

U.S. Department of  
Homeland Security



United States  
Coast Guard

Commanding Officer  
Pacific Area Training Team

Coast Guard Island, Bldg 18  
Alameda, CA 94501-5100  
Staff Symbol: CO  
Phone: (510) 437-3292  
Fax:  
Email:

1000  
12 Oct 2004

**MEMORANDUM**

From: [REDACTED] TRATEAMPAC  
[REDACTED]

Reply to  
Attn of:

LCDR [REDACTED]

To: PACAREA (o)  
Thru: PACAREA (pofm)

Subj: MSST 91111 READY FOR OPERATIONS (RFO) INSPECTION

Ref: (a) Boat Operations and Training Manual (BOAT), COMDTINST M16114.32  
(b) Coast Guard Navigational Standards, COMDTINST M3530.2A  
(c) Defender Class Operator's Handbook, COMDTINST M16114.37A

1. Pacific Area Training Team (TRATEAM) conducted a Ready for Operations inspection on MSST 91111 from 4-6 October 2004. The RFO focused on the foundational requirements for any Boat Forces evolution, Maritime Law Enforcement evolution, and weapons/ordnance utilization. The checklists used as the basis for the RFO evaluation were derived from the instructions referenced above and other applicable instructions. The RFO Team included LT [REDACTED] GMC [REDACTED] BMI [REDACTED], and BMI [REDACTED]. The results of this inspection are documented below.

2. Geographic limitation/issues

a. The unit experiences a 30-foot tidal range in the harbor, which restricts the unit's ability to train boat crews to 4-5 hours a day. There are no safe moorings at this time that would permit the unit to leave the boats in the water overnight. They presently have one small floating dock at the end of a commercial pier, however, there are plans to build a dock. It should be noted that the current reaches 4-5 knots at times in this area.

b. The last quarter mile of the access road leading to the boat ramp is dirt with numerous potholes and ruts.

c. The boat ramp docks are being pulled out of the water on 15 October, leaving the unit with no way to launch boats for training.

3. Boat Crews (certification/currency maintenance)

a. MSST 91111's Boat Crew Examination Board (BCEB) is established. The inspection team was unable to determine if the BCEB is operating correctly due to the fact that the unit has not certified anyone as of the date of the inspection.

b. The unit was in the process of creating new training records for all individuals. During the inspection it was noted that the new training records were missing PQS (Boat Crew and L/E) and most documentation. The command is addressing this issue by retrieving information from prior training records and placing it in the newly created records.

Subj: MSST 91111 READY FOR OPERATIONS (RFO)  
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c. As of the inspection date the unit had six interim coxswains and 4 interim boat crewmembers. Many of the interim qualified personnel have not completed task specific PQS items for the RB-S and SAR fundamentals. Due to the uniqueness of this unit they intend to finish the rest of the required training in the next few months but will be unable to complete check-rides for final certification due to the inability to get the boats underway. The unit conducted check-rides on all personnel prior to granting interim qualification.

d. Drills were conducted on six boat crews during the RFO. One coxswain received an unsatisfactory grade on a navigation drill due to overall lack of knowledge about the electronic navigation equipment. All other navigation drills and MOB drills were satisfactory.

e. The unit has made every effort to train their personnel including taking trips to a lake to get people more underway time in a more controlled environment.

#### 4. Law Enforcement/ Force Protection

a. The unit is in the process of completing certification on all law enforcement/force protection personnel. The unit is in the midst of two weeks of L/E training with TRATEAM, which will greatly assist them in qualifying their personnel.

b. The unit needs to designate in writing the L/E PQS instructors and members of the L/E Qualification Board.

c. As mentioned above, documentation of L/E training, qualification, and certification is being accomplished by referencing prior training records.

d. While unit personnel have the required equipment issued to them to conduct their law enforcement mission, the equipment that was ordered for them is of substandard quality and unsafe. The holsters issued are single retention and bulky and have already started failing along with the magazine holders. The body armor is also of low quality. Unit received the same flashlights as MSST 91109 and is in the process of getting replacements.

#### 5. Rescue and Survival Equipment & Personal Protection Equipment

a. All equipment is being issued correctly on AF Form 538.

b. Maintenance logs for all equipment were up to date and maintained correctly.

c. Unit is borrowing PEBIRBs from cutters until they receive their shipment.

d. No boat pyrotechnics kits were onboard initially; however, two kits were made up and ready. The requirement was removed from the newest outfit list. The RFO team called G-OCS to verify if in fact this is a change or if it was overlooked when rewriting the outfit list; all other standard boats have this requirement. TRATEAM is awaiting a reply from G-OCS.

#### 6. Weapons and Ordnance

a. All documentation is being maintained correctly to include PQS, weapons reports, authorization letters, logs and training.

b. The only remaining item on the checklist is the M-240 training, which will be conducted at Camp LeJeune.

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- c. The unit was issued spare parts for the M-60 while being issued M-240s.
  - d. Mounts need to be stamped and assigned to each boat.
7. Navigation Standards/Charts
- a. The command has written and published a unit navigational standards instruction that meets all requirements IAW ref (b).

b. 

c. Coxswains have AOR charts with permanent track lines and courses drawn out.

8. Boats/Trucks/Trailers

- a. The RB-S boats are fully operational with only a few minor pieces of equipment missing, which are on order.

- b. Upon inspection of the 25491, the RFO team noted that the collar was compressed around one of the mounting blocks on the port side near the aft part of the cabin. Also, the bolt head showed wear and rust and the paint had been removed. All of this appears to have resulted from over-torquing the bolt. Upon further inspection it was apparent that the bolt was bent and at an angle. MSST personnel had previously contacted the PRO at SAFE, who had advised monitoring the situation. The MSST contacted the PRO again during the inspection expressing concern about the compressed collar and disfigured bolt. The PRO and SAFE agreed to have the MSST remove the bolt to inspect for any internal damage. Upon removal, it was noted that the bolt was bent in two places forming a letter "Z" (encl 1). Removing the bolt in this condition very likely resulted in damage to the laminate that runs through the hole in the collar itself thus creating an unprotected area through which water can enter the collar and saturate the foam. The MSST intended to remove the collar for further inspection.

- c. Need to ensure the break-away lever actuator safety chain is attached to the truck using a 1/4" and 1/2" shackle IAW ref (c) trailering section.

- d. After participating in the trailering of the vessels, the RFO team is concerned over the long-term effects that the rough road mentioned above has on the trailer and hitch. The drivers were extremely careful but the constant jarring on the hitch and bouncing of the trailer will lead to excessive wear of the trailer system. A more robust PMS system may be warranted to mitigate the possibility of premature failure, which could cause a mishap.

- e. The RFO team discussed with the command the possibility of acquiring pintle-eye hitches and related how other MSSTs have already converted to this system.

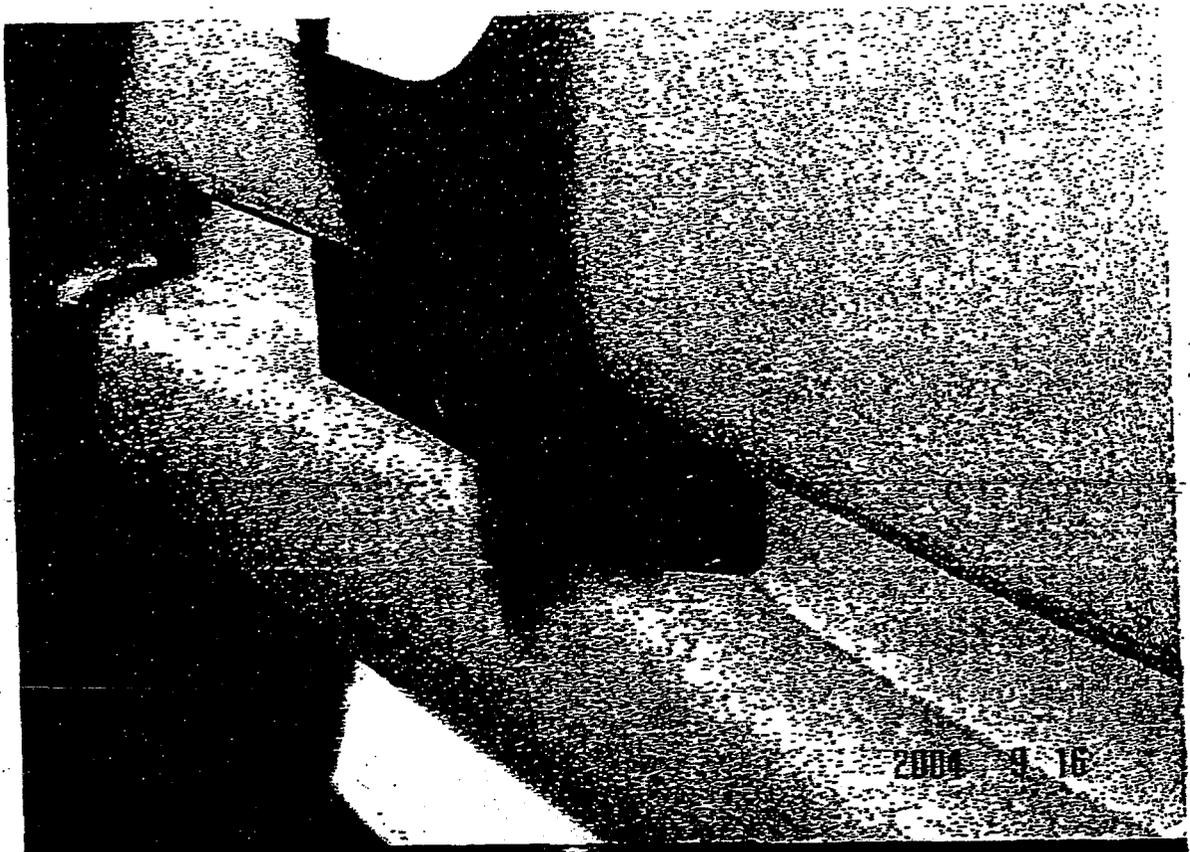
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Encl: (1) 25491 collar and bolt

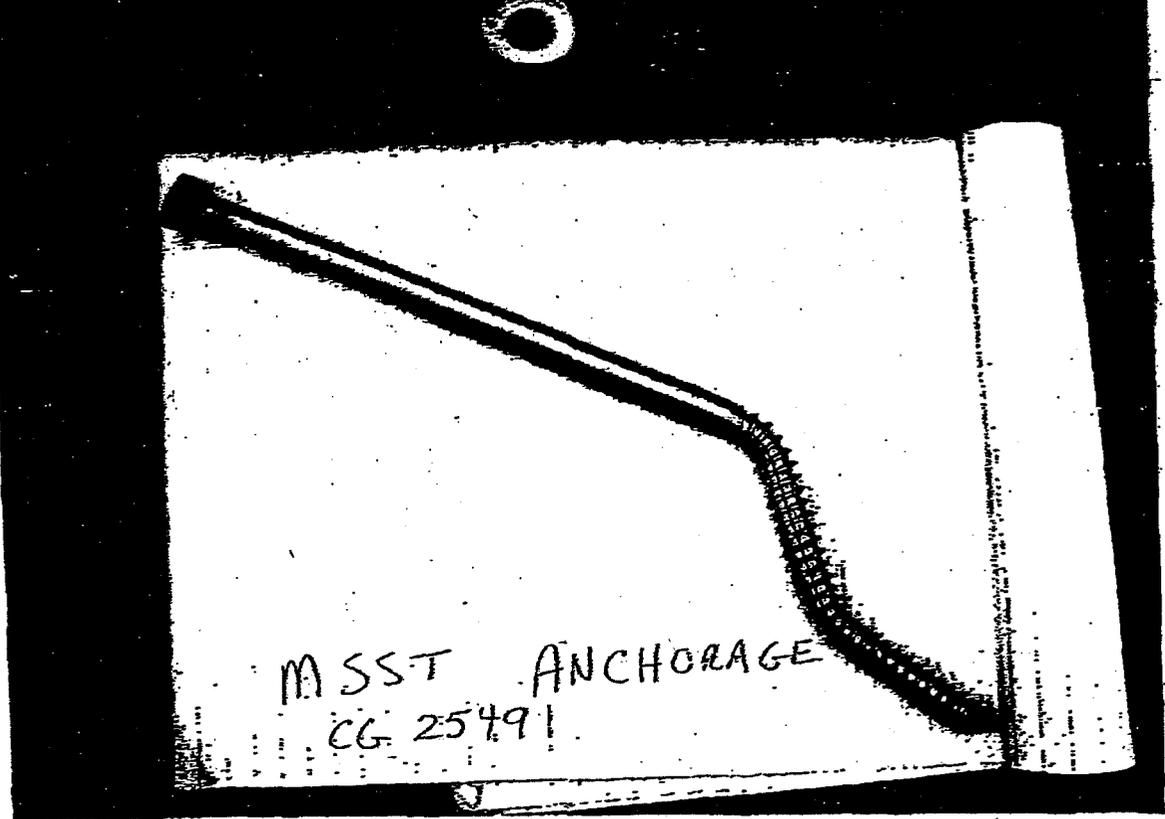
Copy: MSST 91111

This information is being withheld under 5 U.S.C. Section 552 (b)(7)

This information is being withheld under 5 U.S.C. Section 552 (b)(9)



2000 9 16



M S S T ANCHORAGE  
CG 25491

U.S. Department of  
Homeland Security

United States  
Coast Guard



Commander  
Coast Guard PACAREA

Building 51-5  
Coast Guard Island  
Alameda, CA 94501-5100  
Staff Symbol: (Pofm)  
Phone: (510) 437-3833

1000

6 Dec 2004

## MEMORANDUM

From: PACAREA (Pofm)

To: PACAREA (o)

Subj: MSST 9111 READY FOR OPERATIONS (RFO) INSPECTION FOLLOW-UP

Ref: (a) CG TRATEAM PAC Memorandum dated 12 October 2004

1. MSST 91111 gained valuable feedback and operational knowledge from PACAREA Training Team's visit. Anchorage Commanding Officer extends his appreciation from himself and the crew.

2. Geographic limitation/issues

a. New floating pier arrived and to be installed upon spring melt. Dock will be shared by multiple Government Agencies.

b. New pier will alleviate majority of trips to local boat launch.

c. Boats are out/ 2 will re-locate to Valdez for winter training by end of Nov.

3. Boat Crews (certification/currency/maintenance)

a. Boat Crew Examination Board (BCEB) designated in writing. Boards have begun for crew.

b. Information still being gathered.

c. Unit has completed large portion of PQS since visit; SAR Fundamental, TCT, Dry-side Navigation. Will complete Pyro training 17 Nov 04.

d. Noted

e. In addition to Valdez and inland waters, 10 mbrs will deploy to Juneau and 10 to Ketchikan for small boat training 29 Nov - 3 Dec.

4. Law Enforcement/ Force Protection

a. NTR.

b. Completed.

c. NTR.

d. NTR.

This information is being withheld under 5 U.S.C. Section 552 (b)(5)

This information is being withheld under 5 U.S.C. Section 552(b) (6) and (7)(C)

ENCLOSURE /

5. Rescue and Survival Equipment & Personal Protection Equipment

- a. NTR.
- b. NTR.
- c. Unit received PEP/IRB's and returned loaners.
- d. Pyrotechnics received and boats outfitted.

6. Weapons and Ordnance

- a. NTR.
- b. NTR.
- c. NTR.
- d. Will be done with spring melt when boats/supt/tools available in same location.

7. Navigation Standards/Charts

- a. NTR.
- b. Noted.
- c. NTR.

8. Boats/Trucks/Trailers

- a. All parts ordered or installed.
- b. Unit corrected with new bolt and spray foam as per PRO and SAFE guidance.
- c. Corrected.
- d. NTR.
- e. Pintle-Eye tow hitches ordered.

9. LCDR Bosau will pass updated crew qualifications in the first week of December to allow any gaps to be filled in time for SMTC training.

#

Copy: MSST 91111  
CG TRATEAM PAC

U.S. Department of  
Homeland Security

United States  
Coast Guard



Commanding Officer  
United States Coast Guard  
Special Missions Training Center (SMTC)

PSG Box 20066  
Camp Lejeune, NC 28542  
Phone: (910) 450-7036  
Fax: (910) 450-7040

1500  
25 Feb 2005

## MEMORANDUM

From: **[REDACTED]**  
E.W. Alexander, CAPT  
CG SMTC

Reply to: SMTC  
Attn of: LT **[REDACTED]**  
910-450-7926

To: Commanding Officer  
MSST 91111

Subj: MARITIME SAFETY AND SECURITY TEAM (MSST) INITIAL STAND-UP  
TRAINING (IST) AFTER ACTION REPORT

1. The IST for MSST 91111 was conducted from 10 January – 03 February 2005. In attendance were 63 personnel from MSST 91111. Enclosure (1) is a training matrix with a breakdown of training provided.
2. Ten command/planning staff, eleven coxswain, twenty-nine boat crew, and thirteen MLE/FP personnel arrived onboard with all of the prerequisite training completed. One crewman and one MLE/FP student were released on six days emergency leave; one crewman was removed from the course due to a dislocated finger suffered during training; one MLE/FP student missed the final exercise due to emergency leave. All training objectives prior to the final exercise were completed with the exception of WMD-related training and practical application. Neither MSST 91111 nor SMTC had the necessary WMD equipment.
3. The final exercise was conducted from 30 January – 3 February 2005 in the port of Charleston, SC. All Final Exercise objectives were completed with the exception of WMD/CBRN-D due to non-availability of equipment. As detailed in enclosure (2), MSST 91111 successfully completed 97 of 111 final exercise scenarios. Well done!
4. By its nature, the IST provides only introductory training. It is strongly recommended that the unit pursue an aggressive unit training program to further develop individual and team skills in the areas of law enforcement, command and control, and integrated boat tactics.
5. It was a pleasure to work with the highly motivated members of MSST 91111. SMTC is currently developing external evaluations of IST which, when completed, will be sent to the unit. In the interim, any comments or specific recommendations from the command are welcomed.

#

Enclosure: (1) MSST 91111 IST Training Matrix  
(2) MSST 91111 IST Final Exercise Results

Copy: CG PACAREA  
COMDT (G-OPC)  
COMDT (G-WTT)

This information is being withheld under 5 U.S.C. Section 552(b)(6) and (7)(c)

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**Pages withheld in  
their entirety  
pursuant to FOIA  
exemption  
5 USC 552(b) 2, 7(e)**

(Law Enforcement Mission  
sensitive materials that reveal  
procedures and techniques)

## MSST ANCHORAGE READY FOR OPERATIONS SUMMARY

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### TRAINING ADMINISTRATION

1. Section I: General Training Administration
    - a. Training Certification Documentation: Training Board Membership by name or position, no list of PQS qualifiers by subject matter and name or position, no TMT data entry, supervision and approval responsibilities.
    - b. Formal School Training: Unit did not know if there were formal schools training requirements for their command.
  2. Training Team Visits: Not applicable.
  3. Section II: Training Record Maintenance
    - a. Inspected a total of 16 records. Several records were missing qualification letters, currency maintenance and PQS completion documentation. Specific discrepancies available SEPCOR.
    - b. Detachment Two's Training Petty Officer had difficulty finding required training documentation and did not appear familiar with the unit's overall training records/program.
    - c. Unit had recently transitioned through several Training Officers and the program showed a lack of attention to detail.
  4. Recommendation: Unit should clearly identify a permanent Training Officer and Training Petty Officers.
- 

### TRAINING AND ADMINISTRATION FOR LAW ENFORCEMENT

1. Unit Level Instructions
  - a. PQS instructors were not designated in writing.
  - b. Unit has no Advance Law Enforcement (ALEC) designated BO's.
  - c. Ordnance: last inspection 21 July 05
2. Equipment
  - a. Headgear: Unit uses unit style ball caps not ball caps with U.S. Coast Guard on them.
  - b. Boarding Kits: [REDACTED]
  - c. Recommended equipment: [REDACTED]

3. Personal Protective Equipment:
  - a. No personal gas detector calibration log.
  - b. Calibration log for toxic gas monitor
4. Alco Sensor: Not Applicable
5. Ion Scan:
  - a. No certified trainer on board
  - b. No PMS log

### RESCUE AND SURVIVAL

Petty Officers [REDACTED] (Det 1) and Petty Officer [REDACTED] (Det 2) are the units assigned RSS Petty Officers. Both Petty Officer understand the program and were able to answer all questions.

- A. Currently the SKs are in possession of the unit's personal clothing and equipment log. The log is in poor condition with pages falling out.
- B. No annual inventory of RSS equipment is being conducted.
- C. Weekly pyro inspection not being conducted LAW ALCOAST 535/02.
- D. Seven random Petty Officers were picked and their RSS PPE was inspected. One P.O. had no socks in his kit. One PO did not have his issued gloves. One P.O. had a cracked boat crew helmet. None of the inspected boat crew helmets has (SOLAS) retro tape.
- E. 12 MK 124 flares are required on boats, but boat kits only have 6.

### VESSEL MATERIAL INSPECTION SUMMARY

5 of the 6 boats assigned to the unit were inspected. The trailers were also inspected but are not permanently marked with a vessel number on the main beam. This resulted in no permanent match of boat to trailer.

VESSEL	DISABLING	RESTRICTIVE	MAJOR	MINOR
25491	2	0	10	2
25492	1	2	13	1
25493	0	1	7	3
25500	0	0	6	4
25502	0	0	10	9

On the 25491 the disabling discrepancies reflect the main fuel tank vent hose loose inside the port aft compartment and the latches on the radar pod were loose to the point that they could release in the latched position.

On the 25492 the disabling discrepancies reflect a broken fuel line in the stbd aft compartment. Restrictive discrepancies reflect a broken fuel pump bracket in the port aft compartment and the exhaust hose from the heater was loose before exiting the cockpit.

General MAJOR Discrepancies (\* denotes corrected during the assessment):

- Loose/missing fittings, nuts, bolts, brackets, etc.
- Fuel vent hose missing hose clamp\*
- broken fuel pump bracket in port aft compartment
- Heater exhaust hose loose\*

The trailers were found to be in good repair with the exception of one annotated as 25493 which was missing the brake control handle on the haul in winch.

### UNDERWAY DRILL SUMMARY

A total of eight (8) crews were evaluated on standard u/w drills for Day Navigation and Piloting, Drifting Search Pattern and Man Overboard Recovery for a total of 24 drills.

The following is a summary of drill results, crews are identified by name of coxswain only.

COXSWAIN	NAV	SEARCH	MOB
[REDACTED]	SAT	SAT	SAT
	SAT	SAT	SAT
	UNSAT	UNSAT	UNSAT
	SAT	SAT	SAT
	UNSAT	SAT	SAT

Notes:

Cox'n [REDACTED]

- During the navigation drill failed to utilize the radar.
- During the MOB Cox'n FAILED TO USE THE ENGINE KILL LANYARD.
- During the search patterns the execution in both time and direction failed to the point no reasonable accuracy could be established.

Cox'n [REDACTED]

- Failed to properly plot his position and courses and exceeded his allowable time for plotting.

From: BMCS [REDACTED]

To: LCDR [REDACTED]

Subj: MSST ANCHORAGE READY FOR OPERATIONS SUMMARY

1. From May 23 to May 24, I was part of an RFO team that included LCDR [REDACTED] (Team Leader) CWO [REDACTED], BMC [REDACTED], BM1 [REDACTED] and BM1 [REDACTED]
2. BM1 [REDACTED] and I conducted the following inspections; Training Records, MLE Administration & Equipment, Rescue and Survival Equipment and administered a general knowledge boat crew test.
3. BMC [REDACTED] and BM1 [REDACTED] conducted 5 boat inspections and conducted underway drills with 8 boat crews.
4. CWO [REDACTED] conducted the boat trailer and Engineering Department inspections.

#### TRAINING ADMINISTRATION

##### Section I: General Training Administration

###### A. Training Certification Documentation

For both Detachment One and Two no Training Board Membership by name or position, no list of PQS qualifiers by subject matter and name or position, no TMT data entry, supervision and approval responsibilities.

###### B. Formal School Training

Unit did not know if there were formal schools training requirements for their command.

###### C. Training Team Visits

Not applicable. Unit has asked that they be added to the Pacific Area Training Teams, Station Training Team's schedule.

##### Section II: Training Administration

A - D Not applicable.

###### E. Training Record Maintenance

1. The training records inspection was conducted in two parts, Detachment One and Detachment Two. BM1 [REDACTED] conducted Detachment One's records inspection. BMCS [REDACTED] conducted Detachment Two's records inspection.

Detachment One: In 3 hours BM1 [REDACTED] reviewed 16 Training Records.

Inside Cover: no Indoctrination Sheets

Section 1: BM2 [REDACTED] did not have a crewman letter or OC qualification letter. BM1 [REDACTED] has no OC qualification letter. BMC [REDACTED] has not passed the P.T. test since May 2003.

Section 2: P.O. [REDACTED] does not have any course completion letters or records of formal school completion. BM1 [REDACTED] does not have a current NAVRUL's / DWO test on file.

Section 3: Neither P.O. [REDACTED] or [REDACTED] have any correspondence related to advancement on file.

Section 4: No documentation of General Military Training

Section 5: Miscellaneous Documentation, nothing noted.

Detachment Two: In 3 hours BMCS [REDACTED] reviewed 6 Training Records.

Section 1: BM3 [REDACTED] has no OC qualification letter, no small arms qualification score in TMT or 3029, no weapons PQS documentation, no BO/BTM re-certification task 1-02 Weapons Quals documented. BM1 [REDACTED] has no small arms qualification score in TMT or 3029, M16 and M870 PQS expired. BM1 [REDACTED] has no OC qualification letter, Weapons PQS expired. BM2 [REDACTED] has no weapons PQS on file, no BO/BTM re-certification task 1-02 Weapons Quals documented.

Section 2:

Section 3: BM1 [REDACTED] practical pistol course expired. BM1 [REDACTED] practical pistol course has expired. BM2 [REDACTED] practical pistol course expired.

Section 4: BM1 [REDACTED] has no OOD / CDO letter on file

Section 5: BM3 Eberl has no AN/PVS-14 PQS on file. BM1 [REDACTED] has no AN/PVS-14 PQS on file. BM1 [REDACTED] has no AN/PVS-14 PQS on file.

Summary of Detachment Two's Training Record inspection. Six of Detachment Two's training records were reviewed from 0900 to 1200 on Monday the 23<sup>rd</sup>. The Petty Officer assigned as Detachment Two's Training Petty Officer was not familiar with the units training records/program. While reviewing the Training Records when asked to see required documentation. The P.O. would start at the first page of a training record and

flip from the first page to the last looking for the document. After reviewing the complete Training Record he would walk away as if to look for the document in another area. He would return shortly after leaving without the needed document and start the process again with the next Training Record. He did not know where to look for documentation (AOPS, TMT, Training Folder) nor did he know who to ask for help.

## TRAINING AND ADMINISTRATION FOR LAW ENFORCEMENT

### Unit Level Instructions

1. PQS instructors were not designated in writing.
2. Unit has no Advance Law Enforcement (ALEC) designated BO's

### Section 1: All Satisfactory

Training Program: All Satisfactory

Ordinance: last inspection 21 July 05

### Equipment:

- a. Headgear: Unit uses unit style ball caps not ball caps with U.S. Coast Guard on them.
- b. Boarding Kits: [REDACTED]
- c. Recommended equipment: [REDACTED]

### Personal Protective Equipment:

1. No personal gas detector calibration log.
2. Calibration log for toxic gas monitor

Alco Sensor: Not Applicable

### Ion Scan:

- a. No certified trainer
- b. No PMS log

## RESCUE AND SURVIVAL

Petty Officers [REDACTED] (Det 1) and Petty Officer [REDACTED] (Det 2) are the units assigned RSS Petty Officers. Both Petty Officer understand the program and were able to answer all questions.

1. Currently the SK's are in possession of the unit's personal clothing and equipment log. The log is in poor condition with pages falling out.
2. No annual inventory of RSS equipment is being conducted.
3. Weekly pyro inspection not being conducted IAW ALCOAST 535/02.
4. Seven random Petty Officers were picked and their RSS PPE was inspected. One P.O. had no socks in his kit. One P.O. did not have his issued gloves. One P.O. had a cracked boat crew helmet. None of the inspected boat crew helmets has (SOLAS) retro tape.
5. 12 MK 124 flares are required on boats, but boat kits only have 6.

#### BOAT CREW GENERAL KNOWLEDGE TEST

A 25 question test was administered to the crew. It was found that the test was of poor quality and 5 of the questions were not applicable to the unit we were visiting.

#### VESSEL MATERIAL INSPECTION SUMMARY

5 of the 6 boats assigned to the unit were inspected. The trailers were also inspected but are not permanently marked with a vessel number on the main beam. This resulted in no permanent match of boat to trailer.

VESSEL	DISABLING	RESTRICTIVE	MAJOR	MINOR
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The trailers were found to be in good repair with the exception of one annotated as 25493 which was missing the brake control handle on the haul in winch.

### UNDERWAY DRILL SUMMARY

We conducted underway drills for 8 crews. Each crew was evaluated on standard u/w drills for Day Navigation and Piloting, Drifting Search Pattern and Man Overboard Recovery for a total of 24 drills.

The following is a summary of drill results, crews are identified by name of coxswain only.

COX'N	NAV	SEARCH	MOB
[REDACTED]	SAT	SAT	SAT
[REDACTED]	SAT	SAT	SAT
[REDACTED]	UNSAT	UNSAT	UNSAT
[REDACTED]	SAT	SAT	SAT
[REDACTED]	SAT	SAT	SAT
[REDACTED]	SAT	SAT	SAT
[REDACTED]	SAT	SAT	SAT
[REDACTED]	UNSAT	SAT	SAT

### EVALUATOR OBSERVATIONS

Cox'n failures noted by BMC [REDACTED] were as follows:

Cox'n [REDACTED] During the navigation drill failed to utilize the radar.

During the MOB Cox'n FAILED TO USE THE ENGINE KILL LANYARD.

During the search patterns the execution in both time and direction failed to the point no reasonable accuracy could be established.

Cox'n [REDACTED] failed to properly plot his position and courses and exceeded his allowable time for plotting.

This information is being withheld under 5 U.S.C. Section 552(b)(7)(C)

6 and  
(7)(C)

ATTN: COR [REDACTED] - LAST PAGE NOTED



# United States Coast Guard

Maintenance & Logistics Command Pacific  
Compliance Assist Team

## Compliance Assist Team Report

### 1. ADMINISTRATIVE DATA:

Unit: CG Maritime Safety and Security Team Anchorage 91111

OPFAC: 21-34270

Commanding Officer: LCDR [REDACTED]  
Executive Officer: LT [REDACTED]

Complement: 73

Date of Visit: 13 December 2004

MLCPAC (ndli) Compliance Assist Team Members:

CWO3 [REDACTED]  
CWO3 [REDACTED]  
SKCS [REDACTED]

MLCPAC (ndli) Phone Numbers: Voice: (510) 437-3562  
Fax: (510) 437-5817

E-mail Address: [REDACTED]@D11.USCG.Mil

## 2. REPORT OF GENERAL FINDINGS:

### Areas Requiring Additional Attention:

Substance Abuse Prevention Program – A member with a documented alcohol incident has not received the required special evaluation nor has the necessary CG-5588 been completed.

Direct Access – Several personnel have not input their email address into Direct Access as is required.

Minor discrepancies are noted in the report by the (-) symbol.

## 3. TEAM LEADER'S COMMENTS:

Since your evaluation in each area was satisfactory or better and you are compliant in all areas, you are not required to submit follow on reports. It is my expectation that continuous improvement will always be your goal, and that you will promptly address the minor deficiencies noted in this report. If this report raises any questions or comments, please contact me. If you need any assistance in taking corrective action, please feel free to contact any member of the Compliance Assist Team.

[REDACTED]  
LCDR, USCG  
Team Leader

21 Dec 04  
Date

Encl: (1) Report of Specific Findings

Original: CG MSST ANCHORAGE 91111

Email Copy: COMDT (CG-842) [REDACTED]@comdt.uscg.mil  
COMDT (CG-842) [REDACTED]@comdt.uscg.mil  
COMDT (CG-842) [REDACTED]@comdt.uscg.mil  
COMDT (CG-842) [REDACTED]@comdt.uscg.mil  
COMDT (GC-611) [REDACTED]@comdt.uscg.mil  
COMDT (G-HI) [REDACTED]@comdt.uscg.mil  
COMDT (G-SLP) [REDACTED]@comdt.uscg.mil  
COMDT (G-WPM-1) [REDACTED]@comdt.uscg.mil  
COMDT (G-WPX) [REDACTED]@comdt.uscg.mil  
HRSIC (CGHRMS) [REDACTED]@hrsic.uscg.mil

ENCLOSURE (1):

**I. ADMINISTRATIVE & PERSONNEL PROGRAMS**

**A. COMMAND ADMINISTRATION**

- (I.A.N.1) The unit's Order of Succession to Command is not published in writing. [Ref: CG Regulations, COMDTINST M5000.3 (series), Chapter 5-2-7-B and ALCOAST 021/00, COMDTNOTE 5300, ADMIN WHETSTONES I, Paragraph 2.A] (Unable to locate)
- + (I.A.P.3) Unit personnel collateral duties are assigned in writing.
- + (I.A.P.4) Unit maintains a properly prepared and promulgated Organization and Regulations Manual.
- + (I.A.P.5) Commanding Officer has designated and published an officer (Active & Reserve) rating chain for the unit and copies have been submitted to the reviewing authorities.
- + (I.A.P.7) All correspondence is prepared within the guidelines laid out in the latest edition of the Coast Guard Correspondence Manual.
- + (I.A.P.10) The unit's paper-based publications library contains manuals with all the current changes.
- (I.A.N.12.1) Unit directives are improperly formatted. [Ref: Coast Guard Directives System, COMDTINST M5215.6 (series), Chapters 3, 4 and 5]

**Recommendations:**

(I.A.R.1) [REDACTED]

(I.A.R.3) [REDACTED]

(I.A.R.4) [REDACTED]

(I.A.R.7) [REDACTED]

**B. POSTAL ADMINISTRATION**

(1.B.G.2) CG MSO Anchorage processes all outgoing mail for this unit.

**C. DISCIPLINE**

(1.C.G.3.a) There have been no UCMJ proceedings.

**D. MOTOR VEHICLE MANAGEMENT**

(1.D.G.3) Government vehicles are not used for home-to-work transportation.

- + (1.D.P.1) Unit ensures that operators of Government vehicles possess a valid state driver's license for the specific class of vehicle being operated.
- + (1.D.P.4) Separate U. S. Government Credit Cards (SF-149) have been consistently issued for each CG-owned and GSA leased vehicle.
- + (1.D.P.5) U.S Government Credit Cards (SF-149) have consistently been used only for the vehicle to which they are assigned.
- + (1.D.P.6) U.S Government Credit Cards (SF-149) are adequately safeguarded in the office of issuance and while in the vehicles.

**Recommendations:**

(1.D.R.1) 

**E. SUBSTANCE ABUSE PREVENTION PROGRAM**

(1.E.G.2) The unit has had one alcohol incident during the last two years.

(1.E.G.3) The unit has no alcohol incidents pending.

- + (1.E.P.1) The CDAR has established unit training plans for alcohol awareness and has consistently conducted annual training for all hands. The date of the last annual training session was 30 November 2004.

- + **(I.E.P.5)** The CO/OIC has designated a Collateral Duty Addictions Representative (CDAR) in writing.
- **(I.E.N.6)** All appropriate administrative actions are not completed (CG-3307 for enlisted and CG letter for officers) following an alcohol incident. [Ref: CG Personnel Manual, COMDTINST M1000.6 (series), Chapter 20.B.2.g]
- **(I.E.N.7)** Special Enlisted Performance Evaluations have not been conducted as required. [Ref: CG Personnel Manual, COMDTINST M1000.6 (series), Chapter 10.B.5.b.4.8]

**Recommendations:**

**(I.E.R.1)** [REDACTED]

**F. URINALYSIS TESTING PROCEDURES**

The urinalysis-testing program has not yet been stood up at this unit.

**G. WORKLIFE**

- + **(I.G.P.1)** The unit has received prevention and awareness training on violence and threatening behavior in the workplace within the past twelve months. The date of the last training performed was 2 November 2004.
- + **(I.G.P.2)** The unit has received Critical Incident Stress Management (CISM) Pre-Incident Preparation Training within the past 24 months. The date of the last training was 2 November 2004.
- + **(I.G.P.3)** The unit has received Suicide Prevention Training within the past 12 months. Date of the last training was 2 November 2004.
- + **(I.G.P.10)** Unit has provided the name and telephone number of the Wellness Representative (WR) to the responsible Wellness Coordinator (WC).
- + **(I.G.P.11)** Unit has provided all members a minimum of three hours per week during working hours for voluntary participation in physical fitness enhancing activities.

**H. EQUAL OPPORTUNITY PROGRAM**

**(I.H.G.2)** Unit has had no formal discrimination complaints within the last two years.

**(I.H.G.3)** Unit has had no formal social climate incidents within the last two years.

**(I.H.G.4)** Unit has had no Military Informal Discrimination Complaints presented to the CO/OIC, XO/XPO in the past two years.

**(I.H.G.7)** Unit has had no Civilian Informal Discrimination Complaints presented to the EEO counselor in the past two years.

+ **(I.H.P.4)** The unit has designated a Collateral Duty Civil Rights Officer (CD CRO) in writing.

+ **(I.H.P.5)** The unit has established a Human Relations Council (HRC) in writing.

+ **(I.H.P.7) FOR COMMANDS WITH OVER 25 PERSONNEL ASSIGNED (ACTIVE DUTY):** The HRC is representative of the makeup of the command as to rank, rate, organization structure, age, race, gender, military, civilian, and auxiliary.

+ **(I.H.P.8)** Sexual Harassment Prevention Training is being conducted annually. Date of the last training was 5 November 2004.

+ **(I.H.P.9)** The unit is documenting Sexual Harassment Prevention Training for all attendees in Direct Access.

+ **(I.H.P.10)** Members are participating in Human Relations Awareness Training at least every three years. Date of the last training was 5 November 2004.

+ **(I.H.P.11)** The unit is documenting Human Relations Awareness Training for all attendees in Direct Access.

+ **(I.H.P.12)** The names, hours of availability, location, telephone numbers, and photographs of the local Equal Opportunity Program staff have been posted on bulletin boards or in some other conspicuous location.

+ **(I.H.P.13)** The Commandant's Equal Opportunity Policy and Sexual Harassment Policy Statements are prominently displayed at the unit.

**I. EDUCATIONAL SERVICES PROGRAM**

**(I.J.G.2)** The Educational Services Officer does check a member's record when certifying a CGI-1560/04e (Military Training and Education Worksheet).

**(I.J.G.3)** The Educational Services Officer does know what products/services are produced/managed at the Institute and what forms cover each.

**(I.J.G.4)** The Educational Services Officer does provide the applicant with the current edition of the Tuition Assistance Application (CG-4147, rev 9-03).

+ **(I.J.P.6)** When a member is transferred or separated the Educational Services Officer returns the EOCT to the Institute within two weeks.

+ **(I.J.P.7)** Unclassified end-of-course test (EOCTs) are stowed in a safe, locked filing cabinet or locked desk.

+ **(I.J.P.8)** All EOCTs are stowed in a container where no examinee has access to their own EOCT.

+ **(I.J.P.9)** The Educational Services Officer maintains a proper EOCT log.

**J. MORALE, WELL-BEING, & RECREATION (MWR)**

**(I.L.G.23)** The unit does not participate in the Morale Loan Program.

**(I.L.G.33)** The unit does not maintain an aquatic facility. No additional information is required.

+ **(I.L.P.2)** The unit has established a Morale Committee and it consists of representatives detailed in writing by the CO/OIC. Use of the Admin List is acceptable for this designation.

+ **(I.L.P.4)** The CO/OIC has appointed a MWR Officer/Morale Fund Custodian.

+ **(I.L.P.5)** The Morale Fund Custodian does not have custody or disburse other cash funds.

+ **(I.L.P.6)** A temporary custodian would be appointed when the fund custodian was absent for more than 15 days but less than 60 days. The temporary custodian would sign a memo of receipt for the morale fund account.

+ **(I.L.P.7)** A new morale fund custodian would be appointed when the

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current fund custodian is to be absent for more than 60 days.

- + (I.L.P.8) The command has fulfilled the requirement of notifying its depositories in writing that the Coast Guard Trust Fund is the successor in interest.
- + (I.L.P.9) An annual, non-appropriated funds budget has been developed and sent to the cognizant authority for approval no later than 11/30.
- + (I.L.P.10) Unit does not have an authorized cash account and pays all expenditures by check from the established morale fund.
- + (I.L.P.11.a) The unit morale fund checking account is properly titled with full printed name of the morale fund on the checks.
- + (I.L.P.12.b) The date of each transaction is recorded on the check stub or in the check register.
- + (I.L.P.12.c) The payee has consistently been indicated on the check stub or in the check register.
- + (I.L.P.12.d) The reason for each expenditure has been recorded on each check stub or in the check register.
- + (I.L.P.13) The unit's morale fund checking account is reconciled on a monthly basis with the financial institution's statement.
- + (I.L.P.15) Bank charges are properly entered.
- + (I.L.P.16) All prohibitions on the use of MWR funds have been strictly observed.
- + (I.L.P.17) All MWR resale items are purchased only with non-appropriated funds.
- + (I.L.P.18) Morale Fund Financial Statements (Form-2985) and appropriate forms have been completed and forwarded as required.
- + (I.L.P.22) All financial records, audit reports, supporting documents, related correspondence, and files are retained for at least six years, three months after an audit.

**K. NAVY MOTION PICTURE SERVICE..... [N/A]**

(I.M.G.B) The unit does not participate in this program.

**L. TRAVEL AND TRANSPORTATION**

(I.N.G.8) The unit has converted to the Unit Travel System (UTS).

- + (I.N.P.1) The command is taking appropriate administrative/disciplinary actions upon notification of card abusers and delinquent account holders.
- + (I.N.P.2) Procedures are in place to collect and destroy travel charge cards prior to member separation/retirement.
- + (I.N.P.9) Unit files contain all current Approving Officers' CG PSC 7421 forms on file.
- + (I.N.P.10) The unit has a process in place to ensure that Approving Officials (AOs) are familiar with UTS prior to becoming AOs.
- + (I.N.P.11) The unit has a process in place to ensure that Approving Officials (AOs) complete CG PSC 7421 forms terminating access to UTS prior to departing PCS.

**M. WEIGHT STANDARDS**

(I.O.G.1) Two members are currently on the weight-monitoring program.

- + (I.O.P.3) Unit is weighing members at least annually.
- + (I.O.P.5) Unit is enforcing weight standards and preparing the required administrative entries when a member is not in compliance with the (MAW) or Body Fat Standards.
- + (I.O.P.6) The command ensures that probationary periods are suspended during periods of Not Fit For Duty exceeding 30 days.

**N. AVIATION INCENTIVE PAY ADMINISTRATION..... [N/A]**

(I.P.G.1) The program does not apply to this unit.

**O. MILITARY PERSONNEL**

(I.Q.N.1) The BAH/Dependency Data, Designation of Beneficiaries (CG PSC 2020D) and SGLI Election and Certificate (SGLV 8286) are in the

process of validation. [Ref: CG Personnel and Pay Procedures Manual, PSCINST M1000.2 (series), Chapter 5.C.2]

(1.Q.N.2) The Service Member's Group Life Insurance Election and Certificates (Form SGLV-8286) are in the process of verification. [Ref: CG Personnel and Pay Procedures Manual, PSCINST M1000.2 (series), Chapter 5.A.7 thru 14]

- + (1.Q.P.3) Pre-discharge interviews are conducted on time and documented.
- + (1.Q.P.4) Follow-up interviews are conducted at the appropriate time.
- + (1.Q.P.5) Personnel are counseled regarding entitlement to a Selective Reenlistment Bonus and documented on Form CG-3307 on 6 & 10 year anniversary.

**Recommendations:**

[REDACTED]

**P. PEOPLESOFT/DIRECT ACCESS**

(1.S.G.1) Copies of the "PeopleSoft User Authorization/Revocation" (Form CG PSC 7421/2) for all users are maintained at the unit in a case file.

(1.S.G.2) Users access roles do match the most current "PeopleSoft User Authorization/Revocation" (Form CG PSC 7421/2).

### III. FINANCIAL ADMINISTRATION

#### A. FINANCIAL MANAGEMENT

**(3.A.G.1)** The unit is a Finance and Procurement Desktop reconciliation site. The last 24 months of accounting records were reviewed. Various Finance and Procurement Desktop reports and PES reports were used to review accounting entries to assess the overall integrity of the unit's financial management.

**(3.A.G.5)** Unit is using Finance and Procurement Desktop. If unit is using Finance and Procurement Desktop, access to the unit account(s) is restricted to currently assigned personnel attached to the unit and is within user privileges commensurate with command/procurement responsibilities.

+ **(3.A.P.2)** A Budget Review Board assists the command in making fiscal decisions and reprogramming available funds.

- **(3.A.N.4)** The unit's obligations or expenditures exceed its annual apportionment. [Ref: Financial Resource Management Manual, COMDTINST M7100.3 (series), Page 5-9, Paragraph 5-F-1 and FINCEN Standard Operating Procedures (SOP), FINCENINST M7000.1, Page 3-1, Paragraph 2.b]

+ **(3.A.P.5)** The unit complies with the CG spending rates: 45% - 2Q, and 70% - 3Q.

+ **(3.A.P.6)** The unit follows procedures to maintain separation of procurement authorization, funds certification, account reconciliation, and Finance and Procurement Desktop site administration Duties/Functions.

+ **(3.A.P.8)** Proper object classes are consistently assigned.

+ **(3.A.P.11)** A review of the last 24 months of procurement files revealed procurement requests were certified for funds availability.

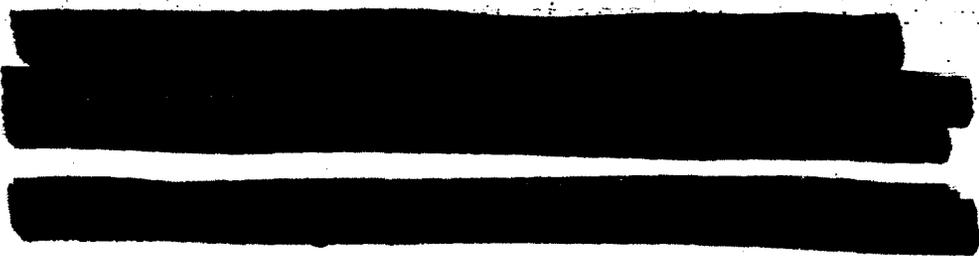
- **(3.A.N.12)** Unreconciled transactions over 30 days old listed on the "Transactions Not Yet on PES Report" are not being reviewed and promptly corrected. FINCEN SOP requires funds managers to review all unreconciled transactions over 30 days old from the last PES date. An inaccurate ledger balance will impact the unit's fiscal decisions. [Ref: FINCEN Standard Operating Procedures (SOP), FINCENINST M7000.1, Page 6-9, Step 4]

+ **(3.A.P.13)** PES errors and unresolved items are recorded correctly in

Finance and Procurement Desktop for timely transmission to FINCEN. Errors are identified, analyzed for causes, documented, and forwarded for action to FINCEN.

- + (3.A.P.22) The unit's Finance and Procurement Desktop Ledger is reconciled with PES reports and consistently balanced to zero every week. Reconciliation records are kept in chronological order by PES date. Date of Last Reconciled PES Report: Current FY: 04 December 2004; Previous FY: 27 November 2004.

**Recommendations:**



**B. PROCUREMENT MANAGEMENT**

(3.B.G.1) The Compliance review covered procurement transactions for the last 24 months. An analysis of a representative sampling of procurement requests, Government Purchasing Program transactions, SF44s and purchase orders was performed to determine how the unit adheres to the requirements of simplified acquisition procedures.

(3.B.G.2) The unit does not have contracting officers assigned.

- + (3.B.P.1) Selection of sources of supply in the order of precedence required by the procurement regulations is followed.
- + (3.B.P.1.a) All acquisition documents (interagency, commercial, MILSTRIP) are reviewed for GPP accountability and have a required qualifying GP property statement.
- + (3.B.P.3) Issues of protective footwear and organizational clothing are recorded on form AF-538 (Personal Clothing and Equipment Record).
- + (3.B.P.5) Procurement Requests (including MILSTRIP Requisitions) of hazardous materials are consistently reviewed/approved by the HAZMAT Coordinator and the Pollution Prevention Coordinator prior to acquisition.
- + (3.B.P.6) Acquisition of Hazardous Material items (HAZMAT) listed in

the Table of Federal Standard 313C have a Statement of Essential Need (SEN) included with the Procurement Request.

- + (3.B.P.10) The unit ensures that appropriated funds are not used for unauthorized items, e.g. calling cards, gifts, entertainment, drinking water, etc.

#### **GOVERNMENT PURCHASE CARD/CONVENIENCE CHECK**

- + (3.B.P.21) The Government Purchase Card non-warranted cardholders are designated in writing by the Chief of the Contracting Office (COCO).
- + (3.B.P.22) The unit Government Purchase Card Approving Official is one supervisory by rank/grade or command structure above the cardholder(s) and is designated in writing.
- + (3.B.P.24) Purchases made by Government Purchase Card non-warranted cardholders do not exceed \$2,500 per open market transaction, \$2,000 for construction.
- + (3.B.P.24.b) The servicing Contracting Officer has issued and signed an OF-347/SF-1449 authorizing the use of a Government Purchase Card to pay monthly Service Maintenance Agreement charges.
- + (3.B.P.25) Procurement of restricted items was approved by the cognizant authority.
- (3.B.N.28) When not in use, Government Purchase Cards are not kept in a secure location (lock/key for non-warranted cards and safe for warranted cards). [Ref: Simplified Acquisition Procedures Handbook, COMDTINST M4200.13 (series), Chapter 5, Pages 5-5 and 5-12]
- + (3.B.P.28.a) The Convenience Checks are being used for authorized purposes.
- + (3.B.P.28.b) The Convenience Check register is properly maintained.
- + (3.B.P.28.e) Convenience Checks are secured in a locked container.

#### **PURCHASE ORDERS**

- + (3.B.P.35) Receiving reports, including partial receipts, are consistently acknowledged with a recipient signature on the purchase order (OF-347/SF-1449) and transmitted to FINCEN on a weekly basis.

**C. GENERAL PURPOSE PROPERTY (GPP) MANAGEMENT**

(3.C.G.1) The unit is capable of transmitting data to the ORACLE at FINCEN. Requests for changes, deletions, additions to property records, and printouts of property reports from ORACLE are done by completing CG-5009 series forms or equivalent. The unit's property records consist of 58 line items.

(3.C.G.4) The objective of GP property management is to provide a means to protect, account, and safeguard all reportable government property. When properly administered, the GP property accounting system prevents and limits instances of fraud, waste and abuse. Each Coast Guard command and all employees are required to contribute to the execution of the management process.

(3.C.G.7) The compliance team reviewed 2 capitalized GPP inventory items. Below is a list of the identifiable errors:

(3.C.G.7.g) 2 error(s) was/were noted where the following items and/or recent procurements were unaccounted for: ion scanners not in oracle.

+ (3.C.P.1) The Property Officer/custodians are properly designated in writing, either by individual letters or through a unit directive.

- (3.C.N.4) The unit has not updated ORACLE within 30 days after making changes to the local GP property records. [Ref: Property Management Manual, COMDTINST M4500.5 (series), Articles 1.E.3.c and 3.E.1.h(1)]

+ (3.C.P.6) The unit conducted an inventory of GP properties within the last twelve months. Date of last inventory: 19 November 2004.

+ (3.C.P.7) The unit has marked all Coast Guard owned (non-expendable, accountable) property by label to identify CG ownership.

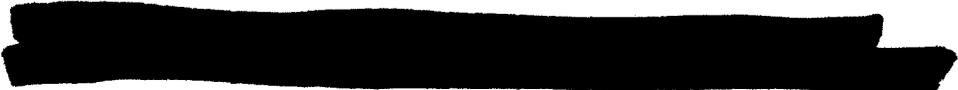
+ (3.C.P.9) The Property Officer retains copies of ORACLE property reports signed by the custodian(s) and/or audit trail documents for a minimum of three years.

- (3.C.N.11) Property records do not include all mandatory-reportable properties: capitalized assets, SPME, leased or borrowed equipment, licensed software, artifacts, ADP equipment, electronics testing equipment, and MWR items. [Ref: Property Management Manual, COMDTINST M4500.5 (series), Article 3.D]

**BOARDS OF SURVEY**

+ (3.C.P.13) Survey Officers are designated in writing by the CO/OINC.

Recommendations:



D. IMPREST FUND ..... [N/A]

E. TRANSPORTATION OF FREIGHT ..... [N/A]

F. OPERATING MATERIALS AND SUPPLIES (OM&S)

(3.F.G.1) As required, the unit uses the prescribed electronic stock record system to track description, quantity, location and value of inventory. The unit is capable of transmitting data to FLS.OSC. The unit's capitalized OM&S inventory consists of 0 line items.

(3.F.G.6) The compliance team reviewed 6 non-capitalized OM&S inventory items. Identifiable errors were noted as follows:

(3.F.G.6.f) 1 error(s) was/were noted where the following items were unaccounted for: 24922-2WI-004xt loc 07a1a (not in CMPLUS).

- (3.F.N.4) The prescribed electronic stock record system does not contain accurate allowance, storage location, price, condition code, and quantity-on-hand information. [Ref: Supply Policy and Procedures Manual, COMDTINST M4400.19 (series), Chapter 5, Section C, Pages 1, 7, & 8]

+ (3.F.P.4.b) All inventory items are marked, tagged, or labeled with either the NSN, ACN, Part or Cage Number.

+ (3.F.P.4.c) All inventory storage locations are marked with the standard storeroom locator system.

- (3.F.N.6) The unit has not researched and assigned prices/values to all line items carried in the OM&S inventory. The FLS database indicates the unit has reported 155 line items with no dollar value assigned. [Ref: Supply Policy and Procedures Manual, COMDTINST M4400.19A, Chapter 5, Section C, Page 4 and Chapter 5, Section H, Page 3]

+ (3.F.P.9) When differences are found between quantity on hand and record quantity, the unit is making adjustments to the prescribed electronic stock record system.

**Recommendations:**

**(3.F.R.16)**

[REDACTED]

LAST PAGE