



# Leadership and Management Guide

AUXILIARY UNIVERSITY PROGRAMS (AUP)  
U.S. COAST GUARD AUXILIARY

# U.S. Coast Guard Auxiliary University Programs (AUP)

## Introduction

The U.S. Coast Guard Auxiliary University Program (AUP) establishes partnerships between the Coast Guard Auxiliary and higher education institutions (e.g. colleges, universities, technical institutions). Persons participating in the Auxiliary University Program are Auxiliary members, or members of the US Coast Guard acting in a supervisory role.

The AUP is managed by the Auxiliary Strategic Planning Directorate (“AUP national staff”) in cooperation with sponsoring local Auxiliary units and active duty elements in the field, exactly the same as other authorized Auxiliary programs. This *AUP Leadership and Management Guide* (LMG) is provided to integrate policy from the Auxiliary Manual and the Auxiliary Operations Manual for personnel participating in or otherwise interacting with the program for AUP operations and administration.

Coast Guard Recruiting Command (CGRC) officially recognizes AUP as an opportunity for students on college campuses to affiliate with the Coast Guard Auxiliary and pursue curriculum in Coast Guard centric academic training. Students who participate in AUP develop skills and leadership that directly translate to performance of real Coast Guard missions. This experience, in turn, makes the student more qualified for Coast Guard enlistment or commissioning.

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# Chapter 1 - Use of Auxiliary University Programs

## Section A. Scope and Purpose

The U.S. Coast Guard Auxiliary University Program (AUP) is the Auxiliary's official program for integration with higher-level educational institutions, established to meet the ongoing goals discussed below.

- Sustain mission excellence by providing the Coast Guard Auxiliary with young, talented, educated, dedicated, diverse, and well trained leaders;
- Build capacity through academic outreach in the form of academic partnerships, access to capabilities and skills, strategic surveying, and engagement in related activities that support the needs of the Coast Guard Auxiliary, Coast Guard, and Department of Homeland Security;
- Act as a framework that may support mission needs through unfunded internships, special projects, research and related activities;
- Prepare for the future by developing students for future professional, operational, and leadership success in their careers, with a strong emphasis on service in the Coast Guard Auxiliary, in applying to active duty or reserve service, or success in related professional fields.

AUP is a leadership development program whose participants adhere to proper uniformed customs, courtesies, protocol, and models of address. These customs are rooted in the service's guiding principles as expressed through the Coast Guard's motto and Core Values, the Coast Guard Ethos, and the Auxiliary University Program motto of *Leaders in Service*.

### A.1. Mission

The mission of the Auxiliary University Program is to be a valuable, modern, and flexible model to attract, develop, mentor, and retain academically focused members for the United States Coast Guard and Coast Guard Auxiliary.

### A.2. Vision and Core Philosophy

Auxiliary University Programs hosts some of the best and brightest students, serving their communities and country in marine safety, security, and stewardship. Ours is a culture of field-level initiative, whereby Auxiliary leadership will generally define the overall mission, and will support the officers and crew in determining how to execute it. Grounded in the traditions of the sea, we strive for operational proficiency through focus on the fundamental elements of seamanship and maritime leadership that have distinguished generations of Coast Guardsmen. We are Leaders in Service.

### A.3. Authority

This AUP Leadership and Management Guide (LMG) consolidates diverse Auxiliary policies into a workable model for the educational environment, and provides that guidance to AUP personnel in the field. It does not replace or supersede the Auxiliary Manual and other applicable Coast Guard publications, but rather provides a singular reference for a consistent interpretation of policy framework through which AUP is implemented nationwide. All AUP students, staff, and instructors, as well as other Auxiliarists serving in flotillas, divisions, and districts where AUP operates are expected to be thoroughly familiar with the LMG. Recommendations as to best practices, points of program improvement, and

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clarification are encouraged and should be routed to the AUP Division Chief through the appropriate chain of leadership.

### A.4. Operational Use

AUP units and personnel are available for all Auxiliary authorized activities by the Coast Guard and Coast Guard Auxiliary in accordance with the Auxiliary Manual (COMDTINST M16790.1 Series) and the Auxiliary Operations Policy Manual (COMDTINST 16798.3 Series). Requests for AUP to perform authorized activities are coordinated through the local operational authority and elected chain of leadership.

### A.5. Organization

AUP functions at many organizational levels as a single, integrated team. It is an extensive, nationally distributed organization. As such, respect for and utilization of the prescribed chain of leadership is essential to maintaining the organization's proper functioning.

### A.6. Eligibility

Enrollment and participation as a student in AUP is open to any Auxiliarist that meets the following criteria:

- Coast Guard Auxiliary enrollment application submitted;
- Currently enrolled in an accredited American college, university, community college, or technical school, or a graduate of less than one year in the process of completing AUP graduation requirements;
- Meets all institutional requirements for participation in extracurricular activities;
- Current and active participant in the AUP Program of Study, as defined by:
  - Maintenance of AUP related qualifications;
  - Logging of hours engaged in AUP programs; and
  - Conformance with the programmatic guidelines and expectations described in the LMG;
- Favorable endorsement from student's flotilla commander;
- AUP enrollment application submitted and reviewed for conformance to these criteria.

These AUP eligibility criteria are required for basic currency maintenance. If a student no longer meets these criteria, in other words is no longer "current" (for example if he or she is suspended by their school), that student will lose their active AUP standing. However, the member remains an Auxiliarist able to perform any activity he or she is qualified to do as an Auxiliarist. Standing may be regained once the student has returned to currency with these criteria.

AUP participation requires that the student be an Auxiliary member having achieved minimum Approval Pending (AP) status. New applicants may enroll in AUP online courses if they are currently completing or waiting for favorable AP status on their Auxiliary membership, provided they meet all the other itemized requirements above. This practice ensures that (1) AUP meets the expectations of some colleges that all students be afforded an opportunity to participate, and (2) students, whose activities coincide with college semesters, are not impacted on coursework while waiting for their Auxiliary Enrollment Application to be reviewed.

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### A.7. Qualification Levels

AUP alumni and students maintain one of the following three qualification levels. Requirements, maintenance tasks, and processes are defined in the AUP Program of Study and are reviewed by the national staff at least annually.

Qualification	Eligibility
AUP Junior	Granted immediately upon enrollment, valid not more than 12 months.
AUP Senior	Valid not more than three years following enrollment as AUP Student. Extensions may be given on a case by case basis.
AUP Graduate	Permanent for all who have met the requirements.

AUP students and non-student Auxiliarists assigned as staff at any organizational level may maintain one of the following two additional qualifications intended to promote program knowledge and leadership competency. Requirements, maintenance tasks, and processes for these leadership qualifications are defined by the AUP Program of Study and reviewed by the national staff as needed.

Qualification	Eligibility
AUP Leader	Any AUP student currently enrolled in AUP.
AUP Officer	Any Auxiliarist; recommended for those wishing to serve on staff.



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## Section B. AUP Units

Auxiliary units are established in accordance with Chapter 4 of the Auxiliary Manual (COMDTINST 16790.1 Series). Any established flotilla or flotilla detachment may be recognized as an “AUP Unit” upon the concurrence of the District Commodore, Director of Auxiliary, and the Director of Strategic Planning provided that the unit conform to several administrative guidelines specific to AUP units.

All participants must be either an officially enrolled AUP student, Unit Officer, or actively supporting the program as an instructor. Officially enrolled students must comprise the unit’s leadership.

A unit should be established for AUP participation on the campus of a single educational institution, or when appropriate for a defined geography such as a city, metropolitan area, or other region. The latter option is common in cases where students at two or more nearby schools benefit from being part of a single AUP unit so that students and staff can work together to avoid duplication of effort and organizational overhead.

A common nomenclature is established in order to accommodate the variation in organizational structure (flotilla vs detachment) within AUP. This guide uses the “AUP terms” shown below, but it is understood that the meaning of those terms changes depending on whether the unit itself is a flotilla or a detachment.

AUP Term	Unit is a Flotilla	Unit is a Detachment
Unit	Flotilla	Detachment
Unit Leader	Flotilla Commander	Detachment Leader
Deputy Unit Leader	Vice Flotilla Commander	

\*The Auxiliary Manual does not provide for a vice or deputy type position within a detachment, but does allow the Detachment Leader to assign various duties to detachment members, thereby allowing the leader to assign another member to perform the duties of a deputy unit leader. Refer to the Auxiliary Manual, COMDTINST 16790.1 (series), for more information.

### B.1. Unit Leadership

AUP’s core mission is leadership development through experiential learning, providing students with experiences that help them develop as future Auxiliary leaders. This is accomplished in part by allowing students to manage as much of their own affairs as possible through a combination of formal and ad hoc duties assigned to student leaders within each AUP unit and nationwide. This framework also allows AUP to satisfy the requirements that most colleges impose that “student groups” must be advised and overseen by staff, but led by students themselves.

Selection of leaders and assignment to duty within an AUP unit is conducted in accordance with the Auxiliary Manual’s policies as they apply to that specific unit’s organizational construct. In other words, a Unit Leader who is a Flotilla Commander is elected by the membership, whereas a Unit Leader who is a Detachment Leader is appointed by the FC of the sponsoring flotilla. Members within the unit are

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assigned to carry out the unit's business either as flotilla staff officers or as detachment members assigned to duty. Refer to the Auxiliary Manual, COMDTINST 16790.1 (series) for more information on leadership and staff positions within the organization.

### B.2. Unit Officer

The Unit Officer (UO) shall be a more experienced active duty or reserve Coast Guardsman or Auxiliarist appointed by concurrence of the Director of Strategic Planning and the DCO in consultation with the Director of Auxiliary. The primary purpose of the UO is to provide high quality program management oversight to each unit, and to act as an advisor and mentor to its students. The UO shall work closely with the Unit Leader, next most senior elected leader (either DCDR or FC), local Coast Guard units, host institution personnel, and the AUP national staff to develop and maintain relationships to ensure a positive and constructive student experience.

### B.3. Unit Recognition

The flotilla or detachment is formed in accordance with Chapter 3 of the Auxiliary Manual, COMDTINST 16790.1 (series). In order to obtain recognition as an "AUP unit", the prospective Unit Officer will initiate a request in writing to the AUP national staff with copy to next highest elected leader (DCDR for a flotilla, FC for a detachment), who forwards it via the chain of leadership to the DCO. The request will detail the name and contact information of the prospective host institution, and will state facts to support the request, including a discussion of strengths, weaknesses, opportunities, threats, and proposed mitigations as they apply to the prospective unit. Director of Strategic Planning, with DCO concurrence and upon Director of Auxiliary notification, may authorize recognition as an "AUP unit". Those wishing to establish a new unit should contact the AUP national staff to evaluate the prospective unit's feasibility based on its unique circumstances. Director of Strategic Planning acts as a facilitator for recognizing an already existing unit as being AUP affiliated, not as an approval authority for standing up a new unit from scratch.

### B.4. Unit Derecognition

A request for derecognition as an AUP unit must be submitted in writing to Director of Strategic Planning with copy to the next highest elected leader (DCDR for a flotilla, FC for a detachment), who forwards it via the chain of leadership to the DCO. The request may be originated by the Unit Officer, Unit Leader, or by any Auxiliary elected or appointed leader in the chain of leadership and management. After full consultation with all parties, Director of Strategic Planning may derecognize the unit with the concurrence of the DCO. The DCO shall then advise the Director of Auxiliary of the derecognition. Derecognition as an AUP unit does not impact the units standing as a flotilla or a detachment in its own district.

### B.5. Organizational Documents

Many host institutions will require the unit to obtain recognition as an official student organization in order to operate on the campus (e.g. to secure campus meeting space, recruit at student activities fairs, benefit from school funding, and participate in other school-sponsored functions). In most cases this recognition requires that the institution approve an organizational "constitution" describing the unit's function. Units should provide the Leadership and Management Guide in fulfillment of this requirement unless the school requires the document to conform to their formatting, in which case the applicable contents of the LMG should be re-formatted accordingly. If the host institution requires deviation from the LMG's guidelines,

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the Unit Officer will document such deviations in a unit-specific “Concept of Operations” (CONOP) to be vetted for consistency with Auxiliary policies by the AUP national staff, and approved by the concurrence of the District Commodore, Director of Auxiliary, and the Director of Strategic Planning.

### B.6. Remote Collaborative Units (RCU)

Students may be enrolled in a “remote collaborative unit” (i.e. a “virtual flotilla” or a detachment thereof) in cases where it is not practical to participate in AUP via a locally established flotilla or detachment. This might be the case for students at a maritime academy which is more directly supported by Coast Guard Recruiting Command, students that are highly transient, or for students in geographically remote areas or at schools without an AUP unit on campus. The RCU will also welcome participation from students from other local flotillas who wish to participate in AUP but have found a suitable local flotilla in which to enroll.

Remote Collaborative Unit could be a group of five different students at five different schools, who work together virtually but are members of their existing local flotilla.

### Section C. Coast Guard Responsibilities

#### C.1. Unit Sponsorship

Active duty offices and commands have an important role in sponsoring and helping AUP units to be successful. While not a requirement for a unit to exist, units tend to be strongest when they have an active and formalized relationship with the local active duty command(s). These relationships are arranged through the local chain of leadership or AUP program staff with the assistance of the Office of Auxiliary and Boating Safety, Recruiting Command, or the Leadership Development Center. In all cases, the relationship should be documented and approved in writing by the Director of Strategic Planning, DCO, and Director of Auxiliary.

#### C.2. Augmentation

AUP students may augment Coast Guard administration and operations in a structured fashion and with a syllabus that could allow them to obtain internship credit from their school. There are opportunities for students to obtain meaningful real-world training and experience, while providing Coast Guard units with highly motivated and reliable personnel augmentation. Students should be selected based on the quality of their past work in the college classroom, their stated academic and professional objectives aligned with the augmentation opportunity, and be in good standing as a member of the Auxiliary.

#### C.3. Individual Reporting Requirements

Students working with Auxiliary programs in any capacity are expected to keep their chain of leadership informed of all activities and to utilize existing Auxiliary and AUP reporting systems to document work performed in accordance with the Auxiliary Manual, COMDTINST 16790.1 (series). When in doubt, students are reminded to provide timely information to their chain of leadership.

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### Section D. Host Institution Responsibilities

The *host institution* is the educational institution at which an AUP unit is located or affiliated. AUP is a guest on the host institution's campus, and therefore requires members to adhere to the institution's applicable policies at all times. The host institution is asked to provide, at minimum:

- Formal recognition of the AUP Unit as a student organization, extracurricular opportunity, interdisciplinary group, or extension of an existing center, office, or academic department so that the unit is authorized to meet on campus, secure classroom space, and recruit;
- Designated point of contact within the institution's administrative structure so that the unit officer, campus liaison officer, and/or unit leader is able to communicate regularly, resolve issues, and develop additional opportunities between the unit and institution.

#### D.1. Single / Primary School

Most units are located at and draw students from a single host institution. This arrangement allows for clear "black and white" expectations of student conduct within the scope of the institution's control.

Because the Auxiliary does not bar membership on the basis of school enrollment, from time to time a student from a nearby school will seek to join the AUP unit at another school. This is permissible so long as the visiting student understands that participation in AUP does not extend any benefit of enrollment at the host institution, i.e. the visiting student cannot utilize the host institution's student services, name, financial, or other resources without explicit permission of the host institution's administration.

#### D.2. Activities on Campus

Participation in campus activities such as recruiting fairs, academic symposia, athletic competition, and social gatherings are beneficial to many units both in providing a rewarding experience for members, and in recruiting new ones. Unit participation in these activities is encouraged provided that they conform to all applicable host institution, Coast Guard, and Coast Guard Auxiliary policies, and that participation is communicated to the Flotilla Commander or other members of the chain of leadership.

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### Section E. AUP Participant Responsibilities

AUP emphasizes Coast Guard Auxiliary policies as well as the culture and traditions associated with the Coast Guard as a seagoing service. Students serve in a diverse organization with varying needs, commitments, constraints, and opportunities. They are expected to participate fully in unit business, attend all-hands meetings, support mission execution, train with other members, and communicate regularly.

#### E.1. Participation

Students adhere to the training and performance standards outlined in the AUP Program of Study. They mentor their more junior shipmates in achieving the same. AUP emphasizes the concept of “shipmates” and camaraderie; students are expected to participate in events sponsored by their flotilla and intended for all members. Participants report their accomplishments via normal reporting requirements (Forms 7029, 7030, etc), and other systems and processes as may be implemented to account for specific AUP needs.

#### E.2. Leadership

Students proactively take responsibility for leading others and making their AUP experience successful, as well as for developing a continuous and well-run recruiting campaign in order to replenish their unit's ranks.

#### E.3. Conduct and Professionalism

AUP participants may develop real world professional skills through their Auxiliary affiliation that will benefit them in future careers. As such, AUP participants shall at all times adhere to proper customs, courtesies, protocol, behavior standards, and models of address consistent with the Auxiliary Manual, COMDTINST 16790.1 (series). Students also conform to the requirements of their host institution (GPA, personal conduct, etc.) and those required by the institution for the formation and maintenance of their unit. Because so many work with the active duty Coast Guard, a central part of AUP's culture is an observance of the Coast Guard's traditions, customs, courtesies, and protocol. The AUP national staff will provide a summation of these customs and courtesies that participants will practice. AUP participants develop professional writing skills through adherence to standards outlined in the Coast Guard Correspondence Manual, including use of proper salutations, closings, formats, and references for written formal and information correspondence.

#### E.4. Disciplinary Action

Disciplinary matters are adjudicated in accordance with Chapter 3, Section F of the Auxiliary Manual, COMDTINST 16790.1 (series). Suspected violations that could warrant disciplinary action, or repetition of chronic minor offenses including violations of AUP program policies or guidance should be referred to the chain of leadership in accordance with the Auxiliary manual. The adjudicating official will notify the AUP national staff in writing if the final result of such disciplinary action is such that it would impact the student's participation in AUP (e.g. if the student's Auxiliary membership is terminated).

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## Section F. District Responsibilities

AUP Units benefit from parent district assistance in operations, training, administration, and mentoring. AUP does not maintain a district staff officer level position, but does work with DSO-DVs to promote the program, perform campus-based diversity outreach, and educate district members about the program. Specific responsibilities are described by the approved DSO-DV job description.

### F.1. Director of Auxiliary

Director support and involvement is critical to AUP's success within the district. The Director works with the District Commodore to oversee various aspects of the program in accordance with the LMG and existing Coast Guard Auxiliary policy.

### F.2. New AUP Units

Recognition of a new AUP Unit requires the concurrence of the DCO and Director of Auxiliary in whose district the new AUP unit will be located. In addition, the district is responsible for authorizing formation of the flotilla or detachment being recognized as an AUP unit, in accordance with Auxiliary Manual, Chapter 4.

### F.3. Active Duty Relationships

The DCO and Director of Auxiliary can promote the success of units in their district by identifying:

- Junior officers, chiefs, and petty officers to serve as unit officers and to mentor students;
- Active duty offices and commands willing to sponsor individual AUP units;
- Opportunities for students to work operationally with active duty commands, and to complete intern-style augmentation assignments for credit.

Sponsorship of an AUP unit by an active duty office or command requires the concurrence of the DCO and Director of Auxiliary in whose district the AUP unit is located.

### F.4. Communication and Reporting

The DCO should receive reporting concerning their AUP units via regular elected chain of leadership reporting protocols (e.g. monthly reports). The DCO should share items of interest with the Director of Auxiliary, and inquire via the chain of leadership if information is not being consistently reported. The AUP national staff will also provide candid assessments of unit health to any DCO upon request.

### F.5. Operational Coordination

Most of the operational coordination required to sustain AUP and create training and service opportunities for its participants will take place at the flotilla level, through normal operations channels. However, Districts and Divisions should be cognizant of the need to support operational activities that bring together students from multiple schools. Many students spend part of the year in one area of responsibility while at school, and another part of the year elsewhere when on break (including movement between Districts). District leadership should maximize the portability of these students' operational qualifications so that they can provide valuable operational service wherever they are geographically located.

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### Section G. Division and Flotilla Responsibilities

Flotillas (for AUP units set up as detachments) and divisions (for AUP units set up as flotillas) serve as the parent organizations for AUP units. This role is important because students, particularly the Unit Leader, require professional mentoring from a more experienced FC or DCDR.

#### G.1. New AUP Units

Divisions and flotillas wishing to establish a new AUP unit in their AOR should initiate the process of establishing a new flotilla or detachment in accordance with the Auxiliary Manual, Chapter 4, and should contact their chain of leadership and the AUP national staff to initiate the process of AUP unit recognition.

#### G.2. Unit Officer Coordination

Division and flotilla leadership communicate directly with each AUP unit not just through the Unit Leader, but also through the Unit Officer, who provides programmatic oversight for each AUP unit. The Unit Officer also works directly with the AUP national staff, so serves as the vital link exchanging information, providing local feedback of best practices to national staff, and keeping local leadership informed of developments within the program.

#### G.3. Local Participation

Divisions and flotillas are responsible for engaging all Auxiliary members in local authorized activities (operational, administrative, and social). Students are often among the most active of their flotillas' members due to the specific service and training requirements they must meet. They offer unique perspectives and skills.

#### G.4. Elected Leadership

Elected leadership should communicate regularly with the Unit Officer and Unit Leader on matters of AUP business, become familiar with AUP tactics, techniques, and procedures as outlined in the Leadership and Management Guide, reinforce program activities and standards, and mentor students in leadership roles.

#### G.5. Communication and Reporting

Elected leadership should establish communication expectations with the Unit Officer just as they would with a flotilla staff officer. Elected leaders should receive reporting concerning their AUP units via regular chain of leadership reporting protocols (e.g. monthly reports) originating with the Unit Officer and Unit Leader. Division Commanders and Flotilla Commanders share items of interest with District Captains and Division Commanders respectively, and inquire via the chain of leadership if information is not consistently reported.

#### G.6. Staff Support

Divisions and flotillas provide staff officer support to AUP units in accordance with established Auxiliary procedures. Some accommodations may need to be made in providing staff support to AUP students. For example, many students are not permitted to have a car at school, so enrollment, training, and other activities may need to take place on campus.



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### G.7. Human Resources

HR needs are managed by the Auxiliary (and AUP) member's flotilla. Students wishing to participate in AUP must explicitly apply to do so via an application provided by the AUP national staff, who will vet students against applicable participation requirements, and will maintain a centralized database of AUP participants. Students that attempt to enroll in AUP prior to joining the Auxiliary will be directed as potential recruits to a nearby flotilla.

### G.8. Member Training

Flotillas must be mindful of the generational differences between all members. Students are often motivated by different incentives than their non-student counterparts. For example, students may seek professional experiences that enhance their career prospects; members already established in or near the end of their careers may not. Students may be unavailable for service during the day or all week due to school obligations, but may be available for activity later in the evening on weeknights or on weekends. Flotilla leadership will seek to understand and maximize the potential of these differences.

### G.9. Geographic Considerations

Students change geographic location for extended periods of time. For example, many will work with a local flotilla where they are for summer or winter break, which may not be the home flotilla in which they are members. This is encouraged so that students may continue to serve wherever they are physically located. However, their administrative needs continue to be handled per the Auxiliary Manual, COMDTINST 16790.1 (series) while they are away from their home flotilla.

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## Section H. AUP Unit Responsibilities

Flotillas and detachments recognized as AUP units are responsible for making the program successful locally, in addition to the typical unit responsibilities enumerated in the Auxiliary Manual, Chapter 4.

### H.1. New AUP Units

Newly recognized AUP units are responsible for fulfilling new unit goals as determined in consultation with their local elected leadership, and in meeting national expectations for all new units.

### H.2. Program Execution

Participants in AUP units will possess a thorough understanding of the Leadership and Management Guide and the Auxiliary Manual, the Program of Study, and other program tenants. The Unit Leader, under the general guidance of the Unit Officer and in coordination with the unit's parent flotilla or division, is responsible for ensuring that AUP is implemented and executed to its fullest.

### H.3. Communication and Reporting

The Unit Leader and Unit Officer establish program-related communications expectations with the unit's parent flotilla or division, and with the AUP national staff. At minimum, Unit Officer and Unit Leader will jointly submit a monthly report to the elected leader of the parent flotilla or division, and to the AUP national staff. They will also ensure that activities are properly logged using the appropriate AUP tracking application. The AUP national staff communicates to the local level through the Unit Leader and the Unit Officer, who are responsible for disseminating information and keeping their elected leadership informed of pertinent communication.

### H.4. Leadership Lab

AUP unit meetings are known as "Leadership Lab". They are an opportunity for students to transact the business of their unit, and also as a time for guest speakers, group discussion, and exercises focused on leadership, Coast Guard missions, or other topics of professional development broadly applicable to all. Unlike most flotillas' monthly meetings, AUP units should strive to meet weekly in order to better conform to the pace of activities on most college campuses where very active student organizations meet at least once each week. This pattern allows activities to be condensed into a semester schedule while engaging students in activities on a weekly basis. The AUP national staff will provide instructional standards and guidelines in order to maximize the leadership lab's educational benefit. Within Coast Guard Auxiliary guidance, all AUP activities shall not conflict with host institution regulations, policies, or guidelines.

### H.5. Classes

Classes may be offered virtually or in person in order to help students meet program course requirements. However, training geared toward to the Program of Study can be completed live through locally-offered trainings where members are able to physically meet together. Once students do complete a class, they need to see that their completion is logged by AUP in fulfillment of graduation requirements. AUP participants must report all activity via standard Auxiliary methods in accordance with the Auxiliary Manual, COMDTINST 16790.1 (series) in order to receive credit for activity performed as an Auxiliary member. The AUP staff will provide specific guidance as to the procedures for tracking completion of AUP Program of Study requirements.

## Chapter 2 - Program Management and Administration

### Section A. Program Management

AUP connects operations with academics through programs inspired by the Coast Guard's mission needs. Services are delivered through all levels of the organization. Key to this service delivery is the expectation that students will actively shape and manage their own AUP organization within the scope of established policy and programmatic guidance.

#### A.1. National Staff

The "AUP National Staff" provides nationwide program management and leadership, working with other national directorates and The Chief Director's Office to provide program development. It is a division in the Strategic Planning Directorate, overseen by the Director and Deputy Director, led by a Division Chief. National staff job descriptions will designate specific individuals to whom Unit Officers report, though Unit Officers are not considered to be national staff members.

#### A.2. National Student Leadership

A student is appointed to the AUP national staff as "division leader" at the level of a branch assistant. This student's specific responsibilities will be defined by a national staff job description, but in general this branch assistant will be responsible for communicating directly with and providing programmatic leadership to unit leaders across the country, serving as the principal representative of student interests in the national staff, and representing the program as its senior-most student. This student will also assign fellow students from around the country to assist in student leadership, management, and administration, specifically a deputy and an operations leader. This practice, called the "student chain of leadership" provides for both succession planning and development of a high level of student leaders.

#### A.3. Communication and Reporting

The AUP national staff will implement a standard reporting regimen. Standard reports shall be submitted on the prescribed schedule to their elected leadership. Units should, at minimum, report on their activities, upcoming plans, impacts, impediments, and changes on a monthly basis. Programmatic communications between AUP national staff and AUP units and students in the field will flow through the unit officers, or from the division leader to each Unit Leader. Communications will flow freely through all levels of the program management organization, and between the AUP national staff and the units in the field.

#### A.4. Program Development and Administration

The national staff is charged with developing and administering the program, setting standards, coordinating unity of effort across the program, assisting in conflict resolution, facilitating the exchange of best practices amongst units, and providing candid assessment of unit and program status to senior district and national elected leadership. The AUP national staff will outline training and related procedural guidelines through the AUP Program of Study and separate documents in order to establish consistency within programmatic areas.

## U.S. Coast Guard Auxiliary University Programs (AUP)

### A.5. Program of Study

The AUP national staff will develop and promulgate the “AUP Program of Study”, which will outline the academic, training, and qualification expectations of students enrolled in AUP. The Program of Study will be reviewed and updated, if necessary, on an annual basis in order to remain current with Auxiliary policies and guidelines and changes within AUP.

### A.6. Standard Operating Procedure / Knowledge Base

The AUP national staff will create a means through which internal standard operating procedures can be documented in a knowledge base accessible to program participants. This material is strictly procedural in nature, related to managing the program as designed and authorized by existing Auxiliary publications, and should not be construed as a source of policy guidance.

### A.7. Leadership and Professional Development

Opportunities for students to develop as leaders and professionals are found throughout AUP. Students take responsibility for leading their own units, shipmates, projects, missions, and elements of AUP nationally while AUP staff officers provide program management oversight and mentoring. The more students participate in the chain of leadership, the more opportunities they will have to take maximum responsibility for leading their own organization and creating a laboratory for future leaders to develop their proficiency in leadership.

### A.8. Outside Partnerships

AUP works with outside organizations such as colleges, universities, and other entities involved with higher education including various Coast Guard commands, other Department of Homeland Security educational initiatives, other government agencies, non-governmental organizations and industry, and local agencies. These partnerships are necessary because students progress through their academic careers in a number of “lanes” that include classroom learning at their institution, internships, career preparation, and hands-on experience acquired through their Auxiliary membership.

As a general rule, AUP Units are authorized to establish working relationships with local entities to include local Coast Guard Commands, but must (1) follow any applicable processes established by local elected leadership in managing these relationships, and (2) report to local elected leadership and AUP national staff on the status of these relationships. These guidelines minimize duplication of effort and promote consistency in the experience these outside partners have when working with the Coast Guard.

AUP units must clearly define their role within, and relationship with, their host university. If they are to be affiliated with a department or program, that agreement should be outlined and documented in accordance with the provisions of this guide. Units are encouraged to partner with departments and organizations within the university that share mission goals or other synergies with the Coast Guard.

No AUP entity, student, or staff member is authorized to establish a Memorandum of Understanding / Agreement (MOU or MOA) with any other organization. Such formal agreements will be routed through the elected leadership, who will engage Counsel for further guidance.

## U.S. Coast Guard Auxiliary University Programs (AUP)

### Section B. Information Systems

AUP participants are geographically distributed across the United States, and therefore require an innovative approach to the use of information systems.

#### B.1. Student Information Systems

AUP's Program of Study may require specialized data systems to coordinate AUP-specific activities. The AUP national staff will coordinate with the Auxiliary's information technology directorates, and make this additional guidance available to program participants.

#### B.2. Virtual Classroom

Program of Study courses may be offered via an online distance learning platform so that students may complete their AUP recommended training while placing minimal teaching burden on local personnel.

#### B.3. CGAUXNET

The CGAUXNET system provides AUP participants with an official email account and access to system features such as document creation and storage, internal instant messaging and video conferencing, and access to the AUP Portal website.

#### B.4. Use of AUXDATA

Students will report activities, attendance, hours, and course completions via AUXDATA.

#### B.5. Information Security

AUP participants must be cognizant of the need to protect personally identifiable information (PII) and information concerning Coast Guard and Coast Guard Auxiliary operations. Members are directed to consult Coast Guard Auxiliary information security, privacy awareness, and social media guidelines and training.

The ubiquity of social media in the college environment presents unique challenges. Photos and videos posted online mean that students are never truly "away from campus", resulting in a need for heightened vigilance concerning conduct and use of uniforms, insignia, and other visual indicators of Coast Guard Auxiliary membership and AUP participation. Participants should consult Coast Guard and Coast Guard Auxiliary social media guidance promulgated for the safety of all members and their families.

## Chapter 3 - Uniforms, Insignia, Emblems, and Markings

### Section A. Uniforms

As Coast Guard Auxiliarists, students are authorized to wear any of the Auxiliary uniforms normally authorized for other members. AUP participants will consult and strictly adhere to the Coast Guard Auxiliary's standards of uniform wear.

#### A.1. Uniform of the Day

In order to maintain consistency with standards of dress and culture on each individual college campus, each Unit Officer will prescribe a correct Uniform of the Day to be worn at AUP functions. In cases where no uniform of the day has been set, or where standards of dress and culture on campus do not warrant deviation (in the judgment of the Unit Officer), the Uniform of the Day is inherited from the parent division or flotilla.

#### A.4. Undergraduate Wear of Auxiliary Officer Insignia

Because Coast Guard Auxiliary officer insignia can easily be mistaken for the insignia worn by uniformed officers on campus, particularly those serving as staff or instructors in the Department of Defense service's ROTC programs, undergraduate AUP students will wear the Auxiliary member insignia at all times when in uniform on campus, at school-related functions, and engaged in AUP-specific activities. Otherwise they may wear the symbols of their appointed or elected office.

#### A.5. Uniforms and Social Media

Students understand that the proliferation of social media and digital photos means that they are never truly "away from campus". As such, students are reminded of the importance of conforming to Coast Guard Auxiliary and AUP-specific uniform guidance at all times.

#### A.6. School-Specific Uniforms

The Coast Guard Auxiliary recognizes that some students attend schools with prescribed uniforms of their own, such as is the case of military and maritime academies. It is most appropriate for these students to wear the proper Coast Guard Auxiliary uniform when participating in AUP. However, owing to the unique expectations of their host university, these students may wear their school-specific uniform as an authorized alternative, and will not be considered "out of uniform" when doing so.

#### A.7. Local Allowances

AUP supports the prerogative of local Auxiliary elected and Coast Guard operational leaders to set uniform guidelines within their respective areas of responsibility.

## U.S. Coast Guard Auxiliary University Programs (AUP)

### Section B. Emblems, Markings, and Insignia

#### B.1. AUP Seal

The authorized AUP program seal consists of a circular field of white fading outwards to blue, bound by a narrow silver bevel, band of white, and silver rope pattern, and overlaid by a four-point gold compass with crossed trident and quill with a shield depicting thirteen vertical alternating red and white stripes below a field of blue with columned building. The outer white band reads “UNIVERSITY PROGRAMS” across the upper arch and “U.S. COAST GUARD AUXILIARY” across the lower arch. A gold banner displaying the program’s motto, “LEADERS IN SERVICE,” crosses the bottom of the compass, quill, and trident.

#### B.2. Unit Seal

A unit may begin using an approved unit-specific seal identifying it with AUP upon formal recognition as an AUP unit. All seals will conform to the standards of the Coast Guard Heraldry Manual (CIM 5200). Emblems referencing AUP will be approved by the Unit Officer, Unit Leader, and Director of Strategic Planning.

#### B.3. Use of School Emblems, Seals, and Logos

AUP units must obtain written permission from their host institution prior to using copyrighted, trademarked, or other proprietary school emblems, seals, logos, and likenesses in their emblems. Documentation supporting this allowance will be submitted with the proposed emblem via the chain of leadership for approval by Director of Strategic Planning, and will be archived for future reference by the AUP national staff.

#### B.5. Style Guide

AUP promotional publications and electronic media will conform to all applicable Coast Guard and Coast Guard Auxiliary style guidance at the time of their publication.

#### B.6 AUP-Specific Insignia

There are currently no specific insignia authorized for recognition AUP participation.

## Appendix A - Change Log

In order to foster participation, ownership, and creative program innovations from all who participate, proposed modifications to the AUP Leadership and Management Guide may be originated at any level of the AUP organization provided that they flow through the proper chain of leadership for final approval.

All proposed modifications will be submitted in memo format in accordance with the Coast Guard Correspondence Manual (featuring distinctive U.S. Coast Guard Auxiliary markings), and must provide a signature line on which the approver may authorize or reject the proposal.

Date	Description of Changes	Approved by



## Appendix B - Document Approval Authorities

AUP operates in accordance with the policies articulated in the Auxiliary Manual, AUP Leadership and Management Guide, and various implementing and process guidance authorized by the LMG. The table below stipulates the level at which each type of document must be approved, wherein the guidance must not conflict with any other guidance issued at a higher level.

Document Type	Purpose and Examples	Approval
<b>Coast Guard Policy</b>	Coast Guard policy for the entire Auxiliary program.	See AUXMAN
<b>AUP Policy</b>	Official policy for the Auxiliary University Program.	NACO + BSX
<b>Implementing Guidance</b>	Tactical guidance related to implementing the program as described in the LMG.	DIR-S
<b>Process Guidance</b>	Step by step guidance pertaining to staff members' carrying out individual business processes in support of the program.	DVC-SU

## Appendix C - Coast Guard Recruiting Command Memo

U.S. Department of  
Homeland Security  
  
United States  
Coast Guard



Commanding Officer  
United States Coast Guard  
Recruiting Command

Mail Stop 7500  
USCG 4200 Wilson Blvd Ste 600  
Arlington, VA 20598-7500  
Staff Symbol: CG RC Ops-ms  
Phone: (703)872-6839

16790  
22 Jul 2014

### MEMORANDUM

From: R. A. LaBrec, CAPT  
CG RC-c

Reply to: Mission Support  
Attn of: LT A. Thomas

To: Distribution

Subj: AUXILIARY UNIVERSITY PROGRAM (AUP) AND COAST GUARD  
RECRUITING COMMAND (CGRC) INFORMATION SHARING AND  
COLLABORATION AGREEMENT

Ref: (a) U.S. Coast Guard Auxiliary University Programs Program of Study  
(b) Coast Guard Recruiting Command Recruiting Standard Operating Procedure

1. BACKGROUND and OPPORTUNITY. As per reference (a), the Coast Guard Auxiliary University Program (AUP) provides an opportunity for students on college campuses to affiliate with the Coast Guard Auxiliary and pursue curriculum in Coast Guard centric academic training. AUP courses include oceanography, navigation, weather, incident management, boat operations, etc. Additionally, students who graduate from the program complete at least one auxiliary operational qualification. AUP units rely heavily on local flotillas and Coast Guard units to achieve academic and operational requirements. AUP represents an opportunity to facilitate greater awareness of Coast Guard missions and accessions programs for college students. AUP programs can be initiated anywhere, and can truly impact the Coast Guard's ability to be more visible with academically oriented young men and women. Students who participate in AUP develop skills and leadership that directly translate to performance of real Coast Guard missions. This experience, in turn, makes the student more qualified for Coast Guard enlistment or commissioning. Recognizing the opportunity for mutual benefit, CG RC and AUP shall collaborate and share information with the goal of creating programs in new locations to act as force multipliers for recruiting offices, and likewise make Coast Guard opportunities better known and accessible to current AUP students.

2. COMMITMENT TO COLLABORATE. Students and prospective applicants for active duty and reserve Coast Guard opportunities benefit from the relationship between Coast Guard Recruiting Command (CG RC) and Auxiliary University Programs (AUP). The two organizations work together to create service opportunities for students, a high quality pool of potential recruits from which CG RC can draw, and a AUP student manpower from which local Auxiliary and active duty units may draw. Specifically:

## U.S. Coast Guard Auxiliary University Programs (AUP)

Subj: AUXILIARY UNIVERSITY PROGRAM (AUP) AND COAST GUARD RECRUITING COMMAND (CGRC) INFORMATION SHARING AND COLLABORATION AGREEMENT 16790 22 Jul 2014

- a. AUP provides CG RC access to student and alumni records so CG RC can reach out to prospective officer and enlisted recruits, and so CG RC can vet applicants on the basis of their AUP accomplishments.
  - b. CG RC educates its recruiters on AUP, and AUP educates its students on the process of applying to active duty and reserve accession programs; AUP students having difficulty with this process may utilize their chain of leadership to resolve issues with a CG RC point of contact.
  - c. CG RC and AUP work to establish and maintain shared presence at the nation's maritime and military academies, thereby increasing the number of student Auxiliarists as well as the size and quality of the CG RC recruiting pool.
3. PROGRAM MANAGEMENT. A web page within the secure AUP Portal will house CG RC information of interest for AUP students and staff, and will provide up to date points of contact. The programmatic relationship between CG RC and AUP is managed by the points of contact listed below.
- a. CG RC POC – LT Ashly Thomas, Mission Support, Officer Programs.
  - b. AUP POC (program management and personnel) – Ms. Kathleen Jennings, Auxiliary Strategic Planning, University Programs (sup), Program Management.
  - c. AUP POC (unit / campus operations) – Mr. Jake Shaw, Auxiliary Strategic Planning, University Programs (sup), Operations; will work directly with the CG RC POC and with field personnel supporting AUP Units at maritime and military academies nationwide.
4. APPLICATION TO CG RC PROGRAMS. Graduation from AUP is a significant achievement. It demonstrates an advanced level of knowledge and commitment on the part of the applicant, and allows CG RC to select from an ever higher quality pool of talent.
- a. CG RC will consider the service and education of AUP students and alumni as a part of its competitive application process for enlistment and commissioning.
  - b. Applicants complete the same process prescribed for applicants not enrolled in AUP, but should note their AUP status and provide an AUP transcript as part of their application package. The applicant's AUP Unit Officer will help to arrange mock interviews (for officer applicants) with local active duty officers prior to the applicant's actual interview, and can request assistance from CG RC (if needed) through the AUP Personnel Program Manager.



# U.S. Coast Guard Auxiliary University Programs (AUP)

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- c. Applicants should wear the CG RC-prescribed uniform at their interview(s) and upon reporting to New London / Cape May.
  - d. CG RC will educate its recruiters and selection boards so that the value of the AUP experience and credential is well understood by those facilitating and deliberating on the application.
5. RECORD SHARING. AUP shares its student and alumni records with CG RC so that CG RC can (1) Target recruiting outreach to the most outstanding AUP students who have indicated an interest in active or reserve service and (2) Evaluate applicants in light of their AUP record. AUP facilitates this process by providing CG RC with the following:
- a. Current copy of the AUP Program of Study and graduation requirements so that applicants can be evaluated against most current standards.
  - b. Logical access (username and password) for the CG RC POC to access the D4H (AUP's electronic student information management system) to view individual student and alumni records, qualifications, and experience. Access will include ability to export reports listing all AUP students and alumni, basic details, and current AUP status indicating whether student is still in the program, graduated, transferred, incomplete, etc.
  - c. A data field in D4H that individual students can update for themselves indicating if they wish to opt out of communication with CG RC concerning active or reserve service, so that CG RC can target recruiting outreach appropriately.
  - d. D4H access must be transferred upon permanent change of station for the CG RC POC. CG RC will communicate this transfer to AUP so that the account change can be made.

6. MARITIME AND MILITARY ACADEMIES. CG RC and AUP establish and maintain AUP Units at the nation's maritime and military academies as a shared recruiting, training, and operational resource. The potential for success of these units is greatest when a local command provides a collateral duty junior officer or chief petty officer to serve as the Unit Officer, the local Auxiliary flotilla provides local human resources / training / operational support for student Auxiliary members, and CG RC provides a petty officer from a nearby Recruiting Office to serve as Campus Liaison Officer and facilitate the success of the unit on campus. AUP provides program management oversight to these units as it does to any other unit at a civilian college. CG RC will work with AUP to identify academies where need and potential for success are greatest, and will assist in making inroads with school administration, recruiting offices, and local Coast Guard commands.

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7. METRICS FOR EVALUATING SUCCESS. CG RC and AUP have established the following as initial metrics for measuring success. These metrics will be evaluated and refined on a continuous basis.

- a. Establish a baseline of annual applicants for officer programs using historic data. This data will begin with FY14, at a minimum. CG RC and AUP will endeavor to increase the applicant pool by five every fiscal year. Likewise, this data will be compared to the number of AUP applicants who are selected, rendering an average selection rate for AUP students compared to civilians and current active duty or reserve CG members.
- b. Establish a baseline of annual enlistments for active duty and reserve programs, using historic data. This data will begin with FY14, at a minimum. CG RC and AUP will endeavor to increase the number of enlistments by five every fiscal year.
- c. Track the disposition of active duty applicants in the CG, by FY, since the inception of the program in 2007. This data will answer “what are they doing today,” and render an anecdotal assessment of applicant quality.

8. FUTURE GOALS. CG RC and AUP will continuously improve opportunities available to students, quality of graduates available for application to CG RC programs, and visibility of the Coast Guard on college campuses themselves. The POCs will work together on the following medium to longer term goals:

- a. Inclusion of AUP on the GoCoastGuard.com website as an option for college students interested in Coast Guard or Coast Guard Auxiliary service.
- b. Inclusion of AUP students as a metric in the CG RC Officer Application Job Aid Kit (O-JAK) i.e. the number of AUP applicants vs. the number of AUP applicants selected, by program. This will establish a mechanism for documenting item 7.a, in addition to achieving transparency in the relative success of AUP applicants vs. other applicants (due to the fact that the O-JAK is publically available).
- c. Inclusion of this Memorandum as an appendix to the CG RC Recruiting SOP.
- d. Exploring the feasibility of establishing a standard by which AUP graduates might be eligible to apply for Coast Guard Direct Commission Officer (DCO) and similar programs. This goal will include examining whether it is feasible to implement incentives for active duty enlistment (beyond what is already in place as per Ch 4.E.5.b.(6) of the SOP) and OCS competition.
- e. Development and distribution of shared marketing materials. A draft AUP flyer is attached as per enclosure (1) to this memorandum for consideration.

## U.S. Coast Guard Auxiliary University Programs (AUP)

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- f. Distribute CG RC's Officer Application Job Aid (O-JAK) attached as per enclosure (2) to AUP staff, mentors, and AUP students.
  - g. Pursue establishment of a new AUP at the Massachusetts Maritime Academy.
  - h. Pursue establishment of a new AUP at a MSI (Minority Serving Institute) in a coastal area.
9. CANCELLATION. This agreement may be terminated at any time, upon mutual consent of both parties and in writing.

#

Enclosures: (1) AUP Program Flyer (Draft)  
(2) CG RC Officer Application Job Aid Kit (O-JAK)

Dist: Division Chief, Auxiliary University Programs  
CG RC Mission Support  
CG RC Mission Execution  
CG RC Accessions  
CG RC Advertising

Copy: ANACO-PP  
DIR-S  
DIR-Sd

## U.S. Coast Guard Auxiliary University Programs (AUP)

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