

U.S. COAST GUARD  
AUXILIARY  
DISTRICT 7  
DSO-LP FORM  
RFI 1

This is a fillable form

## U.S. COAST GUARD AUXILIARY

# REQUEST FOR PRELIMINARY INVESTIGATION

1. NAME OF REQUESTING AUXILIARIST and EMPID:

2. DST

DIV

FLT

070

3. THE NEXT HIGHEST AUXILIARY LEADER IN MY CHAIN OF LEADERSHIP AND MANAGEMENT OR APPLICABLE STAFF OFFICE IS:

NAME OF AUXILIARY LEADER

OFFICE OR POSITION HELD

I believe that the following member of the United States Coast Guard Auxiliary has violated the governing policies established by the Commandant, and I request that a preliminary investigation be conducted in accordance with COMDTINST M16790.1G Chapter 3.

4. NAME OF ALLEGED VIOLATOR and EMPID:

4. DST

4 DIV

4 FLT

070

5. DESCRIBE ALLEGED VIOLATION:

6 DATE(S) OF ALLEGED VIOLATION

7. LOCATION OF ALLEGED VIOLATION

8. FACTS SUPPORTING MY REQUEST:

9. DOCUMENTS SUPPORTING MY REQUEST:

10. THE FOLLOWING INDIVIDUALS WITNESSED THE EVENTS DESCRIBED ABOVE:

Witness Name:

What they witnessed:


**COMDTINST M16790.1G, Auxiliary Manual provides that: "All Auxiliarists should consider that in many situations, particularly those of a first-time and minor nature which might otherwise result in informal disciplinary action inappropriate or incorrect conduct is most appropriately and effectively dealt with on-the-spot and in non-confrontational fashion. Frank, mature, and respectful discussion of inappropriate or incorrect conduct, coupled with informal instruction on expected behavior and/or correct performance, often prevents any need to expend significant time and effort associated with administrative disciplinary processes.**

11. HAVE YOU TRIED TO RESOLVE THE VIOLATION INFORMALLY WITH ON-THE-SPOT IN A NON-CONFRONTATIONAL MANNER?

YES

NO

Not Applicable

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12. IF NO , WHY NOT:

13. IF YES DESCRIBE WHAT YOU DID AND THE RESULT:

**14. IN FILING THIS REQUEST, I ACKNOWLEDGE THAT AUXMAN 3-40 PROVIDES:**

**"An Auxiliarist for whom it is subsequently determined had attempted to employ Auxiliary administrative disciplinary policies in a frivolous, disruptive, or deliberately malicious manner may, as a consequence, subject themselves to administrative disciplinary action."**

**I CERTIFY THAT ALL INFORMATION CONTAINED HEREIN IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF.**

DATE: \_\_\_\_\_

\_\_\_\_\_  
REQUESTING AUXILIARIST

**THIS REQUEST IS TO BE SUBMITTED TO THE AUXILIARY LEADER YOU HAVE IDENTIFIED AT NO. 1 ABOVE.**

## INSTRUCTIONS

1.	Complete your name and Auxiliary EMPID
2.	Identify your Division and Flotilla
3.	Identify the next highest elected leader in your chain of leadership and management or the applicable next highest staff officer in your parallel staffing chain. This is the individual to whom the Request for Preliminary Investigated is directed.
4.	Identify the of the alleged violator giving their division and flotilla.
5.	Describe the violation in detail. If possible refer to the Auxiliary Manual. You may attach an addendum if necessary.
6.	When did the violation occur?
7.	Where did the violation occur?
8.	Identify the facts that support your complaint. Be as specific as possible. If your complaint is not supported by facts it will likely be denied.
9.	Identify and attach any documents that support your complaint.
10.	Identify any witnesses to the events that give rise to the complaint and what you believe they witnessed. You may attach an addendum if necessary.
11.	Have you tried to resolve the complaint by yourself in an informal manner?
12.	If you have not tried an informal resolution describe why you believe it was not necessary.
13.	If you did attempt an informal resolution describe what you did and the result.
14.	<p>By signing the request for preliminary investigation you acknowledge that the information presented is true and correct and that the request if filed for a proper purpose.</p> <p><b>SIGN AND SUBMIT THE COMPLETED FORM TO THE AUXILIARY LEADER YOU HAVE IDENTIFIED AT NUMBER 3. YOU MAY SUBMIT THE FORM TO THE AUXILIARY LEADER BY E-MAIL. PLEASE KEEP A COPY FOR YOUR RECORDS.</b></p> <p><b>PLEASE NOTE: THE PERSON YOU HAVE COMPLAINED AGAINST WILL RECEIVE NOTICE OF THE SUBSTANCE OF YOUR COMPLAINT. ANONYMOUS COMPLAINTS ARE RARELY AUTHORIZED: COMDTINST M16790.1G Auxiliary Manual, Chapter 3, Section F.2.b., page 3-42: Investigation Notification Requirements</b></p> <p><b>It is of utmost importance that the subject of any request for investigation be kept apprised of all aspects of associated proceedings in timely fashion. Accordingly, the leader shall immediately notify, in writing, any Auxiliarist who is subject of a request for investigation of the following:</b></p> <p><b>(1) The basic grounds for the request.</b>  <b>(2) The source of the request.</b>  <b>(3) The right to address, in writing, an investigator or investigating committee prior to any report to the elected leader.</b>  <b>(4) The elected leader's initial plan of action.</b></p> <p><b>The leader shall provide the Auxiliarist with similar timely notifications at appropriate waypoints throughout the process.</b></p>