



# Administrative Investigations (A.I.D.)

National O-Directorate

## PUBLICATION

### Investigations 101 for Flotilla Commanders



- **“LEADER”: Flotilla Level: Flotilla Commander – FC / Division Level: Division Commander – DCDR.**
- **EX: 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.
- **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 (3 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.***

- **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, it must be submitted to your Flotilla Commander (or whomever appoints the investigator) by the 60<sup>th</sup> day.
    - Failure to follow any of the procedures set forth in the AUXMAN, Chapter 3, may give the subject of the investigation an opportunity to appeal your findings.
    - The time clock starts at the date on the NOI, not the date of the alleged misconduct.
- **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*
  - ✓ 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.*
  - ✓ If you determine the subject has not committed the violation of Auxiliary rules of conduct and behavior, you must notify them as well.
- **RECAP:**
  - ✓ Ask yourself if the need for an inquiry/investigation can be handled locally without a conflict of interest or the allegation(s) are “egregious” enough, consult your COLM, which should include 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.