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COMMANDER NAVY INSTALLATIONS COMMAND
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CNICINST 5370.1A
N00G
03 Oct 2017

CNIC INSTRUCTION 5370.1A

Subj: COMMANDER, NAVY INSTALLATIONS COMMAND INSPECTOR GENERAL
HOTLINE PROGRAM

Ref: (a) DoD Instruction 7050.01 of 26 Jun 2009
(b) SECNAVINST 5370.5B
(c) SECNAVINST 5370.7D
(d) NAVINSGEN Investigations Manual of May 2016
(e) DoD Directive 7050.06 of 17 April 2015
(f) DON Hotline Program SOP of November 2016
(g) SECNAVINST 5430.57G
(h) JAGINST 5800.7F
(i) NAVINSGEN NIGHTS User Manual
(j) SECNAVINST 5430.92B
(k) CIGIE Quality Standards of Investigations (2011)
(l) SECNAVINST 5800.12B

Encl: (1) Definitions
(2) Responsibilities
(3) Hotline Program Standard Operating Procedures
(4) Assignment, Training, Certification and Credentialing Procedures
(5) Investigator Certification and Credentialing Checklist

1. Purpose. To establish Commander, Navy Installations Command (CNIC) policy, assign responsibilities and outline procedures concerning the CNIC Inspector General (IG) Hotline Program per references (a) through (l).

2. Cancellation. CNICINST 5370.1 and CNICINST 5512.1.

3. Scope and Applicability. This instruction applies to all CNIC Headquarters and Regions.

4. Background

a. The purpose of the CNIC IG Hotline Program, implemented consistent with references (a) and (b), is to strengthen and focus efforts to detect, combat and deter fraud, gross waste, abuse, gross mismanagement and reprisal.

b. References (b) through (f) direct and outline the processes and procedures for Navy IG hotline and reprisal program investigations.

5. Policy

a. References (a), (b), (d) and (g) encourage and in some situations require military and civilian personnel to report suspected wrongdoing to their chain of command. All personnel are encouraged to resolve complaints at the lowest possible level. The IG is not a substitute for the chain of command. However, the CNIC IG Hotline Program provides an alternative to reporting suspected wrongdoing to the chain of command when a complainant reasonably fears reprisal and/or believes the chain of command has been unresponsive.

b. CNIC IG assists complainants in determining the appropriate avenue of redress for matters submitted to the hotline program that do not fall within the IG's purview. CNIC IG will inform known complainants if the matter does not warrant an IG inquiry or investigation but is more appropriately handled by another organization or office. CNIC IG encourages personnel to review the four-step hotline procedures on the CNIC IG website (https://www.cnic.navy.mil/ig/4_step_hotline_procedures.html) before filing a hotline complaint.

c. CNIC IG is committed to investigate hotline complaints involving substantive allegations of fraud, gross waste, abuse, gross mismanagement, regulatory violations or military reprisal in an independent, objective, complete, accurate, professional and timely manner per references (a) through (f).

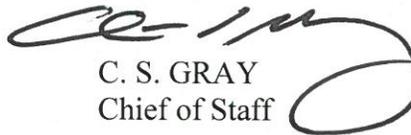
6. Records Management. Records created as a result of this instruction regardless of media and format, will be managed per SECNAV M-5210.1 of January 2012.

7. Review and Effective Date. Per OPNAVINST 5215.17A, CNIC (N00G) will review this instruction annually on the anniversary of its effective date to ensure applicability, currency and consistency with Federal, Department of Defense, SECNAV and Navy policy and statutory authority. The annual review will be conducted and documented using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire five years after effective date unless reissued or expressly extended before the five year anniversary date.

8. Forms Management. CNIC Headquarters and Regions Online Fraud, Waste or Mismanagement Complaint Forms can be found on the CNIC website at the below links:

- a. CNIC HQ IG:
https://www.cnic.navy.mil/ig/contact_ig/cnic_hq_ig.html
- b. Commander, Naval District Washington:
https://www.cnic.navy.mil/ig/contact_ig/ndw_ig.html
- c. Commander, Navy Region Mid-Atlantic:
https://www.cnic.navy.mil/ig/contact_ig/cnrma_ig.html

- d. Commander, Navy Region Southeast:
https://www.cnic.navy.mil/ig/contact_ig/cnrse_ig.html
- e. Commander, Navy Region Southwest:
https://www.cnic.navy.mil/ig/contact_ig/cnrsw_ig.html
- f. Commander, Navy Region Europe, Africa, Southwest Asia
https://www.cnic.navy.mil/ig/contact_ig/cnreurafswa_ig.html
- g. Commander, Navy Region Hawaii
https://www.cnic.navy.mil/ig/contact_ig/cnrh_ig.html
- h. Commander, Navy Region Japan
https://www.cnic.navy.mil/ig/contact_ig/cnrj_ig.html
- i. Commander, Joint Region Marianas
https://www.cnic.navy.mil/ig/contact_ig/jrm_ig.html


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Chief of Staff

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via Gateway 2.0 website, <https://g2.cnic.navy.mil/CC/Documents/Forms/Directives%20Only.aspx>

DEFINITIONS

1. Abuse of Authority. An arbitrary or capricious exercise of power by a military member or a federal official or employee that adversely affects the rights of any person or results in personal gain or advantage to himself or herself or to preferred other persons.
2. Assist. Action taken when there is no evidence or allegation of wrongdoing. CNIC or Region IG hotline personnel will provide the complainant with contact information for the appropriate office or agency that can address the concerns. See reference (f).
3. Chain of Command. The succession from a superior to a subordinate through which command is exercised, but also the succession of officers, enlisted members or civilian supervision and rating of performance.
4. Command Directed Inquiry or Investigation (CDI). Any form of examination or fact-finding process that is not part of the CNIC or Region IG hotline program. This includes any audit, Manual of the Judge Advocate General (JAGMAN) investigation, inspection or review. See reference (h).
5. Complainant. A person who presents issues to IG personnel or through the hotline that may trigger a decision to conduct an IG inquiry or investigation. See references (d), (f) and (i).
6. Contacts. Any communication made to IG personnel. Contacts are generated from phone calls, letters, e-mails, fax, walk-ins or other agency referrals. See references (d) and (f).
7. Dismiss. Action taken when the information presented is insufficient to determine an appropriate course of action or does not allege any wrongdoing, violation of law, policy, procedures or regulations; is not timely; or is without merit, frivolous and cannot be referred. See references (d), (f) and (i).
8. DoD IG Action Referral. DoD IG Action Referrals are complaints DoD IG tasks to component IGs, e.g., the Naval Inspector General (NAVINSGEN), for action. Action referrals require the Department of the Navy (DON) to conduct an inquiry/investigation and submit a Hotline Completion Report (HCR) to the Department of Defense Office of Inspector General (DoD IG) via NAVINSGEN for approval. See references (a) and (f).
9. DoD IG Information Referral. DoD IG Information Referrals are complaints DoD IG refers to NAVINSGEN for information only. NAVINSGEN transfers these complaints to CNIC IG. Information referrals do not require a HCR unless the component command IG conducts an investigation or the command conducts an investigation that results in corrective action. See references (a) and (f).

10. DON Electronic Database. An approved web-based system designed to document case information from inception to closure. See reference (i).
11. Fraud. Any willful means of taking or attempting to take unfair advantage of the government, including but not limited to the offer, payment, giving or acceptance of bribes or the offering, giving or acceptance of gratuities; making of false statements, submission of false claims or use of false weights or measures; evasion or corruption of inspectors and other officials; deceit either by suppression of the truth or misrepresentation of a material fact; adulteration or substitution of material; falsification of records and books of account; arrangements for secret profits, kickbacks or commissions; and conspiracy to use any of these devices. It also includes those cases of conflict of interest, criminal irregularities and unauthorized disclosure of official information that is connected with acquisition and disposal matters. See reference (j).
12. Gross mismanagement. A management action or inaction that creates a substantial risk of significant adverse impact on the agency's ability to accomplish its mission. The matter must be significant and more than *de minimis* wrongdoing or simple negligence. It does not include management decisions that are merely debatable among reasonable people. See reference (d).
13. Gross waste of funds. An expenditure that is significantly out of proportion to the benefit reasonably expected to accrue to the government. See reference (d).
14. Hotline. A mechanism established to allow individuals to file a complaint of fraud, waste, abuse or mismanagement with an IG when the chain of command has been unresponsive or the complainant reasonably fears reprisal. Receipt methods include, but are not limited to, personal contacts with IG personnel, phone calls, IG website hotline submissions, regular mail and facsimile. See references (a), (b) and (d).
15. Investigation. Any form of examination or fact-finding process into specific allegations of wrongdoing. Investigations, as referred to in this instruction, include preliminary inquiries, defined below and full investigations. The purpose of a full investigation is to determine whether allegations are substantiated or not substantiated. See reference (d).
16. Investigating Officer (IO). Personnel CNIC IG has authorized to conduct investigative activities, including interviewing witnesses, collecting evidence and entering into such places and inspecting such records as may be necessary. CNIC IG IOs are authorized to examine any CNIC mission, program, function, system or operation, with or without prior notification and are authorized immediate, unhindered access to all CNIC facilities, unclassified records and information. See reference (d).
17. Personnel Action (Military Whistleblower Reprisal). Any action taken involving a Service Member that affects, or has the potential to affect, that member's current position or career. Such actions include promotion; disciplinary or other corrective action; transfer or reassignment; a performance evaluation; decisions concerning pay, benefits, awards or training, relief and

removal; separation; discharge; referral for mental health evaluations per DoD Instruction 6490.04 and any other significant change in duties or responsibilities inconsistent with the employee's or Service Member's grade. See reference (c).

18. Preliminary Inquiry. Any form of examination or fact-finding process into a matter that is part of the CNIC or Region IG hotline program in response to a DoD or DON hotline contact or hotline referral conducted to determine whether a full investigation is warranted. See reference (d).

19. Protected Communication (PC). A PC is defined as any lawful communication to a Member of Congress or an IG; or a communication in which a member of the Armed Forces communicates information that the member reasonably believes evidences a violation of law or regulation to include a law or regulation prohibiting rape, sexual assault or other sexual misconduct in violation of articles 120 through 120c of the Uniform Code of Military Justice, sexual harassment or unlawful discrimination; gross mismanagement, a gross waste of funds or other resources; an abuse of authority; or a substantial and specific danger to public health or safety; a threat by another member of the Armed Forces or employee of the Federal Government that indicates a determination or intent to kill or cause serious bodily injury to members of the Armed Forces or civilians, or damage to military, Federal or civilian property; testimony, or otherwise participating in or assisting in an investigation or proceeding related to a communication described above; or filing, or causing to be filed, participating in, or otherwise assisting in, a military whistleblower reprisal action, when such communication is made to any of the following: a Member of Congress; an IG; a member of a DoD audit, inspection, investigation or law enforcement organization; any person or organization in the chain of command; or any other person designated pursuant to regulations or other established administrative procedures to receive such communications. See reference (c).

20. Refer. Action taken when the complaint analysis determines that the allegations do not fall under the jurisdiction of the IG to resolve. IGs will refer the matter because it is more appropriately handled by the chain of command or by an organization or agency outside the IG system. See reference (d).

21. Reprisal. Taking or threatening to take an unfavorable personnel action, or withholding or threatening to withhold a favorable personnel action, for making, preparing to make, or being perceived as making or preparing to make a PC. See reference (c).

22. Standard. A rule, regulation, instruction or statute used to draft an allegation of a violation of that rule, regulation, instruction or statute when investigating a hotline complaint.

23. Senior Official. Includes all active duty, retired, Reserve military officers in, or selected for, grades O-7 and above; current or former civilians in Senior Level or Scientific and Professional positions; current or former members of the Senior Executive Service; and current or former DON civilian presidential appointees. See reference (d).

24. Transfer. Action taken when a complaint is transferred within IG channels to another IG command for appropriate action. See reference (d).

RESPONSIBILITIES

1. Commander, Navy Installations Command (CNIC) Inspector General (IG) will:
 - a. Establish a hotline program per references (a) and (b).
 - b. Plan, program and budget for requirements to comply with this instruction.
 - c. Ensure the widest dissemination of information regarding the CNIC, Region, DON and DoD IG hotline programs by publishing contact information, to include telephone numbers, e-mail addresses (excluding DoD IG), facsimile numbers, website addresses and mailing addresses on CNIC IG internal and external websites (<https://www.cnic.navy.mil/ig.html>). Post information in employee workspace common areas, in Plans of the Week, and in newsletters.
 - d. Take appropriate action with regard to all complaints and contacts received by the hotline program per references (a) through (f), including documenting, in the approved DON electronic database, complaints and contacts using enclosures (3) and (4).
 - e. Ensure investigating officers (IO) meet qualification and training requirements of enclosure (5).
 - f. Certify and credential IOs to conduct IG inquiries and investigations or issue the IO a Letter of Authorization (LOA).
 - g. Ensure the completion and documentation of all investigative reports per references (a) through (f) and enclosure (5).
 - h. Obtain a legal sufficiency review (LSR) from a military judge advocate or an Office of General Counsel (OGC) attorney to address the specific LSR criteria described in enclosure (4) for hotline investigative reports as required by reference (f).
 - i. Provide investigation results to management for corrective action against personnel determined accountable for improper actions or inaction and to correct processes identified as deficient.
 - j. Ensure timely accountability by monitoring management progress in taking corrective action to address substantiated allegations or recommendations resulting from IG investigative reports.
 - k. Evaluate compliance with this instruction through quality assurance reviews of the CNIC and Region IG hotline programs.

2. Region Inspectors General (RIG) will:

- a. Establish a hotline program per this instruction and references (a) and (b).
- b. Ensure the widest dissemination of the DoD IG, DON, CNIC and Region IG hotline programs by publishing contact information, to include telephone numbers, e-mail addresses (excluding DoD IG), facsimile numbers, website addresses and mailing addresses on CNIC IG internal and external websites (<https://www.cnic.navy.mil/ig.html>). Post information in employee workspace common areas, in Plans of the Week, and in newsletters.
- c. Take appropriate action with regard to all complaints and contacts received by the hotline program per references (a) through (f), including documentation, in the approved DoN electronic database, of all complaints and contacts using enclosures (3) and (4).
- d. Ensure IOs assigned to conduct hotline inquiries and investigations are credentialed per enclosure (5) or have a LOA issued by the CNIC IG.
- e. Obtain a LSR from a military judge advocate or OGC attorney to address the specific LSR criteria described in enclosure (4) for hotline investigative reports as required by reference (f).
- f. Provide investigation results to management for corrective action against personnel determined accountable for improper actions or inaction and to correct processes identified as deficient.
- g. Ensure timely accountability by monitoring management progress in taking corrective action to address substantiated allegations or recommendations resulting from IG investigative reports.

3. CNIC and REGCOMs will:

- a. Establish a command IG and ensure IGs perform the mission and functions of an IG, within the respective command, consistent with the requirements of reference (g).
- b. Ensure the widest dissemination of hotline program information to personnel within their areas of responsibility.
- c. Take timely action in response to complaints CNIC IG refers to them for information or action. Report actions determined appropriate to the CNIC IG or RIG.
- d. Take timely action in response to a CNIC or RIG request for corrective action to ensure accountability for substantiated hotline allegations or recommendations to ensure personnel are held accountable for improper actions and inaction. Report actions determined appropriate to the CNIC IG or RIG.

e. Assist in and cooperate with IG investigations and ensure that IG personnel receive requested support, materials and witnesses for interviews per reference (b).

4. OGC and Judge Advocate General's Corps attorneys will:

a. Upon request, provide advice and assistance to IOs regarding selection of appropriate standards when developing allegations in anticipation of or while conducting an IG investigation.

b. Prepare a LSR to evaluate the legal sufficiency of hotline investigative reports, as required by reference (f) and enclosure (4).

5. All CNIC personnel will:

a. Report suspected improprieties and illegal activity to the chain of command, or an IG, per references (a), (b) and (g). When reporting complaints, personnel should provide accurate, specific details. Hotline complaints will be based on the complainant's "good faith" belief that the information is true. Those personnel suspected of willfully and knowingly filing false complaints may be subject to administrative or disciplinary action.

b. Cooperate with IG investigations per references (a), (b) and (g).

HOTLINE PROGRAM STANDARD OPERATING PROCEDURES

1. CNIC IG, RIGs, Deputy IGs, Investigators and IG Staff Hotline Processes and Procedures.

a. CNIC and RIGs, their deputies and staff will ensure timely and impartial processing of all hotline program contacts, complaints, inquiries and investigations that CNIC or RIGs receive locally or that the DoD IG or NAVINSGEN task for action or transfer for information only.

b. Office of Inspector General (OIG) hotline staff/investigators will receive and process contacts and complaints submitted online on the CNIC or Region OIG web pages (<https://www.cnic.navy.mil/ig.html>), or by telephone, e-mail, regular mail, walk-in or facsimile.

c. OIG hotline staff/investigators will document each contact or complaint in the approved DON electronic database, within five business days. In circumstances where complainants have reported concerns to the OIG verbally and have not submitted a written complaint within five business days, the OIG will complete the Inspector General Action Request (IGAR) form and notate in Block 12 that OIG personnel completed the IGAR. For example, *“This form was completed by [NAME] of the [COMMAND NAME] Inspector General Office on behalf of the complainant on [DATE].”*

d. OIG hotline staff will acknowledge receipt in writing of contacts and complaints from known complainants.

e. Per references (d) and (f), OIG hotline staff will conduct a preliminary analysis to determine the course of action for all complaints within 10 business days of receipt to determine whether the matter is appropriate for IG action, requires a preliminary inquiry (PI) to determine whether the issues alleged warrant a full investigation, should be investigated, transferred, referred, dismissed or if the individual requires assistance.

f. Per references (d) and (f), OIG hotline staff will transfer contacts or complaints in the DON electronic database within 10 business days that fall under the purview of another echelon II IG office or that allege procurement fraud or criminal activity so NAVINSGEN may transfer the complaint to the Acquisition Integrity Office or the Naval Criminal Investigative Service. Region OIGs transfer these complaints to CNIC OIG for further transfer to the appropriate command or office.

g. Per references (d) and (f), OIG hotline staff will refer complaints, which do not warrant an IG investigation, to the chain of command for appropriate action. Monitor the progress of the command's action on matters of interest to the IG and document the disposition in the DON electronic database. Conduct command directed inquiries (CDI) tasked by the command per reference (h). Do not use OIG credentials to conduct CDIs or the OIG format to report the results.

h. OIG hotline staff will assist complainants to address matters that are more appropriately addressed through other avenues of redress such as the chain of command or Navy Region Legal Service Offices, Equal Employment Opportunity Office, Board for Correction of Naval Records, Office of Special Counsel and others. Document these complaints in the DON electronic database per reference (i).

i. Per references (d) and (f), OIG hotline staff will dismiss complaints that do not provide sufficient information to determine a course of action or that do not allege any wrongdoing or violation of law, policy or procedures, are not timely, or are without merit, frivolous and cannot be referred. Input names of complainants in the DON electronic database to document protected communications. Per reference (d), OIG personnel should consider the facts and circumstances surrounding a complaint when determining whether its untimeliness warrants dismissal. Relevant factors include the amount of time that has transpired since the issues in the complaint occurred, when the complainant first became aware of the issues, the potential or actual harm of loss to the government caused by the issues and the significance of the issues raised in the complaint.

j. Per reference (d) and (f), OIG hotline staff will close all contacts within 30 days of receipt unless a full investigation has been approved by either CNIC IG or NAVINSGEN.

k. Assigned investigators will prepare a complaint analysis within 10 business days of receipt of a contact or complaint to request CNIC OIG Investigations Program Manager (IPM) or NAVINSGEN approval to conduct a PI or full investigation. Upload the complaint analysis in the DON electronic database document library. Investigators will prepare a complaint analysis for a PI or full investigation using the CNIC OIG Complaint Analysis form. Investigators may request approval to conduct a full investigation at the onset vice requesting a PI if the investigator determines a PI will not produce the information needed to properly address the matter.

l. Per reference (d), the CNIC IPM, Deputy IG, Region OIG or investigator (depending on the office internal standard operating procedures (SOP)) will request that a military judge advocate or OGC attorney, depending on the nature of the allegations and whether the subjects of the allegations are military or civilian, assist in framing allegations prior to requesting approval to conduct a full investigation.

m. Per reference (d), within 10 business days of gaining approval to conduct a full investigation, investigators will prepare an Investigation Plan, upload the plan in the DON electronic database document library and notify the CNIC OIG requesting approval of the plan.

n. Investigators will conduct investigations, per references (a) through (f), as appropriate, into all allegations of wrongdoing tasked by DoD IG and NAVINSGEN. Generally, CNIC OIG senior investigators are responsible for investigating alleged wrongdoing by O6s/GS-15s/Command Senior Enlisted Advisor (SEA). However, CNIC IG may assign a RIG or Region

investigator to conduct (or support) these investigations. Per reference (b), CNIC OIG conducts all military whistleblower reprisal (MWBR) investigations.

o. Per reference (a), investigators will prepare and submit extensions for DoD IG tasked PIs or investigations in writing, using the DoD IG progress report sample located on the CNIC OIG G2 site. Investigators will prepare a Plan of Action and Milestones (POA&M) for non-DoD IG cases tasked by NAVINSGEN. Both the progress report and the POA&M will explain the reasons for any delay and establish an anticipated completion date. Investigators will upload the completed POA&M in the Investigation Report folder in the DON electronic database. Investigators will update the POA&M every 30 days. The OIG point of contact will notify NAVINSGEN of the extension request.

p. OIG hotline staff will report the status of open DoD IG or NAVINSGEN PIs and investigations in a case note in the DON electronic database on a weekly basis to keep the CNIC IPM and NAVINSGEN Case Manager aware of the status of investigative efforts. Document coordination with legal counsel as a case note in the DON electronic database.

q. Per reference (d), prepare an independent, complete PI report within 30 days or a Report of Investigation (ROI) within 90 days, using the approved CNIC OIG report formats.

r. RIGs and Region Deputy IGs will conduct a quality review of reports prior to submission of a report to the CNIC OIG IPM for approval to ensure the report has met the quality standards for investigations and may be effectively used by management to hold subjects accountable per references (a) through (f). Furthermore, the CNIC IG IPM will review and approve all ROI that require a Tentative Conclusion Letter (TCL).

s. Per references (d) and (f), request attorney support to prepare a LSR of a DoD IG or NAVINSGEN tasked investigation, or a DoD IG PI, using the LSR format found in the CNIC G2 site.

t. CNIC OIG will forward the completed PI or ROI and LSR, as required, via the DON electronic database to NAVINSGEN (for RIG cases, via CNIC) for approval and closure.

u. Upon receiving notice from the CNIC OIG that NAVINSGEN approved the report, CNIC and Region OIG will forward the PI or ROI and the accompanying LSR to the appropriate responsible management officials for disposition. Region OIG will track and report the corrective action until completion notifying the CNIC OIG IPM of progress weekly by completing a case note in the DON electronic database, appropriate progress reports in DoD IG cases or in the POA&M in Navy cases. The CNIC OIG will track and monitor the progress of all corrective action, report progress on corrective action taken to the NAVINSGEN Case Manager within 30 days, or provide a weekly status update via a case note, a progress report or POA&M, as appropriate.

v. CNIC OIG will notify the subjects of substantiated or not substantiated investigations once NAVINSGEN provides notification to the CNIC OIG that they have closed the investigation.

w. CNIC OIG will review and analyze the nature of allegations and results of investigations across Navy Regions to identify trends and systemic issues.

x. CNIC IG, with support from RIGs, will manage and administer the CNIC OIG hotline program resources, including annual training, certification and credentialing requirements for OIG investigative personnel at all CNIC echelons to properly implement the CNIC OIG hotline program.

y. CNIC IG will implement a Quality Assurance Review program by providing oversight, reviewing ROIs and ensuring CNIC and Region OIG hotline personnel process complaints and conduct investigations in a thorough and timely manner per references (a) through (i) and (k).

2. CNIC IG Notifications with regard to Special Cases

a. Notify NAVINSGEN upon receipt of complaints alleging MWBR. Process complaints alleging reprisal by military members per references (c) and (e). DoD IG requires investigators address the disposition of all PC in MWBR PIs and ROIs. Document in the DON electronic database and transfer the case to NAVINSGEN.

b. CNIC IG will ensure commands take action to address non-reprisal matters associated with the MWBR complaint in one of three ways: (1) a hotline investigation, (2) referral to the command requesting a response or (3) in a CDI, per reference (h).

c. Per reference (l), notify NAVINSGEN Senior Official inquiries point of contact via email within two business days upon receipt of complaints involving any Senior Official.

3. Region OIG Notifications with regard to Special Cases

a. Notify CNIC OIG upon receipt of complaints alleging MWBR. Process MWBR complaints as a hotline complaint per references (a) and (b) for submission to CNIC OIG. Utilize case notes in the DON electronic database to document actions taken and transfer the case to CNIC OIG.

b. Investigate or refer the non-reprisal matters related to PCs to the command and report any actions taken to address the PCs to the MWBR senior investigator. DoD IG requires investigators address the disposition of all PCs in MWBR PIs and ROIs.

c. Notify CNIC OIG within two business days of receipt of complaints alleging wrongdoing by any O6s/GS-15s/Command SEA.

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d. Per reference (1) notify NAVINSGEN Senior Official inquiries point of contact via email within two business days upon receipt of complaints involving any Senior Official.

ASSIGNMENT, TRAINING, CERTIFICATION AND CREDENTIALING PROCEDURES

1. Background. This SOP provides the requirements and procedures for assignment, training, certification and credentialing of CNIC OIG personnel assigned to conduct hotline investigations consistent with the principles and guidance provided in references (b), (d) and (k).

2. Selection and Assignment of Investigators

a. Only qualified individuals may serve as investigators. The CNIC IG issues credentials to individuals who have the knowledge and skills required to perform investigative activities and have met all requirements for certification as an investigator.

b. Investigators must be independent from impairments in all matters relating to investigative work, both in fact and appearance. Investigators should not be assigned to conduct an investigation in which a conflict of interest exists or could reasonably occur. The CNIC and Region OIG investigators must possess and maintain the highest standards of conduct and ethics and be of unquestionable character, honesty and integrity. CNIC and Region OIG investigators must be persons of proven competence, i.e., able to investigate complex issues and write detailed reports with catalogued supporting documentation.

c. CNIC IG will credential investigators based on completion of required training, demeanor, experience and quality of investigative work products, which satisfy the CNIC IG that the investigator is capable of conducting a professional investigation and producing a report that meets the standards of timeliness, independence, completeness and accountability per references (b), (d), (f) and (k). The investigator must complete the certification requirements outlined below prior to CNIC IG issuing the investigator credentials.

d. Per reference (b), CNIC and all Region OIGs must have, at a minimum, one GS-18xx series credentialed investigator. This can include either the RIG or Region Deputy IG.

3. Training and Requirements for Initial Certification

a. To be certified, investigators will complete:

(1) The web-based course “Naval Inspector General Investigations: Basics” prior to initiating an IG investigation.

(2) The NAVINSGEN one-week Hotline Training Course as soon as practicable. Note: Completion of prior versions of the NAVINSGEN mobile training will satisfy this requirement.

(3) Two hotline investigations tasked by CNIC OIG: one as a second-chair, co-investigator with a credentialed investigator as the lead; the second, as the lead investigator with a credentialed investigator serving as the co-investigator.

(4) If an insufficient number of hotline investigations are available an investigator may be credentialed by substituting for one of the required hotline investigations:

(a) The investigative work associated with conducting and reporting on two or more PI depending on the complexity of the PIs; or

(b) The investigative work associated with conducting and reporting on two or more CDI depending on the complexity of the CDIs.

(5) PIs and CDIs will be considered on a case-by-case basis and will only be reviewed when hotline investigations are not available. The CNIC or Region OIG personnel requesting credentialing of an investigator will explain in the request for investigator credentialing the nature and complexity of any PI or CDI that is used to justify credentialing an employee.

(6) The investigator checklist, at enclosure (5), can also be found on the CNIC OIG G2 Investigation and Oversight Restricted Site. The investigator seeking credentialing and a credentialed investigator, IG or Deputy IG will review and concur that the investigator has satisfied the checklist requirements prior to submitting a request for investigator certification and credentialing to CNIC IG for approval.

4. Refresher Annual Training. Investigators must complete 36 hours of training over a period not to exceed three fiscal years. Training must be related to the investigative function, e.g., interviewing, gathering evidence, report writing and fraud prevention and detection. In addition to the NAVINSGEN Advanced Investigating Officer Course, the Federal Law Enforcement Training Center, the Council of Inspectors General for Integrity and Efficiency Inspector General Criminal Investigator Academy, the Association of Inspectors General and other IG agencies and associations offer entry level and more advanced training and certification for IG investigative personnel.

5. Responsibilities

a. CNIC IG will:

(1) Issue credentials to IG personnel who are U.S. citizens and eligible to possess or possess, at a minimum, a SECRET security clearance and have met CNIC IG certification and credentialing criteria. CNIC IG is the approval authority for issuance of all credentials to CNIC and Region OIG personnel. IG's may submit a request for a waiver to credential foreign national employees who have completed the established credentialing requirements.

(2) Issued credentials will be carried in a black folding case with clear windows to allow for verification of the entire credentials. CNIC OIG credentials consist of two parts. The top half identifies the bearer by name and designates the title (i.e., CNIC Inspector General, CNIC Senior Investigator or CNIC Investigating Officer). The bottom half displays the bearer's photograph and signature along with a statement of authority and the signature of the CNIC IG.

(3) Issue a LOA to non-credentialed IG personnel assigned to conduct an IG hotline investigation until CNIC IG certifies the individual as an investigator and issues credentials.

(4) Revoke, either temporarily or permanently, the credentials of an investigator based on conduct or performance related to investigative duties. If an investigator fails to maintain the prescribed annual training and investigation standards, credentials may be revoked until such time the standards are met. CNIC IG may grant a waiver on a case-by-case basis.

(5) Maintain a record of all IG, Deputy IG, Region and Region Deputy IG and investigator credentials and badges to include the credentialed individual's name, serial number, badge number, date of issuance and final disposition. Maintain a log and serialize credentials to maintain control.

(6) Ensure CNIC and Region OIG investigators maintain proficiency and continue developing skills through training and mentoring within the Navy IG network as described in references (b), (d) and (k).

b. CNIC Deputy IG and IPM will:

(1) Review credentialing submissions to ensure the investigator's work product meets the quality standards for investigations prior to initial certification and thereafter.

(2) Review requests for credentialing prior to gaining CNIC IG approval to ensure investigators have met established requirements in this SOP.

(3) Submit a request for investigator credentialing along with the investigators checklist and copies of relevant investigation reports to the CNIC IG once an individual has successfully completed the established requirements in this SOP.

c. RIGs will:

(1) Submit a request for investigator credentialing along with the investigators checklist and copies of relevant investigation reports to the CNIC IG IPM, copy to the CNIC IG Hotline Administrator, once an individual has successfully completed the established requirements in this SOP.

(2) Ensure investigator's PIs, CDIs and investigation reports meet the quality standards

of investigations per references (b), (d) and (k).

(3) Recommend removal of an investigator's credentials if his or her investigations and reports do not meet these standards, report the removal of credentials to CNIC IG to include a recommendation regarding the reasons for revocation of credentials.

d. CNIC and Region OIG personnel will:

(1) Use credentials for official purposes only, in connection with OIG hotline investigations. Credentials are used as a form of identification during OIG hotline investigation activities and will not be used for other purposes such as the conduct of CDIs, installation access or to give the appearance of law enforcement.

(2) The bearer of these credentials is authorized to inquire into and report upon any matter as directed by the CNIC IG and authorized immediate and unrestricted access to all DON persons, unclassified information and spaces with or without prior notification.

(3) Safeguard CNIC OIG credentials from theft, loss or unauthorized use.

(4) Report lost, stolen or damaged credentials immediately, as soon thereafter as practicable, to CNIC IG. Notify the CNIC IG in writing of the circumstances surrounding the loss, theft or damage, within five business days.

(5) Loss or misuse of credentials involving negligence may result in administrative and disciplinary action.

(6) Maintain credentials in his or her personal possession while conducting official investigations and properly secure credentials when not in use.

(7) Return credentials to the CNIC OIG for appropriate disposition within five business days in advance of termination of employment, reassignment, transfer or retirement.

INVESTIGATOR CERTIFICATION AND CREDENTIALING CHECKLIST

1. Certification and Training. Certifications will be achieved through a combination of training, prior experience, observation and demonstrated proficiency.

a. Initial proficiency is attained through assisting a certified investigator in the completion of job tasks associated with the specific type of investigation; completing all assigned investigation job tasks as lead investigator under the supervision of a certified investigator; and completing all investigation job tasks unsupervised, with no more than one review for minor corrections or changes.

b. Hotline Investigator (Basic) Certification. This certification qualifies the individual to perform basic inquiries into allegations of fraud, waste and abuse. Certification consists of training, observation and demonstration of specific competencies related to the tasks associated with conducting a Hotline Investigation.

c. Complete the following training for Investigators to attain basic certification:

(1) The Naval Inspector General Investigations: Basics training on-line.

(2) The Naval Inspector General Hotline Investigator Course.

2. Investigations Function

a. Hotline Intake

(1) Observe an intake officer receive, analyze and determine disposition of:

___A complaint received via computer.

___A complaint received via phone.

___A complaint received in person.

(2) Demonstrate proficiency in the following job tasks:

(a) Task 1: Receive complaint of wrongdoing:

___Establish rapport (if in person or on phone).

___Obtain data from complainant or source: who did what, when did it occur, where it occurred and who was involved.

___ Determine actions taken to date and resolution: other complaints filed, chain of command involvement.

___ Assure complainant of independence, impartiality.

___ Explain procedures/process to complainant.

___ Refer complainant to appropriate entity/venue if more appropriate.

___ Update Case Notes to document determinations.

(b) Task 2: Analyze incoming complaint and determine disposition:

___ Identify issues and allegations.

___ Review and identify significant information or potential evidence.

___ Identify violations of regulatory criteria or administrative standards.

___ Determine IG cognizance/jurisdiction.

___ Coordinate with appropriate authorities (internally and externally) – NCIS, AIO, etc.

___ Determine correct disposition of complaint (criminal, civil or administrative).

___ Document complaint in writing, entering in NIGHTS.

b. Investigative Planning

(1) Observe an investigative officer assess, focus and develop:

___ A preliminary inquiry.

___ A full investigation.

(2) Demonstrate proficiency in the following job tasks:

(a) Task 1: Craft allegations:

___ Review available information and evidence.

___ Review legal decisions and guidelines.

allegations. ___Review applicable programs, policies and procedures to utilize as standards for

___Determine appropriate standards and focus and scope of investigation.

___Draft outline of proof for each allegation.

(b) Task 2: Develop the plan:

___Assess and identify required resources.

___Identify potential witnesses, subjects, relevant documents and evidence.

notifications. ___Organize and prioritize investigative activities: sequence of events,

___Prepare initial investigative plan to include sequence of events, witness list, document list contact list and notification lists and standards.

c. Conduct Investigation

(1) Observe an investigating officer maintain focus and follow investigative plan in executing:

___Preparations.

___Interviews.

___Document Reviews.

(2) Demonstrate proficiency in the following job tasks:

(a) Task 1: Prepare investigation activities:

___Notify senior management of allegations; prepare courtesy email or briefing.

___Create witness plans/questions.

___Apply knowledge of laws, directives and/or regulations using outline of proof.

___Provide notice of witness and subject rights.

___Prepare Subject Notification Letter.

___ Assess progress and re-focus when necessary.

___ Update Case Notes regularly.

(b) Task 2: Conduct interviews:

___ Provide interviewee with rights and responsibilities.

___ Project a professional image.

___ Use good oral and written communication skills.

___ Conduct complainant clarification interview.

___ Conduct witness interviews.

___ Conduct subject interview.

___ Record interview.

___ Submit recorded interview for transcription.

(c) Task 3: Collect and analyze data:

___ Collect, analyze and preserve evidence.

___ Use appropriate specialized techniques (search, consensual monitoring, computer document grab).

___ Gather and evaluate documentary information.

___ Conduct reviews and data inquiries and promptly document such activities.

d. Organize, Evaluate and Document Investigative Findings

(1) Observe an investigative officer maintain focus and follow investigative plan in developing:

___ Findings.

___ Draft Report.

___Endorsement/Sufficiency Reviews.

(2) Demonstrate proficiency in the following job tasks:

(a) Task 1: Analyze findings:

___Prepare witness summary statements.

___Organize the information and evidence gathered.

___Correlate data, witnesses and records.

___Review and understand the information gathered against the standards.

(b) Task 2: Draft report:

___Write scope of investigation (background, hotline origin and summary of complaint including allegations and standards).

___Document interviews conducted and documents reviewed.

___Discuss and analyze facts and document findings and recommendations for each allegation/issue.

___Utilize outline of proof to develop analysis using facts and elements of standards.

___Prepare evidence and enclosures.

___Ensure accuracy, thoroughness, objectivity, proper format, clarity and correct grammar.

___Apply correct confidentiality, the Privacy Act, the Freedom of Information Act, disclosure and security classification requirements.

(c) Task 3: Finalize report/reviews:

___Obtain internal reviews.

___Obtain legal sufficiency review.

___Draft Tentative Conclusion Letter for subject with substantiated allegation(s).

___Draft endorsement and forwarding letter.

___ Submit to higher authority.

e. Post-Investigative Tasks

(1) Observe an investigative officer close a case once complete:

___ Command Notifications.

___ Corrective Actions.

___ Records Management.

(2) Demonstrate proficiency in the following job tasks:

(a) Task 1: Notifications:

___ Out-brief senior management.

___ Draft written response to complainant notifying if results.

___ Upload files in DON electronic database.

(b) Task 2: Corrective actions:

___ Direct accomplishment of any required corrective action.

___ Document and report results, dispositions and outcomes.

___ Draft closure letter.

(c) Task 3: Records management:

___ Review the organization of investigative files for efficient retrieval.

___ Archive investigative files.

___ Ensure DON electronic database reflects accurate and final case information.