



ADMINISTRATIVE INVESTIGATIONS



"Veritas Sciatur"

INVESTIGATIONS 101 FOR FLOTILLA & DIVISION COMMANDERS

"Justice Delayed Is Justice Denied "

MAY25

O-DIRECTORATE

INV 101



ADMINISTRATIVE INVESTIGATIONS



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- **Housekeeping Rules**

- TURN OFF your camera (bandwidth) and MUTE your microphone.
- After the 45-minute instructional period, there will be a 15-minute Q&A section at the end of the instruction. The Q&A's will be selected from the chat window, so please submit your questions there.



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- **Housekeeping Rules**

- DO NOT ask any questions about specific investigations (or the potential for) that contain any "Personally Identifying Information" (PII) such as member names, flotilla – division – district numbers, or geographic regions.
 - If you have a specific question as to whether an investigation should be conducted or escalated to a National Level, please consult your Chain of Leadership & Management (COLM).



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- **Investigations 101 for Flotilla Commanders**

- "LEADER": Flotilla Level: Flotilla Commander – FC / Division Level: Division Commander – DCDR.
- If you are approached by a member of your flotilla lodging a complaint against another member in your flotilla:
 - ✓ **START: First determine if the complaint warrants an investigation.**
 - Does it violate the Coast Guard/Coast Guard Auxiliary Manual (AUXMAN)?
 - Seek the advice of legal counsel (DLO) through your Chain of Leadership and Management (COLM).
 - Make the determination within seven (7) days.



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- **Investigations 101 for Flotilla Commanders (cont.)**

- If you determine there is basis for an administrative investigation...
 - ✓ First appoint an investigator and notify the Chain of Leadership and Management.
 - The FC can appoint a member of the Flotilla, a committee (three (3) members), or can appoint himself/herself as the investigator.



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- **Investigations 101 for Flotilla Commanders (cont.)**

- ✓ Immediately notify the subject in writing of the investigation.*
 - Notification must include the following information:
 - The basic allegations of the investigation.
 - The name of the investigator.
 - The source of the investigation.
 - The right to provide a written response to the alleged misconduct.

* The O-Directorate website has a downloadable template for a **Notice of Investigation (NOI)**.



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** Located on the O-Directorate website*

The screenshot displays the O-Directorate website interface. On the left sidebar, the 'Reference / Templates' link is circled in red, with a red arrow pointing to it. The main content area features several resources: a 'SOP' (Standard Operating Procedure) document, two 'AUX INVESTIGATIONS 101' documents (one PDF, one Powerpoint), two 'USCG' policy documents ('Social Media Personal Use Policy' and 'Harassing Behavior, Prevention, Response, and Accountability'), and three templates: 'AUXILIARY CONVENING ORDER', 'AUXILIARY NOTICE OF INVESTIGATION', and 'AUXILIARY REQUEST FOR INVESTIGATION'. The 'AUXILIARY REQUEST FOR INVESTIGATION' template is circled in red, with a red arrow pointing to it.



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* *EXAMPLE: Notice of Investigations (NOI)*

- ✓ Replace items denoted in **RED** with your specifics

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



Memorandum

DAY MONTH YEAR

From: Commodore/ Position Jack Smith, Office Title
Area or District

To: Name of person who is being investigated

Subj: NOTICE OF INVESTIGATION PURSUANT TO AUXILIARY MANUAL 3.F.3.B.

Ref: (a) Coast Guard Auxiliary Manual COMDTINST M16790.1G

1. I have completed the preliminary review of the allegations of misconduct alleged against you by a member of the National Staff (it can be a position or the name of the individual) dated DAY MONTH YEAR.

2. The basic allegations are that you engaged in a pattern and practice of:

The basic allegations are that you engaged in a pattern and practice of ****BRIEF DESCRIPTION****

3. I have determined that an investigation is warranted and appointed Sean Peoples, Director of Administrative Investigations, on the DAY MONTH YEAR to conduct the investigation into the allegations and to submit an investigative report containing his conclusions and recommendations to me within sixty (60) days (however you can request it be done in 30 days. However, it's no longer than 60 days).

4. I am advising you that you have the right to address, in writing, the investigator or investigating committee prior to the investigator or investigating committee's report to me. You should contact the investigator or investigating committee by e-mail to determine the deadline for submitting your response.

5. The investigator(s) appointed shall follow the general guidance of Ref (b) as set forth by Ref (a) Section F.3.b, and shall report their findings, opinions, and recommended action to me in no more than 60 (Sixty) days (however you can request it be done in 30 days. However, it's no longer than 60 days) from the date of their assignment.

Copy: ANACO-CC or District Legal Officer or both



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- **Investigations 101 for Flotilla Commanders (cont.)**

- Once the Notice of Investigation (NOI) has been provided to the subject, immediately notify/forward (upon request) to your COLM.
 - ✓ Division Commander shall then forward/notify the District Chief of Staff (DCOS).
 - ✓ The investigation has "up to 60 days" to be completed.
 - Once completed, must be submitted to your Flotilla Commander (or whomever appoints the investigator) by the 60th day.
 - Failure to follow any of the procedures set forth in AUXMAN, Chapter 3, may give the subject of the investigation an opportunity to appeal your findings.
 - NOTE: The time clock starts at the date on the NOI, not the date of the alleged misconduct.



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- **Investigations 101 for Flotilla Commanders** (cont.)
 - THE INVESTIGATION
 - Refer to AUXMAN Chapter 3
 - ✓ Section F, G, H *Auxiliary Administrative Discipline* pg. 3-39 to 3-56



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- **Investigations 101 for Flotilla Commanders (cont.)**

- **THREE INVESTIGATIVE OUTCOMES:**

- ✓ If you determine the subject has committed the offense and if the behavior can be corrected by discipline at the level of a verbal/written "counseling" in your FC role, consult your DCDR and attempt to handle at that level.
- ✓ If you determine the subject has committed the offense you can also offer the recommendation of suspension up to disenrollment. ***Only the Director (DIRAUX) can determine if disenrollment should occur.***
- ✓ If you determine the subject has not committed the offense, you must notify them as well.



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• Investigations 101 for Flotilla Commanders (cont.)

○ RECAP:

- ✓ Ask yourself if the need for an inquiry/investigation can be handled locally without a conflict of interest or the allegation(s).
- ✓ If the allegations are "serious" enough, consult your COLM, who in turn should consult your DLO.
- ✓ If after consulting your COLM and the determination that it cannot be handled at the "lowest level" (per the AUXMAN), your COLM can request an investigation be escalated to the Division, District or National level.



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• THE DISCIPLINE PROCESS: Recommendations

- ✓ Consultation with your COLM, up through DIRAUX, will be required for levels of discipline beyond verbal counseling.

DISCIPLINE CONTINUUM	
Counseling Session	A private discussion between the member and a leader to address the issue and provide guidance on how to correct the behavior.
Suspension of Web Privileges	Temporary suspension of the member's access to certain online resources or platforms.
Letter of Caution	A written notice to the member outlining the issue and advising them to correct their behavior.
Suspension of Membership	Temporary suspension of the member's enrollment in the Coast Guard Auxiliary. This may include suspension of qualifications, certifications, and elected or appointed office.
Loss of Privileges	Removal of specific privileges, such as access to certain resources or participation in certain activities.
Formal Reprimand	A written reprimand that is placed in the member's official record. This serves as a formal notice of the violation and the corrective action taken.
Revocation of Membership	Permanent removal of the member (disenrollment) from the Coast Guard Auxiliary. This is the most severe form of disciplinary action and is used for serious violations



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Questions?

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**THANK YOU FOR YOUR CONTINUED
SERVICE AND SUPPORT!**



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Admin Services Group
ANACO-AS



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