
Section G. Informal Disciplinary Action

Introduction Informal disciplinary action provides the structured, non-judicial course of action that an Auxiliary unit elected leader or appropriate appointed leader (hereinafter referred to as “the leader”) should follow when the determination is made pursuant to provisions of section F of this chapter that a minor violation of Coast Guard or Auxiliary policy has occurred. It is meant to document and address the commission and correction of such violation.

Although the Director, Chief Director, and Coast Guard commands that exercise order issuing authority over Auxiliarists may administer informal disciplinary action as described in this section, it is principally designed and intended for application by the Auxiliary chain of leadership and management.

G.1. Infractions Warranting Informal Disciplinary Action Infractions that may warrant informal disciplinary action include, but are not limited to:

- a. Failure to apply and adhere to Coast Guard core values in the conduct of Auxiliary programs.
- b. Exerting a disruptive influence upon the conduct of Auxiliary business.
- c. Flagrant and/or repeated uniform or grooming violations.
- d. Unintentionally compromising or mishandling Coast Guard or Auxiliary examinations, privacy act information, or sensitive official message traffic or correspondence.
- e. Unwarranted violations or abuse of the chain of leadership and management. See paragraph C.1 of Chapter 1 relative to policies regarding the chain of leadership and management.
- f. Failure to follow procedures prescribed by Coast Guard or Auxiliary written directives, procedures, standing rules, or policies. In reviewing a complaint of this nature, the facts must show that the Auxiliarist had knowledge or reasonably should have had knowledge of the directives, procedures, standing rules, or policies.
- g. Misrepresentation in official correspondence or reports.
- h. Misrepresenting Coast Guard authority, rank, Government title, or Auxiliary position or status, either implied or by design.
- i. Failure to follow established patrol procedures as prescribed by written directives or policies.
- j. Failure to follow published Auxiliary web policies and guidelines.

**G.2. Elements
and Types of
Informal
Disciplinary
Action**

In the administration of any type of informal disciplinary action, the nature of such action shall be documented and communicated by the leader to the Auxiliarist who is subject of the action, in writing (by memo or letter), within 10 days of that leader's determination of the propriety of such disciplinary action. This documentation may be combined with the notification required by paragraph F.6 of this chapter. Copies of such correspondence shall be provided to all those who were initially notified of the investigation, including the appropriate Director even in situations that involve National elected staff officers, aides, and committee members.

**G.2.a. Elements
of Informal
Disciplinary
Action**

The leader shall ensure that such correspondence describes, as a minimum:

- (1) The unacceptable conduct.
 - (2) Any specific deficiencies on the part of the Auxiliarist.
 - (3) That any statements submitted by the Auxiliarist were considered.
 - (4) The expected and acceptable behavior.
 - (5) The effective period of the action (which shall not exceed three years from the date of issuance.
 - (6) The right to appeal as described in paragraph G.3 below.
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**G.2.b. Types of
Informal
Disciplinary
Action**

Types of informal disciplinary action that may be administered pursuant to this section include:

- (1) Counseling session.
- (2) Suspension of web privileges.
- (3) Letters of Caution.

These types of informal disciplinary action may be administered individually or in combination.

**G.2.c.
Counseling
Session**

A counseling session is a documented discussion between the leader, the complainant (if other than the leader), and the subject Auxiliarist. It may be applied for any circumstance that has been determined to warrant informal disciplinary action.

**G.2.d.
Suspension of
Web Privileges**

Suspension of Auxiliary web privileges may be applied as an informal disciplinary action for violation of Auxiliary web policies and guidelines.

**G.2.e. Letter of
Caution**

A Letter of Caution shall be specifically titled as such and addressed to the Auxiliarist who is subject of the informal disciplinary action. It may be applied for any circumstance that has been determined to warrant informal disciplinary action. A Letter of Caution meets the requirement for documentation and communication described in paragraph G.2 above.

Auxiliary unit elected leaders, DIRs, ANACOs, and NEXCOM members are authorized to issue Letters of Caution.

In addition to its application as a tool of informal disciplinary action, a duly titled Letter of Caution may be independently issued by the above authorized elected and appointed officers, as well as elected officers in a Vice position at any organizational level, as a tool to address and improve performance of assigned staff duties and responsibilities. When so applied, a Letter of Caution is not subject to the provisions of section G of this chapter.

**G.3. Appeal of
Informal
Disciplinary
Action**

An Auxiliarist may appeal, in writing (memo or letter), an informal disciplinary action that is not purely counseling in nature (e.g., a Letter of Caution that only counsels an Auxiliarist may not be appealed). Such appeal must be made within thirty (30) days of the written date of the notification described in paragraph G.2 above. The recipient of the appeal shall ensure that a copy is provided to the Director and the Chief Director, as appropriate. Section J of this chapter contains additional appeal guidance.

**G.4.
Disposition
Upon
Completion of
Informal
Disciplinary
Action**

If no further disciplinary actions are recorded or pending upon completion of the informal disciplinary action's effective period, then the Director shall remove all associated documentation from the Auxiliarist's file. The documentation may also be removed at any time during the specified duration if the leader, upon joint review with the Director (or Chief Director, as appropriate) of present circumstances, determines that such removal is appropriate. Upon removal, a separate permanent record shall be retained by the Director for the sole purpose of documenting prior disciplinary action should the need arise. The leader may also retain such a file.

H.5.
Disenrollment

Disenrollment may be exercised as a form of formal disciplinary action. When so exercised, it shall not be applied in conjunction with any other form of disciplinary action.

The authority for disenrolling an Auxiliarist rests with the Commandant, who has delegated this authority to the Director and the Chief Director. No Auxiliarist may disenroll another Auxiliarist.

**H.5.a. Basis for
Disenrollment**

The Director (or the Chief Director, as applicable) may exercise the authority to disenroll a member for any one of the following reasons:

- (1) Upon an Auxiliarist's request.
- (2) Pursuant to provisions regarding the failure to pay financial obligations (i.e., dues).
- (3) Upon an Auxiliarist's ceasing to possess the qualifications for membership, including pursuant to formal disciplinary action.
- (4) For cause.
- (5) Upon direction of the Commandant.
- (6) Upon death.

Subsequent to all disenrollments, the Director shall make appropriate notifications to ensure the individual is appropriately removed from distribution lists (e.g., removal from electronic address lists).

**H.5.a.(1) Upon
Request**

An Auxiliarist may request disenrollment at any time at their prerogative. Such request must be in writing and submitted to the FC. The FC shall promptly forward all such requests to the Director, with a copy to the DCDR and the DSO-HR. Appropriate efforts should be made by the Auxiliarist's chain of leadership to determine the reason for such request before it is forwarded to and processed to completion by the Director, but nothing shall unduly hinder an Auxiliarist's desire to disenroll.

If an Auxiliarist still wishes to resign after consultation with the chain of leadership, then the Director will request return of the Auxiliarist's ID card and the return of any Government or Auxiliary owned property in the Auxiliarist's possession. Upon receipt of the written request, the Director shall remove the Auxiliarist's name from the regional AUXDATA rolls and provide written acknowledgement to the individual of their request, service, and disenrollment.

If an Auxiliarist's request for disenrollment is received by anyone in the chain of leadership at any time while the Auxiliarist is subject of investigative action that may result in any form of disciplinary action, then the Director shall be immediately notified of such request. The request shall be processed as normal. However, the Director may withhold disenrollment action, given these circumstances, until completion of the investigation and any subsequent disciplinary action. Such action by the Director shall not be subject to appeal.

H.5.a.(2) Failure
to Pay Financial
Obligations

It is the responsibility of all Auxiliarists to meet their financial obligations (i.e., payment of dues) in accordance with regional and local provisions and timelines. Failure to do so shall result in disenrollment. Upon removal of the Auxiliarist's name from the regional AUXDATA rolls, the Director shall provide written acknowledgement to the individual of their service and disenrollment. This disenrollment action shall not be subject to appeal. The Director may restore the Auxiliarist's time, certifications, and all aspects of membership status if the Auxiliarist applies for re-enrollment, concurrent with full restitution, within three months of disenrollment.

H.5.a.(3)
Ceasing to
Possess
Qualifications
for Membership

The Director may disenroll an Auxiliarist whenever it is determined that the Auxiliarist ceases to possess any of the qualifications for membership set forth in this chapter. This includes a determination made pursuant to investigation that results in disenrollment as the appropriate form of disciplinary action.

H.5.a.(4) For
Cause

Any infraction outlined in this section and sections F and G of this chapter may lead the Director to disenroll a member. However, if in the Director's opinion, an Auxiliarist's action(s), though not cited in this section and sections F and G of this chapter, has a disruptive impact that adversely affects the normal operations, administration, functions, and/or resource allocations to support them for the Auxiliary, Coast Guard unit, or other entity, then the Director may take appropriate disciplinary action including disenrollment. Appeal of such action may be made pursuant to section J of this chapter.

The Director shall take such action based upon all available information presented or after initiating further inquiry to gather additional relevant facts when, in the Director's judgment, it is deemed necessary. Such detrimental conduct may arise from a single incident or be the result of a pattern of conduct which warrants immediate disciplinary action by the Director so as to preserve program integrity and/or the good order of the Auxiliary.

H.5.a.(5)
Commandant
Direction

When so directed in writing by the Commandant, an Auxiliarist will be disenrolled by the Director.

H.5.a.(6) Death

An Auxiliarist's death should be verified by the best available means before disenrollment action is taken. Upon removal of the Auxiliarist's name from the regional AUXDATA rolls, the Director should provide written acknowledgement to the next-of-kin of their service. If no next-of-kin can be readily identified, then such acknowledgement should be addressed to the Auxiliarist's FC.
