



ADMINISTRATIVE INVESTIGATIONS



"Justice Delayed Is Justice Denied"

INVESTIGATIONS 101

for

FLOTILLA & DIVISION COMMANDERS

March 2025

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What if someone in your unit lodges a compliant against another in your unit?

- ✓ 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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Have you determined that is a 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 members), or appoint himself/herself as the investigator.
 - ✓ 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.

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Once the Notice of Investigation (NOI) has been provided to the subject, immediately notify/forward the NOI (upon request) to your COLM.

- ✓ The Division Commander shall then forward/notify the District Chief of Staff (DCOS).
- ✓ The investigation has "up to 60 days" to be completed.
 - Once completed, it 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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PREPARING FOR THE INVESTIGATION

Refer to AUXMAN Chapter 3

- ✓ *Section F Auxiliary Administrative Discipline pg. 3-39 to 3-44*
- ✓ *Section G Informal Disciplinary Action pg. 3-45 to 3-48*
- ✓ *Section H Formal Disciplinary Action pg. 3-49 to 3-56*

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THREE INVESTIGATION OUTCOMES

- ✓ If you determine the subject has **not** violated Auxiliary rules of conduct and behavior, you must notify him/her as soon as possible.
- ✓ If you determine the subject **has** committed the violation of Auxiliary rules of conduct and behavior 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 violation of Auxiliary rules of conduct and behavior, you can also offer the recommendation of **suspension** up to **disenrollment**. **Only the Director can determine if disenrollment should occur.**

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IMPORTANT

- ✓ Always ask yourself if the need for an inquiry/investigation can be handled locally, without a conflict of interest.
- ✓ If the allegations are serious enough, consult your COLM, and include your DLO.
- ✓ If after consulting your COLM and the making determination that this matter 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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THANK YOU FOR YOUR CONTINUED SERVICE AND SUPPORT!



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