



## DoD MANUAL 5106.06

### JOINT INSPECTORS GENERAL MANUAL

---

**Originating Component:** Office of the Inspector General of the Department of Defense

**Effective:** May 7, 2018

**Releasability:** Cleared for public release. Available on the DoD Issuances Website at <http://www.esd.whs.mil/DD/>

**Incorporates and Cancels:** DoD Instruction 5106.05, "Combatant Command Inspectors General—Implementing Procedures," July 14, 2006

**Approved by:** Glenn A. Fine, Principal Deputy Inspector General of the Department of Defense, Performing the Duties of the DoD Inspector General

---

**Purpose:** In accordance with the authority in DoD Directives (DoDDs) 5106.01 and 5106.04, this issuance:

- Implements the policies in DoDD 5106.04, assigns responsibilities, and provides procedures for Joint Inspector General (IG) activities.
- Describes relationships with other IGs, such as the Inspector General of the Department of Defense (IG DoD), Military Department IGs, and other Defense IGs.
- Serves as a reference document for Joint IG use.

## TABLE OF CONTENTS

SECTION 1: GENERAL ISSUANCE INFORMATION .....	6
1.1. Applicability .....	6
1.2. Information Collections .....	6
SECTION 2: RESPONSIBILITIES .....	7
2.1. IG DoD.....	7
2.2. DoD Component Heads .....	7
2.3. Secretaries of the Military Departments .....	8
2.4. CJCS .....	8
2.5. CCDRs .....	8
SECTION 3: JOINT IGS .....	10
3.1. General Management .....	10
3.2. Additional Responsibilities for CCMD IGS.....	10
3.3. Additional Responsibilities for Subordinate Unified Command, Joint Command, Joint Task Force, and Other Subordinate Joint Unit IGS.....	11
3.4. Joint IG Functions.....	11
a. Inspections.....	11
b. Investigations .....	11
c. Assistance.....	12
d. Teach and Train .....	12
e. Audits .....	12
3.5. Specific Programs Assigned to CCMD IGS for Oversight and Review .....	12
a. Intelligence Oversight Program .....	12
b. Information Operations Program .....	12
c. Personnel Accountability in Conjunction with Natural or Manmade Disasters .....	12
3.6. Facilitation, Coordination, and Assistance to OIG DoD .....	12
SECTION 4: IMPARTIALITY, INTEGRITY, AND OTHER REQUIREMENTS .....	13
4.1. Conflicts of Interest, Impartiality, and Integrity .....	13
a. Establishing Command Policy.....	13
b. Association with Individuals or Organizations.....	13
c. Joint IG Assignment to Non-Joint IG Assistance Functions .....	13
d. Joint IG Appointment as Uniform Code of Military Justice (UCMJ) Preliminary Hearing Officer or Investigation Officer .....	13
e. Duties That Disqualify a Joint IG .....	13
4.2. Qualifications for Joint IGS.....	13
a. Joint IGS .....	13
b. Combating Trafficking in Persons (CTIP) Training.....	13
4.3. Joint IG Positions.....	14
a. Temporary Assistant IGS (TAIG).....	14
b. Liaison IGS.....	14
c. Administrative Assistants.....	14
d. Assistant CCMD IGS.....	14
4.4. Resource Assessment.....	14
a. Joint IG Equipment Requirements .....	14

- b. Joint IG Manpower Reviews. .... 14
- SECTION 5: JOINT IG ACTION PROCESS (JIGAP) ..... 15
  - a. Receive the Request. .... 15
  - b. Conduct Joint IG Preliminary Analysis. .... 15
    - (1) Clarification of a Request..... 15
    - (2) Acknowledgement of Receipt of the Request..... 15
    - (3) Select a Course of Action..... 15
  - c. Make Notifications..... 16
  - d. Conduct Fact Finding..... 16
  - e. Make Notification of Results. .... 16
  - f. Conduct Follow-up..... 16
  - g. Close the Case..... 16
- SECTION 6: INSPECTIONS..... 17
  - 6.1. Joint IG Inspections. .... 17
  - 6.2. Joint IG Inspection Annual Plan. .... 17
    - a. Development of the Annual Inspection Plan. .... 17
    - b. Coordination of Joint Inspections. .... 17
    - c. Goals of Joint Inspections. .... 17
    - d. Functional CCMD Coordination with Other CCs. .... 18
  - 6.3. Joint IG Inspection Process..... 18
    - a. Phase 1: Preparation..... 18
      - (1) Research the Inspection Topic, Issue, or Area. .... 18
      - (2) Develop the Concept. .... 18
      - (3) Obtain Directing Authority Approval. .... 18
      - (4) Write the Detailed Inspection Plan..... 19
      - (5) Train the Inspection Team..... 19
      - (6) Conduct Pre-Inspection Visits..... 19
    - b. Phase 2: Execution..... 19
      - (1) Visit the Commands to be Inspected..... 19
      - (2) Conduct In-Process Reviews..... 19
      - (3) Update the Commander..... 19
      - (4) Analyze Results, Develop Findings, and Draft Report. .... 19
      - (5) Out-Brief the Proponent. .... 20
    - c. Phase 3: Completion. .... 20
      - (1) Out Brief the Commander. .... 20
      - (2) Finalize the Inspection Report..... 20
      - (3) Issue Taskers. .... 20
      - (4) Hand Off Verified Findings to Another Command for Resolution. .... 20
      - (5) Distribute the Inspection Report. .... 20
      - (6) Schedule a Follow-up..... 20
  - 6.4. Joint IG Inspection Considerations..... 20
    - a. Joint IG Inspection Performed Based on a Preliminary Analysis..... 20
    - b. Joint IG Consultation of Inspection Findings with Legal Counsel..... 21
    - c. Joint IG Participation on Other IG Teams. .... 21
    - d. Designation of Command Inspections Done by a Joint IG..... 21

- e. Group Interviews and Command Climate Surveys..... 21
- APPENDIX 6A: INSPECTION REPORT FORMAT - EXAMPLES ..... 22
- SECTION 7: INVESTIGATIONS..... 24
  - 7.1. Joint IG Investigations and Investigative Inquiries. .... 24
    - a. Administrative Investigations. .... 24
    - b. Criminal Investigations..... 24
  - 7.2 Preliminary Analysis..... 24
    - a. Declining to Pursue a Complaint. .... 24
    - b. Determination of a Joint IG Appropriate Complaint. .... 25
  - 7.3 Make Notifications..... 25
  - 7.4 Investigate A Complaint. .... 25
    - a. Obtain Legal Review..... 25
    - b. Submit Report to Directing Authority. .... 25
    - c. Make Notification of Results. .... 26
    - d. Conduct Follow-up. .... 26
    - e. Close the Case..... 26
  - 7.5. Types of Allegations Requiring Special Handling. .... 26
    - a. Allegation Against a CCMD IG..... 26
    - b. Allegations Against Senior Officials. .... 26
    - c. Allegations of Whistleblower Reprisal. .... 26
    - d. Reports of Urgent Concern Relating to Intelligence Activities..... 27
    - e. DoD Hotline. .... 27
  - 7.6. Military Service Notification. .... 27
- APPENDIX 7A: REDRESS AND RESOLUTION PATHS ..... 28
- APPENDIX 7B: FORMAT FOR A REPORT OF INVESTIGATION OR INVESTIGATIVE INQUIRY ..... 32
- SECTION 8: ASSISTANCE ..... 37
  - 8.1. Assistance. .... 37
  - 8.2. Assistance process. .... 37
  - 8.3. Assistance to Other Defense IGs. .... 37
- SECTION 9: INTELLIGENCE OVERSIGHT ..... 38
  - 9.1. Intelligence Oversight by the CCMD IG..... 38
  - 9.2. Quarterly Intelligence Oversight Report..... 38
  - 9.3. Questionable Intelligence Activity. .... 38
- SECTION 10: OVERSEAS CONTINGENCY OPERATIONS ..... 39
  - a. CCMD IG Deployment Plan..... 39
  - b. CCMD IG Office Structure..... 39
    - (1) Equipment Needs. .... 39
    - (2) Mix of CCMD IG Personnel..... 39
    - (3) Reserve Augmentees..... 39
    - (4) Training Assessment for Reserve Component Personnel. .... 39
  - c. CCMD IG Coverage of Remote Areas or Significant Increases in Unit Strength..... 39
  - d. Lead Inspector General (LIG) for OCO..... 39
- SECTION 11: ACCESS..... 40
  - 11.1..... 40
  - 11.2..... 40

11.3.....	40
SECTION 12: RECORDS .....	41
a. Joint IG Records Protection.....	41
(1) Unclassified Joint IG Records.....	41
(2) Classified Joint IG Records.....	41
(3) Joint IG Correspondence.....	41
(4) Joint IG Internal Document Management.....	41
(5) Disposition of Joint IG Records.....	41
b. Joint IG Records Release.....	41
(1) Official Use Requests.....	42
(2) Congressional Requests.....	42
(3) News Media Requests.....	42
(4) Requests for Records in Conjunction with Legal Proceedings.....	42
(5) Requests Processed Under FOIA and Privacy Act.....	42
c. Use of Joint IG Records for Adverse Action.....	42
d. Restrictions for Use of Joint IG Records.....	43
(1) Incorporation of Joint IG Records.....	43
(2) Reproduction Authority for Joint IG Records.....	43
(3) Use of Joint IG Records as Exhibits.....	43
SECTION 13: PROTECTION OF CONFIDENTIALITY .....	44
GLOSSARY .....	45
G.1. Acronyms.....	45
G.2. Definitions.....	46
REFERENCES .....	49
TABLES	
Table 1: Redress and Resolution Paths.....	28
FIGURES	
Figure 1: Inspection Findings .....	22
Figure 2: Inspection Observations .....	22
Figure 3: Inspection Notables .....	23
Figure 4: Inspection Commendables .....	23
Figure 5: Reasons for Joint IG to Decline to Pursue a Complaint – Examples.....	25
Figure 6: Format for a Report of Investigation or Investigative Inquiry - Example.....	32

## SECTION 1: GENERAL ISSUANCE INFORMATION

**1.1. APPLICABILITY.** This issuance applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (CJCS) and the Joint Staff, the Combatant Commands (CCMDs), the Office of the Inspector General of the Department of Defense (OIG DoD), the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the “DoD Components”).

### 1.2. INFORMATION COLLECTIONS.

a. The annual inspection plan coordination documents, referred to in Paragraph 6.2.b., do not require licensing with a report control symbol in accordance with Paragraph 1.b.(9) of Enclosure 3 of Volume 1 of DoD Manual (DoDM) 8910.01.

b. The group interviews and command climate surveys to contractors, referred to in Paragraph 6.4.e., are part of the investigation process and do not require licensing with an Office of Management and Budget control number in accordance with Paragraph 8a(2)(b) of Enclosure 3 of Volume 2 of DoDM 8910.01.

c. The complaints or allegations, referred to in Paragraphs 5.a. and 7.1., do not require licensing with a report control symbol in accordance with Paragraph 1.b.(8) of Volume 1 of DoDM 8910.01.

## SECTION 2: RESPONSIBILITIES

### 2.1. IG DoD. The IG DoD:

- a. Assists CCMD IGs by coordinating and clarifying DoD policy regarding Joint IG policies, duties, responsibilities, and functions.
- b. Develops, coordinates, conducts, and provides training and sets qualification standards regarding Joint IG duties, responsibilities, functions, procedures, and standards.
- c. Provides a forum for IG DoD issues.
- d. Assists and coordinates with the Joint Staff IG and the Military Departments on Joint IG issues of concern to the CCMDs and the Military Departments.
- e. Serves as the lead IG, associate IG, or participating IG when designated pursuant to Section 8L of Title 5, United States Code Appendix (also known as the “Inspector General Act of 1978, as amended”) for the specified overseas contingency operation (OCO). Provides policy, coordination, and guidance to CCMD IGs in cooperation with the IGs of other federal agencies during the interagency oversight of the specific OCO. See Section 10 for more information.
- f. Waives, at their discretion, the Combatant Commander (CCDR) requirement as described in Paragraph 2.5.a., and allows the appointment of DoD civilian officials in the grade of GS-15 or above as CCMD IGs.

### 2.2. DOD COMPONENT HEADS. DoD Component Heads other than the IG DoD:

- a. Designate a point of contact to coordinate IG matters with CCMD IGs.
  - (1) If DoD Components have an IG, the point of contact must be the DoD Component IG.
  - (2) If DoD Components do not have an IG, the point of contact will be the individual who is the DoD Component-designated official or the DoD Hotline Component Coordinator pursuant to DoD Instruction (DoDI) 7050.01.
- b. Provide assistance, including subject-matter experts as necessary, to the CCMD IGs and staff in the performance of their duties.
- c. Accept investigative or assistance referrals from CCMD IGs and process them in accordance with the procedures of the DoD Component.
- d. Coordinate and address CCMD IG issues with the IG DoD.

**2.3. SECRETARIES OF THE MILITARY DEPARTMENTS.** In addition to the responsibilities in Paragraph 2.2., the Secretaries of the Military Departments:

- a. Nominate qualified commissioned officers to serve as CCMD IGs in accordance with the Joint Manpower Document, when requested by the CCDR.
- b. Nominate qualified commissioned and noncommissioned officers (NCOs) to serve as members of the CCMD IG staff in accordance with the Joint Table of Distribution, when requested by the CCDR.
- c. Comment concerning the qualifications and suitability of any prospective Joint IG, when requested by the CCDR or CCMD IG.

**2.4. CJCS.** In addition to the responsibilities in Paragraph 2.2., the CJCS, through the Joint Staff IG:

- a. Provides assistance to CCMD IG offices as requested.
- b. Coordinates and consolidates, as appropriate, CCMD IG intelligence oversight reports submitted by CCMD IGs in accordance with CJCS Instruction 5901.01C and DoDD 5148.13.
- c. Serves as liaison between the IG DoD and the CCMD IGs for investigations, assistance, and inquiries as requested by the CCMD IGs or the IG DoD.
- d. Acts as the liaison between the Military Department IGs and CCMD IGs.
- e. Facilitates periodic discussions of issues and information concerning CCMD IGs and Military Department IGs.

**2.5. CCDRS.** In addition to the responsibilities in Paragraph 2.2., the CCDRs:

- a. Select and appoint officers, or appoint officers nominated by the Secretaries of the Military Departments in the grade of O-6 or above, to serve as their IG in full time separate positions.
- b. Provide administrative and support personnel and other resources as necessary to the CCMD IG and staff to accomplish assigned missions.
- c. Avoid assigning duties to CCMD IGs that will interfere or conflict with their ability to provide unbiased monitoring, inspections, investigations, and oversight of the CCMD's personnel or activities. See Section 4 of this issuance for additional guidance.
- d. Rate and evaluate the CCMD IG. This rating or evaluation may be delegated only to the Deputy CCDR.



e. Serve as the release authority or initial denial authority for all CCMD IG records. The CCDR may delegate CCMD IG records release authority or initial denial authority to the Deputy CCDR, Chief of Staff, or CCMD IG.

f. Determine that subordinate unified commands or joint task forces are adequately serviced by an IG, and informed of their right to access an IG.

g. Determine that subordinate unified commanders, joint commanders, joint task force commanders, and heads of other subordinate joint units:

(1) Oversee Joint IG functions within their command and ensure that their subordinate commands are adequately serviced by an IG.

(2) Where appropriate, select and appoint officers, commissioned and NCOs, or DoD civilians, or appoint officers nominated by the commanders of their appropriate Service component to serve as an IG, in a grade appropriate to the size of the organization.

(3) Accept investigative and assistance referrals from other Defense IGs and process them in accordance with applicable laws, policies, and regulations. If not accepted, reroute, as appropriate, and inform the referring office.

(4) Coordinate and address IG issues with the responsible CCMD IG, Office of Inspector General (OIG), and Defense IGs as appropriate.

(5) Promptly report all allegations of criminal activity to the responsible defense criminal investigative organization (DCIO), in accordance with DoDI 5505.16 and DoDI 5505.03.

(6) Maintain IG records and release them only when properly authorized in accordance with DoDDs 5400.07 and 5400.11, DoDI 5015.02, and Section 12 of this issuance.

## SECTION 3: JOINT IGS

**3.1. GENERAL MANAGEMENT.** Joint IGS will be fair, impartial fact finders and should:

- a. Establish plans to execute and accomplish their responsibilities.
- b. Establish and issue written internal policies and procedures to guide their staff. The written guidance should include procedures for receiving, controlling, screening, and assuring appropriate disposition of allegations involving waste, mismanagement, fraud, and abuse.
- c. Coordinate its activities with other organizations, such as other Defense IGS, to avoid duplication of effort.
- d. Maintain working relationships and networking channels with other military and federal IGS, as appropriate. CCMD IG's reporting relationship does not preclude a CCMD IG from supporting other IGS, including the IG DoD, the Joint Staff IG, Military Department IGS, DoD Component IGS, or other Federal Government IGS.

**3.2. ADDITIONAL RESPONSIBILITIES FOR CCMD IGS.** CCMD IGS should:

- a. Serve their respective CCDRs and support the members of the Armed Forces, when assigned or attached to the CCMD, DoD contractors (non-contract issue), and DoD civilian employees within the CCMD.
- b. Provide assistance to DoD civilians, retirees, DoD family members, and private citizens who seek help with problems related directly or indirectly to their respective CCMD.
- c. Report on the state of efficiency, discipline, morale, training, and readiness throughout the CCMD in support of the CCDR's intent.
- d. Perform investigations, inspections, teach and train, assistance functions, and audits as directed by the CCDR. CCMD IGS may inquire into any matter within the scope of the CCDR's authority while executing these functions.
- e. Coordinate issues or situations with the IG DoD and the Joint Staff IG when such issues or situations may potentially affect other CCMDs or DoD Components.
- f. When requested, support the OIG DoD when the OIG DoD is performing oversight of their CCMD or area of responsibility.
- g. Monitor and report on CCMD headquarters and subordinate joint intelligence organizations' intelligence oversight programs in accordance with DoDD 5240.01, DoDD 5148.13, DoDM 5240.01, and CJCS Instruction 5901.01C.
- h. Notify the Military Service concerned of allegations, adverse information, and investigative actions in accordance with Service requirements.

- i. Select CCMD IG staff using the appropriate procedures. When appropriate, CCMD IG may request input from the IG of the nominee's Military Service and provide the opportunity to comment on the qualifications and suitability of any prospective CCMD IG staff member.
- j. Ensure that CCMD IG staff members receive appropriate training.
- k. Inform the CCDR of observations and findings on all aspects of the CCMD.
- l. Report directly to either the CCDR or to the Deputy CCDR. This reporting relationship may not be further delegated.
- m. Form and maintain a staff comprised of military and civilian members as the CCDR deems necessary, to execute the duties of the office of the CCMD IG.

**3.3. ADDITIONAL RESPONSIBILITIES FOR SUBORDINATE UNIFIED COMMAND, JOINT COMMAND, JOINT TASK FORCE, AND OTHER SUBORDINATE JOINT UNIT IGS.** Subordinate unified command, joint command, joint task force, and other subordinate joint IGS should:

- a. Accept investigative and assistance referrals from other Defense IGs and process them in accordance with applicable laws, policies, and regulations. If not accepted, reroute, as appropriate, and inform the referring office.
- b. Coordinate and address issues with the responsible CCMD IG, IG DoD or Defense IGs as appropriate.
- c. Execute Joint IG functions in accordance with this issuance.
- d. Promptly report allegations of criminal activity to the responsible DCIO, in accordance with DoDI 5505.16 and DoDI 5505.03.
- e. Maintain records and release them only when properly authorized in accordance with DoDDs 5400.07 and 5400.11, DoDI 5015.02, and Section 12 of this issuance.

**3.4. JOINT IG FUNCTIONS.** Joint IG functions include inspecting, investigating, assisting, providing oversight of designated programs, teach and train, and auditing.

**a. Inspections.** The inspection function is the process of developing and implementing inspection programs, informing the CCMD staff and subordinate organizations of programs and policies, and conducting inspections. See Section 6 for additional guidance.

**b. Investigations.** The investigation function is the fact finding examination of allegations of impropriety by an individual or an adverse condition. This may include the violation of law, policy, or ethical standards including, but not limited to, allegations of fraud, waste, abuse, and mismanagement. See Section 7 for additional guidance.

**c. Assistance.** The purpose of the IG assistance function is to address issues presented by an individual. It generally requires informal fact finding to address or respond to a complaint involving a request for information or help with an issue that is not an allegation of impropriety or wrongdoing. See Section 8 for additional guidance.

**d. Teach and Train.** The teach and train function is an integral and embedded part of the other Joint IG functions of inspections, assistance, and investigations. Joint IGs are not the primary trainers of members of the Armed Forces; however, they may assist commanders in achieving disciplined and combat-ready units by providing advice or information based on their experience and knowledge. Joint IGs provide information about military systems, processes and procedures, and assess the command climate while assisting, inspecting, and investigating. Joint IGs also share lessons learned to enable others to benefit from experience.

**e. Audits.** When performing audits, Joint IGs will comply with the Government Auditing Standards, DoDI 7600.02, and DoDM 7600.07. Joint IGs also will comply with the requirements for contracting audits to non-federal entities established in DoDM 7600.07.

**3.5. SPECIFIC PROGRAMS ASSIGNED TO CCMD IGS FOR OVERSIGHT AND REVIEW.** CCMD IGS are responsible for oversight and review or inspection of specific programs as outlined in various issuances. CCMD IGS should be familiar with the relevant issuances and related guidance and include assigned oversight reviews in CCMD inspection plans.

**a. Intelligence Oversight Program.** CCMD IG organizations will review and report on the organization's intelligence oversight programs in accordance with DoDD 5148.13.

**b. Information Operations Program.** CCMD IG organizations will review and report on the organization's intelligence oversight role of its information operations program in accordance with DoDD 3600.01.

**c. Personnel Accountability in Conjunction with Natural or Manmade Disasters.** CCMD IG organizations will conduct biennial reviews of the personnel accountability programs in their respective organizations and forward a copy of the report to the Under Secretary of Defense for Personnel and Readiness in accordance with DoDI 3001.02.

**3.6. FACILITATION, COORDINATION, AND ASSISTANCE TO OIG DOD.** When requested by IG DoD staff, Joint IGs will facilitate, assist, and coordinate timely access to requested information when OIG DoD work is conducted in the Joint IG's area of responsibility to help ensure efficient and effective completion of OIG responsibilities. Joint IGs may perform this function or identify the appropriate point of contact to perform the function. Joint IGs or the identified point of contact should provide the OIG DoD staff timely access to requested facilities, sites, records, personnel, and other resources determined by the OIG DoD as needed to address work objectives.

## SECTION 4: IMPARTIALITY, INTEGRITY, AND OTHER REQUIREMENTS

**4.1. CONFLICTS OF INTEREST, IMPARTIALITY, AND INTEGRITY.** In order to avoid conflicts of interest or the appearance of a conflict of interest, to maintain impartiality, and to protect the integrity of the Joint IG Program, Joint IGs will adhere to the following prohibitions.

**a. Establishing Command Policy.** Joint IGs will not establish command policy except as provided in Joint IG policy documents. Joint IGs have no directive authority outside Joint IG channels beyond that normally associated with their grade. Any additional authority will come from their commander. This prohibition does not preclude Joint IG involvement in the policy formulation staffing process. Joint IGs may inform proponents about conflicts in regulatory or policy guidance, and comment on policies and procedures.

**b. Association with Individuals or Organizations.** Joint IGs will avoid association with individuals or organizations that may cause a reasonable person to question the impartiality or objectivity of the Joint IG.

**c. Joint IG Assignment to Non-Joint IG Assistance Functions.** Joint IGs will not be assigned to any non-Joint IG assistance or evaluative functions such as maintenance assistance teams, non-Joint IG inspection teams, readiness evaluation teams, or logistic review teams.

**d. Joint IG Appointment as Uniform Code of Military Justice (UCMJ) Preliminary Hearing Officer or Investigation Officer.** Joint IGs will not be appointed as a preliminary hearing officer or an investigating officer pursuant to Sections 832 and 938 of Chapter 47, Title 10 of the United States Code (also known and referred to in this issuance as Articles 32 and 138 of the UCMJ), or other regulations providing for the appointment of investigating officers. They also will not be appointed as a member of administrative separation boards.

**e. Duties That Disqualify a Joint IG.** Joint IGs will not be assigned duties that may subsequently disqualify them from conducting, or assisting in, impartial inquiries or investigations within their area of responsibility. Examples include staff duty officer or NCO, line-of-duty investigator, casualty assistance officer or NCO, member of interior guard force, member of an awards board, funeral detail, Staff Judge Advocate (SJA), military or civilian counsel, or any committee or function unless directly related to Joint IG matters.

### 4.2. QUALIFICATIONS FOR JOINT IGs.

**a. Joint IGs.** As a minimum, individuals who perform Joint IG functions must successfully complete the course for Joint IGs administered by OIG DoD within 120 days of appointment to perform the duties, responsibilities, and functions of a Joint IG.

**b. Combating Trafficking in Persons (CTIP) Training.** Pursuant to DoDI 2200.01, Joint IGs will receive specialized CTIP investigative professionals training in coordination with the CTIP Program Management Office.

### 4.3. JOINT IG POSITIONS.

**a. Temporary Assistant IGs (TAIG).** TAIGs are personnel not permanently assigned to the Joint IG office who are serving as subject matter experts or augmentees for a limited period of time or for a specified purpose. TAIGs may assist (but not lead) in the execution of the assistance, inspections, intelligence oversight, investigations, and teach and train functions. TAIGs may be commissioned or non-commissioned officers, or the civilian equivalents.

**b. Liaison IGs.** Liaison IGs are commissioned officers appointed to this additional, but temporary, duty by the joint commander upon request by the Joint IG. Liaison IGs assist a joint command IG's staff with receiving Joint IG action requests in population areas for which the Joint IG has responsibility, but from which the Joint IG and their staff is geographically separated.

**c. Administrative Assistants.** Administrative assistants are assigned to the Joint IG office and provide administrative assistance for the Joint IG staff. They do not lead, but may provide assistance to any of the Joint IG functions after successfully completing the DoD Joint IG Course.

**d. Assistant CCMD IGS.** Assistant CCMD IGS should be officers in the grades of O-4 or above, NCOs in the grades of E-7 or above, or civilians in the grades of GS-9 or above. Clerical personnel who do not perform CCMD IG functions need not meet the grade-level and other training requirements.

**4.4. RESOURCE ASSESSMENT.** Joint IGs should continually assess their resources in relationship to the tasks that the CDR has assigned.

**a. Joint IG Equipment Requirements.** Joint IGs should review their equipment requirements to determine whether adequate provisions have been made for contingency or combat operations (for example, tactical vehicles, infrastructure requirements, and communications equipment), including electronic communications and connectivity means.

**b. Joint IG Manpower Reviews.** Joint IGs should conduct manpower reviews to determine whether adequate provisions have been made for workload increases to support OCO. Training requirements for personnel selected to be Joint IGs during OCO will be the same as those in peacetime.

## SECTION 5: JOINT IG ACTION PROCESS (JIGAP)

Joint IGs generally use the JIGAP to process requests, complaints, issues, and allegations received. The JIGAP includes the following steps to assist Joint IGs in accomplishing all critical tasks in handling requests.

**a. Receive the Request.** A Joint IG may receive requests from any source, including anonymous sources, regarding operations, organizations, functions, and personnel. Individuals may submit requests directly to the Joint IG by initiating a hotline complaint or submitting a Joint IG action request. A Joint IG action request may be a request for assistance or information, a complaint, or an allegation. Joint IGs also may receive requests from other sources such as OIG DoD or the command office that handles Congressional liaison services. The Joint IG should open a case for each request received.

**b. Conduct Joint IG Preliminary Analysis.** The Joint IG should determine if the request is for assistance or information, or a complaint or an allegation. In this step, the Joint IG decides how best to proceed by identifying the issues, determining whether those issues are appropriate for Joint IG action, acknowledging receipt of the request, and developing a course of action.

(1) **Clarification of a Request.** The Joint IG should contact the requester, when known, to clarify the issues, complaint, allegations, or concerns. When an individual submits a request in person, the individual should be interviewed in a private location. The Joint IG should determine whether the individual filed the request with another agency, command, congressional office, or individual; or previously sought assistance from an appropriate source.

(2) **Acknowledgement of Receipt of the Request.** The Joint IG should acknowledge receipt of the request.

(3) **Select a Course of Action.** Once the Joint IG identifies all issues and allegations contained in the request, the Joint IG should determine the appropriate course of action for each issue or allegation. Joint IGs must promptly report criminal allegations to the appropriate DCIO, other criminal investigative organization, or law enforcement officials. Requests often contain matters that result in more than one course of action.

(a) **Refer or Transfer a Request.** In some instances, the Joint IG may turn a matter of concern over to another agency or IG. Joint IGs should follow-up on requests referred to another agency to determine the action taken and whether it addressed the request. See Appendix 7A for issues that may be appropriate for transfer to other agencies.

(b) **Dismiss a Request.** The Joint IG may dismiss a matter presented to the Joint IG because the matter was addressed or the request does not have enough information for the Joint IG to proceed. The Joint IG should close the case when this decision is made. See Section 7 and Figure 5 for circumstances that may be appropriate for dismissing a case.

(c) **Perform an Inspection.** The Joint IG may identify a recurring issue or systemic issue associated with an individual issue included in a request. The Joint IG should address the

specific issue in the request using the appropriate course of action. However, the Joint IG may decide to address the recurring or systemic aspect related to the specific issue by performing an inspection to identify the root cause of the issue. See Section 6 for information on inspections.

**(d) Investigate an Allegation.** Joint IGs should conduct an investigation or investigative inquiry when a credible allegation of wrongdoing by an individual is identified in the request. Joint IGs will promptly notify the appropriate DCIO upon initiation of a criminal investigation with a DoD nexus. See Section 7 for information on investigations or investigative inquiries.

**(e) Provide Assistance.** The Joint IG generally should provide assistance when no wrongdoing or violation of law, regulation, or policy by a specific individual is identified in the request and the requester asks for help or information. See Section 8 for information on assistance.

**c. Make Notifications.** In certain circumstances, the Joint IG should notify the requester or others of the decided course of action. The Joint IG should notify:

(1) Certain officials and individuals when an investigative inquiry or an investigation will be conducted. See Section 7 of this issuance for additional guidance.

(2) The requester, where possible, when the Joint IG transfers a request to another agency or refers a request to another IG. The written notification should include an explanation of the reason for the transfer or referral.

(3) The requester, in writing where possible, of the dismissal and clearly communicate the reason for the dismissal.

**d. Conduct Fact Finding.** Fact finding involves the process of obtaining factual information in the conduct of a Joint IG inspection, assistance, or investigative inquiry and investigation. To resolve the issues and allegations identified in a request, the Joint IG must obtain facts that will support the Joint IG's eventual decision.

**e. Make Notification of Results.** The Joint IG will notify certain individuals involved in the process of the expected or actual outcome, only providing information pertaining directly to that individual.

**f. Conduct Follow-up.** Follow-up verifies that all issues have been thoroughly addressed and appropriate corrective action taken, if required.

**g. Close the Case.** Once all matters presented to the Joint IG have been thoroughly addressed, completed, corrected, and teach and train completed, the Joint IG will close the case. This process entails actions to verify that all details are taken care of and that nothing has been accidentally overlooked. The Joint IG should request closure documents from the organization to which the case was transferred or referred, when appropriate. Joint IGs should maintain and file case materials as required by DoDI 5015.02.



## SECTION 6: INSPECTIONS

**6.1. JOINT IG INSPECTIONS.** Joint IG inspections assess, assist, and enhance the ability of a command or component to prepare for and perform its assigned mission. Inspection results will identify root causes of problems, particularly those beyond the capability of the commander to solve. Joint IG inspections should be planned and performed in compliance with the following guidance.

**6.2. JOINT IG INSPECTION ANNUAL PLAN.** Joint IGs should prepare and coordinate an annual inspection plan.

**a. Development of the Annual Inspection Plan.** To develop the inspection plan, Joint IGs should identify inspection possibilities, evaluate the benefits expected from them, and prioritize the potential inspections. Ways to identify possible topics for inspections include:

- (1) Commander's guidance.
- (2) The joint mission essential task list.
- (3) Trend analysis.
- (4) Input from functional staff proponents.
- (5) Quarterly training briefs.
- (6) Unit status reports.
- (7) Results from group interviews, previous Joint IG inspections, and other inspections.

**b. Coordination of Joint Inspections.** Annual plans should be coordinated with the OIG DoD, other Joint and Defense IGs, Military Department IGs, and other oversight organizations, when appropriate, to avoid unnecessary duplication.

**c. Goals of Joint Inspections.** Joint IGs should tailor inspections to meet their commander's needs and requirements.

(1) For inspections to be of value to the commander, the Joint IG should design them to collect information that will assist the commander to make decisions on the inspected organization or function.

- (2) Joint IG inspections should:
- (a) Identify noncompliance or deficiency against the standards or criteria used.
  - (b) Determine the magnitude of the deficiency or noncompliance.
  - (c) Seek the root cause of the deficiency or noncompliance.

- (d) Make appropriate recommendations.
  - (e) Identify responsibility for corrective action.
  - (f) Report inspection results.
- (3) When appropriate, Joint IG inspections also should:
- (a) Identify and pursue systemic issues.
  - (b) Teach systems, processes, and procedures.
  - (c) Spread innovative ideas.
  - (d) Train those inspected.

**d. Functional CCMD Coordination with Other CCs.** CCMDs may have forces and assets located anywhere around the world. CCMD IGs may assess, inspect, and evaluate their CCDRs' forces and assets while they are attached to, or operating in, a different geographic CCDR's area of responsibility. CCMD IGs should coordinate with the respective geographic CCDR as part of the inspection process.

**6.3. JOINT IG INSPECTION PROCESS.** The Joint IG inspection process is composed of 17 steps that fall within three separate phases:

**a. Phase 1: Preparation.** The preparation or planning phase is the most important part of the process because it establishes the inspection plan. The inspection plan is what the inspection team will follow to gather information, analyze the information, and conduct the inspection. The six steps of this phase are:

(1) **Research the Inspection Topic, Issue, or Area.** The inspection team should perform research to identify the criteria or standards applicable to the evaluation of the program or activity. Consistent with the inspection objectives, inspection research includes a review of existing data, discussions with program and other appropriate officials, literature research, and a review of pertinent websites and other internet accessible materials to gather information that will facilitate understanding of the program or activity to be inspected.

(2) **Develop the Concept.** The inspection concept is a plan outlining, in general, how the inspection team plans to accomplish the inspection. The inspection team should develop a concept letter that formally communicates the major parts of the inspection concept, and is the basis for the concept-approval briefing to the commander.

(3) **Obtain Directing Authority Approval.** At the conclusion of the concept-approval briefing, the inspection team requests the commander's approval. If the commander approves the concept, then the inspection team will present the joint commander with an inspection directive for signature. An inspection directive is a critical document that authorizes the Joint IG

to conduct the inspection and gives the Joint IG temporary tasking authority for the purposes of the inspection.

(4) **Write the Detailed Inspection Plan.** The products developed by the inspection team during this step are key to the smooth and effective execution of the inspection. During this step, the inspection team develops sub-tasks for each inspection objective, methodology, notification letter, and the detailed inspection plan.

(5) **Train the Inspection Team.** Once the Joint IG inspection team completes and issues the detailed inspection plan, the team can focus its efforts on training for, and preparing to conduct, the inspection. TAIGs, as subject-matter experts, may conduct training for the inspection team members. The team leader may also request training from external subject matter experts who can complement the information provided by the TAIGs.

(6) **Conduct Pre-Inspection Visits.** Pre-inspection visits may be necessary to validate and refine the inspection team's methodology and information-gathering tools, such as interview questions. The pre-inspection unit should receive a notification letter and a detailed inspection plan at the same time the inspection team notifies the units selected for the actual inspection. The team members may solicit feedback about the conduct of the inspection from the unit's participants during the course of the visit, but the unit should not see a visible difference between the team's planned methodology and the actual execution of that methodology.

**b. Phase 2: Execution.** The execution phase represents the heart of the inspection because inspectors will spend this phase gathering and analyzing information. Inspectors will:

(1) **Visit the Commands to be Inspected.** Visits to units or agencies may last 1 day or several days as the team members gather information by conducting interviews, administering questionnaires or surveys, observing events, and reviewing documents, all in accordance with the inspection methodology and consistent with the inspection objectives.

(2) **Conduct In-Process Reviews.** An in-process review is a meeting of inspection team members for the primary purpose of compiling and sharing information gathered during a single or multiple inspection visits. By sharing key information at the in-process review, team members can gain a perspective on where the inspection results are leading them and what patterns and trends are beginning to appear.

(3) **Update the Commander.** The joint commander who directed the inspection may request a mid-inspection update from the inspection team. The team leader or a designated member of the inspection team should build and maintain an update briefing for a scheduled or unscheduled presentation to the commander.

(4) **Analyze Results, Develop Findings, and Draft Report.** During this step the team members will analyze the results, develop their findings, and draft the final report. The team should verify and validate inspection results, and develop findings and recommendations in accordance with Appendix 6A. The team leader should assign writing responsibilities to each team member for completion of the draft report.

(5) **Out-Brief the Proponent.** The team leader should schedule a briefing with the proponent to share the findings and recommendations that pertain only to that proponent.

**c. Phase 3: Completion.** The completion phase finalizes the inspection report and includes those steps necessary for the inspected command to understand the findings and recommendations and for the inspection team to verify that the inspected command or proponent took appropriate corrective action. Inspectors will:

(1) **Out Brief the Commander.** The briefing to the joint commander should be a formal event designed to gain the commander's approval of the final inspection report. The briefing will be similar to the version the team leader presented to the proponents, however, this briefing will include all findings and recommendations. The inspection team cannot proceed until the commander approves the report.

(2) **Finalize the Inspection Report.** The inspection team should redact all attribution, such as names or commands, in the final report. Confidentiality is crucial to the Joint IG system. Section 13 contains additional information on confidentiality. The inspection team should make any necessary adjustments to the final report following the briefing to the joint commander and develop a cover letter. The inspection team should submit a copy of the final report and cover letter to the joint commander for final approval and signature.

(3) **Issue Taskers.** The inspection team will provide to the proponents identified in each recommendation, taskers initiating required actions to fix the problem.

(4) **Hand Off Verified Findings to Another Command for Resolution.** When the Joint-level command cannot resolve a verified finding, the inspection team may hand off, or transfer, a verified finding to another command or organization for resolution.

(5) **Distribute the Inspection Report.** The inspection team will provide printed copies of the final report to the commander, primary staff members, the proponents, Service components, and any other component within the command, or outside the command, that may benefit from the results. If appropriate, the team will provide courtesy copies to the Joint Staff IG and IG DoD for their awareness or assistance.

(6) **Schedule a Follow-up.** The inspection team should follow up to determine if the necessary corrective actions have occurred after the command has had sufficient time to take corrective action. Follow-up is an important inspection principle that applies to all Joint IG inspections. A Joint IG may follow up on an inspection by performing a complete re-inspection, follow-up visit, or follow-up telephone interview.

**6.4. JOINT IG INSPECTION CONSIDERATIONS.** Other situations or issues that Joint IG inspection teams may need to consider include:

**a. Joint IG Inspection Performed Based on a Preliminary Analysis.** A Joint IG may elect to conduct an inspection to address a recurring or systemic issue identified during preliminary analysis of a request or complaint to the Joint IG. See Section 5 for information on the JIGAP.

**b. Joint IG Consultation of Inspection Findings with Legal Counsel.** If a Joint IG discovers serious deficiencies involving breaches of integrity, security violations, or criminality, the Joint IG must consult with supporting legal counsel or the criminal investigation office, as appropriate, to determine a recommended course of action. The CCMD IG will notify the appropriate subordinate commander so that immediate corrective action can be initiated.

**c. Joint IG Participation on Other IG Teams.** Joint IGs may participate as members of OIG DoD, Military Department IG, or any other command's IG inspection team.

**d. Designation of Command Inspections Done by a Joint IG.** Any inspection conducted by a Joint IG as part of a command inspection renders that part of the command inspection a Joint IG inspection, and records from such inspections must be maintained as Joint IG records.

**e. Group Interviews and Command Climate Surveys.** A Joint IG inspection may include a group interview or a command climate survey. Only when the Joint IG participates in the group interview or command climate survey do the results become a Joint IG record. When Joint IGs conduct group interviews involving DoD civilians or contractor personnel, the Joint IG may have to coordinate the interviews or sessions with the appropriate bargaining unit, union, contractor's offices, or the CCMD SJA or responsible legal counsel.

## APPENDIX 6A: INSPECTION REPORT FORMAT - EXAMPLES

Figure 1: Inspection Findings

**Findings:** Those areas where the inspected organization does not comply with an identifiable standard constitutes a finding. The organization is required to take corrective action and provide a written response to the commander or their representative as required. The format for a finding is:

- a. **Finding Statement.** A short paragraph (preferably a single sentence) describing the area of noncompliance.
- b. **Standard.** The laws, regulations, or other documents that set forth the standard.
- c. **Office of Primary Responsibility (OPR).** The office or individual in an organization responsible for addressing or correcting the area of noncompliance.
- d. **Discussion.** A description of how the organization did not meet the standard, and how the root cause leads to the symptoms uncovered in the inspection.
- e. **Recommended Action.** What the OPR should do to correct a finding. There may be more than one recommended action, but each action has only one OPR.

Figure 2: Inspection Observations

**Observations.** An observation is an opinion where a standard may not have been violated or may not exist, but where economy, efficiency, or effectiveness may be improved by recommended corrective actions.

- a. **Observation Statement.** A short paragraph (preferably a single sentence) describing the condition observed.
- b. **OPR.** The office or individual in an organization responsible for addressing or correcting the area of observation.
- c. **Discussion.** A description of what was observed during the inspection.
- d. **Recommended Action.** What the OPR should do in response to the observation.

### Figure 3: Inspection Notables

**Notables.** Those areas where an organization is operating in an excellent manner. Unlike commendables, notables are not forwarded or shared.

- a. **Notable Statement.** A short paragraph (preferably a single sentence) describing the excellent area.
- b. **Standard.** The laws, regulations, or other documents that set forth the standard if applicable.
- c. **OPR.** The office or individual in an organization responsible for the notable area or its accomplishment.
- d. **Discussion.** A paragraph or more describing the excellent performance.
- e. **Recommendation.** Optional.

### Figure 4: Inspection Commendables

**Commendables.** Those areas where an organization is operating in an outstanding manner. Commendables are “best practices” or procedures that may be shared with other organizations.

- a. **Commendable Statement.** A short paragraph (preferably a single sentence) describing the outstanding area.
- b. **Standard.** The laws, regulations, or other documents that set forth the standard.
- c. **OPR.** The office or individual in an organization responsible for the commendable practice. When different, include the office or individual responsible for sharing the commendable practice with other organizations.
- d. **Discussion.** A paragraph or more describing the outstanding performance.
- e. **Recommended Action.** A statement indicating that the OPR should disseminate the commendable practice to other organizations for possible adoption.

## SECTION 7: INVESTIGATIONS

**7.1. JOINT IG INVESTIGATIONS AND INVESTIGATIVE INQUIRIES.** The Joint IG may investigate any violation of law, policy, or ethical standards, including, but not limited to, allegations of fraud, waste, abuse, and mismanagement. Joint IG investigations and investigative inquiries are generally fact-based examinations into allegations of impropriety by an individual or an adverse condition that affects the warfighting capability of a joint command. Joint IGs must promptly report criminal allegations to the appropriate DCIO, other criminal investigative organization, or law enforcement officials.

**a. Administrative Investigations.** Administrative investigations examine allegations that do not involve criminal offenses that traditionally fall in the category of felonies.

**b. Criminal Investigations.** The directing authority may direct the Joint IG to investigate violations of criminal law that reflect on the credibility of the command, but are not typically addressed in a criminal investigation. Joint IGs should coordinate with the appropriate DCIO, other criminal investigative authorities, law enforcement officials, and the SJA or responsible legal counsel in cases involving allegations that are criminal in nature.

**7.2 PRELIMINARY ANALYSIS.** A statement should be prepared briefly outlining the facts and relevant background information related to the complaint. The complainant should identify documents, names of witnesses, physical evidence, or other sources that can corroborate or support the complaint. The Joint IG should determine what remedy the complainant is seeking.

**a. Declining to Pursue a Complaint.** In some instances, the Joint IG may decline to pursue a complaint as a result of the preliminary analysis. If so, the Joint IG should provide reasons for a declination in the notification letter to the complainant, if known, and include a copy of that letter in the case file before closing the case. See Figure 5 for examples of potential reasons for a declination.



**Figure 5: Reasons for Joint IG to Decline to Pursue a Complaint – Examples**

- Analysis discloses no recognizable wrong, violation of law, regulation, or policy.
- Complainant refuses to provide sufficient evidence to conduct the analysis properly.
- Complainant files essentially the same complaint under Article 138 of the UCMJ.
- The complaint is frivolous or the nature of the complaint is so improbable that it defies common sense.
- The allegation has already been investigated and reviewed by the commander or is currently under commander investigation.
- The complaint falls outside the jurisdiction of the Joint IG (may want to refer the complaint).

**b. Determination of a Joint IG Appropriate Complaint.** Some issues may not be appropriate for the Joint IG to investigate, but still warrant investigation or review by an appropriate authority. See Appendix 7A for issues that have established redress and resolution paths. When the Joint IG refers a case, the Joint IG should track the case. The Joint IG may examine complaints that identify a flawed process.

**7.3 MAKE NOTIFICATIONS.** If the Joint IG decides to conduct an investigation or investigative inquiry, the Joint IG should notify the appropriate commanders or supervisors and the subject or subjects of the inquiry or investigation. The Joint IG also should inform them of the nature of the allegations. The Joint IG should document these notifications in the case notes and in the report of investigation (ROI) or report of investigative inquiry (ROII).

**7.4 INVESTIGATE A COMPLAINT.** If the Joint IG determines the complaint to be a Joint IG matter, the Joint IG should conduct either an investigation or an investigative inquiry. The fact finding or investigative process should produce either an ROI or ROII. Appendix 7B provides an example ROI or ROII.

**a. Obtain Legal Review.** Before issuance of an investigative report, the Joint IG must submit the report to the Joint IG SJA or other responsible legal counsel for a written legal review of sufficiency. The Joint IG and SJA should resolve any issues before the report is presented to the directing authority. If issues arise that cannot be resolved, the Joint IG should highlight the issue with the directing authority.

**b. Submit Report to Directing Authority.** After receipt of the SJA's or other responsible legal counsel's written legal sufficiency determination, the Joint IG will submit the report to the directing authority. The directing authority will approve or disapprove the report in writing.

**c. Make Notification of Results.** Joint IGs should make post investigation notifications to the subject or suspect, the subject's or suspect's commander, and the complainant, in writing, after completing the case and receiving the directing authority's approval of the report.

**d. Conduct Follow-up.** The Joint IG may hand off corrective actions to a proponent staff agency and should follow up to confirm that problems are fixed.

**e. Close the Case.** Joint IGs should maintain and file case materials as required by DoDI 5015.02.

(1) Joint IGs should consider carefully which case materials to keep beyond the ROII or ROI. Joint IGs should maintain case related materials needed for factual documentation. As a general rule, remove any extraneous working papers, such as administrative notes or other items not needed for the ROII or ROI and case file and return all other materials to their sources.

(2) Joint IGs will confirm that the case is closed in any electronic IG database maintained by the Joint IG.

## **7.5. TYPES OF ALLEGATIONS REQUIRING SPECIAL HANDLING.**

**a. Allegation Against a CCMD IG.** An allegation against a CCMD IG is submitted to the CDR for action. The CDR, after consultations with the CCMD SJA, should elevate the case to the next higher-level IG or the OIG DoD for resolution.

**b. Allegations Against Senior Officials.** Joint IGs will process allegations against senior military officials and DoD Senior Executive Service employees or equivalents, in accordance with DoDD 5505.06.

(1) Joint IGs should inform the Joint Staff IG and CCMD IG when allegations against senior officials are received.

(2) Joint IGs and directing authorities should be particularly sensitive to the requirements for proper handling and notification of allegations against senior officials.

(3) Joint IGs will process allegations against senior officials, in accordance with DoDD 5505.06.

**c. Allegations of Whistleblower Reprisal.** Joint IGs will comply with the specific requirements for whistleblower reprisal allegations. Joint IGs will:

(1) Process allegations of whistleblower reprisal against members of the Armed Forces, in accordance with DoDD 7050.06, and inform the Joint Staff IG and CCMD IG.

(2) Refer allegations of whistleblower reprisal by civilian appropriated fund employees to the IG DoD, preferably through the DoD Hotline. Joint IGs should advise complainants that they also have the right to file a complaint with the Office of Special Counsel, which has additional authority to investigate appropriated fund civilian employee reprisal complaints and enforce corrective actions.

(3) Refer allegations of whistleblower reprisal against civilian nonappropriated fund employees to IG DoD for processing pursuant to DoDD 1401.03.

(4) Refer allegations of whistleblower reprisal against defense contractor employees to the IG DoD.

(5) Refer allegations of whistleblower reprisal against Defense Civilian Intelligence Personnel System personnel to the IG DoD and, if applicable, the appropriate DoD component IG or the Intelligence Community Inspector General, as appropriate.

**d. Reports of Urgent Concern Relating to Intelligence Activities.** Joint IGs will refer such complaints or information by civilian employees or contractors of the Defense Intelligence Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, and National Security Agency to IG DoD for processing, in accordance with Section 8H of the IG Act.

**e. DoD Hotline.** For allegations received from the DoD Hotline, Joint IGs will comply with the requirements of DoDI 7050.01. DoD Hotline cases and reports are routed through the DoD Hotline coordinator and the Joint Staff Deputy IG.

**7.6. MILITARY SERVICE NOTIFICATION.** The CCMD IG should notify, or confirm that the respective Military Service is notified, of any credible allegations, adverse information, or investigations in accordance with:

- a. Chapter 5 of Air Force Instruction 90-301.
- b. Secretary of the Navy Instruction 5370.5B.
- c. Table D-1 of Army Regulation 20-1.
- d. Paragraph 4003 of Marine Corps Order P5800.16A.

## APPENDIX 7A: REDRESS AND RESOLUTION PATHS

The list below identifies an appropriate agency for a type of complaint. The list is not all inclusive and referral agencies may vary depending on the specifics of each complaint.

**Table 1: Redress and Resolution Paths**

	<b>TYPE OF COMPLAINT</b>	<b>POSSIBLE REFERRAL ORGANIZATION</b>
1.	administrative separations	Military Personnel Office
2.	allegations against senior officials	OIG DoD
3.	allegations against Military Defense Counsel	Supervisory Defense Counsel or Headquarters
4.	allegations of reprisal by appropriated fund employees	DoD Hotline or Office of Special Counsel  Contact OIG DoD for guidance or possible referral
5.	allegations of reprisal by DoD contractors	DoD Hotline
6.	allegations of reprisal by Service members	Contact OIG DoD for guidance or possible referral
7.	allegations of reprisal by nonappropriated fund employees	OIG DoD
8.	Anti-Deficiency Act violations	SJA or appropriate Service Financial Management Branch
9.	appeal of performance reports	Commander; Service-specific personnel office
10.	Article 138, UCMJ (Complaint of Wrongs)	SJA
11.	claims against the U.S. Government	Private Attorney
12.	Commander-directed investigation	review for due-process; Commander; legal office

**Table 1: Redress and Resolution Paths, Continued**

	<b>TYPE OF COMPLAINT</b>	<b>POSSIBLE REFERRAL ORGANIZATION</b>
13.	conditions of employment (personnel policies, practices, and matters affecting working conditions)	appropriated fund employees: servicing human resources office  nonappropriated fund employees: servicing non-appropriated funded employment office
14.	contracting issues <i>exception: If the CCDR directs an IG investigation, then do not refer</i>	issuing contract unit or respective Service office headquarters
15.	correction of Military Records	Service-specific Board for Correction of Military Records
16.	domestic violence	law enforcement, Family Advocacy Program
17.	elimination from training	Commander
18.	employees belonging to unions	union representative; U.S. Federal Labor Relations Authority
19.	equal employment opportunity issue (discrimination based on age, disability, equal pay or compensation, genetic information, national origin, pregnancy, race or color, religion, sex, sexual harassment, or harassment based on other prohibited bases)	appropriated fund employees: local equal employment opportunity officer  nonappropriated fund employees: local equal employment opportunity officer, Civilian Personnel Advisory Center, and SJA labor counselor, as appropriate
20.	espionage, sabotage, treason  with DoD nexus  without DoD nexus	DCIO and SJA  appropriate federal criminal investigative organization and SJA

**Table 1: Redress and Resolution Paths, Continued**

	<b>TYPE OF COMPLAINT</b>	<b>POSSIBLE REFERRAL ORGANIZATION</b>
21.	hazardous working conditions (unsafe or unhealthy)	appropriate Service, Command safety channels, or legal assistance office
22.	hostile work environment	Commander
23.	landlord or tenant disputes	subject's immediate unit commander or legal assistance office
24.	Law of War violations	appropriate command channels, law enforcement, or other appropriate authorities
25.	Letter of Counseling, Letter of Reprimand <i>exception: if the CCDR directs an IG investigation or the issue involves possible reprisal against military member - see #4, "reprisal allegations" above</i>	appropriate Military Defense Counsel office
26.	Local Nationals or Third Country Nationals	SJA for advice on proper course of action
27.	medical treatment and Health Insurance Portability and Accountability Act issues	respective Service's Surgeon General for Quality Assessment or Medical Incident Investigation
28.	Military equal opportunity and treatment issues	local Military Equal Opportunity office
29.	misuse or abuse of government vehicles	local transportation office responsible for the vehicle or commander
30.	National Guard Title 32 matters	State Joint Forces Headquarters IG or National Guard Bureau IG
31.	non-governmental organizations	specific agency or Service IG or to the DoD Hotline
32.	Privacy Act	Command Privacy Act Officer
33.	promotion recommendations	Commander

**Table 1: Redress and Resolution Paths, Continued**

	<b>TYPE OF COMPLAINT</b>	<b>POSSIBLE REFERRAL ORGANIZATION</b>
34.	reserve assignment matters	respective Service reserve headquarters office
35.	security violations	Command Security Officer
36.	sexual assault	Sexual Assault Response Coordinator or law enforcement
37.	sexual and other prohibited harassment (civilian)	Commander or EO representative
38.	sexual and other prohibited harassment (military)	Commander or local EO representative
39.	suggestions	local suggestions monitor
40.	support of dependents and private indebtedness	subject's immediate unit commander
41.	trafficking in persons	report to law enforcement and Commander
42.	TRICARE complaints	TRICARE Benefits Office of the governing TRICARE region
43.	unprofessional relationships or adultery <i>Exceptions:</i>  <i>if between a superior and subordinate</i>  <i>if the CCDR directs an IG investigation, then do not refer to the Commander</i>	Commander    Military Criminal Investigative Organization

## APPENDIX 7B: FORMAT FOR A REPORT OF INVESTIGATION OR INVESTIGATIVE INQUIRY

Figure 6: Format for a Report of Investigation or Investigative Inquiry - Example

<p style="text-align: center;">REPORT OF INVESTIGATION OR INVESTIGATIVE INQUIRY (ROI or ROII) (Dates of Investigation)</p> <p><b>EXECUTIVE SUMMARY</b></p> <p>The executive summary will be written as a stand-alone document. It should be concise and, when possible, limited to one or two pages. Do not assume the reader has any knowledge of the case.</p> <p><b>NAME/POSITION:</b> Provide the name, grade, and duty positions of all subjects or suspects as of the date the improprieties allegedly occurred.</p> <p><b>AUTHORITY:</b> Cite the authority for the investigation (usually a directive). Include the date of the authority and the names and organizations of the investigating officers. Cite any changes in the scope of the investigation, such as new allegations, that may have occurred after the directive was signed. Include a copy of the authority and any changes to it as EXHIBIT A of the ROI or ROII.</p> <p><b>BACKGROUND:</b> Briefly describe how the allegations were received. Identify the complainant, if known. Add any other information needed to understand the case.</p> <p><b>SUBSTANTIATED ALLEGATION:</b> State the first allegation that was substantiated. It should be worded exactly the same as in the Action Memorandum unless the investigator modified it during the course of the investigation. “The allegation that (name) improperly (did or failed to do something) in violation of (standard) was substantiated.” Also, include the time period involved.</p> <p><b>SYNOPSIS:</b> The synopsis should include a concise summary of the standard and the key evidence with a comparison of the evidence to the standard that led the investigator to conclude that the allegation was substantiated. Do not include all the details; these details are available in the ROI or ROII itself. Conclude the synopsis with a finding statement that states, “The preponderance of evidence indicated (name) (did) or (failed to do) (something).” In succeeding paragraphs list other substantiated allegations followed by summaries of the key evidence for each.</p> <p><b>NOT SUBSTANTIATED ALLEGATION:</b> State the first not substantiated allegation. Again, word it exactly the same as in the Action Memorandum unless modified. “The allegation that (name) improperly (did or failed to do something) in violation of (standard) was not substantiated.” Also, include the time period involved.</p>
--



**Figure 6: Format for a Report of Investigation or Investigative Inquiry – Example, Continued**

**SYNOPSIS:** As in the previous discussion, summarize the complaint and key evidence that led the investigator to conclude that the allegation was not substantiated. (In succeeding paragraphs list the remaining allegations that were not substantiated, each followed by its synopsis.)

## **INTRODUCTION**

1. Begin the main body of the ROI or ROII on a new page. The introduction is optional and is often omitted if an executive summary is included. Use it to present extensive background or introductory material that is necessary for a reader to understand the case, but is not appropriate for inclusion in the executive summary. Do not repeat information in the executive summary. Do not include evidence in the introduction.

## **CONSIDERATION OF ALLEGATIONS**

2. **Allegation 1:** Should there be more than one allegation, the first allegation that is addressed in the body of the ROI or ROII need not be the first allegation in the Action Memorandum or the first allegation listed in the executive summary. Sometimes the investigator can make the ROI or ROII more readable by listing allegations in chronological order. On other occasions, the investigator may wish to cover the most serious allegation first. Frequently, investigators will address the simplest allegations early in their ROI and address the most complex last. In all cases, restate the allegations exactly as written in the executive summary. “The allegation that (name) improperly (did or failed to do something) in violation of (standard) (was or was not) substantiated.” Also, include the time period involved.

(If the introduction is omitted, the first allegation becomes paragraph one of the body.)

a. **Evidence.** In the evidence subparagraph for an allegation, introduce all the evidence pertaining to that single allegation. Normally, succeeding subparagraphs will be used for each item of evidence beginning with the complaint and followed by the standard or standards, documentary evidence, testimony, and statements (with the complainant’s testimony first and the subject’s or suspect’s testimony last).

(1) **Standard.** In this and succeeding subparagraphs, cite and describe the standards. Summarize (if the standard is lengthy) or quote verbatim the guidance contained in regulations, policies, or the UCMJ. If the investigator summarizes the standard, the complete standard will always appear as an exhibit for more detailed reference. Also, describe the elements of proof contained in the standard. Attach extracts of the regulations, policies, or UCMJ to the report as exhibits. Confirm that the standards used were in effect at the time the misconduct allegedly occurred by indicating the standard’s date because personnel and travel regulations change frequently.

(2) **Documentary Evidence.** In succeeding subparagraphs, introduce each item of documentary evidence. The first item of documentary evidence is a description of the

**Figure 6: Format for a Report of Investigation or Investigative Inquiry – Example,  
Continued**

allegation initially made by the complainant. It may be the request or letter signed by the complainant. Describe each item of documentary evidence by identifying the document and describing the evidence it contains.

Address physical evidence like documentary evidence. Identify the object and describe its relevance. Investigators will usually not maintain the object with the ROI or ROII; therefore, explain where it is stored. Frequently, the investigator may have documentary evidence instead of physical evidence, such as an accident report instead of a damaged vehicle.

(3) **Testimonial Evidence.** Conduct the complainant's interview early in the investigation. The complainant is often the primary source of evidence against the subject or suspect. The complainant is frequently able to identify other witnesses. The ROI will flow more easily if the investigator introduces the complainant's evidence first. Investigators should introduce evidence provided by all witnesses for this allegation in separate subparagraphs -- one for each witness. List the subject matter expert witness first because the subject matter expert often explains the policy, process, procedure, or standard involved in the case. Introduce the evidence in a manner that is logical and understandable for a reader who is not familiar with the details of the case. Paraphrase and summarize what witnesses said rather than quoting them directly. Append the transcripts or summarized testimony to the ROI or ROII as exhibits. When the suspect or subject is interviewed, the investigator should provide them the opportunity to comment on all unfavorable information that will be used in the ROI or ROII. This rationale leads the investigator to interview the subject or suspect after all witnesses.

As an exception to providing separate subparagraphs for each witness, and in the event that several witnesses provided the same evidence, investigators may combine that evidence into a single subparagraph.

(4) **Other Evidence.** Describe or enter physical evidence in this paragraph. Attach renderings of physical objects, if necessary, when inclusion of an actual object in the ROI or ROII is impractical. Enter any IG observations here in memorandum-for-record format.

**b. Discussion**

(1) In the discussion paragraph, concisely evaluate the evidence. Investigators will make judgments regarding the credibility of the evidence. They will determine whether the evidence supports or refutes each element of proof captured in the allegation. Discrepancies and contradictions will be resolved. Witnesses' recollections of events will rarely be the same. Finally, the investigator will determine if they have a preponderance of credible evidence either to substantiate or refute the allegation. If they do not have a preponderance of credible evidence, they will determine what additional fact-gathering will yield the preponderance that is required.

**Figure 6: Format for a Report of Investigation or Investigative Inquiry – Example,  
Continued**

(2) The discussion paragraph will clearly describe the findings for an allegation. The burden is on the investigator to logically and clearly present the evidence gathered so that the commander will understand the case and draw the same conclusions as the investigator. Investigators will explain why they reached their conclusion in a logical, step-by-step method. The investigator’s reasoning and writing skills are key. Remember: the investigator’s job is to remain impartial and tell both sides of the story. Begin the paragraph by restating the allegation then summarize the standards used. Next, summarize the key evidence that would tend to substantiate the allegation. Follow with a similar discussion of key evidence that tended to not substantiate the allegation. Then focus the reader on the facts that the evidence revealed. Conclude the discussion with a finding statement that states, “The preponderance of evidence indicated (name) (did) or (failed to do) (something).”

c. **Conclusion:** The allegation that (name) improperly (did or failed to do something) in violation of (standard) (was or was not) substantiated. Also, include the time period involved. The conclusion is a concise statement of the investigator’s determination that it is more likely than not that the allegation did or did not occur. State the allegation exactly as written in the beginning of the paragraph and the executive summary followed by “...was substantiated” or “...was not substantiated.” Neither or nor conclusions should not be used.

3. **Allegation 2:** State the next allegation followed by its evidence, discussion, and conclusion.

a. **Evidence:** Frequently, witnesses will provide evidence on more than one allegation. The investigator will sort through the witnesses’ testimony and enter the evidence where appropriate in the ROI or ROII. For clarity, the investigator may cite specific pages where the evidence can be found.

b. **Discussion:** Discuss evidence entered for this allegation only.

c. **Conclusion:** The allegation that (name) improperly (did or failed to do something) in violation of (standard) (was or was not) substantiated.

4. **Issue 1:** State the issue as presented by the complainant.

a. **Evidence:**

b. **Discussion:**

c. **Conclusion:** The issue that (describe) was (Founded or Unfounded).

**Figure 6: Format for a Report of Investigation or Investigative Inquiry – Example, Continued**

<b>OTHER MATTERS</b>	
5. During the course of investigations, investigators will often uncover situations that, while not pertinent to the allegations, require the commander’s attention. These situations may be systemic problems that require correction by a staff agency or perhaps an inspection by the Joint IG office. Document these situations in separate paragraphs in the Other Matters section (one paragraph for each issue).	
<b>RECOMMENDATIONS</b>	
6. The most common recommendation for an ROI or ROII is as follows: “This report be approved and the case closed.” Never recommend adverse action.	
7. Any other recommendations. If the investigator has documented other matters, they will include a recommendation for each of them. Recommendations should be appropriate for the issues raised. These recommendations are normally written like an IG inspection report recommendation (Who will fix it and how to fix it). Investigators should coordinate in advance with the agencies specified in the recommendations (the proponents) as the ones they think should fix the problem as a professional courtesy. Keep in mind, however, the guidelines for release of information and the need to maintain confidentiality.	
Investigating Officer’s signature block	Investigating Officer’s signature block
CONCUR:	NO LEGAL OBJECTION:
Inspector General’s signature block	Staff Judge Advocate’s signature block
APPROVED:	DATE APPROVED: _____
Directing Authority’s Signature block	
Enclosure Exhibit List	

## SECTION 8: ASSISTANCE

**8.1. ASSISTANCE.** When the Joint IG determines from the preliminary analysis of the request that the requester is seeking routine help or information, and the request is not appropriate for an investigation or investigative inquiry, the Joint IG should handle the request as assistance. See Section 7 for information on investigations and investigative inquiries.

**8.2. ASSISTANCE PROCESS.** The assistance process usually involves informal fact finding to address issues or concerns identified. The process or work performed may consist mainly of coordination between various staff entities within the command and other agencies. The assistance provided also may include ‘teach and train’ when the requester may benefit from being provided information on a specific process, requirement, benefit, or other matter. Examples include pay issues, travel reimbursement concerns, or command policy for leave requests. Additionally, the Joint IG may explain the role of the Joint IG when the requester may benefit from this information. The Joint IG generally should verify that all issues are addressed or resolved before notifying the requester and closing the case.

**8.3. ASSISTANCE TO OTHER DEFENSE IGS.** CCMD IGS may assist other Defense IGS when requested and appropriate.

## SECTION 9: INTELLIGENCE OVERSIGHT

**9.1. INTELLIGENCE OVERSIGHT BY THE CCMD IG.** CCMD IGs must monitor intelligence oversight programs conducted in the CCMD including intelligence elements assigned, attached, or under the operational control of the CCMD. These intelligence oversight responsibilities do not extend to counterintelligence investigations conducted under the authority of the Military Departments pursuant to DoDD 5240.02. In accordance with DoDD 5148.13, a CCMD IG's intelligence oversight program should determine whether intelligence personnel receive training, required reports are completed, and intelligence activities are carried out in compliance with applicable laws and regulations. Special emphasis should be put on protecting the rights and privacy of U.S. persons.

**9.2. QUARTERLY INTELLIGENCE OVERSIGHT REPORT.** The CCMD IGs will provide a Quarterly Intelligence Oversight Report to the DoD Senior Intelligence Oversight Official, with informational copies to the Joint Staff IG and relevant Service IG, when required by DoDD 5148.13 and CJCS Instruction 5901.01C.

**9.3. QUESTIONABLE INTELLIGENCE ACTIVITY.** CCMD IGs will investigate questionable intelligence activities in accordance with DoDD 5148.13 and report findings to the Joint Staff IG and DoD Senior Intelligence Oversight Official. CCMD IGs must immediately report all significant or highly sensitive matters to the DoD Senior Intelligence Oversight Official. Oral reports will be documented with a written report as soon as possible thereafter in accordance with DoDD 5148.13.

## SECTION 10: OVERSEAS CONTINGENCY OPERATIONS

CCMD IGs may have an operational mission as directed by the CCDR and described in operational plans and orders. To maintain situational awareness, the CCMD IGs should understand the CCDR's intent and concept of the operation. CCMD IGs should plan to address morale and welfare issues, medical issues, family issues, civilian employee or other civilian issues and concerns, and other issues consistent with the Joint IG missions during OCOs.

**a. CCMD IG Deployment Plan.** When required by the CCDR, the CCMD IG will write a plan to support deployed operations. The plan should include anticipated CCMD IG actions during each phase of the operation: mobilization, deployment, containment, preparation for combat, redeployment, and reconstitution.

**b. CCMD IG Office Structure.** The organization of a CCMD IG office will vary depending on the status, location, and mission of that office. CCMD IGs should consider the following factors in the planning process:

(1) **Equipment Needs.** Identify the need for both deployed and stay-behind equipment to meet CCMD IG requirements.

(2) **Mix of CCMD IG Personnel.** Identify the proper (deployable) mix of personnel to retain flexibility for deploying elements while maintaining adequate resources at the home station to meet supporting CCMD IG requirements.

(3) **Reserve Augmentees.** Identify reserve augmentees. Reserve personnel requirements should be identified in the mobilization Joint Manning Document.

(4) **Training Assessment for Reserve Component Personnel.** Determine theater unique training requirements for reserve component personnel who will be identified upon activation. Those needs will be prioritized with other CCMD training needs and accomplished as practicable.

**c. CCMD IG Coverage of Remote Areas or Significant Increases in Unit Strength.** The CCMD IG plan should cover remote locations, units with significant increases in personnel strength, and joint task forces. CCMD IGs may provide this coverage in reach back, periodic visits, or another methodology.

**d. Lead Inspector General (LIG) for OCO.** CCMD IGs should coordinate their activities with assigned Office of the LIG-OCO to avoid duplication. CCMD IGs also should provide assistance when requested by the LIG-OCO or the Associate IG.

## SECTION 11: ACCESS

**11.1.** Joint IGs should have expeditious and unrestricted access, unless access is precluded or limited by law, regulation, or DoD policy, to all records, reports, investigations, audits, reviews, documents, papers, recommendations, or other available material.

**11.2.** The Joint IG staff will justify an official need for normally protected data to obtain sensitive records. Additionally, the Joint IG staff will present proof, to the satisfaction of the responsible security personnel, of their security clearance or special access to review classified documents.

**11.3.** Documents that Joint IG staff may request access to include, but are not limited to:

- a. Classified documents.
- b. Records of board proceedings.
- c. Acquisition information.
- d. Medical records.
- e. Medical quality assurance records.
- f. Drug and alcohol records.
- g. Financial records.
- h. Evaluation reports.
- i. Back-channel messages.
- j. Security dossiers.
- k. Criminal investigation reports.
- l. Copies of restricted personnel files.
- m. Financial disclosure statements.



## SECTION 12: RECORDS

Joint IG records are protected DoD documents because they may contain sensitive information. The CCDRs are responsible for all Joint IG records within their command. Unauthorized use or release of Joint IG records may seriously compromise the Joint IG's effectiveness as a trusted advisor to their commander.

**a. Joint IG Records Protection.** Joint IG records will be protected as follows:

(1) **Unclassified Joint IG Records.** Unclassified Joint IG records that, if disclosed to the public, would reasonably be expected to cause a foreseeable harm to an interest protected by one or more of Freedom of Information Act (FOIA) exemptions 2 through 9 will be marked "For Official Use Only" (FOUO) in accordance with Volume 4 of DoDM 5200.01.

(2) **Classified Joint IG Records.** Classified Joint IG records are classified, protected, and declassified in accordance with the applicable DoD guidelines for classification in Volume 1 of DoDM 5200.01. When appropriate, classified Joint IG records will be marked "FOUO" when declassified.

(3) **Joint IG Correspondence.** If Joint IG correspondence is required by relevant statutes, DoD guidelines, or other authority to leave Joint IG control, originals and all copies of Joint IG correspondence, including replies to correspondence, should be given protective markings and treatment. For any congressional correspondence, the Joint IG should consult with the CCMD office that processes congressional requests as these documents may have special requirements for marking.

(4) **Joint IG Internal Document Management.** Joint IG internal document management requires documents to be marked in accordance with CJCS Manual 5760.01. Other DoD issuances that apply to the maintenance of records are Volumes 1-4 of DoDM 5200.01 and Volumes 1-2 of DoDM 8910.01.

(5) **Disposition of Joint IG Records.** Disposition of Joint IG records will be in accordance with CJCS Manual 5760.01.

**b. Joint IG Records Release.** The CCDR, or respective joint commander, is the release authority or initial denial authority for all Joint IG records. The CCDR may delegate Joint IG records release authority to the Deputy CCDR, Chief of Staff, or the CCMD IG. In accordance with Paragraph 4.1.5. of DoDD 5400.07, the Director for Administration is the appellate authority for appeals to decisions by initial denial authorities in the CCMDs. Joint IG records will be released only with the approval of the CCDR, respective joint commander, or designated representative, in accordance with DoDDs 5400.07 and 5400.11, DoDI 5015.02, or DoD 5400.11-R. Joint IG records should be disclosed inside DoD only to those requiring access to the records in the performance of their official duties. Usually, information related to open cases or investigations should not be released outside OIG DoD or Defense IG channels. The CCMD SJA should be consulted on all Joint IG records release issues. The CCDR or designated authority may grant release of Joint IG records as follows:

**(1) Official Use Requests.** Requests for records needed for the performance of official duties will be submitted to the CCMD in writing.

(a) The request by other than a commander or their SJA will be submitted through, as evidenced by endorsement, their Service headquarters or the requester's organization for a determination of the appropriateness of the request. The request will identify the records requested by date of investigation, name of investigative officer, or other pertinent information; state the reason for the request; and specify how the records will be used.

(b) Joint IGs should provide only copies of reports or other documents to satisfy requests by other Defense IGs or any other organization external to the command. The original case file should not be released outside the originating CCMD.

(c) Reports and underlying documentation need not be redacted when provided for official use and the appropriate system of records notice permits the dissemination of such information. To protect the confidentiality of complainants, witnesses, or interviewees, reports of investigations issued outside the CCMD should not include interview transcripts and other source-sensitive information unless required by law or regulation.

(d) The Joint IG should consult the CCMD IG and CCMD SJA regarding this type of request. Joint IGs should include the restrictions applicable to the official use of Joint IG records, as explained in Paragraph 12.d., in the transmittal document for the records.

**(2) Congressional Requests.** Congressional requests for documents should be referred to the CCMD office that processes congressional requests. In most cases, a written request is required.

**(3) News Media Requests.** All news media requests for Joint IG records should be transferred to the CCMD office that processes information requests from the news media. CCMD personnel will not provide CCMD IG records directly to a member of the media. The standard CCMD response is that the CCMD IG neither confirms nor denies the existence of any inquiry. The CCMD IG staff will advise the caller or requester that they are unable to comment on the requested matter and advise the caller to contact the CCMD office that processes news media requests. The CCMD IG should inform the office that processes news media requests that a news media request for information may be forthcoming.

**(4) Requests for Records in Conjunction with Legal Proceedings.** Joint IGs must expeditiously consult with the CCMD IG and CCMD SJA regarding all requests for Joint IG records that are requested for a legal proceeding.

**(5) Requests Processed Under FOIA and Privacy Act.** Joint IG records requested under the FOIA or Privacy Act will be processed by the CCMD FOIA or Privacy Act offices in accordance with Part 286 of Title 32, Code of Federal Regulations, DoDD 5400.07, and DoD 5400.11-R. Requests for Joint IG records covered by these programs will be processed by the FOIA or Privacy Program office of the CCMD in accordance with applicable requirements.

**c. Use of Joint IG Records for Adverse Action.** Appointing authorities or commanders may use Joint IG records as the basis for adverse action against military or civilian personnel.

Requests for such use will be submitted to the CCDR or Deputy CCDR for their review, in consultation with the CCMD IG and CCMD SJA. When Joint IG records are to be used as the basis of an adverse action, the CCMD IG may release any or all documentary evidence and testimony. In some instances, Joint IG opinions, conclusions, analysis, and recommendations may be evidence. The Joint IG should consult with the CCMD IG and CCMD SJA in this situation.

**d. Restrictions for Use of Joint IG Records.** The following restrictions apply to all Joint IG records requested for official use by individuals, commands, or DoD Components. The restrictions should be clearly stated in the transmittal letter to the recipient.

(1) **Incorporation of Joint IG Records.** Joint IG records remain the property of the DoD while under the control of the CCDR. Unless required by law or regulation, recipients of Joint IG records, or any portions thereof, will not incorporate Joint IG records in any other system of records without written approval of the CCDR or their designee.

(2) **Reproduction Authority for Joint IG Records.** Joint IG records will not be reproduced or further disseminated without specific permission of the CCDR or their designee. Permission may be provided in the transmittal letter, if appropriate.

(3) **Use of Joint IG Records as Exhibits.** Use or attachment of Joint IG records as exhibits or enclosures to records of other DoD Components is not authorized without written approval of the CCDR or their designee.

## SECTION 13: PROTECTION OF CONFIDENTIALITY

The Joint IG staff has a duty to protect a complainant's identity and other personal information as much as possible. The intent is to protect an individual's privacy, maintain confidence in the Joint IG system, and minimize the risk of reprisal. The Joint IG staff should not disclose the identity of a complainant, witness, or interviewee without obtaining the person's consent unless the Joint IG determines such disclosure is unavoidable during the course of the investigation or inquiry.

**a.** When a witness or interviewee requests protection of their identity, and the statement furnished by the witness or interviewee is not filed in an exempt system of records covered by DoD 5400.11-R, the Joint IG may expressly promise that the witness's or interviewee's identity will be protected to the maximum extent possible within the limits of law or regulation.

**b.** When a witness or interviewee requests protection of their identity, and the statement furnished by the witness or interviewee is filed in an exempt system of records covered by DoD 5400.11-R, the Joint IG may expressly promise that their identity will be protected to the maximum extent possible within the limits of law or regulation. However, such a pledge should only be given when the information to be furnished by the witness or interviewee is considered essential for the purposes for which the information is sought.

**c.** All requests for protection of an individual's identity should be prominently documented in the case file. The Joint IG should minimize the subsequent use of the individual's name in any file or record created by the Joint IG staff. Instead, the Joint IG staff should refer to the person as a "complainant," "witness," or similar identifier.

## GLOSSARY

### G.1. ACRONYMS.

CCDR	Combatant Commander
CCMD	Combatant Command
CJCS	Chairman of the Joint Chiefs of Staff
CTIP	combating trafficking in persons
DCIO	defense criminal investigative organization
DoDD	DoD directive
DoDI	DoD instruction
DoDM	DoD manual
FOIA	Freedom of Information Act
FOUO	For Official Use Only
IG	inspector general
IG DoD	Inspector General of the Department of Defense
JIGAP	Joint Inspector General Action Process
LIG	lead inspector general
NCO	noncommissioned officer
OCO	overseas contingency operations
OIG	Office of the Inspector General
OIG DoD	Office of the Inspector General of the Department of Defense
OPR	office of primary responsibility
ROI	report of investigation
ROII	report of investigative inquiry
SJA	Staff Judge Advocate
TAIG	temporary assistant inspector general
UCMJ	Uniform Code of Military Justice

**G.2. DEFINITIONS.** Unless otherwise noted, these terms and their definitions are for the purpose of this issuance.

**allegation.** A statement or assertion of wrongdoing by an individual that is formulated by the IG. An allegation contains four essential elements: who committed the alleged violation; what alleged violation was committed; what law, regulation, procedure, or policy was violated; and when the alleged violation occurred (if known). Allegations are refined by the IG based upon evidence gathered during the course of the investigation or inquiry.

**audit.** Financial audits, attestation engagements, and performance audits conducted in accordance with Generally Accepted Government Auditing Standards.

**confidentiality.** The act of protecting both the complainant's or witness's identity, and any information that may lead to the identification of the complainant or witness, to the extent possible under applicable law and regulation.

**DCIOs.** The U.S. Army Criminal Investigation Command, the Naval Criminal Investigative Service, the Air Force Office of Special Investigations, and the Defense Criminal Investigative Service.

**Defense IG.** An officer or non-commissioned officer of the Army, Navy, Air Force, Marine Corps, and Coast Guard (when operating as a Military Service in the Navy), or DoD civilian, who is assigned to duty as an IG in a DoD Component other than the Military Departments or OIG DoD. Joint IGs are a subset of Defense IGs.

**directing authority.** Any DoD official who has the authority to direct the conduct of an IG investigation or inspection. Within the joint communities, the directing authorities are the Secretary of Defense; the Director Joint Staff, Joint Staff IG; CCDRs; joint commanders; and Joint Command IGs. Joint commanders who are authorized IGs on their staffs may direct IG investigations and inspections within their commands. The Secretary of Defense, Director of the Joint Staff, Joint Staff IG, and CCDRs may direct IG investigations and inspections within subordinate commands as necessary.

**IG records.** Any written or recorded product, in any form, from any source, that is created or obtained in furtherance of the performance of an IG function. An IG record includes, but is not limited to, correspondence or documents received from a witness or a person requesting assistance, IG reports, electronic media, computer automated data files or data, and IG notes and working papers.

**initial denial authority.** An official who has been granted authority by the head of a DoD Component to withhold records requested under the FOIA for one or more of the nine categories of records exempt from mandatory disclosure. Initial denial authorities can also confirm that no records were located in response to a request. (Paragraph 4.1.5. of DoDD 5400.07 states that the Director, Deputy Chief Management Officer is the appellate authority for appeals to decisions by initial denial authorities in the CCMDs.)

**inquiry.** Any form of examination or informal fact finding into a matter, including audits, inspections, investigations, area visits, assistance actions, surveys, inquiries into allegations of impropriety and wrongdoing.

**intelligence elements.** For purposes of this issuance and the CCMD IG intelligence oversight function, any unit, organization, staff, or office assigned, attached, or under the authority, direction, and control of a CCMD that conducts of foreign intelligence or counterintelligence pursuant to Executive Order 12333.

**Joint IG.** An officer or NCO of the Army, Navy, Air Force, Marine Corps, or Coast Guard (when operating as a Military Service in the Navy), or DoD civilian, who is assigned to duty as an IG in the Office of the CJCS and Joint Staff, a CCMD, a subordinate unified command, joint command, or a joint task force. Joint IGs are a subset of Defense IGs.

**member of the Armed Forces.** All regular, guard, and Reserve Component officers (commissioned and warrant) and enlisted members of the Army, Navy, Air Force, Marine Corps, and the Coast Guard (while assigned, or under the control of, the CCMD), including reserve component personnel in any duty or training status.

**preliminary analysis.** The initial review of an issue or complaint, including the determination whether an issue or complaint is IG appropriate and warrants further action. The preliminary analysis is completed before proceeding to any type of IG function, such as assistance, audit, inspection, investigative inquiry or investigation.

**proponent.** The proponents are the individuals or staff agencies identified in the recommendation paragraphs of a report who are responsible for addressing the identified problems.

**reprisal.** Taking an adverse personnel action or withholding a favorable personnel action from a whistleblower who discloses information to designated officials that the whistleblower reasonably believes evidences a violation of law, rule, or regulation.

**senior official.** Defined in DoDD 5505.06.

**standard of proof.** The standard of proof applicable to CCMD IG investigations and investigative inquiries is “preponderance of the evidence,” which means that the IG investigator is satisfied that the greater weight of credible evidence supports the findings and conclusions.

**subject.** A person against whom allegations of wrongdoing have been made and whose conduct is the focus of an investigation or investigative inquiry.

**substantiated.** An allegation is substantiated when a preponderance of the evidence establishes that the allegation did occur.

**suspect.** A person against whom sufficient evidence exists to create a reasonable belief that they engaged in criminal misconduct.

**TAIG.** Any member of the Armed Services, or DoD civilian, detailed in writing, who is authorized to act as a temporary IG. This IG is limited in scope to the specifics of the authorization detailing them as an IG.

**transfer.** Passing a complaint to another command's IG, either laterally or vertically, or another Defense IG under whose responsibility the complaint falls.

**urgent concern.** Defined in Section 8H(i)(1), Title 5 of United States Code.

**whistleblower.** Defined in DoDD 7050.06.



## REFERENCES

- Air Force Instruction 90-301, “Inspector General Complaints Resolution,” August 27, 2015
- Army Regulation 20-1, “Inspector General Activities and Procedures,” November 29, 2010, as amended
- Chairman of the Joint Chiefs of Staff Instruction 5901.01C, “Joint Staff Inspector General Responsibilities, and Oversight Functions,” November 6, 2015
- Chairman of the Joint Chiefs of Staff Manual 5760.01A, Volume 1, “Joint Staff and Combatant Command Records Management Manual,” February 7, 2008, as amended
- Code of Federal Regulations, Title 32, Part 286
- DoD 5400.11-R, “Department of Defense Privacy Program,” May 14, 2007
- DoD Directive 1401.03, “DoD Nonappropriated Fund Instrumentality (NAFI) Employee Whistleblower Protection,” June 13, 2014
- DoD Directive 3600.01, “Information Operations (IO)” May 2, 2013, as amended
- DoD Directive 5106.01, “Inspector General of the Department of Defense (IG DoD),” April 20, 2012, as amended
- DoD Directive 5106.04, “Defense Inspectors General,” May 22, 2014
- DoD Directive 5148.13, “Intelligence Oversight,” April 26, 2017
- DoD Directive 5240.01, “DoD Intelligence Activities,” August 27, 2007, as amended
- DoD Directive 5240.02, “Counterintelligence (CI),” March 17, 2015, as amended
- DoD Directive 5400.07, “DoD Freedom of Information Act (FOIA) Program,” January 2, 2008
- DoD Directive 5400.11, “DoD Privacy Program,” October 29, 2014
- DoD Directive 5505.06, “Investigations of Allegations Against Senior DoD Officials,” June 6, 2013
- DoD Directive 7050.06, “Military Whistleblower Protection,” April 17, 2015
- DoD Instruction 2200.01, “Combating Trafficking in Persons (CTIP),” April 21, 2015, as amended
- DoD Instruction 3001.02, “Personnel Accountability in Conjunction with Natural or Manmade Disasters,” May 3, 2010
- DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
- DoD Instruction 5505.03, “Initiation of Investigations by Defense Criminal Investigative Organizations,” March 24, 2011, as amended
- DoD Instruction 5505.16, “Investigations by DoD Components,” June 23, 2017
- DoD Instruction 7050.01, “DoD Hotline Program,” October 17, 2017
- DoD Instruction 7600.02, “Audit Policies,” October 16, 2014, as amended
- DoD Manual 5200.01, Volume 1, “DoD Information Security Program: Overview, Classification, and Declassification,” February 24, 2012
- DoD Manual 5200.01, Volume 2, “DoD Information Security Program: Marking of Classified Information,” February 24, 2012, as amended

DoD Manual 5200.01, Volume 3, “DoD Information Security Program: Protection of Classified Information,” February 24, 2012, as amended

DoD Manual 5200.01, Volume 4, “DoD Information Security Program: Controlled Unclassified Information (CUI),” February 24, 2012

DoD Manual 5240.01, “Procedures Governing the Conduct of DoD Intelligence Activities,” August 8, 2016

DoD Manual 7600.07, “DoD Audit Manual,” August 3, 2015

DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended

DoD Manual 8910.01, Volume 2, “DoD Information Collections Manual: Procedures for DoD Public Information Collections,” June 30, 2014, as amended

Executive Order 12333, “United States Intelligence Activities,” December 4, 1981

Marine Corps Order P5800.16A, “Marine Corps Manual for Legal Administration,” August 31, 1999, as amended

Secretary of the Navy Instruction 5370.5B, “DON Hotline Program,” November 24, 2004

United States Code, Title 5

United States Code, Title 10