of major wildfires requires close coordination among dozens of fire companies. It is not sufficient to assume that everyone else has developed their own plans; it is necessary to actively plan and train together.

Committees develop interagency plans. An important example for Auxiliary units is the Area Contingency Plans that address oil spills, marine firefighting, and hazardous materials events. The Coast Guard sponsors and chairs the Area Committees that draft these plans, and provides much of the editorial support. However, the plan belongs to the committee as a whole, which is usually composed of a mix of Federal, state, and local agencies, maritime industries, and environmental organizations. In the language of the *Contingency Preparedness Planning Manual*, Area Contingency Plans are horizontal, reflecting the relationships among multiple cooperating agencies at the same level.

One of the core concepts in these plans is the pooling of all the responding agencies' resources into a common Incident Command System (ICS). This is discussed further below.

Coast Guard Response Principles.

The *Contingency Preparedness Planning Manual* outlines the following principles for all Coast Guard emergency responses:

Coast Guard response organizations are designed to promote *unity of command* and *unity of effort* for Coast Guard forces involved in any contingency response operation. *Unity of command* means that all Coast Guard forces are under the operational or tactical control of a single, designated commander. *Unity of effort* ensures coordination and cooperation among all forces - even though they may not necessarily be part of the same command structure - toward a commonly established objective.

Coast Guard response organizations are designed to be *flexible* and *adaptable*. *Flexibility* enables the organization to expand or contract in size and function, so as to optimize operational efficiencies. This concept of *flexibility* also applies to the resource requirements to support the operation. The operational commander has the authority to

establish a suitable organization and make timely changes based on the event or crisis. *Adaptability* means that the response organization is capable of operating in coordination with any other civil or military command and control organization.

The Incident Command System

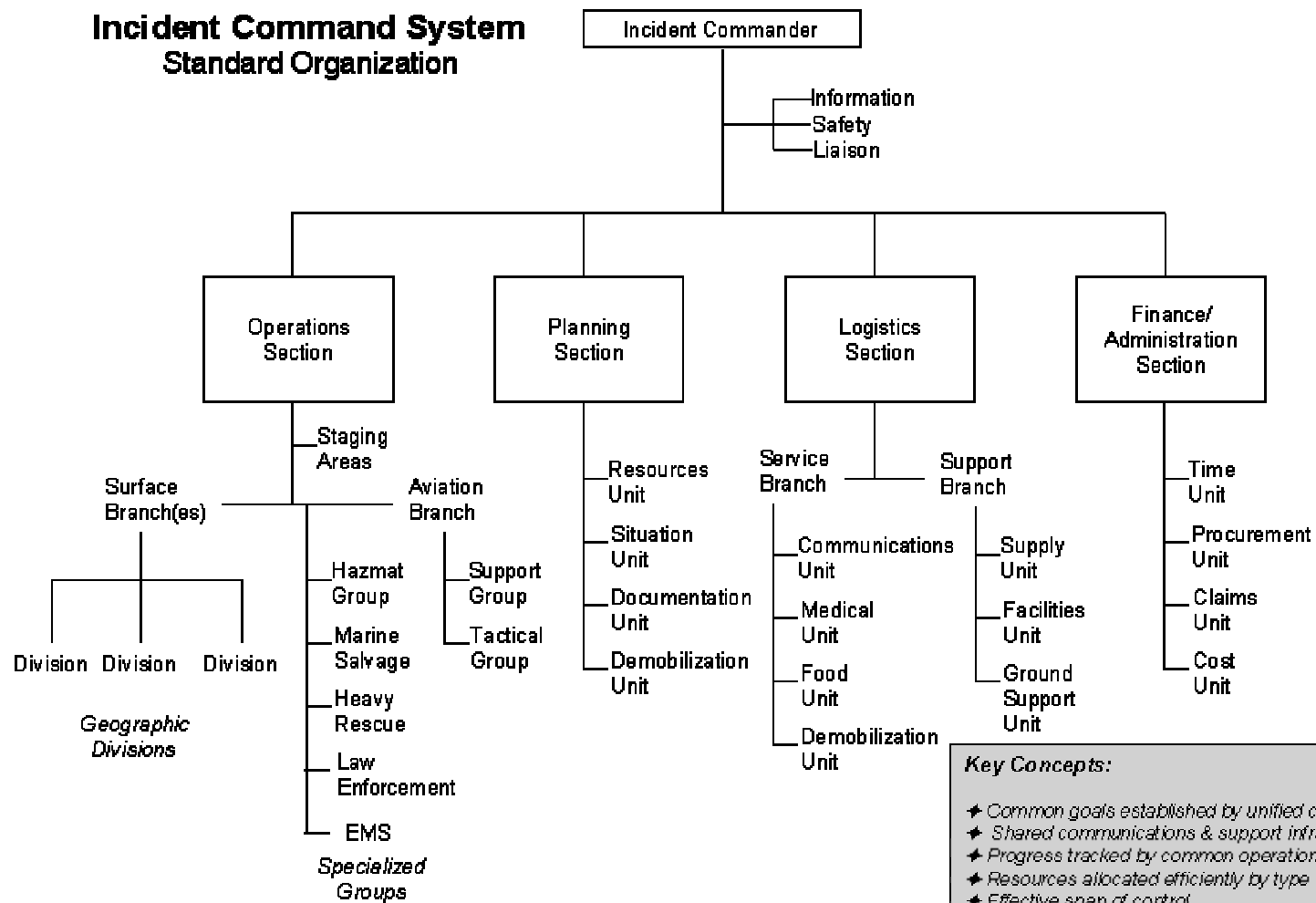
The Incident Command System developed originally in the western United States, where firefighters from multiple jurisdictions must often join forces to combat wildfires. The major components of the ICS are the Command Staff and the Operations, Planning, Logistics, and Finance/Administration sections. These may be further broken down: for example, Operations may be subdivided into a Surface Operations Branch and an Air Operations Branch. Each agency allocates personnel and equipment to the various sections as necessary and they maintain a common accounting system. The ICS structure and terminology are standardized nationwide, so that any agency can quickly merge into the response.

The Coast Guard has adopted the Incident Command System (ICS) as its standard response organization for responding to oil spills, hazardous materials incidents, and marine fires. This is also the standard model now used for most types of disaster response by the Federal Emergency Management Agency (FEMA) and state and local agencies. Auxiliary planners, leaders and operations officers should obtain training on the basics of ICS if possible. Introductory training in this subject is now available as a Coast Guard Institute correspondence course.

The Incident Command System has the attributes of unity, flexibility, and adaptability noted above. In addition, it incorporates the important idea of *span of control*. Span of control is the number of elements reporting directly to another person. In an emergency situation, this number should be limited to five. If the number of reporting elements exceeds this, the organization should be expanded and part of the management delegated to subordinates. This applies both to individuals and units. For example, when too many vessels are reporting to one radio station, new stations should be activated and the net split onto different channels, if possible.

Experience shows that it is very difficult to transition to an unfamiliar command structure in an emergency. For this reason, agencies are increasingly using the ICS to manage all incidents, both large and small. The ICS is intended to be a tool kit for the Incident Commander, not a straitjacket. There is no requirement to establish all components of the ICS structure at once.

Incident Command System Standard Organization



Key Concepts:

- ◆ Common goals established by unified command
- ◆ Shared communications & support infrastructure
- ◆ Progress tracked by common operational timetable
- ◆ Resources allocated efficiently by type
- ◆ Effective span of control

Source: Coast Guard Institute Course, ICS Orientation

Planning and the Auxiliary

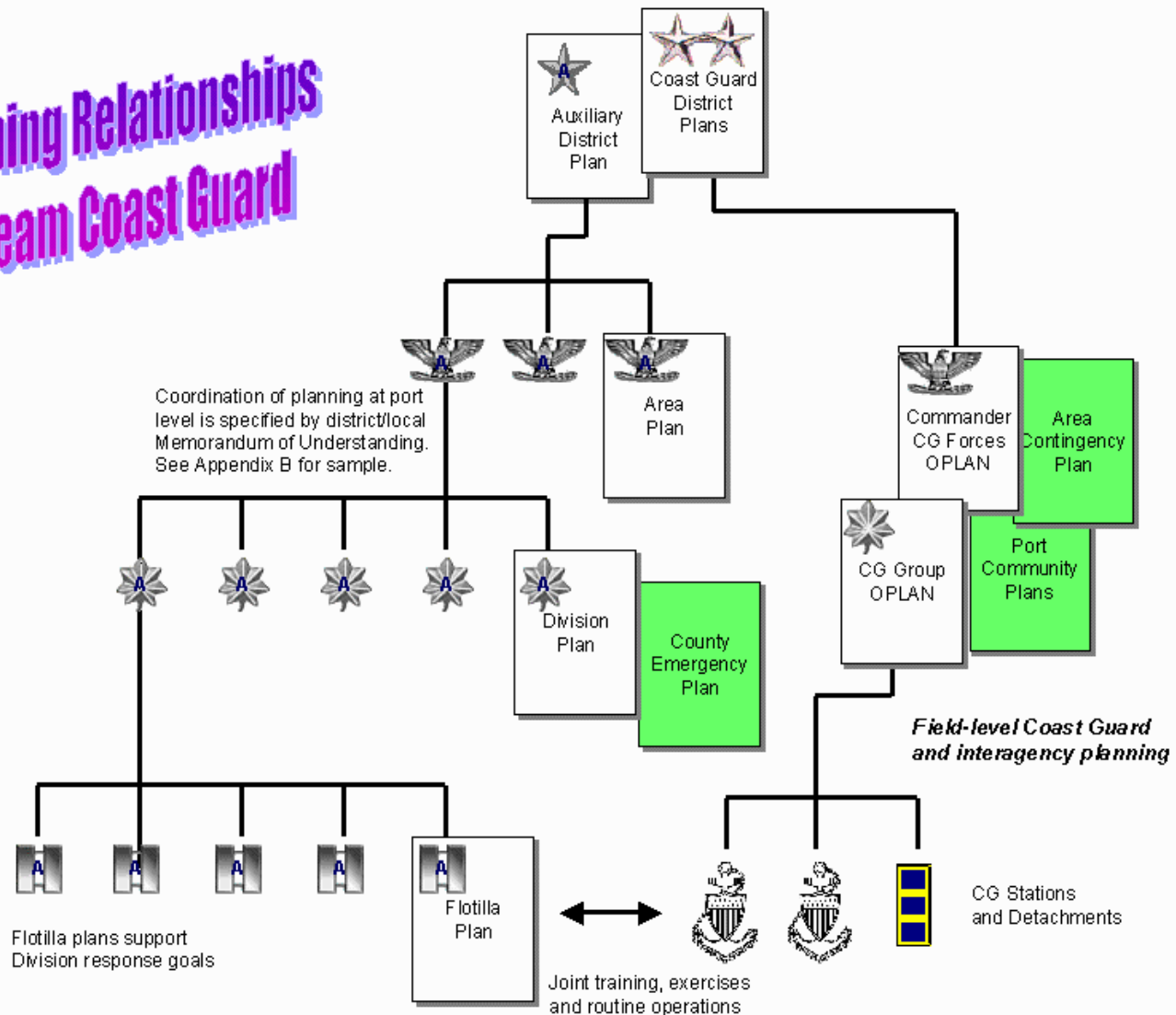
The task of an Auxiliary unit is generally to determine how best to support plans developed by others. This is a function internal to Team Coast Guard, and is perhaps best managed via a vertical plan, similar in format to a Coast Guard unit OPLAN. Chapter 3 describes a format suitable for Auxiliary use.

Local emergencies are those which have a significant impact on a relatively small area, such as short term flooding along a short stretch of river. These events normally do not trigger the execution of Coast Guard Group-level OPLANs or Area Contingency Plans. Auxiliary units may be asked to support county or State emergency response teams in these circumstances; many Auxiliary units already do so. The Auxiliary Act of 1996 specifically allows Auxiliary units to be assigned by Coast Guard authority to work with state and local agencies. Auxiliary leaders will need to enter into negotiations with local agencies in order to effectively plan for these types of emergencies. In these negotiations, the Auxiliary is representing all of Team Coast Guard. Proper preparation and professional conduct are especially important. Each Auxiliary unit leader should ensure that proper communications are established within his chain of leadership and ensure that efforts of his unit will not conflict with that of any other local Auxiliary unit or ongoing efforts by local Coast Guard units.

When dealing with Coast Guard commands or outside agencies, Auxiliary leaders should be sure that their customers understand the actual capabilities that their unit can provide. Unit leaders should analyze their core competencies – those activities for which their members are currently trained and equipped. For most units, these core competencies will be focused on surface operations, including aviation and telecommunications support. There may also be members with additional special skills. Leaders should try to ensure that Auxiliary resources will be used where training best matches the task, rather than being assigned as general labor during an emergency.

Auxiliary leaders should also present their customers with a realistic picture of the time frame in which they can expect an Auxiliary response. Usually, this will occur in phases, with a small operational team and a command/control team becoming available first, followed later by a surge of resources. In some cases, customers may be able to offer support that may improve the speed of Auxiliary response (e.g., linking Auxiliary units directly to a local communications network or by providing additional vehicles or transportation resources for use by Auxiliary members during the emergency period).

Planning Relationships in Team Coast Guard



Auxiliary leaders may not commit Auxiliary assets (boats or aircraft) to the support of local agencies without the approval of their Coast Guard order-issuing authority. This authority should review the draft plan and assure that:

- i. It conforms to local Coast Guard plans and doctrine
- ii. The proposed concept of operations is realistic
- iii. The resources are adequate to support the concept
- iv. Coast Guard health and safety guidelines are observed
- v. No direct law enforcement is involved

The Auxiliary unit and the Coast Guard command should agree to an order-issuing mechanism that is responsive and conforms to legal authority. Procedures may vary from place to place, depending on the working relationship between Auxiliary and active duty units, geographic separation, and speed of available communications. It is desirable that a block of orders for emergencies be prepared and readily available. These may be held at Coast Guard units or issued to Auxiliary operations officers. If held by Auxiliarists, members may also need to be granted authority to fill in the dates as needed. Coast Guard funding mechanisms vary by type of operation and it may be difficult to pre-arrange reimbursable order numbers to cover all possibilities. In such cases, it may be possible to begin mobilization of Auxiliary vessels under non-reimbursable orders and later convert them to reimbursable orders.

The second type of response action occurs within the context of a major regional emergency. In this situation, Coast Guard commands will usually be involved. A number of examples have demonstrated that if Auxiliary units are not involved in Coast Guard emergency response planning, they will not be used effectively in a response. Coast Guard planners often do not have an up-to-date knowledge of local Auxiliary unit strength, structure, or availability. Directors of Auxiliary can and do provide some data to Coast Guard planners. However, Directors have a top-level picture of Auxiliary capabilities. A more accurate picture will result if local Auxiliary unit leaders participate directly in planning exercises with Coast Guard units that they are tasked to support. These unit plans should provide specific information on how the Auxiliary will support a proposed Team Coast Guard response.

Authorized Uses of the Auxiliary

This section summarizes the legal status and authority of the Coast Guard Auxiliary as established in the Coast Guard Auxiliary Act of 1996. It is provided for guidance to Coast Guard and Auxiliary leaders as to the scope of actions for which the Auxiliary may be employed in support of Team Coast Guard operations.

The legal authority of the Coast Guard is contained in Title 14 of the United States Code. This title was amended in September 1996 to broaden the scope of authorized duties for the Coast Guard Auxiliary. Section 822 of this title now reads:

Sec. 822. Purpose of the Coast Guard Auxiliary

The purpose of the Auxiliary is to assist the Coast Guard as authorized by the Commandant, in performing any Coast Guard function, power, duty, role, mission, or operation authorized by law.

The Auxiliary is no longer restricted to performance of boating safety missions, as was the case previously. Sections 821 and 823 were modified to declare that each unit of the Auxiliary is an instrumentality of the United States for the purposes of Federal liability protection, that Auxiliary members assigned to duty are Federal employees for liability purposes, and that the Commandant may delegate authority to Auxiliary officers.

The following sections of Title 14 further clarified the status of Auxiliary members:

Sec. 823a. Members of the Auxiliary; status

(c) A member of the Auxiliary, while assigned to duty, shall be deemed to be a person acting under an officer of the United States or an agency thereof for purposes of section 1442(a)(1) of title 28.

Sec. 831. Assignment and performance of duties

Members of the Auxiliary, when assigned to duties as herein authorized shall, unless otherwise limited by the Commandant, be vested with the same power and authority, in the execution of such duties, as members of the regular Coast Guard assigned to similar duty.

Sec. 828. Aircraft deemed public aircraft

...Subject to the provisions of sections 823a and 831 of this title, while assigned to duty, qualified Auxiliary pilots shall be deemed to be Coast Guard pilots.

In addition, language on assistance to other agencies was changed to allow the full use of the Auxiliary in interagency operations:

Sec. 141. Cooperation with other agencies, States, territories, and political subdivisions

(a) The Coast Guard may, when so requested by proper authority, utilize its personnel and facilities (including members of the Auxiliary and facilities governed under chapter 23) to assist any Federal agency, State, Territory, possession, or political subdivision thereof, or the District of Columbia, to perform any activity for which such personnel and facilities are especially qualified. The Commandant may prescribe conditions, including reimbursement, under which personnel and facilities may be provided under this subsection.

Coast Guard ALDIST message 198/97 urges all Coast Guard operational commanders to fully employ Auxiliary knowledge and resources when drafting, exercising, and executing plans. COMDTINST M16790.1E retains the longstanding prohibition on Auxiliarists bearing arms or conducting direct law enforcement activities.

3. PLAN FORMATS FOR AUXILIARY UNITS

The following plan format is suggested for use by Auxiliary units. The format is based on COMDTINST M3010.11, ***Contingency Preparedness Planning Manual, Volume 1***, and generally conforms to the format used by all the uniformed services. Some lettered annexes may not be used in Auxiliary plans.

Quick reference guide Letter of promulgation

Basic Plan

Annex A: Task Organization

Annex B: Intelligence and Information

Annex C: Operations

Appendix 1. Floods

Appendix 2. Hurricanes

Appendix 3. Marine casualties

Appendix 4. Oil and other spills

Appendix 5. Security emergencies

Annex D: Logistics

Annex E: Personnel

Appendix 1: Callout procedures

Appendix 2: Available personnel

Appendix 3: Shortfalls

Annex F: Public Affairs

Annex J: Command Relationships

Annex K: Command, Control, &
Communications

Appendix 1: Radio plan

Appendix 2: Standard messages

Annex M: Global Geospatial Information and
Services

Annex W: Reports

Annex X: Execution Checklist

Annex Z: Distribution

Using this format, an emergency plan is much more than just a calling tree or a radio plan - though both are very important. While possibly challenging at first glance, the various sections of the plan may be completed quite easily by reference to unit rosters, local charts, and local Coast Guard and civil organization plans. Assembling all of the information in one place and ensuring that it is consistent and current is an important part of the process. A step-by-step discussion of the plan elements is provided below

Auxiliarists should be aware that Coast Guard Atlantic Area and Coast Guard Pacific Area have specified plan formats that differ somewhat from the above. These formats are available at major Coast Guard commands. Different formats may also be used for special types of contingency plans or in older documents.

Two of the most important aspects of the plan are the concept of command, which is described in Annex J, and the concept of operations, described in Annex C. Much of the rest of the plan is devoted to ensuring that the concept of operations described in Annex C can be supported in the field. For this reason, Annex C is written in a series of incident-specific appendices, each of which follows a specified five-paragraph format:

1. Situation
2. Mission
3. Execution
4. Administration/Logistics
5. Command and Control

The five-paragraph format forces the planner to focus on the resolution of the incident and follow a defined path from start to finish. The execution paragraph is often written in phases, with different actions for each phase. A typical sequence of phases is:

- Identification and notification of hazard
- Self-preservation [natural disasters]
- Reconstitution of Coast Guard/Auxiliary forces [natural disasters]
- Save lives
- Protect the public from hazards/danger zones
- Transition from reactive to proactive mode
- Containment of dangerous forces or support for those who can [man-made emergencies]
- Support for recovery/mopping up operations
- Demobilize

This format is not mandatory. In some places it may be preferable to conform to the format of a State or local plan, or a multi-agency document. However, local Coast Guard authority may specify a format for Auxiliary plans at the district or port level.

All those who write plans within the Auxiliary should read the text below and ensure that their plans properly address all of the essentials, regardless of the format used.

QUICK REFERENCE GUIDE

If a quick reference guide is included, it should be a single page that instructs the Auxiliary user in the initial steps to take whenever they become aware of an emergency that might require Coast Guard action.

LETTER OF PROMULGATION

The letter of promulgation establishes the plan as policy, and also determines the effective date. It should be signed by the unit leader. Any letters of endorsement from higher Auxiliary or Coast Guard command should be reproduced separately.

BASIC PLAN

The Basic Plan establishes the overall structure and purpose of the plan, the scope of the unit's responsibility, and general concepts of response. In the Coast Guard, this section is usually organized according to the same five-paragraph format as used for Annex C, Operations. This may not be necessary for Auxiliary plans, but the following can be used as a guide.

Situation

State the unit's geographical Area of Responsibility (AOR), the emergencies that may be expected to occur within or near that AOR, and key assumptions or directives that underlie the entire document.

Mission

Identify the Coast Guard or interagency plans supported by your unit's plan. Summarize your unit's overall mission, focusing on the core competencies you bring to all responses.

Execution

State your expectations and priorities for emergency response. Indicate how Auxiliary participation in a response is initiated and how it will grow. Refer to Annex C for specifics.

The order-issuing mechanism should be explained in the plan, and the approved plan should be on file with the appropriate Coast Guard order-issuing authority. In such cases, the Auxiliary leader's initial message can refer to the plan and the pre-approved arrangements for implementation. Auxiliary leaders may not promise Coast Guard resources to an outside agency without the specific approval of the command authority.

When Auxiliarists are the first to arrive on the scene of an emergency, or the response is being led by a non-Coast Guard agency, they have a special duty to pass complete information to their Coast Guard order-issuing authority. The Auxiliary leader first arriving on scene or at the Command Post should attempt to gain as complete an understanding as possible of the emergency. In particular, he/she should try to locate any status boards or charts that give an overview of the situation and should attempt to get copies of any bulletins that have already been issued by the lead organization. A SITREP message should be prepared,

summarizing known facts, expected actions, and requested support. This should be passed to a local Coast Guard command, usually the nearest Group or Marine Safety Office. The message should be prepared in writing, though it may be sent via telephone. The checklists of essential information in Annex B should be used to guide the drafting of the message. If a Coast Guard response organization has not yet been established, the Auxiliary leader should ensure that the message is passed to the Command Duty Officer and does not get lost in routine traffic.

In cases where a Coast Guard command requests Auxiliary support for an emergency response, Auxiliarists should report as directed to the Command Post or to assigned field locations. In an Incident Management System situation, the Assignment Processing Unit should log them in as Coast Guard personnel. The senior Auxiliarist or the ACCE if present should make themselves known to the Incident Commander or the Commander, Coast Guard Forces. He/she should obtain a full understanding of the situation as soon as possible, by reviewing status boards or by reading SITREPs.

Administration and Logistics

Refer to Annexes D and E and explain their contents.

Command and Control

Designate the Auxiliarist responsible for managing the unit's response, by title. Also designate alternates. Refer to Annexes J and K for other details.

ANNEX A: TASK ORGANIZATION

Annex A lists the units assigned to the plan. This may simply be a listing of the Auxiliary flotillas and divisions in the area. If there are any special elements such as a rapid-response team, list them also.

ANNEX B: INTELLIGENCE AND INFORMATION

In the Coast Guard context, 'intelligence' refers to data on human threats, whereas 'information' refers to data on natural disasters and accidental marine casualties. The focus in Auxiliary plans is on information.

In Annex B, list the essential pieces of information you will need in order to begin rationally assigning resources. You do not need to develop checklists for each type of contingency. Three checklists may be sufficient, one for natural disasters, one for oil

and hazmat releases, and one for all other marine casualties. Many Coast Guard operations centers maintain checklists which can be copied or modified.

Also list the most useful sources of information necessary for emergency response. Include the principal chart numbers for your area, local marina directories, etc., and include tide and current references. Include telephone numbers for river stage information if you are based along a river. Much of this information may be obvious to the experienced Auxiliarist who drafts the plan, but do not assume that all plan users will share your knowledge.

ANNEX C: OPERATIONS

Annex C is the heart of the Emergency Operations Plan. It will probably be the longest section of the plan, and the most difficult to develop. Each Appendix describes the unit's planned response to a particular type of emergency, written in the standard five-paragraph format. It is only necessary to address those scenarios that have a reasonable possibility of occurrence in your area and that have relatively serious consequences. The following table will serve as a guideline in deciding which scenarios are important:

Risk Assessment Matrix				
Frequency	Severity			
	Catastrophic	Critical	Marginal	Negligible
Frequent	Do not address		Address in SOPs, coxswain briefings, local workshops, etc.	
Probable				Second priority
Occasional	First priorities for emergency planning			Do not address
Remote				
Improbable	Second priority			

For Auxiliary planning purposes, the terms in the table are defined as follows:

Frequent: Expected to occur several times per year within the unit's AOR.
 Probable: Very likely to occur within a period of several years.
 Occasional: May reasonably be expected to occur within an Auxiliarist's career, but not certain.
 Remote: Unlikely, but similar events have happened elsewhere, or locally within historical times.
 Improbable: Has never happened locally and would require an unusual combination of events, or a single very rare event.

Catastrophic: Could produce mass casualties, devastation, and/or tens of millions of dollars in damage.
 Critical: Deaths and serious injuries possible; severe damage to infrastructure or the environment.
 Marginal: Possible injury to nearby individuals, noticeable environmental or infrastructure damage, temporary disruption to normal community activities.
 Negligible: No significant disruption to community life, few or no lost-time injuries.

Frequent/Catastrophic events cannot occur. If they did, the community would have been wiped out long ago. First priority scenarios should be included in the unit's Emergency Operations Plan. The decision to address second priority scenarios

depends on your planning resources and on direction included in higher level Coast Guard or local agency plans.

Having selected a scenario to address, you must analyze it and decide on an appropriate mission for your unit. Your analysis becomes the Situation paragraph. Your Mission paragraph may be sufficiently defined by higher level plans, but in most cases these are somewhat vague when it comes to the Auxiliary.

In thinking about the Mission paragraph, try to make an assessment as to whether the Auxiliary's role will be one of rapid intervention to prevent a cascade of increasingly bad consequences, or a sustained support role in an ongoing operation. In the first case, the mobilization will be more similar to that for a search and rescue operation; in the second it will be an extended process. Ask yourself what would happen if the Auxiliary unit did *not* respond within a given period of time. Would the number of victims rise, would their probability of survival decrease, or would the extent of environmental or infrastructure damage increase? At the end of this thought process, you should be able to draft a mission statement that looks something like the following:

Self-preservation should be central to any thinking about emergency response by Auxiliarists. All professional responders understand that they cannot be of much use to anyone unless they first ensure the safety of themselves, their families, and their colleagues.

Upon notification of a [type of scenario] within the local area, Auxiliary Division ___ will mobilize [types of equipment and people] within ___ hours for the purpose of [type of response action]. Auxiliary Division ___ will operate under command of [name of lead local agency or USCG command], in accordance with [title of relevant local or USCG plan]. Auxiliary Division ___ will attempt to sustain emergency operations for a period of ___ hours/days.

The remaining paragraphs of each appendix, the Execution, Administration & Logistics, and Command and Control paragraphs, define how the mission will be accomplished and supported. There are standard features in many of the emergency scenarios that are discussed below.

C-1: FLOODS

Situation

May be regional, or localized to particular streams. Consider both possibilities. County planning office has flood data and maps. Usually 12-48 hours warning available. May destroy infrastructure, including homes. Can occur in all Auxiliary operating areas.

Mission

For smaller floods, support local disaster plans. For regional floods, mobilize as part of Coast Guard Forces. Consult these plans for mission definition. Usually assist first with evacuation, later with reconstruction efforts, and damage assessment.

Execution

Flood Warning Phase: Focus on self-preservation. Check equipment. Move valuable items to higher ground. Check boat moorings. Determine availability of Coast Guard flood punts.

Rising Waters: Evacuate victims if possible. Beware of unusually swift water, debris. Limit most operations to daylight hours for safety.

Falling Floodwaters: First reconstitute damaged Coast Guard/Auxiliary moorings, radio stations, etc. Then assist in community cleanup, check positions of ATONS and bottom contours, locate debris.

Administration/Logistics

Determine how many people you can evacuate per day. Examine the impact on your operations if some local piers and gas docks are inaccessible, or your radio station is damaged. Be especially aware of health and safety issues, including the following:

Hazards: Sewage in water; debris in water; floating propane tanks, oil drums, chemical containers; disoriented livestock and pets; mosquitoes in mud-covered areas; unsafe lifting/handling operations during debris removal; contaminated water supplies; mold in buildings; damaged electrical cables; fatigue and family disruption; bleach sensitization.

Mitigators: Tetanus immunizations; insect repellent; use of mechanical advantage; steel-toed boots; bottled drinking/washing water; hypochlorite bleach for building and equipment disinfection; gloves; tag out of dangerous equipment during repairs; crew rest, rotation, and peer counseling; morale messages from friends and family; clean uniforms and coveralls.

Command & Control

In a localized flood, state how your command element will participate in the county disaster management team and where it will be physically located. In a regional flood, analyze how your unit will fit into the Coast Guard response structure and what roles Auxiliarists can fill.

C-2: HURRICANES

Situation

Impacts possible along entire coastal area of United States. For technical details, see AUXWEA course text. Landfall accompanied by intense sustained winds and storm surge. Widespread devastation. Usually a declared Federal disaster area, with FEMA directing a major response. Auxiliary functions as part of a Coast Guard structure.

Mission

Preserve Coast Guard forces for deployment after impact. Reconstitute Coast Guard forces and services, aid in community cleanup.

Execution

Hurricane Watch: Impact possible in 24-36 hours. Alert personnel, check equipment, test radio nets and generators, inform local USCG command of readiness status and intentions.

Hurricane Warning: Landfall expected within 24 hours. All Coast Guard personnel evacuate from impact area, except essential watchstanders at safe locations. Auxiliary leaders track phone numbers of members as they evacuate. Move all aircraft out.

Landfall and Impact: Focus on survival. All members should have evacuated.

Reconstitution of Coast Guard Forces: Leaders bring their members back into damaged area and begin rebuilding damaged Coast Guard/Auxiliary piers, radio stations.

Recovery: Restore normal living and working conditions in area. Conditions will be similar to a major regional flood, see Appendix C-1. Check ATONs and bottom contours.

Administration/Logistics

Same health and safety issues as for flood recovery. Devastation may be total in some areas. Assume that running water, electricity, and telephone service may be unavailable for some time. Ensure adequate supplies of bottled water and ice, these have been found to be critical in hurricane recovery. Establish HF-SSB radio nets to handle message traffic. FEMA asks that emergency responders try to be logistically self sufficient for the first 72 hours. Fuel will probably have to be brought in by road tanker; coordinate with Coast Guard.

Command & Control

Consult local Coast Guard hurricane plans and ensure Auxiliary units and Auxiliarists are properly integrated into them. Also consult with Auxiliary District staff, as the effects of a hurricane will cover a large portion of the District.

C-3: MARINE CASUALTIES

Situation

Cargo ships are present in all US coastal waters. Barges are active in all navigable waters. Groundings and collisions involving these vessels generally lead to closure of the waterway and a commercial salvage operation. Passenger cruise ships call at many US ports. Excursion boats, and floating casinos are increasingly common everywhere. Casualties involving these vessels can quickly become major SAR cases.

Mission

For cargo vessel casualties, patrol safety zone under Coast guard direction, and provide technical/operational support to Coast Guard units as needed. For passenger vessel and aircraft casualties, participate in a major Coast Guard SAR operation.

Execution

For cargo vessel casualties, common Coast Guard functions include safety zone patrol, reconnaissance overflights, and technical investigation/documentation. Trained Auxiliarists may assist in all these areas. For passenger vessel and aircraft casualties, mobilize for extended SAR operations. Unlike recreational vessel SAR, towing of the casualty is not normally required. Auxiliary vessel speed is important for these SAR cases.

Administration/Logistics

Hazards are generally similar to normal safety zone and SAR operations. Aircraft crashes, especially, are very likely to have tragic outcomes. Auxiliarists may encounter dead or grievously injured victims, or disturbing reminders of them. Leaders must ensure that their crews get proper psychological and emotional support to mitigate critical incident stress. Also use universal precautions against blood-borne pathogens.

Command & Control

Determine how Auxiliary units and Auxiliarists will integrate into local Coast Guard command structures. In any marine casualty, the number of responding vessels and aircraft will create large amounts of radio traffic. Plan for activation of Auxiliary radio stations and Auxiliary watchstanders to help manage this. Also determine in advance the working frequencies of the non-Coast Guard responders (fireboat, marine police, Civil Air Patrol and other salvors).

C-4: OIL AND OTHER SPILLS, AND VESSEL FIREFIGHTING

Situation

Oil and hazardous materials spills, and marine firefighting, are addressed in Area Contingency Plans. In coastal areas the Area Committee is chaired by the Coast Guard. All vessels and shore facilities handling oil are required to plan for spill cleanup. Most contract with an Oil Spill Removal Organization (OSRO). It is Coast Guard policy to have the OSRO do most of the spill containment and cleanup. Number 2 fuel oil and heavier oils create ecological damage but pose limited public health threat.

Hazardous materials releases and marine fires are addressed with local specialist support, usually fire department. Most Coast Guard personnel are not trained for aggressive hazmat response or firefighting. They do not enter the hot zone, where protective equipment is required. Gasoline spills behave like flammable hazmats: they are of short duration, present high hazard, and require specialist response.

Mission

Generally, patrol a safety zone around the source and conduct environmental damage assessment. Auxiliarists may be involved in containment only if properly trained in accordance with Coast Guard regulations. Some tasks require medical screening. Auxiliary vessels would be fouled by oil and would not normally be asked to deploy a boom. However, trained personnel may do this work from Coast Guard workboats or from shore.

Execution

Discovery and Notification: Spillers must report to the USCG's National Response Center. Coast Guard/Auxiliary patrols may also happen upon a release. In hazmat incidents, it is very important to identify the substance involved. Report the color and pattern of all visible labels and text, but do not handle any containers. Move upwind and observe with binoculars.

Preliminary Assessment and Initiation of Action: Aircraft may be launched to track an oil spill or observe a fire. In oil spills, Coast Guard and Auxiliary personnel may deploy booms, subject to health and safety training requirements. Booms must be tended as tides and currents shift. In hazmat incidents, Coast Guard field actions are normally limited to safety zone patrols well outside the hot zone.

Containment, Countermeasures, Cleanup, and Disposal: Mostly done by the OSRO in an oil spill. Coast Guard focuses on shoreline damage assessment. In hazmat incidents, containment is performed by a small team of fire department hazmat technicians. The later stages of cleanup and disposal are handled by contractors functioning under the direction of State and Federal environmental agencies.

Documentation and Cost Recovery: Much of this work is done routinely by active-duty personnel over a period of weeks. Auxiliarists may be tasked to help recreational boaters file damage claims for fouling.

Administration/Logistics

In a major spill the Assignment Processing unit of the Incident Command System will track incoming Coast Guard responders. Federal responses to an oil or hazmat spill are charged to special funds and then recovered from the spiller. Copies of expense reports and Activity Report - Mission forms should be filed with the appropriate Coast Guard command. They do not have access to AUXMIS and have no other means of tracking Auxiliary time.

Follow the generic Site Health and Safety Plan in the Area Contingency Plan. Petroleum products may release hazardous levels of benzene and other toxic vapors and may also cause skin irritation. Avoid handling oiled wildlife. These animals will bite. They are also considered evidence of an environmental crime and should be handled by State or Federal wildlife officers.

Coast Guard oil containment booms are commonly pre-positioned on small trailers or on sleds. Auxiliarists may be asked to help move them to the response site. If trained, they may assist in deployment.

Command & Control

Normally Auxiliary units will function under a Coast Guard-led Incident Command System as described in the Area Contingency Plan. In inland areas, a State or Federal environmental agency may provide coordination. Determine how Auxiliary units and Auxiliarists will integrate into local Coast Guard command structures. In any marine casualty, the number of responding vessels and aircraft will create large amounts of radio traffic. Plan for activation of Auxiliary radio stations and Auxiliary watchstanders to help manage this. Also determine in advance the working frequencies of the non-Coast Guard responders (fireboat, marine police, Civil Air Patrol and other salvors).

Report all oil and hazmat releases to the nearest Coast Guard unit, or to the National Response Center at 1-800-424-8802.

C-5: SECURITY EMERGENCIES

Situation

When US forces deploy overseas, Coast Guard forces protect the outload ports. When there is a direct threat to the United States itself, Coast Guard commands work with other agencies to protect targets in port cities.

Auxiliarists are not authorized to participate in Coast Guard military operations. However, all of these situations divert Coast Guard personnel from their normal missions. Auxiliarists will be required to backfill vacated positions, especially in the search and rescue area.

Not all areas of the US are equally vulnerable to maritime attack, piracy, or terrorism. There is a centralized process for validating security threats and targets. Auxiliary leaders should consult with their local Coast Guard command as to credible security threats in their areas and the desired role to be played by the Auxiliary in supporting Coast Guard needs.

Mission

Coast Guard OPLANS include a listing of the shortfalls that a security crisis might create. This should be the starting point for Auxiliary mission analysis.

Execution

Security crises usually emerge over a period of days or weeks. In this time, Auxiliary leaders and Coast Guard commanders should agree on a final list of shortfalls and a duty schedule. It may be necessary to suspend some normal Auxiliary operations to fill critical personnel needs.

Administration/Logistics

Should be provided by the supported Coast Guard command. Due to the extended nature of these emergencies (weeks to months), food, lodging and supplies should be provided directly by Coast Guard units. This will be more practical than trying to live at a marina or waiting for reimbursement deposits or checks.

Command & Control

Provided by the supported Coast Guard command. With the consent of their Flotilla Commander, Auxiliarists may be appointed to supervisory roles such as Junior Officer of the Day, as necessary to maintain proper span of control. Auxiliary office designations and qualifications are confusing to most Coast Guard personnel, so Auxiliary leaders should provide accurate information on their member's skill and experience levels.

ANNEX D: LOGISTICS

Consideration of logistics is an essential element of emergency response planning. Logistics address how resources (human and physical) get deployed, what they are and where they are kept. Widespread natural disasters, which disrupt infrastructure, mandate careful pre-placement of critical resources. In some cases, such placement may be well outside of the affected area, adding a time delay to deployment and utilization. Auxiliary units should be integrated into the logistics arrangements of the total response organization where possible. Some of the required information is best provided in tabular form. Appendix D-1 is an example of how to present logistics data.

Facilities

Appendix D-1: Available Facilities

a. Vessels							
Facility number	Length	Speed	Draft	Fuel Type	Facility Location	Owner	Telephone+ Area Code
27789	27'	25 kts	3.0'	Gas	Miller's Creek	Ted Grosewzski	(410) 547-3197
45321	45'	30 kts	4.5'	Diesel	Blue River	Melanie Burns	(410) 934-6508
09712 PWC	9'	40 kts	1.5'	Gas	Trailer	Roger Gofast	(301) 780-4178
b. Aircraft							
Facility number	Engines	Speed	Seats	Range	Facility Location	Owner	Telephone
2314	1	190 kts	4	350 nm	Sasquatch Airpark	Jan Castellan	(410) 678-9056
c. Radios							
Name	Type	Capabilities	Location	Owner	Telephone		
19E Mobile	Mobile	VHF-marine RDF cellphone	Truck	Nick Sesonke	(717) 213-0045		
Stewart Point Radio	Fixed	VHF-marine VHF-aviation HF-SSB landline	Stewart Point, MD 21009	Pat Reed	(410) 458-9342		

1. All vessels and aircraft assumed to have VHF-FM transceivers.
2. Owner's address is not listed. Mobilization will not be by mail.

Piers, Airfields, and Staging Areas

Piers must be accessible during the expected emergency. To be useful, there must be adequate logistical resources available at the pier, including: dockage, fueling facilities, parking, and sanitation facilities. The owner must be willing to tolerate extended use of the pier facility by Coast Guard and Auxiliary vessels and vehicles. An Auxiliary team may be deployed to manage Auxiliary vessel support at the pier. Local law enforcement assistance may be required if the pier becomes congested.

Airfield characteristics are tabulated in various NOAA, FAA and commercial publications with which aviators are normally familiar. It may not be necessary to tabulate them here. Auxiliary aircraft flying under orders are Coast Guard aircraft and may use military airfields. However, military airfields often do not have aviation gasoline, as military aircraft are nearly all jet or turbine-engined rather than piston-driven. An Auxiliary liaison/management team may be deployed to manage Auxiliary aircraft participation in the response. If used, they should keep track of aircraft deployment, aircrew hours, fuel reserves, and feeding of personnel.

Staging areas are used to unload, assemble, distribute and retrieve equipment. The staging function may take place at a pier. Common staging may be used by all agencies in the response. Staging areas must be accessible and secure. They should be equipped with a radio or cellphone. Work space should be available. At a minimum, clean dry tables or benches should be available and the area should be reasonably protected from wind. Staging areas should have an identifiable and accountable manager. Inventories should be checked frequently. Stock control procedures should be in place prior to activation. Care must be taken to ensure that the staging area remains a safe environment. Spilled materials must be cleaned up. When supplies are being offloaded at a staging area, it is important that unloading operations do not create traffic bottlenecks. Two-way traffic flow should be preserved through the staging area, with a one-way loop for vehicles dropping off supplies and people. Damaged equipment and spent consumables are collected at a salvage point. This should be managed, but it is also important that it not interfere with the critical task of re-supplying the responders with fresh equipment.

Food, Water, Transportation, Sanitation, Housing

During extended emergencies, Auxiliary personnel must be taken care of. This function begins with registration and tracking of all those working on scene. In the Incident Command System, this function is performed by the Assignment Processing Unit. An Auxiliarist should be included in this section. If there is none, a simple log of personnel on scene should be maintained.

Auxiliarists may require lodging. Billeting in Coast Guard or other military quarters should be considered, as it involves no out of pocket expenses. Quarters should be clean and quiet to provide adequate rest.

Auxiliarists may require transportation to piers, staging areas, lodging, and elsewhere. If boat crews are working from piers other than their own, they may need local ground transportation, as their own vehicles will not be accessible. Aircrews arriving from out of the local area will also need local transportation.

Arrangements should be made to enable vehicles to travel to and through the response area, even if roadblocks are in place. Official Coast Guard Auxiliary magnetic signs are available for use on vehicles during a mission. All Auxiliarists should be in uniform and should carry their Coast Guard Auxiliary photo ID cards. These measures, plus written orders (which may be pre-approved or faxed), should help to unravel most such situations. If an Auxiliary team is prevented from moving, the local Coast Guard commander should be contacted immediately. In some cases, it may be most convenient to use vehicles with Government tags. Auxiliarists may be authorized to drive Coast Guard vehicles.

Response personnel will require sustenance if they are to be effective during their emergency response, whether the response is short term or extended. Food should be wholesome, appetizing, and safely stored and prepared. Adequate facilities for the serving and consumption of food should be arranged. Conditions of the emergency may not always allow for proper heating of food, in which case items that can safely be eaten cold should be available. Conversely, refrigeration may not be available in devastated areas. The temptation to live on junk food or fast food for an extended period of time should be resisted. Junk food is not nutritionally balanced and will lead to early fatigue, or digestive trouble. Recent experience at Oklahoma City and elsewhere indicates that responders should also not rely on donated food. With the best of intentions, donors may make the food too spicy for most tastes, or may fail to keep it sufficiently warm or cold. In major disasters, FEMA requests that response units arrive with sufficient resources to sustain themselves for the first 72 hours.

Adequate sanitation facilities are important during any emergency response lasting more than a few hours. Designated staging areas and piers may already have adequate sanitation facilities. This includes safe water supplies or effective disinfectants for handwashing.

Health and Safety

During emergency situation, the usual risk factors associated with ordinary patrol activities become even more pronounced, and the chances of those factors adversely effecting the health and safety of the participants increase. At the same time, the successful outcome of the mission is jeopardized if the crews become injured or their state of health is effected. The risk factors include fatigue, seasickness, fire, fumes,

noise, heat, cold, sun glare, airborne, blood-borne and waterborne pathogens, and post-traumatic stress injury resulting from involvement with personnel casualties. The steps needed to safely and competently perform a mission follow a series as below:

1. Perform an initial assessment. Assess the scene and determine the hazards (thermal, chemical, mechanical, electrical, pathogens, dangerous animals). If there are hazards present, do not proceed unless properly trained and equipped. Evaluate risk versus gain. Also determine and report the number of persons and their conditions, state of consciousness, and mechanisms of injury. Notify controlling unit of medical situation.

2. Conduct medical monitoring For injured persons, check the ABC's: Airway, Breathing and Circulation. Determine the alertness level of conscious victims and their skin characteristics (pale, cold, hot, clammy, dry, perspiring). Report vital signs to controlling unit. IF CPR is needed, activate emergency medical services first.

3. Use protective equipment to limit the risks of exposure to pathogens or personal injury. Examples of personal protective equipment (PPE) include latex or non-allergic gloves, blood-borne pathogen kit, anti-microbial handwipes, 10% Sodium hypochlorite (bleach) disinfectant, hard-hat, steel-toed boots, overalls, hearing protection, sunscreen, and blankets.

If the situation evolves beyond your training or resources, notify the controlling unit and withdraw. Do not become a victim yourself.

4. Prepare carefully for all operations in hazardous areas, both mechanical activities and work involving victims. Know what you intend to do before you start and ensure that you have the right resources, including personnel and protective equipment, at hand.

5. Train for your intended or anticipated missions. Seek specialized training when you identify a knowledge gap. Learn and practice use of personal equipment and protective clothing, including safe donning, doffing, and disposal.

6. Condition yourself for duty and be aware of limitations imposed by your own physical or medical condition or by the equipment that you are required to use. When you accept a mission, you are indicating your belief that you are capable of executing it fully, in accordance with Coast Guard performance criteria and current professional standards of care.

7. Reassess all conditions frequently and alter or adjust response if circumstances regarding the incident or personnel change. Record your findings regularly so that additional responders can understand the situation. Keep the controlling unit advised of status of personnel and incident.

Medical Support

Briefly describe your arrangements for medical care. For injuries and medical conditions that arise while on duty, Auxiliarists should use the local Coast Guard unit's normal health care provider. This may be a commercial health plan or a military medical facility. If there are no local active-duty Coast Guard units, Auxiliarists should obtain emergency medical care at any convenient place. In any case, the operational commander and the Director of Auxiliary must be informed as soon as possible.

Auxiliarists involved in response operations may also require non-emergency medical care. This might include treatment for minor cuts and scrapes or monitoring of blood pressure and heart rate after a particularly strenuous activity. At Coast Guard bases, a Health Sciences Technician will normally provide this level of care. In cases where the fire department has a dominant role, a medical support unit is usually activated as part of the combined fire/rescue/EMS team. If the Auxiliary field commander feels that his personnel may be over-extending themselves physically, he or she should have no hesitation in directing them to the medical unit for a quick check.

ANNEX E: PERSONNEL

Annex E will be the tool you use to begin staffing your response organization. It needs to be as current as possible.

Appendix 1: Callout Procedures

Show your calling tree or network. Ensure that the absence on vacation of one or two key people will not cause the whole callout procedure to collapse. Some Auxiliary units appoint a Duty Officer for a period of several days; this person is always in the local area and is available for contact, via pager or some other reliable method. In others, groups of members agree to be on call for a period of time and remain within close proximity of a telephone as much as possible. Whatever system you choose, test it frequently and ensure that it works.

Appendix 2: Available Personnel

List the active members of your unit, by name, telephone number, and operational qualifications. Do not list addresses. If you pre-designate boat crews or other special teams, list by teams in this appendix. Plan 30-50% excess personnel into each team to allow for vacations, illnesses, etc. Base available resources on a realistic estimate of actual availability. Some fraction of your members will not be available for duty due to lack of current qualifications, health, etc. Count the number of members who actually performed operations in the most recent season, and use this as your upper limit. Plan ahead for reinforcements. In general, any action that extends beyond 8-10 hours calls for a second shift. Activities that extend over several days at a high tempo require four or five shifts in order to maintain effectiveness, with not all personnel being used each day. Coast Guard planners use a ratio of 4.2 crews/vessel for extended 24-hour operations, 2.8 crews/vessel for 16-hour (daylight) operations.

Appendix 3: Shortfalls

Identification of resource shortfalls is an important function of Coast Guard planning. Construct a table that lists each emergency scenario you expect to encounter (flood, hurricane, etc). Review your analysis in Annex C and estimate the resources you would need to properly execute your chosen or assigned mission. List this as total numbers of boats, crewmembers, radios, aircraft, trucks, etc. Then use Annexes D and E to estimate the resources you actually would have available. If this process reveals resource shortfalls, you have several possible courses of action. You could conduct accelerated member training, request assistance from another Auxiliary or active-duty unit, or revise the mission. You can only request assistance from another unit if they are not likely to be affected by the same disaster scenarios.

ANNEX F: PUBLIC AFFAIRS

Public Affairs is not usually the primary responsibility of an Auxiliary unit during an emergency. Generally speaking, the Coast Guard command or local agency that is leading the response will want to manage media relations. Auxiliaries may be tasked to assist in public affairs functions. It is not always possible or desirable for Auxiliaries to avoid news reporters. Sometimes a repeated “no comment” response may give the impression of evasion, especially on videotape. The public must be given the impression of a caring, professional Team Coast Guard, always ready to serve the public interest. When talking with the media, Auxiliaries should follow these guidelines:

PUBLIC AFFAIRS GUIDELINES FOR FIELD ACTIVITIES

- a. Talk only about what you personally did, saw, or have direct knowledge of. If reporters have questions about the actions of other individuals, refer them to the person in question or to the Public Affairs officer.
- b. Don't speculate. Give only confirmed, truthful information. Do not comment on causes, motives, future events, or the actions of others.
- c. Do not release sensitive information, including names of victims or the identity of suspected responsible parties.
- d. Appear on camera only in proper work or dress uniform, appearing to be doing something or with visible activity in the background. Do not conduct an interview while smoking a cigarette, eating, sitting on a bench, etc. Make sure your baseball cap is on right way round, windbreaker zipped up and shirt buttoned. If in a boat, wear a PFD and get the camera crew to do the same.
- e. Leave press conferences to the experts. If you participate in one, be sure of what you're doing and get advice from the Public Affairs officer and/or the incident commander.
- f. If one TV station is invited to an event, all must be, regardless of their track record. The Coast Guard cannot play favorites in media access.
- g. VIPs require special handling. Generally, they require an escort of considerable tact and appropriate rank or presence. If you think you may have to deal with senior State or Federal officials, get support quickly from the nearest Coast Guard command.

ANNEX J: COMMAND RELATIONSHIPS

Repeated experience has shown that a well-defined field command structure must be established early in any major emergency. The command element assesses the situation on the ground and begins to expand the response organization as needed. Initially, a small group will assume all of the incident management functions. Later the response organization becomes more formalized. The same principle is true of the Auxiliary component of the response organization. It will expand from an initially small element, grow through a surging of resources, organize itself into a cohesive and efficient team, and finally demobilize safely. The role of the Auxiliary field commander or leader is to make this happen smoothly. Since Auxiliary units are not usually the lead agency in a response, the responsibility of the Auxiliary field commander is to feed resources to the Commander, Coast Guard Forces or to the State agency that is leading the effort. The diagram overleaf shows the points in a joint response organization where Auxiliary resources are most likely to be employed.

Annex J describes how field command of Auxiliary units will initially be exercised in an emergency, how it will grow, and how it will integrate with the larger Coast Guard or State/local response organization.

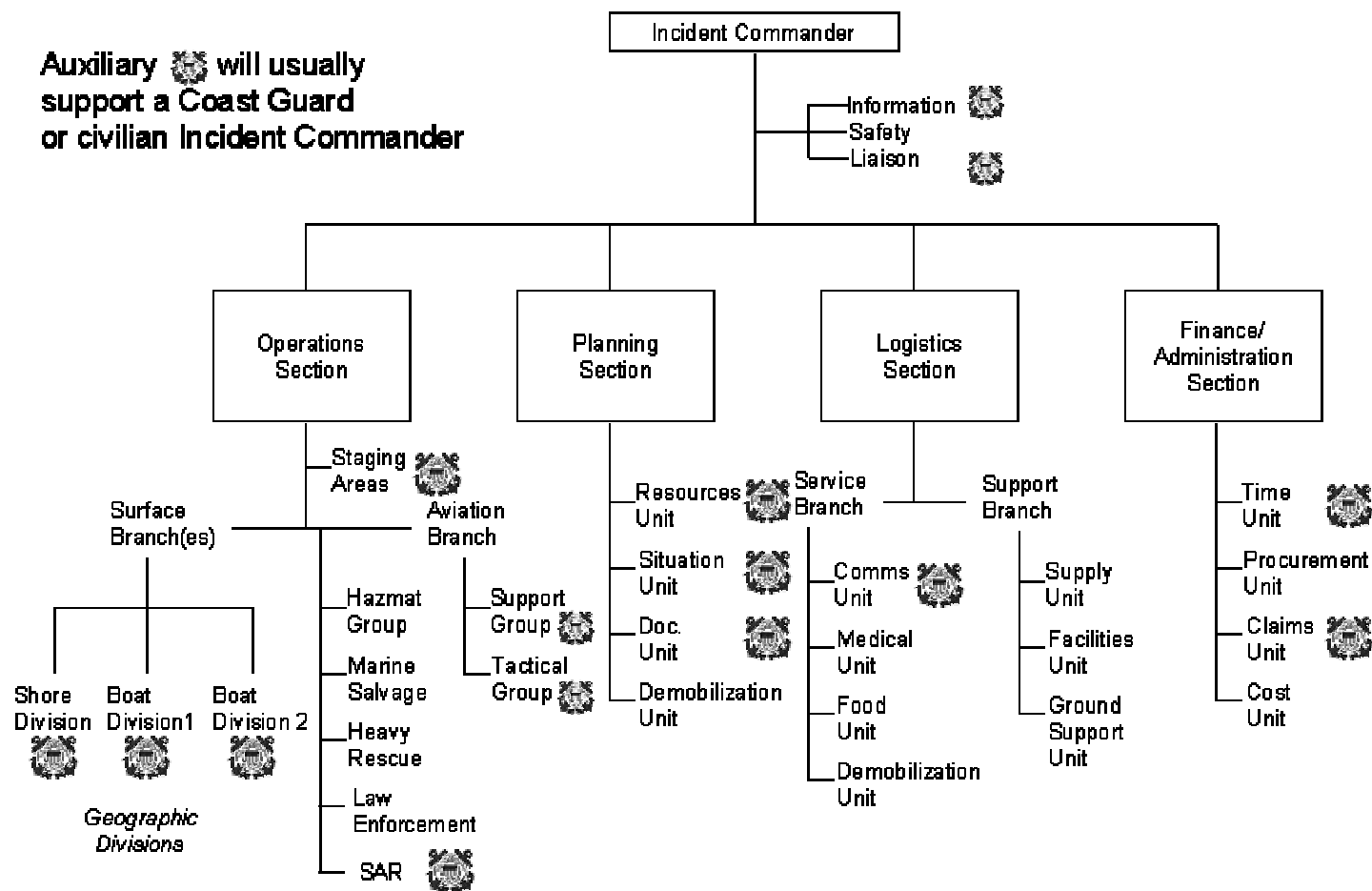
Emergency Response Coordination

Within the Auxiliary, responsibility for emergency response coordination may vary from place to place. In certain districts, the Auxiliary District Commodore and the Coast Guard Chief of Marine Safety have entered into a formal Memorandum of Understanding (MOU) that addresses the use of Auxiliary resources in support of marine safety activities, including disasters. See Appendix B for a sample. There should be a District Emergency Coordinator, appointed by the District Commodore. There should also be a district-level Auxiliary Command and Control Element (ACCE), available for dispatch in the case of a major emergency that may be expected to last a week or more and affect a large section of the district. Coast Guard districts maintain District Response Action Teams (DRATs) and/or Crisis Action Teams to provide similar support to operational units. These personnel may be issued open travel orders to allow them to detach from their regular duties and proceed to the response area without delay. If an ACCE is formed, District Commodores should consider requesting that it be integrated into the DRAT organization and provided similar logistical support by the Coast Guard. All ACCE members should be operationally knowledgeable Auxiliarists who are willing to participate in any training required by the Coast Guard District, and who can mobilize quickly when called. As a rough guide, ACCE members should be packed and ready to travel within two to four hours of initial notification.



EMERGENCY RESPONSE PLANNING Concepts

Auxiliary  will usually support a Coast Guard or civilian Incident Commander



In less extended emergencies, coordination of Auxiliary participation may be provided by Rear Commodores, Division Captains, or Flotilla Commanders. The Auxiliary Manual states that whenever a Coast Guard Activities is formed (usually by the merger of a Marine Safety Office and a Coast Guard Group), a Rear Commodore shall be the principal broker of Auxiliary services to it. In many instances this will be the appropriate level of emergency response coordination. The district-level MOU referred to above may specify these relationships. In accordance with district-level emergency plans, Rear Commodores and Division Captains may wish to appoint an emergency coordinator, or assign the duty to one of the existing staff officers such as the DSO-OP or MS, ADSO-OP or MS, or OP or MS counterparts at the Division level.

It is reasonable to expect that the Incident Command System will become the predominant model for management of all non-military emergencies within the next several years. However, at the present time, Auxiliarists participating in a natural disaster response with active-duty Coast Guard units may find themselves incorporated into a Coast Guard Forces structure or into an Incident Command System. Responses led by State or local agencies will usually follow the Incident Command System concept.

Use of the Auxiliary Unit Structure

In large operations, the Auxiliary division or flotilla structure may be used effectively as the basis for command of some of the assets and personnel. This corresponds to the geographic breakdown of the Operations Section into Divisions in the Incident Command System. Existing vessel patrol sectors may be used as ICS Division boundaries. In such cases the senior Auxiliarist should ensure that they are receiving sufficient logistical support (fuel, food, information, billeting) from the wider response organization. There is no objection in principle to the assignment of Coast Guard active duty or Reserve personnel to augment these geographic Divisions, if responsible Coast Guard authority sees fits. Employment of Auxiliary divisions or flotillas as command elements assumes that these units have up-to-date response plans and are prepared to mobilize in accordance with those plans.

Not all assets can be efficiently allocated at the same geographic level, and it is not necessary for all Auxiliary resources to be assigned as a single entity within the response organization. Auxiliary assets should be assigned where they naturally belong, based on their type and their location. Radio stations should be integrated into the general communications infrastructure of the response organization. Aircraft should be assigned to the Aviation Branch. Auxiliarists with particular skills may be best assigned within the Command Post; the senior Auxiliarist should generally remain there to manage the integration of Auxiliary personnel.

An important concept in emergency management is the “pushing” of resources and information toward the area of action. In military logistics, the opposite of “push” is “pull” - resources are sent forward only after the field teams request them. This is inefficient.

It also places too great a burden on the already overstressed field crews to specify all of their needs. In an efficient emergency response organization, all of the supporting elements push people, materials and data forward without prompting. The scenarios analyzed in Annex C of the plan are the initial basis for determining how many boats, vessels, radio stations, and personnel must be mobilized. The checklists in Annex B are the basis for deciding what data must be pushed to users first.

ANNEX K: COMMAND, CONTROL, AND COMMUNICATIONS

Annex K should describe your communications capability and radio plan. During emergency situations, communications become critical. Tactical control of a field response rests on effective radio contact with each vessel, aircraft, or truck. The numbers of vessels and aircraft activated is often much greater than normal and it is not possible to maintain proper span of control using the regular tactical nets. Also, long-distance communications channels may be disrupted. Auxiliary Communications Units (ACU's) – land, mobile, and fixed land -- can lend valuable service in this environment.

Land frequencies are useful for support and maintenance of the emergency, and in general should be used for all traffic except with those units not so equipped. In many situations, marine frequencies will be fully utilized by vessels involved with the emergency. The nationwide Auxiliary frequency of 143.28 MHz may be used by units so equipped. In some districts, VHF-FM repeaters have been set up and provide excellent wide area communication. A form of repeater known as a simplex repeater is easily set up with an ordinary mobile radio at a high site. It receives, stores the message, and then retransmits the message on the same frequency a short time later. It has the height advantage of a repeater without the high cost and complex installation.

Cellular telephones have become very popular and certainly are useful during emergencies. However, in major disasters the network may become overloaded or restricted. Cell phones do not allow the instant communications that two way radios do because of the time needed to dial the number, network connection time, etc. Cell phone service can become very expensive if it is the principal means of communication.

In times of emergency, ACU's will probably be called upon to communicate not only with other Coast Guard and Auxiliary units, but also local, state, or federal agencies. In some cases ACU's may have experience working with these units and may be equipped to work on their frequencies, but in many cases not. In general it is more desirable to have the other agency come up on Coast Guard frequencies than for ACU's to use theirs. Auxiliarists using Public Safety frequencies generally should use a call sign assigned by that agency and not their Auxiliary call sign; differences in procedures and prowords can add to the confusion of the event. The role of the ACU is often to provide liaison between Coast Guard and local public safety units, since most other agencies do not possess marine radio capability.

In addition to short range VHF communications, High Frequency (HF) or short wave communications are available to ACU's. In general, those ACU's with HF capability are also amateur radio operators. HF radio can provide communications over distances of several hundred to several thousand miles depending on conditions, and can supplant long distance telephone circuits that are likely to be overloaded during major disasters.

Scanners can be a useful addition to an ACU. They allow the monitoring of state, local and federal agencies. However, many public safety agencies have recently moved to 800 MHz trunked radio systems. Each exchange of transmissions occurs on different frequencies dynamically reassigned as the conversation progresses. Conversations on trunked systems are difficult to follow with a conventional scanner.

Your communications plan should designate the channels on which the Auxiliary and various other agencies will operate. The frequency assignments should be explicitly discussed with outside agencies. Never assume that a particular agency will come up on a particular channel unless they have actually told you so. During special situations it is easier to keep track of units and minimize circuit confusion by using special tactical call signs. These should be included in your plan if they are known in advance, and adhered to during the prosecution of the emergency.

Standard message formats are used to ensure that no important elements of information are omitted from a transmission. Formal message traffic and the SITREP format are discussed in the Auxiliary Communications Specialty Course. This is a good basic format for passing information to higher authority and requesting support. Coast Guard units have other formats for special purposes. Formal messages take time to transmit. To limit congestion of field voice networks, they can be transmitted by fax, electronic mail, or over packet radio. Packet radio is a means of transmitting data over non-marine radio channels, such as 143.28 MHz. A modem is used to link a transceiver and a computer running appropriate software. As in a computer network, each user only receives traffic addressed to them.

Good communication is very dependent on practice. Some Auxiliary radio facilities and watchstanders rarely activate, others operate throughout the year. It is very desirable to hold one or two emergency drills annually to supplement regular radio nets to test effectiveness of communications. It is an excellent idea to include local Coast Guard units in these drills.

ANNEX M: GLOBAL GEOSPATIAL INFORMATION AND SERVICES

If used, this annex will describe the requirements for maps, charts, and computerized information systems to support emergency response. During the floods on the Red River of the North in the Spring of 1997, very effective use was made of the Internet to gather and disseminate flood data and weather maps over a large region.

ANNEX W: REPORTS

If there are any requirements for formal reports to higher authority, list them here.

ANNEX X: EXECUTION CHECKLISTS

This annex details the response planning process. It is probably not needed in Auxiliary plans. In the ICS, the Planning Section chief coordinates the development of the Operations Order or Incident Action Plan. Refer to ICS guides for a discussion of the process.

ANNEX Z: DISTRIBUTION

List commands and agencies that should receive updates to the plan.

4. EXERCISES

Exercises are the mechanism by which a plan is tested. Without an exercise program, a leader cannot really have much confidence that the plan will work. Exercises also serve to train personnel, and to indoctrinate them into the “big picture.” Large-scale exercises are conducted periodically by major Coast Guard commands and by local agencies. Auxiliary leaders should determine if they can play a useful role in Coast Guard exercises. Auxiliary units can also conduct smaller-scale internal exercises to test important aspects of Auxiliary response capabilities, such as mobilization times and communications networks. Exercises are of three general types:

Tabletop Exercises involve no activation of operational assets. All participants are located in a single room, usually around or surrounded by appropriate nautical charts. Tabletop exercises are played in accelerated time, under the direction of a controller. They are very cost-effective and help to clarify the basic ideas of response doctrine. Tabletop exercises are a good winter or early spring training activity for Auxiliary units. Communications and logistics problems are not uncovered, and the entire group may collectively forget something important.

Command Post Exercises are designed to test command and communications capabilities. Radio stations and command posts are activated and land mobile radio units may be dispatched. Each station exchanges messages just as in a real life event. Command post exercises provide very useful information on notification and mobilization times. However, they do not test logistics and cannot identify critical environmental factors that may prevent a plan from working.

Field Exercises involve the actual deployment of vessels and aircraft. This is a major undertaking but is the only sure means of testing logistics and identifying operational problems. Many Auxiliarists find, in these types of events as well as in real emergency situations, an affirmation of the reasons why they joined Team Coast Guard. Field exercises can also generate publicity for the Auxiliary and for the Coast Guard. All exercises are developed in a similar fashion: the exercise coordinator develops a brief Concept of Exercise and states the type of exercise, the intended date, and the approximate scope of the exercise, as follows:

Coast Guard Auxiliary Division 11 (4ER) will conduct a field exercise to test its flood response plan on or about 14 April. The exercise will take place along the Blue River between Watertown and Bryant City, milemarkers 187.3 to 195.1. It is expected that about seven vessels and an aircraft will be employed.

The concept is reviewed and approved as necessary. The coordinator then assembles a small group to develop a Master Scenario Events List (MSEL). This

is the timeline for the exercise, including all of the events to which the players must react. The developers of the MSEL become controllers or evaluators for the exercise rather than players, though roles may overlap in a small organization.

On the day of the exercise, the players and controller/evaluators meet for an initial briefing. There may not be a briefing in the case of an unannounced Command Post Exercise. The basic scenario is briefed to the players, and the exercise begins. Periodically throughout the play, the controllers introduce new pieces of information from the MSEL, such as "an overturned boat was sighted at 13:20 near Buoy 7", or "Danforth's Marina is now inaccessible. The controllers assess the ability of the organization to process and act on new data. They may stop play if it becomes unsafe, or if a real emergency intervenes. They may ask questions of the players.

Exercises are evaluated against written criteria. The following criteria are condensed from a FEMA publication:

1. Notified response agencies and mobilized a sufficient number of personnel in a timely manner.
2. Coordinated activities through an effective command structure, with visible leadership and proper span of control.
3. Correctly identified the type of incident and the hazards involved.
4. Developed a coherent approach for responding to the emergency
5. Mobilized vessels, aircraft, and other resources in a manner consistent with the response strategy.
6. Established and maintained effective communications.
7. Established adequate facilities to support the response.
8. Operated safely
9. Established effective traffic control at the response site.
10. Maintained a current picture of the response progress and the resources deployed.

At the end of the day, all of the participants conduct a debriefing or "hot wash," in which general impressions are aired. Boat crews and pilots should join in and should not return directly to their home marinas. Senior leaders should speak first and establish a positive, relaxed atmosphere. Unless the exercise is a disastrous failure, the coordinators should make every effort to acknowledge the contributions of time and labor made by the membership and show them that the exercise was worthwhile.

The evaluators take their notes and photographs from the exercise and the hot wash, evaluate them against the written plan and the evaluation criteria, and write a summary report. This need not be any longer than three or four pages for Auxiliary exercises. Some weeks after the event, evaluators and the senior players meet to review the findings, the report is finalized, and distributed as widely as possible. At a minimum, the DSO-OP and the operations officer of the nearest Coast Guard command should be provided copies. Good exercise reports lend a sense of professionalism to Auxiliary publications and should be considered for submittal to the DSO-PB also. The Chief, Response Plans

Branch (BC-MPR), US Coast Guard Auxiliary, should be copied on major exercise reports.

Appendix A: Other Resources

It is not possible to cover all aspects of Coast Guard emergency response in a document such as this. The following items provide additional information.

Key Official Publications

US Coast Guard, *Contingency Preparedness Planning Manual. Volume 1 (COMDTINST M3010.11): Planning Doctrine and Policy; Volume 2 (M3010.12): Personnel and Equipment Requirements; Volume 3 (M3010.13) Exercise Policy.*

This series is being revised. The revised Volume 1 is now available and is probably of most interest to Auxiliaries. These documents can be borrowed from Coast Guard units. If extra copies are desired, a Coast Guard unit can order them using a Request for Directives form.

Federal Emergency Management Agency: *Guide for All-Hazard Emergency Operations Planning*, September 1996.

This is the basic guidance for State and local emergency planners, and can be downloaded from the FEMA site on the Internet.

US Coast Guard, *Marine Safety Manual, Volume VII (COMDTINST M16000.12): Port Security; Volume IX (COMDTINST M16000.14), Marine Environmental Protection.*

Volume IX deals with preparation for, and response to, oil and hazmat releases. It can be downloaded from the Coast Guard web site. Volume VII focuses on harbor defense, but contains useful information for safety zone patrols around an emergency operation.

Joint Chiefs of Staff, *National Search and Rescue Manual, Volume 1 (Joint Publication 3-50/COMDTINST M16120.5A): National SAR System; Volume 2 (Joint Pub 3-50.1/COMDTINST M16120.6A): Planning Handbook*, 1991.

This is a joint publication which is actually written by the Coast Guard with input from the other military services and the Civil Air Patrol. Copies are held by all Coast Guard units, and it can be downloaded from the Joint Chiefs' web site.

National Fire Academy, *Disaster and Fire Defense Planning*, August 1994.

The National Fire Academy in Emmittsburg, Maryland is operated by FEMA. This is the text for a non-residential course, which also uses Bahme and Kramer's *Fire Officer's Guide to Disaster Control*.

National Wildfire Coordinating Group, *ICS Forms Catalog*.

This is a collection of standard forms for use with the Incident Command System. It is widely distributed in Coast Guard Marine Safety Offices.

US Coast Guard/State of California, *Oil Spill Field Operations Guide*, June 1996.

A pocket guide to the use of the Incident Command System in maritime oil spills. Outlines the duties of each position, operating cycles, map symbols, equipment definitions, etc.

US Coast Guard, COMDTINST M6220.8, *Prevention of Bloodborne Pathogen Transmission*.

This and the accompanying videotape are essential knowledge for Coast Guard field personnel.

FEMA, Federal Response Plan.

This is the basic national plan developed under the Robert T. Stafford Disaster Relief and Assistance Act. It outlines a series of twelve Emergency Support Functions, and shows in general terms how the various Federal agencies will support these. It is being revised.

Centers for Disease Control and Prevention, *Hurricane: A Prevention Guide to Promote Your Personal Health and Safety*.

Centers for Disease Control and Prevention, *Hurricane: A Prevention Guide to Promote Your Personal Health and Safety*.

These two CDC pamphlets provide excellent guidelines on post-emergency cleanup.

National Institute for Occupational Safety and Health, NIOSH Update July 1994: Flood Cleanup Hazards.

Another short but useful guide to cleanup risks. This and other items can be obtained by calling 1-800-35-NIOSH.

Training Courses.

US Coast Guard Institute, *Incident Command System Orientation*.

This brief correspondence course is now required for Coast Guard response personnel. This is Coast Guard Institute Course 0590, edition 1, short title ICSORI. All Auxiliarists are entitled to enroll Coast Guard Institute courses, take the exams, and earn official transcripts and college credit. To order a Coast Guard Institute course, ask your nearest Coast Guard Educational Services Officer for a Form 2100. The exams are all closed book and are administered at a Coast Guard unit on an as-requested basis, similar to the AUXOP courses.

US Coast Guard Institute, *Initial Indoctrination for Port Operations (IIPO)*.

This course gives a good overview of work at Coast Guard Marine Safety Offices. It includes the Marine Environmental Protection pamphlet.

US Coast Guard Institute, *Damage Control and Stability (DCS)*.

A basic introduction to some of the factors that govern ship stability. Useful knowledge when dealing with marine casualties.

Specialized Texts

US Department of Transportation, *1996 North American Emergency Response Guidebook*.

Describes how to interpret hazardous materials placards, and what to do to protect yourself if you encounter a hazardous materials release. Best used in conjunction with a Hazardous Materials Awareness course, this small book is carried by most firefighters and state troopers in the United States and Canada.

FEMA, *Hazardous Materials Exercise Evaluation Methodology – Evaluation Forms*.

Though designed for hazmat incidents, these forms are useful for evaluating all types of emergency operations.

American Red Cross, *Community First Aid and Safety*.

This basic reference, along with more advanced EMT texts, is printed and distributed by Mosby Lifeline of St. Louis.

International Fire Service Training Association, *Fire Service Rescue*.

A teaching guide on technical rescue and extrication operations. Much of this is beyond the scope of Coast Guard operations, but it is sometimes necessary to provide logistical support to rescue teams. Chapter 9, Water and Ice Rescue, provides a shore-based perspective on marine rescue. This book is published for IFSTA by Fire Protection Publications, based at Oklahoma State University.

City of Oklahoma City, *Final Report: Alfred P. Murrah Federal Building Bombing*, Fire Protection Publications, 1996.

The Oklahoma City tragedy provided an opportunity to apply some of the latest approaches to emergency management to a large-scale incident. The report provides good insight into what worked and what didn't.

NOAA/US Coast Guard Auxiliary *Aids to Navigation and Chart Updating Manual*, and US Coast Guard Auxiliary, *National ATON/Chart Updating Study Guide*.

After a flood or hurricane, Auxiliary units will be actively involved in surveying damage to channels, ATONs, and piers.

US Coast Guard, *Proceedings of the Marine Safety Council, Special Issue on Marine Environmental Protection*, March-April 1994.

US Coast Guard, *Coast Guard Magazine*.

Issued to Coast Guard commands and also available by subscription. The following recent articles are noteworthy: *Taking Care of Our Own*, October 96, on critical incident stress in the aftermath of the TWA Flight 800 disaster; *You Want Ice With That?*, May 1997, on cold-water rescue; *Red River Rising*, July 1997, on the integrated Team Coast Guard response to the Red River floods; *Reefer Madness*, November 1997, on a successful unified response to a grounding.

US Naval Academy Operations Analysis Research Group, *Naval Operations Analysis*. Naval Institute Press, 1977.

Heavily technical work based on the same type of detection theory taught in Coast Guard SAR courses. Useful for computing the number of vessels/aircraft required to patrol a safety zone, etc, based on numerical goals and equipment characteristics.

W. Milwee, *Modern Marine Salvage*, Society of Naval Architects and Marine Engineers, 1996.

A detailed discussion on all aspects of ship salvage, including the environmental constraints. Background information for the technically interested. Another good reference on this is *Naval Ships Technical Manual, Chapter 079*.

US Coast Guard/DOT/EPA/DOL, *National Preparedness for Response Exercise Program Guidelines*, and *Training Reference for Oil Spill Response*.

These documents govern the national response to oil spills.

US Coast Guard, *On Scene: The Journal of Coast Guard Search and Rescue*, COMDTPUB P16100.4

Kriemeyer, *The Coast Guardsman's Manual*. Naval Institute Press

A very readable guide to the Coast Guard as a whole, written for people just entering the service. Much of the material will be familiar to Auxiliarists, but it will help in understanding the active-duty structure. The US Naval Institute is a private foundation devoted to professional learning in the sea services.

C. Walbridge and W.A. Sundmacher, *Whitewater Rescue Manual*, McGraw-Hill/Ragged Mountain Press, 1995.

Swiftwater rescue is a highly specialized field of technical rescue that relies on ropes, inflatable rafts, and kayaks to reach victims trapped in streams. Few Auxiliarists are qualified for this work, but those whose AORs include rivers and dams should be aware of it. Velocity in channels increases approximately as the 2/3 power of the water depth, so under flood conditions many normally placid streams become dangerously swift.

National Fire Protection Association, *NFPA Standard 1405: Guide for Land-Based Fire Fighters Who Respond to Marine Vessel Fires*.

Most Coast Guard personnel are not trained or equipped for aggressive firefighting, but may have to work with firefighters. This guide helps to bridge the language gap between mariners and shore-based professionals.

US Army Field Manual 5-125, *Rigging Techniques, Procedures, and Applications*.

A compendium of techniques, to be used only with proper safety precautions and protective equipment.

Useful Internet Sites

The following sites provide useful, up-to-date information on emergency response issues. This listing is not intended as an official endorsement of non-Government pages. The links may change, so a search may be necessary to find the correct current URL.

US Coast Guard, <http://www.dot.gov/dotinfo/uscg/>, and the publications page at <http://www.dot.gov/dotinfo/uscg/hq/g-m/nmc/genpub.htm>.

Federal Emergency Management Agency, <http://www.fema.gov>.

Follow the menus to the Emergency Management Institute, <http://www.fema.gov/emi> and its courses, the Radiological Emergency Preparedness page (useful if you live near a nuclear facility), and the US Fire Administration, <http://www.usfa.fema.gov>.

Civil Air Patrol, <http://www.cap.af.mil>.

US Army Digital Training Library, <http://www.atsc-army.org>.

Links to downloadable manuals and to the various branch schools. The Engineer School and its publications are probably of most interest to civilian emergency planners.

International Fire Service Training Association,
<http://www.fireprograms.okstate.edu/ifsta/ifsta/a1/a1.htm>.
A source of training manuals directed at the fire service.

Society of Naval Architects and Marine Engineers, <http://www.sname.org>.
For those who want to learn more about vessel design, operation and response to damage.

American Red Cross Disaster Services, <http://www.redcross.org/disaster/index.html>.
Information for the public and points of contact for local chapters.

Natural Hazards Center at the University of Colorado, Boulder,
<http://www.colorado.edu/hazards/>.
Publications and research on disasters and their aftermath, focusing on sociological issues.

National Weather Service, <http://www.nws.noaa.gov>.

Florida Co-Op Extension Service, Institute of Food and Agricultural Sciences,
<http://hammock.ifas.ufl.edu/txt/fairs/24108>. Contains the useful *Safety Rules for Rescue Operations*.

US Department of Veterans Affairs, National Center for Post-Traumatic Stress Disorder, <http://www.datmouth.edu/dms/ptsd>.

Emergency Management Gold, <http://www.disasters.org/emgold/Library/Libframe.htm>.
An on-line library of important sources for the emergency management professional.

Blue Ridge Mountain Rescue Group, <http://scs.student.virginia.edu/~brmrg/ems.html>,
A set of links to other SAR and technical rescue pages.

International Association of Fire Chiefs, <http://www.iafc.org>.
A management-level perspective on emergency response, less technical than the IFSTA page.

Appendix B: Sample Memorandum of Understanding for Planning Coordination

Memorandum of Understanding

by and between

U. S. Coast Guard, Marine Safety Office (or Activities) _____

and the

U. S. Coast Guard Auxiliary, _____ District

OBJECTIVES: Through mutual agreement, to increase the role of the Coast Guard Auxiliary,

_____ District - henceforth referred to as the Auxiliary - in assisting the Marine Safety Office (or Activities), _____ - henceforth referred to as the MSO - with its mission of marine safety and environmental protection; to utilize the "Team Coast Guard" approach to develop and support marine safety through public education and awareness ("Prevention Through People"); and to improve the quality and extent of environmental protection work through partnerships between the Auxiliary, its component units and the MSO (or Activities).

BACKGROUND: The Coast Guard Authorization Act of 1996, was signed into law on October 19, 1996. This legislation, Public Law 104-324, includes sections which expand the role of the Coast Guard Auxiliary to encompass all of the civil missions of the Coast Guard. The objective of the Act is to enhance the Coast Guard's ability to accomplish its many important missions - and the Auxiliary is now included as a full partner in its civil and non-defense programs.

DISCUSSION: For many years, Coast Guard Auxiliarists have expressed interest in working with Coast Guard Marine Safety Offices in the field and with various environmental programs such as Sea Partners. The Coast Guard Auxiliary launched its new Department of Marine Safety and Environmental Protection on January 1, 1997 to respond to these interests and to support the needs of the Coast Guard's national marine safety and environmental protection program.

The Auxiliary may provide vital support for numerous marine safety and environmental missions, including, but not limited to: communications, transportation, safety and security patrols, remote area inspections, public affairs, local planning, MSIS support, administration, environmental education, vessel factory visits, licensing examination administration and oil spill reconnaissance and sampling. This Memorandum of Understanding outlines the full scope of authorized activities and provides a vehicle for Auxiliary training and involvement.

The Assistant Commandant for Marine Safety and Environmental Protection has encouraged "all "M" units to make connections with the local Auxiliary units, to include Auxiliarists at the appropriate level in staff meetings and QMB's, and to explore increased opportunities for employing Auxiliarists as part of Team Coast Guard in supporting unit missions" (Message, December 1996).

ACTION PLAN: In accordance with the Auxiliary Business Description and Direction, (ABD&D), the Auxiliary will expand its activities and develop performance indicators in the following functional areas, as requested by the MSO (or Activities):

Recreational Boating Safety

- 1) Provide active participation in and support for the Sea Partners Program

Marine Environmental Protection

- 1) Provide for the integration of environmental protection materials into public education courses, Courtesy Marine Examinations, (CMEs), Marine Dealer Visitations, (MDVs), etc.
- 2) Provide surveillance and reporting for Marine Environmental Protection (MEP) missions.
- 3) Support emergency pollution response teams.
- 4) Provide communications networks.
- 5) Provide public affairs platforms.
- 6) Provide logistic and administrative support for waterfront facilities compliance programs.
- 7) Provide support for remote area vessel inspections.
- 8) Provide support for pollution site aircraft over-flights.
- 9) Provide administrative support to Coast Guard units.
- 10) Provide support for the National Debris Monitoring Program.
- 11) Provide support for the National Pollution Funds Center by identifying areas where boaters and marina operators have sustained damage from oily discharges and assist with notice of claim processes.
- 12) Provide support for National Preparedness for Response Exercise Program (PREP).

Marine Inspections

- 1) Conduct commercial fishing vessel (CFV) examinations.
- 2) Conduct uninspected passenger vessel (UPV) examinations.
- 3) Conduct/assist factory inspections and visits.
- 4) Provide support for Coast Guard accident investigations and analysis.
- 5) Provide platforms for Coast Guard inspectors.
- 6) Provide administrative support for inspectors.

- 7) Conduct/assist marine inspections in remote area; provide surveillance and response platforms and personnel for Coast Guard operations.
- 8) Conduct/assist in barge inspections..
- 9) Provide identification of locations of abandoned barges and other vessels.
- 10) Assist the Coast Guard in container inspections.

Marine Licensing

- 1) Assist the Regional Examination Centers by performing audits of Coast Guard approved maritime courses.
- 2) Administer Coast Guard license and merchant marine document examinations at remote locations in support of Regional Examination Centers.
- 3) Provide administrative support for licensing operations.

Port Safety and Security

- 1) Provide platforms for surveillance & reporting, harbor patrols, safety & security zone enforcement, and port state boardings.
- 2) Perform harbor and anchorage patrols.
- 3) Perform port facility verification visits.
- 4) Augment Coast Guard crews on port safety and security missions.
- 5) Augment Vessel Traffic Service operations.
- 6) Augment communications watch bills.
- 7) Perform vessel verification visits.
- 8) Perform remote area response.
- 9) Provide primary aircraft for over flights.
- 10) Provide administrative support.

Defense/Non-Defense Contingency Preparedness

- 1) Participate in the preparation and update of contingency plans.
- 2) Support Coast Guard units in training exercises for contingency preparedness.

Enforcement of Laws and Treaties

- 1) Provide operational and administrative support to Coast Guard activities in connection with the National Marine Sanctuaries (NMS) Program

Field Support: Auxiliary augmentation and assistance with field operations supports the Team Coast Guard concept and will significantly enhance the achievement of joint program objectives. The Auxiliary may act as a significant force multiplier in support of

the operational and administrative needs of the MSO (or Activities) field unit. The Auxiliary may add to response planning by participating in local and regional contingency and emergency preparedness planning. The Auxiliary may be a key administrative and operational force-multiplier during surge activities and major events such as oil spills, natural disasters and significant catastrophes that effect public health and safety and the protection of property and the marine environment.

The Auxiliary District Staff Officer-MS, appointed by the District Commodore, will serve as the focal point of contact for development of the marine safety and environmental protection program during the course of the year. Auxiliary Liaison Officers, appointed in accordance with the approved MS field staffing plan, will establish the formal working relationship with each of the above-named support areas and will plan and schedule support personnel & facilities, arrange for training programs, and report the results of Auxiliary assistance to the MSO (or Activities) to the District Staff Officer-MS.

EDUCATION: Education plays an important role in the implementation of a balanced approach to effectively support the marine safety and environmental protection program of the MSO (or Activities). By integrating the marine safety and environmental protection initiative into existing Auxiliary publications, education programs and member training courses, the Auxiliary will have a positive impact on a large number of recreational boaters and take a leading role in preventing loss of life, personal injury, damage to property, and protection for the marine environment.

To the maximum extent possible, Auxiliarists will be integrated into training and qualifications programs at the MSO (or Activities) to insure that they are fully prepared for the tasks to which they may be assigned.

PERSONNEL RESOURCE DEVELOPMENT: The importance of sound personnel and fiscal management can not be over-emphasized. The District will identify opportunities for Auxiliary assistance which will enhance the effectiveness of the overall operations of the MSO (or Activities) program. The District will then work with the Director of Auxiliary to train and qualify a sufficient number of Auxiliarists to assist the active duty/full time Coast Guard force.

FUNDING: The Auxiliary will provide assistance and support to the MSO (or Activities) with no charge for Auxiliary personnel or equipment. However, the MSO (or Activities) agrees to provide official orders which will allow for cost-reimbursement to Auxiliarists for all related expenses in the performance of their duties and any damages to Auxiliary vessels or equipment in the performance of officially-assigned operations.

MEASUREMENT OF SUCCESS: In order to determine the effectiveness of Auxiliary efforts in meeting MSO (or Activities) goals for improving the marine safety and environmental protection, the District will implement reporting and effectiveness measurement strategies. These measurements will indicate whether or not intended results are occurring and will adjust program strategies. The District can contribute to

effectiveness measurement efforts by documenting the parameters set by the MSO (or Activities) as measures of success and recording the results of Auxiliary efforts within the District to meet these parameters.

Specific reporting categories have been developed within the Auxiliary Management Information System (AUXMIS II) to provide for identification of member efforts in the marine safety and environmental protection program. In addition, local measures of effectiveness are encouraged that conform to the needs and programs of each MSO (or Activity). Auxiliary liaison officers are encouraged to work with counterpart officers at each MSO or Activity to determine “customer needs” and to develop program initiatives, staffing requirements and measures of effectiveness.

AGREEMENT:

The Coast Guard Auxiliary, Department of Marine Safety and Environmental Protection, through the Department Chief (DC-M or designee), will serve as technical advisor and national staff liaison in connection with this agreement and will assist the District with program development and training for its own support and assistance to the MSO (or Activity).

The District Commodore, the MSO (or Activities) Commanding Officer, and the Department Chief of the Auxiliary Department of Marine Safety and Environmental Protection hereby establish this Memorandum of Understanding (MOU). In so doing, the parties hereto agree to formally establish the Coast Guard Auxiliary's involvement in the Coast Guard, MSO (or Activities) _____ Marine Safety and Environmental Protection program.

The MOU establishes a dynamic framework by which both organizations identify objectives, priorities and responsibilities for achieving mutual objectives. All parties will treat the MOU as a living document, reviewing and updating it to reflect ever-changing priorities and initiatives. The MOU contains binding elements, joining program resources and in actions to improve marine safety and environmental protection for the nation's waterways.

Auxiliary Liaison Officers and corresponding MSO (or Activities) Staff Officers will jointly identify processes and priorities to implement the spirit and content of the MOU. The District will maintain an up-to-date copy of any amendments to the MOU for the National Department Chief, (DC-M), or his designee's reference and review. Auxiliary Liaison Officers will keep appropriate Auxiliary and Coast Guard MSO (or Activities) Officers advised of progress toward goals established herein or impediments discovered to same.

This Memorandum of Understanding will remain in effect indefinitely. It will be reviewed every two years and continue unless canceled in writing by either party after 30 days notice.

By:

By:

By:

Department Chief, (DC-M)

Commanding Officer, MSO

District Commodore

Date: _____

Date: _____

Date: _____