



# U. S. Coast Guard Sector



## Auxiliary Assistant Marine Casualty Investigator

## Performance Qualification Standard

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## Sector Training Guide

### Auxiliary Assistant Marine Casualty Investigator Performance Qualification Standard

#### Qualification Code: AUX-FO

This booklet is one section of your personal on the job training (OJT) manual. It is your OJT guide to qualification as an Auxiliary Assistant Marine Casualty Investigator. It is your responsibility to document completed unit training items.

The Marine Investigations Specialty, which includes the Marine Casualty Investigator competency, is considered an advanced level specialty of the Marine Safety program. Active duty members assigned to Investigations billets are required to be familiar with marine safety laws and regulations through prior training and qualification as a marine inspector, port state control officer, or facilities inspector. As such, this same progression is expected of Auxiliarists that wish to pursue the Auxiliary Assistant Marine Casualty Investigator competency. That is, Auxiliarists must hold two Auxiliary Assistant Marine Inspector qualifications before they can obtain the Auxiliary Assistant Marine Casualty Investigator qualification.

Verifying Officers shall be experienced and qualified personnel who have demonstrated the ability to evaluate, instruct, and observe other personnel in the performance task criteria. Verifying Officers must be certified in the competencies for which they are to verify and must be Sector command designated. Verifying Officers must enter their title, name, and initials in the Record of Verifying Officers section before making entries in your workbook.

A Verifying Officer shall observe your successful performance of each task and document such with date and initials in the appropriate space provided in this booklet. It may be necessary to perform a task several times. The Verifying Officer will not give credit for any task that is not performed satisfactorily.

*Auxiliarists do not have law enforcement authority. They cannot independently exercise COTP, OCMI, FMSC or FOSC authority and may become personally liable for actions they take outside of prescribed directives. Do not allow an Auxiliarist to be placed in a position that will compromise the limitations on the member's authority.*

*Auxiliarists involved in activities related to Civil marine casualty investigations must be under the direct "shoulder to shoulder" supervision of a designated Investigating Officer.. Auxiliary Assistant Marine Casualty Investigators shall not initiate any action/boarding or have direct contact with witness to a marine casualty unless a designated Investigating Officer is present.*

When you have completed all of the items required for this qualification, your COTP will issue a Letter of Designation. You must forward a copy of your Letter of Designation to your DIRAUX for entry into AUXDATA. Should any item be waived the qualification is considered local and will not be entered into AUXDATA and may not be used toward qualification for the Trident device.

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## Auxiliary Assistant Marine Casualty Investigator

<b>RECORD OF VERIFYING OFFICERS</b>		
<b>Title</b>	<b>Verifying Officer's Name</b>	<b>Initials</b>

<b>RECORD OF MAJOR TASKS COMPLETED</b>		
<b>Task Number</b>	<b>Major Tasks</b>	<b>Date Completed</b>
1.0	Prepare for Investigation	
2.0	Initiate Investigation	
3.0	Generate an Incident Timeline	

## Auxiliary Assistant Marine Casualty Investigator

<b>RECORD OF COMPLETION</b>		
<b>Training Prerequisites</b>	<b>Date</b>	<b>Verifying Officer's Signature</b>
A. Completion of the following Auxiliary Assistant qualifications:		
1. Two (2) Auxiliary Assistant Inspection qualifications		
B. Completion of correspondence courses:		
1. Introduction to Marine Safety and Environmental Protection (IMSEP)		
2. ICS 100		
3. ICS 200		
4. ICS 210 <b>or</b> ICS 300		
5. IS 700		
6. IS 800		
C. Favorable DO PSI if required by COTP/OCMI		
D. Completion of PQS Workbook.		
E. Successful completion of unit level oral board.		
F. Designation Letter submitted for approval.		

All qualification requirements have been satisfactory completed by \_\_\_\_\_.

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# Auxiliary Assistant Marine Casualty Investigator

## References

The following references will aid you in completing the majority of tasking in this PQS.

- Area Contingency Plan
- Emergency Response Guidebook
- Federal Water Pollution Control Act (FWPCA) (33 USCA §§1251 – 1387)
- Freedom of Information Act (5 USC §552)
- International Maritime Organization (IMO) Resolution A.849(20) and A.884(21)
- Maritime Transportation Security Act of 2002 (46 USC 701)
- Oil Pollution Act of 1990 (OPA 90) (33 USCA §§2701 – 2761)
- Privacy Act (5 USC § 552a)
- Refuse Act (33 USC §407)
- The International Convention for Pollution from Ships, 1973, as modified by the Protocol of 1978 (MARPOL 73/78)
- The International Convention for the Safety of Life at Sea (SOLAS)
- Title 29 Code of Federal Regulations Part 1910.120
- Title 33 Code of Federal Regulations: CHAPTER I (this encompasses all below)
  - Subchapter A General
  - Subchapter C Aids to Navigation
  - Subchapter D International Navigation Rules
  - Subchapter E Inland Navigation Rules
  - Subchapter F - Vessel Operating Regulations
  - Subchapter H Maritime Security
  - Subchapter K Security of Vessels
  - Subchapter N Outer continental Shelf Activities
  - Subchapter NN Deepwater Ports
  - Subchapter O Pollution
  - Subchapter P Ports and Waterway Safety
  - Subchapter S Boating Safety
  - Part 20 - Rules of Practice, Procedure & Evidence for Formal Administrative Proceedings of the Coast Guard
- Title 40 Code of Federal Regulations, Parts 116,117, 261, and 302
- Title 46 Code of Federal Regulations: CHAPTER I (this encompasses all below)
  - Subchapter A Procedures Applicable to the Public
  - Subchapter B Merchant Marine Officers and Seamen
  - Subchapter C Uninspected Vessels
  - Subchapter D (Subpart 30.30) Tank Vessels
  - Subchapter E Load Lines
  - Subchapter G Documentation and Measurement of Vessels
  - Subchapter H Passenger Vessels
  - Subchapter I Cargo and Miscellaneous Vessels
  - Subchapter I-A Mobile Offshore Drilling Units



## **Auxiliary Assistant Marine Casualty Investigator**

- Subchapter K Small Passenger Vessels Carrying More Than 150 Passengers or With Overnight Accommodations for More than 49 Passengers
- Subchapter L Offshore Supply Vessels
- Subchapter N Dangerous Cargoes
- Subchapter O Certain Bulk Dangerous Cargoes
- Subchapter S Subdivision and Stability
- Subchapter T Small Passenger Vessels (Under 100 Gross Tons)
- Subchapter V Marine Occupational Safety and Health Standards
- Subchapter W Lifesaving Appliances and Arrangements
- Title 49 Code of Federal Regulations, Parts 40 and 172
- Title 46 United States Code: SUBTITLE II (this encompasses all below)
  - Chapter 23 Operation of Vessels Generally
  - Chapter 33 Inspection Generally
  - Chapter 35 Carriage of Passengers
  - Chapter 61 Reporting Marine Casualties
  - Chapter 63 Investigating Marine Casualties
  - Chapter 77 Suspension & Revocation
  - Chapter 81 General
  - Chapter 83 Masters and Officers
  - Chapter 85 Pilots
  - Chapter 101 General
  - Chapter 103 Foreign and Intercoastal Voyages
  - Chapter 105 Coastwise Voyages
  - Chapter 106 Fishing Voyages
  - Chapter 107 Effects of Deceased Seamen
- U. S. Coast Guard Badges and Credentials, COMDTINST 5512.2 (series)
- U. S. Coast Guard Chemical Hazards Response Information System (CHRIS), COMDTINST M16465.12 (series)
- U. S. Coast Guard Civil Penalty Hearing Officer Procedures, COMDTINST M16200.5 (series)
- U. S. Coast Guard Civil Penalty Procedures and Administration, COMDTINST 16200.3 (series)
- U. S. Coast Guard Critical Incident Communications, COMDTINST 3100.8 (series)
- U. S. Coast Guard Freedom of Information (FOIA) and Privacy Acts Manual, COMDTINST M5260.3 (series)
- U. S. Coast Guard Incident Command System, COMDTINST 3120.14 (series)
- U. S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17 (series)
- U. S. Coast Guard Information and Life Cycles Management Manual, COMDTINST M5212.12 (series)
- U. S. Coast Guard Legal Authorities, COMDTPUB P5850.2 (series)
- U. S. Coast Guard Marine Casualty/Pollution Incident Investigations Job Aid

## **Auxiliary Assistant Marine Casualty Investigator**

- U. S. Coast Guard Marine Safety Manual, Volume II, III, IV, V, VI, IX, & X, COMDTINST M16000 (series)
- U. S. Coast Guard Navigation Inspection Circulars (NVIC)
- U. S. Coast Guard Notice of Violation User's Guide, COMDTINST M5582.1 (series)
- U. S. Coast Guard Office of Investigations and Analysis (CG-3PCA) Policy Letters
- U. S. Coast Guard Public Affairs Manual, COMDTINST 5728.2 (series)
  - Chapter 113 Official Logbooks
  - Chapter 115 Offenses and Penalties

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## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
<b>1.0</b>	<b>Prepare for Investigation</b>		
1.1	<b>Demonstrate</b> ability to use applicable United States Code, Code of Federal Regulations, Marine Safety Manuals, and Coast Guard Policy Letters.	_____	_____
1.2	<b>Discuss</b> and <b>demonstrate</b> a working knowledge of all listed references.	_____	_____
1.3	<b>Discuss</b> and <b>demonstrate</b> the proper use of: <ul style="list-style-type: none"> <li>• Charts</li> <li>• Coast Pilot</li> <li>• Tide tables</li> <li>• Tidal Current Tables</li> <li>• Light Lists</li> </ul>	_____	_____
1.4	<b>Discuss</b> and <b>demonstrate</b> a working knowledge of the International and Inland Navigation Rules.	_____	_____
1.5	<b>Discuss</b> and <b>explain</b> the purpose or use of the following official documents found aboard U.S. and foreign commercial vessels: <ul style="list-style-type: none"> <li>• Certificate of Inspection (COI)</li> <li>• Certificate of Documentation (COD)</li> <li>• Declaration of Inspection (DOI)</li> <li>• Load Line Certificate</li> <li>• International Oil Pollution Prevention Certificate (IOPP)</li> <li>• Shipboard oil Pollution Prevention Emergency Plan (SOPEP)</li> <li>• Safe Manning Document</li> <li>• Oil Record Book (ORB)</li> <li>• Certificate of Financial Responsibility (COFR)</li> <li>• Official Log Book</li> <li>• Certificate of Compliance</li> <li>• SOLAS Documents</li> <li>• International Safety Management System (Safety Management Certificate and Document of Compliance)</li> <li>• Cargo Record Book</li> </ul>		

## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.5 (Cont)	<ul style="list-style-type: none"> <li>• Shipboard Marine Pollution Emergency Plan (SMPEP) Oil Transfer Procedures</li> <li>• Continuous Synopsis Record</li> <li>• Vessel Response Plan</li> <li>• International Safety Security Certificate</li> </ul>	_____	_____
1.6	<b>Explain</b> the difference between Gross, Net, and International Tonnage.	_____	_____
1.7	<b>Discuss</b> and <b>demonstrate</b> a working knowledge of the common types of merchant mariner credentials and endorsements.	_____	_____
1.8	<b>Explain</b> the Freedom of Information Act (FOIA): <ul style="list-style-type: none"> <li>• The procedure a public citizen must follow to obtain information under the FOIA</li> <li>• What information cannot be released under FOIA</li> <li>• Who can deny the release of information under FOIA</li> <li>• Who has the authority to release information on incident investigation</li> </ul>	_____	_____
1.9	<b>Explain</b> the Privacy Act: <ul style="list-style-type: none"> <li>• The purpose of the Privacy Act</li> <li>• What information is protected</li> <li>• Who is subject to the Privacy Act</li> </ul>	_____	_____
1.10	<b>Discuss</b> the Health Insurance Portability and Accountability Act (HIPAA) as it pertains to Casualty Investigations.	_____	_____
1.11	<b>Explain</b> the jurisdictional differences between a State Licensed and a Federally Licensed Pilot.	_____	_____
1.12	<b>Define</b> the following terms: <ul style="list-style-type: none"> <li>• Exclusive Economic Zone (EEZ)</li> <li>• Territorial Sea</li> <li>• Contiguous Zone</li> <li>• Inland Waters</li> </ul>	_____	_____

## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.12 (Cont.)	<ul style="list-style-type: none"> <li>• Coastal Waters</li> <li>• Navigable Waters</li> <li>• COLREGS Demarcation Lines</li> <li>• Safety Zone</li> <li>• Security Zone</li> <li>• Regulated Navigation Area</li> <li>• Special Maritime Territorial Jurisdiction (SMTJ)</li> </ul>	_____	_____
1.13	<b>Explain</b> the purpose of the Preliminary Investigation.	_____	_____
1.14	<b>Define</b> the following terms, citing examples, and describe the related jurisdictional issues: <ul style="list-style-type: none"> <li>• Marine Casualty</li> <li>• Reportable Marine Casualty</li> <li>• Boating Accident</li> <li>• Serious Marine Incident</li> <li>• Significant Marine Casualty</li> <li>• Major Marine Casualty</li> <li>• IMO Serious Casualty</li> <li>• IMO Very Serious Casualty</li> <li>• Public/Non Public Vessel Casualty</li> <li>• Significant Harm to the Environment</li> </ul>	_____	_____
1.15	<b>Describe</b> the following forms and <b>demonstrate</b> their proper use: <ul style="list-style-type: none"> <li>• Report of Marine Accident, Injury or Death (CG-2692)</li> <li>• Barge Addendum (CG-2692A)</li> <li>• Report of Required Chemical Drug and Alcohol Testing Following a Serious Marine Incident (CG-2692B)</li> </ul>	_____	_____
1.16	<b>Discuss</b> the specific regulatory requirements pertaining to Serious Marine Incident (SMI).	_____	_____
1.17	<b>Discuss</b> who is responsible for ensuring the Drug and Alcohol Testing is performed in accordance with 46 CFR 4.06.	_____	_____

## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.18	<b>State</b> the notification requirements and who is required to make the notifications for the following: <ul style="list-style-type: none"> <li>• Major Marine Casualty</li> <li>• Significant Marine Casualty</li> <li>• Public/Non Public vessels (NTSB)</li> <li>• International Maritime Organization (IMO)</li> </ul>	_____	_____
1.19	<b>Explain</b> the differences between the chemical testing regulations in 46 CFR Part 4 and 46 CFR Part 16 and those in 33 CFR Part 95.	_____	_____
1.20	<b>State</b> the time limits for post casualty alcohol and drug testing. <b>List</b> resources available to assist with testing.	_____	_____
1.21	<b>Define</b> the term Party-In-Interest. <b>State</b> how/why Parties-In-Interest are designated and <b>describe</b> their rights.	_____	_____
1.22	<b>Review</b> a Report of Investigation from a Formal Investigation and <b>describe</b> the procedures for conducting a Formal Investigation.	_____	_____
1.23	<b>Demonstrate</b> a working knowledge of the "SHEL" model of investigation.	_____	_____
1.24	<b>Explain</b> the concepts of the Generic Error Modeling System (GEMS) method of analyzing human error.	_____	_____
1.25	<b>Explain</b> the uses of a Voyage Data Recorder (VDR) in a Marine Casualty investigation, which vessels are required to have a VDR installed and what data, at a minimum, does a VDR collect and how long is it stored.	_____	_____
1.26	<b>Explain</b> the uses of an Automated Identification System (AIS) in a Marine Casualty Investigation, which vessels are required to have AIS, and the limitations of AIS.	_____	_____

## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
1.27	<b>Explain</b> the uses of a Global Positioning System (GPS) in a Marine Casualty Investigation, how to obtain information from GPS, and the limitations of GPS.	_____	_____
<b>2.0</b>	<b>Initiate an Investigation</b>		
2.1	<b>Process</b> a notification in MISLE. <b>Determine</b> incident type.	_____	_____
2.2	<b>Identify</b> casualty reporting requirements.	_____	_____
2.3	<b>Assist in Conducting</b> a preliminary investigation. <ul style="list-style-type: none"><li>• <b>Identify</b> reporting exclusions and data entry exceptions</li><li>• <b>Determine</b> authority/jurisdiction</li><li>• <b>Determine</b> casualty type (reportable/non-reportable)</li><li>• <b>Assist in Determining</b> appropriate actions based on classification (major, significant, routine)</li><li>• <b>Determine</b> coastal or inland waters</li><li>• <b>Define</b> navigable waterway</li></ul>	_____	_____
2.4	<b>Assist in Determining</b> if the casualty is a serious marine incident (SMI) and what actions are required.	_____	_____
2.5	<b>Identify</b> Lead Investigative State/Substantially Interested State(s).	_____	_____
2.6	<b>Explain</b> the policy to determine the level of investigative effort: <ul style="list-style-type: none"><li>• Preliminary</li><li>• Data Entry Exceptions</li><li>• Data Collection</li><li>• Informal</li><li>• Formal</li><li>• Marine Board</li></ul>	_____	_____



## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
2.7	<b>Assist in Determining</b> level of investigative effort (brief command).	_____	_____
2.8	<b>Create</b> appropriate MISLE activities.	_____	_____
2.9	<b>Identify</b> and <b>coordinate</b> external and internal notifications.	_____	_____
2.10	<b>Gather/review</b> information with lead investigator. <ul style="list-style-type: none"> <li>• <b>Evaluate</b> site safety / risk assessment.</li> <li>• <b>Determine</b> responsible party/involved parties/parties in interest.</li> <li>• <b>Consult</b> with other CG personnel (i.e. Inspectors, IO's, Legal, SME's).</li> <li>• <b>Review</b> history for involved subjects, parties, and vessels.</li> </ul>	_____	_____
2.11	<b>Determine</b> necessary Personal Protective Equipment (PPE) and investigative equipment.	_____	_____
<b>3.0</b>	<b>Generate an Incident Timeline</b>		
3.1	<b>Demonstrate</b> how to retrieve Merchant Mariner Credential information on mariners from MISLE.	_____	_____
3.2	<b>Assist lead investigator in Collecting</b> factual information and <b>preparing</b> a written statement summarizing an on scene investigation.	_____	_____
3.3	<b>Identify</b> Evidence Types. <b>Demonstrate</b> and <b>describe</b> evidence process procedures for the following: <ul style="list-style-type: none"> <li>• Documentation</li> <li>• Physical</li> <li>• Testimonial</li> </ul>	_____	_____
3.4	<b>Describe</b> how to preserve evidence. <ul style="list-style-type: none"> <li>• Sketch</li> <li>• Photograph/video</li> </ul>	_____	_____

## Auxiliary Assistant Marine Casualty Investigator

<u>Task Number</u>	<u>AUX-FO Task</u>	<u>Date Completed</u>	<u>Verifying Officer's Initials</u>
3.5	<b>Demonstrate</b> completion of 96-hour work rest history form.	_____	_____
3.6	<b>Assist lead investigator in Interviewing</b> witnesses and Parties in Interest. <ul style="list-style-type: none"> <li>• <b>Describe</b> process for an Interview of a Witness and oral evidence as per MSM Vol V B.3. I.</li> <li>• <b>Describe</b> the warnings and notices of rights given to witnesses.</li> <li>• <b>Prepare</b> a written statement based on a verbal interview.</li> </ul>	_____	_____
3.7	<b>Assist lead investigator in Determining</b> if evidence of criminal violation exists. <b>Explain</b> how to make immediate appropriate notifications.	_____	_____
3.8	<b>Describe</b> how to record a Time Line and capture the Actions, Conditions, and Events.	_____	_____
3.9	<b>Demonstrate</b> proper completion of MISLE data entry for the following: <ul style="list-style-type: none"> <li>• MISLE Notification/Preliminary Investigation</li> <li>• Data Collection level investigation</li> <li>• Serious Marine Incidents</li> <li>• Enforcement referral</li> </ul>	_____	_____



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U.S. Department of  
Homeland Security

United States  
Coast Guard



## SAMPLE LETTER OF DESIGNATION

Command's Name

Street Address  
City, State Zip Code  
Staff Symbol:  
Phone:  
Email:

1601  
DATE

### MEMORANDUM

From: I. M. Frank, CAPT  
Unit's Name

Reply to  
Attn of:

To: M. O. Ore, USCG Auxiliary

Subj: DESIGNATION AS AUXILIARY ASSISTANT MARINE CASUALTY  
INVESTIGATOR

Ref: Auxiliary Assistant Marine Casualty Investigator Performance Qualification Standard  
Workbook

1. Congratulations! You have completed all requirements necessary to perform the duties of an Auxiliary Assistant Marine Casualty Investigator. You are authorized to carry out the responsibilities of an Auxiliary Assistant Marine Casualty Investigator within the scope of your qualifications. This is a significant milestone in your professional development and I commend your accomplishments.

2. This Letter of Designation should be retained as part of your personal Training Record and you will be assigned the Auxiliary Assistant Marine Casualty Investigator's Qualification Code "AUX-FO".

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