



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

DJS/DIG
DISTRIBUTION: A, C, S

CJCSI 5901.01C
6 November 2015

JOINT STAFF INSPECTOR GENERAL RESPONSIBILITIES, PROCEDURES, AND OVERSIGHT FUNCTIONS

References: See Enclosure F

1. Purpose. This instruction:

a. Establishes policy, assigns responsibilities, and prescribes procedures for oversight, assistance, teaching and training, inquiries, inspections and investigations of the Joint Staff; Defense activities responsive to the Chairman of the Joint Chiefs of Staff ("the Chairman"); and other supporting organizations reporting to the Chairman.

b. Provides coordination and reporting procedures for the Joint Staff Inspector General (JS IG) in working with the Chairman's Controlled Activities (CCAs), the Combatant Commands (CCMDs), Inspector General of the Department of Defense IG (IG DoD), and Service IGs.

2. Superseded/Canceled. CJCSI 5901.01B, 11 July 2008, is hereby superseded.

3. Applicability. This instruction applies to:

a. The Joint Staff, Defense activities responsive to the Chairman of the Joint Chiefs of Staff (CJCS), and supporting organizations reporting to the Chairman, to include all CCAs and CCMDs.

b. All DoD personnel working on the Joint Staff or providing support to or collaboration with the JS IG office.

4. Policy. The JS IG office will use the Joint IG Guides as initial baselines. There are four IG guides: Joint IG Assistance Guide, Joint IG Concept and System Guide, Joint IG Inspection Guide, and Joint IG Investigations Guide.

5. Responsibilities. See Enclosure A.

6. Summary of Changes. This revision of CJCSI 5901.01:

a. Incorporates the four Joint IG Guides: Assistance, Concept and System, Inspection, and Investigations.

b. Clarifies the roles, responsibilities and functions of a Joint IG.

c. Replaces the JS Form 157 with the Joint Inspector General Action Request (JIGAR) DD Form 2949.

d. Updates the references and glossary and includes various administrative changes.

7. Releasability. UNRESTRICTED. This directive is approved for public release; distribution is unlimited on NIPRNET. DoD Components (to include the Combatant Commands), other Federal Agencies, and the public may obtain copies of this directive through the Internet from the CJCS Directives Electronic Library at www.dtic.mil/cjcs_directives. JS activities may also obtain access via the SIPR directives Electronic Library Web sites.

8. Effective Date. This INSTRUCTION is effective upon receipt.


WILLIAM C. MAYVILLE, JR.
LTG, USA
Director, Joint Staff

Enclosures:

A – Conduct of Assistance, Teaching and Training, Inquiries, Inspections and Investigations

B – Inspector General Assistance Function and Complaint Procedures

C – Inspections and Intelligence Oversight Responsibilities and Coordination

D – Inspector General Inquiry and Investigation Function

E – Inspector General Special Investigations

F – References

GL – Glossary of Acronyms and Abbreviations

DISTRIBUTION

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Inspector General of the Department of Defense	1
Office of the DoD Senior Intelligence Oversight Official.....	1
Defense Intelligence Agency, Inspector General	1

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ENCLOSURE A

CONDUCT OF ASSISTANCE, TEACHING AND TRAINING, INQUIRIES,
INSPECTIONS AND INVESTIGATIONS

1. General Information. The Director, Joint Staff (DJS) is the Joint Staff IG. The Joint Staff Deputy Inspector General (DIG) functions as the impartial fact-finder for the Director and Chairman of the Joint Chiefs of Staff and supports Joint Staff personnel. The Joint Staff DIG coordinates and analyzes indicators that will provide timely feedback and recommends corrections to the Director.

a. The Director, Joint Staff is the only authority to establish or appoint permanent IG positions and this authority may not be further delegated. The DIG may appoint temporary assistant IGs to augment inspection or investigative teams.

b. The DIG will inform the DJS on any reports of Senior Official allegations, DoD Hotline cases, and Whistleblower Reprisal cases submitted by military and civilian personnel within 5 working days of receipt of allegation.

2. Responsibilities

a. The JS IG office will:

(1) Provide assistance and conduct inquiries, inspections and investigations functions as directed by the Chairman or DJS, Joint Staff Directorates, or IG DoD.

(2) Provide administrative oversight and ensure optimum efficiency during assistance, inspections and investigations functions.

(3) Serve as the inspections and investigations team chief unless otherwise directed by the Chairman or Director, Joint Staff. In some cases, the JS IG office may require augmentation by subject matter experts (SMEs). The JS IG office will coordinate with appropriate staff directorates to acquire personnel with the requisite technical expertise. In some instances, IG DoD may be contacted for further assistance in accordance with (IAW) references a and b.

(4) Protect confidentiality to the maximum extent possible IAW references c and d and guard against reprisal.

(5) Report allegations of misconduct made against senior officials (General/Flag Officers and/or Senior Executive Service (SES)) assigned to the Joint Staff, CCMDs, CCAs, or other joint activities to the IG DoD within 5 working days of receipt. The notification must be made in writing and will

include the name, rank/grade and duty position of senior official involved; a synopsis of the allegations; date received; a copy of the incoming complaint; and the name and position of the point of contact. The IG DoD will investigate or refer the allegation to the appropriate Joint command, Service IG or investigating agency IAW Service regulations and reference e

(6) Investigate allegations of misconduct by other than senior officials assigned to the Joint Staff or CCAs. If required, other designated and appointed investigating officers may be approved by the DJS. The JS IG office will adhere to Service reporting requirements for allegations or investigations involving other than senior officials.

(7) Receive and forward to the IG DoD all whistleblower reprisal complaints submitted by military personnel DoD non-appropriated fund employees and defense contractor employees within 10 working days of receipt, IAW references f through g.

(8) Provide IG assistance to assigned personnel to ensure that systems are functioning properly. When an individual requests assistance, a Joint Inspector General Action Request (JIGAR) or DD Form 2949 must be completed (Appendix A). The JS IG office will open an assistance case and conduct a preliminary analysis of the issue. If the IG deems the issue is appropriate for further action, then the JS IG office may assist, investigate, transfer or refer the case. Referred cases are provided to external agencies and the acceptance acknowledgement is used to close the case file. Completed cases will be accessible by the JS IG office of record. If the JS IG office closes the case, the complainant will be notified (if known) and the JS IG office will update the case status along with supporting documentation. Transferred cases, once completed, the investigating officer will provide the JS IG office all documentation for records keeping.

(9) Conduct inquiries, inspections and investigations as directed by the DJS or Chairman using the procedures and guidance contained in references a through j and the Joint IG Guides.

(10) Provide assistance to the CCMD IG offices as requested.

(11) Serve as the intermediary between the IG DoD and the CCMD IGs (coordination with the military Service IGs as required) concerning assistance, inquiries and investigations.

(12) Establish a process to distribute and monitor all DoD Hotline cases to the CCMD IGs and internally. Request case extensions on behalf of the CCMD IGs and provide written extension notices back to the CCMD IGs indicating approval and new suspense date. Upon completion of an inquiry or investigation, prepare a Defense Hotline Completion Report (HCR) IAW

reference i. The JS IG office will ensure all CCMD IGs prepare and forward the HCR to the JS IG office for review. The HCR will then be forwarded to the, Director, Defense Hotline for review and closure.

(13) Serve as the Joint Staff repository for all the JS IG records. Protect and mark them IAW references k and l. The release authority for Joint Staff IG records is the DJS. The DJS may delegate release authority to the JS DIG.

(14) Process Freedom of Information Act (FOIA) requests for IG records IAW reference d.

(15) Attend the Defense Council on Integrity and Efficiency, Defense Intelligence and Special Programs Oversight Committee, Southwest Asia Joint Planning Group, IG DoD Hotline Symposiums, and any IG DoD working groups.

(16) Provide a forum for Joint IG issues and information concerning the CCMD IG and Military Service IGs.

(17) Ensure that personnel assigned or billeted to the JS IG office will attend the Joint Inspector General Course (JIGC) within 120 days to qualify as a Joint IG. Administrative support IG staff will receive training from the JS DIG. Augmentees (active duty, reserve or guard) serving in JS IG positions for more than 180 days will also attend the JIGC.

(18) Ensure that personnel assigned to the JS IG will not be appointed as investigating officers under Article 32, Uniform Code of Military Justice (UCMJ); Army Regulation 15-6, or other regulations.

b. Directorates, CCAs and any joint activities directly responsible for reporting to the Chairman will:

(1) Assign the JS DIG appropriate personnel with SMEs to augment inspection or investigation teams, upon request.

(2) Provide the JS DIG with documentation and reports, etc., to assist with an inspection or investigation, upon request.

(3) Report items unable to be corrected to the JS DIG.

c. CCMD IGs will:

(1) Receive, process and return completed HCRs to the JS IG office IAW reference i. CCMD IGs must request extensions in writing to the JS IG office and provide a reason for requesting an extension prior to lapse of suspense date. The JS IG office will request an extension from IG DoD.

(2) Forward all credible allegations of misconduct made against senior officials within 5 working days of receipt to the IG DoD IAW reference c, and provide a courtesy copy to the JS IG office. Service IG notifications will be made IAW service reporting requirements as noted in the Joint IG Concept and System Guide.

(3) Forward all allegations of whistleblower reprisals submitted by military members, DoD non-appropriated fund employees, and Defense contractor employees to the JS IG within 10 working days after receiving any allegation that the prohibitions or restrictions of reprisal IAW references g through l, the JSIG will notify IG DoD. If further investigation is warranted, the IG DoD may forward the action to the JS DIG for investigation to the appropriate CCMD IG. Upon completion of an investigation, all whistleblower reprisal completion reports (with legal review) and supporting documentation will be forwarded to the JS IG office and IG DoD.

d. CJCS Legal Counsel will:

(1) Provide legal consultation to the JS IG office as required and review all Joint Staff-generated completion reports prior to final disposition or submission to the DJS and/or IG DoD.

(2) Inform the JS IG office of any command-directed investigations against a G/FO or SES, so proper notification can be made to the IG DoD Senior Officials IAW reference e.

APPENDIX A TO ENCLOSURE A

JOINT INSPECTOR GENERAL ACTION REQUEST Personal and Fraud, Waste and Abuse Complaint Registration		
PRIVACY ACT STATEMENT		
AUTHORITY: Title 10 U.S.C. 141; DoDD 5106.04; DoDI 5106.05.		
PRINCIPAL PURPOSE(S): To secure sufficient information to inquire into the matters presented and to provide a response to the requestor(s) and/or take action to correct deficiencies.		
ROUTINE USE(S): Information is used for official purposes within the Department of Defense; to answer complainants or respond to requests for assistance, advice, or information; by members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Department of Defense; and, in certain cases, in trial by courts-martial and other military matters as authorized by the Uniform Code of Military Justice. Department of Defense "Blanket Routine Uses" also apply.		
DISCLOSURE: Disclosure of personal information is voluntary; however, failure to provide complete information may hinder proper identification of the requestor, accomplishment of the requested action(s), and response to the requestor.		
WARNING: Those who knowingly and intentionally provide false statements in this complaint are subject to potential punitive and administrative actions (UCMJ Art. 107; 18 U.S.C. 1001).		
1. NAME (Last, First, Middle Initial)	2. GRADE/RANK	3. SSN (Optional)
4. STATUS (X as applicable) <input type="checkbox"/> MILITARY <input type="checkbox"/> Air Force <input type="checkbox"/> Army <input type="checkbox"/> Navy <input type="checkbox"/> Marine Corps <input type="checkbox"/> Coast Guard <input type="checkbox"/> Active <input type="checkbox"/> Reserve <input type="checkbox"/> National Guard <input type="checkbox"/> Other: _____ <input type="checkbox"/> CIVILIAN <input type="checkbox"/> Appropriated Fund <input type="checkbox"/> Nonappropriated Fund <input type="checkbox"/> Contractor <input type="checkbox"/> Foreign or Local National <input type="checkbox"/> Other: _____	5. UNIT IDENTIFICATION CODE (UIC)/ORGANIZATION ADDRESS	
6. PREFERRED MAILING ADDRESS (If different from above)		
7. CONTACT TELEPHONE NUMBER(S) (Include area code/DSN) a. DUTY b. HOME c. CELL		8. E-MAIL ADDRESS(ES)
9. SPECIFIC ACTION REQUESTED (What do you want the IG to do for you?)		
10. INFORMATION PERTAINING TO THIS REQUEST (Background, list attached documents, who else (commander, agency) you have talked with about this matter, etc.)		
11. STATEMENT OF UNDERSTANDING <input type="checkbox"/> I do <input type="checkbox"/> I do not consent to release my personal information inside official channels in order to resolve the matter(s) listed above. I understand that if I do not agree to release my personal information, my request for assistance may go unresolved.		
a. DATE (YYYYMMDD)	b. SIGNATURE	12. IG/CASE NUMBER (Assigned by Joint IG)

DD FORM 2949, SEP 2011

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ENCLOSURE B

INSPECTOR GENERAL ASSISTANCE FUNCTION
AND COMPLAINT PROCEDURES

1. Purpose. JS IGs will provide Assistance to resolve issues for Soldiers, Sailors, Airmen, Marines, Coast Guard and Civilians so the individual and the complainant can focus on the assigned mission. Assistance can be an informal fact-finding process used to address or respond to a complaint involving a request for help, information, or issues but not impropriety or wrongdoing. To remedy a problem, the JS IG office may make phone calls; ask questions of functional experts; solicit helpful information from the appropriate organization or agency; or put the complainant in contact with the person, organization, or agency that can appropriately address the complainant's problem. The JS IG office may also take requests for assistance from other-than DoD civilians, including contractors, third-country nationals, as long as the requests concern matters of interest to the United States.

2. Assistance Function. Assistance is a multi-step process. It begins with receiving the complaint or a request for assistance followed by preliminary analysis to determine if the issue has merit and requires resolution, if the matter is appropriate for IG action, or if the IG should refer the matter to another agency or management.

a. The Assistance Function is the process of receiving, inquiring into, and responding to complaints, requests for information, and requests for help presented or referred to a Joint IG. This process is used to correct problems indirectly. Joint IGs correct problems by bringing the matter to the attention of the J-Directorate. This referral occurs at the lowest level of staff to take corrective action and the matter is elevated only when deemed appropriate. This process assists in eliminating conditions detrimental to the morale, efficiency, or reputation of the unit and Staff. Any Joint IG can perform the Assistance Function.

b. The Assistance Function complements the Inspections and Investigations functions. A simple request for assistance may require an inspection to resolve, especially in cases where a systemic problem is suspected. Some complaints may expand into an investigation depending on the situation. If the complaint involves an allegation of impropriety or wrongdoing, the Joint IG must address the allegation either by using an investigative inquiry or investigation or refer the allegation or investigative inquiry or investigation to the local command or another appropriate command or agency. The process for conducting an IG investigation is contained in the Joint IG Investigations Guide.

c. The Assistance Function is another opportunity for the Joint IG to teach and train; provide information about military systems, processes and procedures; and assess morale. The Joint IG Teach and Train Function is an integral part of all Joint IG functions.

3. Who May Submit a Complaint to an Inspector General: Anyone, regardless of status, may make a complaint, allegation, or request for information or assistance to any Joint IG concerning matters of military interest. There are no pre-conditions for coming to the Joint IG for assistance. However, during normal duty hours, military and DoD personnel must inform their chain of command that they are leaving their place of duty. They cannot just walk off the job and fail to inform their supervisors where they are going. After duty hours, they may go to the IG without notifying their supervisors. The Joint IG may encourage the Military or Civilian employee to discuss complaints, allegations, or requests for assistance first with their J-Directorate, chain of command, or supervisor. If complainant does not wish to do so the Joint IG will accept the JIGAR. If specific redress procedures are available, the Joint IG will teach and train the complainant using the appropriate, formally established redress process and refer him or her to that process.

4. Sources of JIGARs. JIGARs can come from anyone and anywhere. They come from walk-ins, call-ins, e-mail messages, mail-ins, write-ins, anonymously, or with Joint IGs hearing the JIGAR for themselves. A Joint IG's responsibility is to receive the JIGAR and determine if it is appropriate for the IG to work or refer to another agency. Because a Joint IG assists in an area basis, these JIGARs can come from anyone and anywhere. As long as the matter is Service-related, the Joint IG will provide assistance by working the case or referring the issue to the appropriate agency for action. The following are some examples of JIGARs:

a. Active, Reserve and National Guard Soldiers: Reserve members not getting the same treatment as an active counterpart when they access the Service system.

b. Anonymous: An unidentified person complains about a lack of command opportunities in a specific directorate.

c. DoD Civilians: Pre-selection in hiring/promotions.

d. Family members: Nonsupport issues.

e. Retirees/Veterans: Veteran Administration benefits/medical problems.

f. Commander: Discussing a policy or consulting the Joint IG.

- g. Other Services: Member of the Navy comes to an Army Joint IG for assistance.
- h. Civilians (non-DoD employees): Civilians complaining about a Soldier driving too fast or drinking while driving a government vehicle.
- i. Media: Requesting that the Joint IG confirm or deny something.
- j. Contractors: Contractors not meeting requirements or the Federal Government exceeding the requirements of a contract.
- k. Third parties: Parents submitting a complaint on behalf of a son or daughter.
- l. Other Inspectors General: Another IG received the case by mistake or a Marine is not in his or her command.
- m. Congress: A Soldier went to his or her Congressional representative.

5. The Purpose and Use of JIGAR (DD Form 2949). The JIGAR is used primarily to document the initial request for assistance by the complainant. Therefore, complete the JIGAR in as much detail as possible for every request for Joint IG assistance. A good rule of thumb is to complete this form with sufficient detail to allow another Joint IG without prior knowledge of the case to work the issue.

a. During the initial interview with the complainant, the Joint IG will advise the complainant of the Privacy Act Statement of 1974 on the JIGAR. The Privacy Act shows that the Joint IG has the authority to request personal information and that the release of the complainant's social security number, home address, and home telephone number is voluntary. The complainant completes the JIGAR or the Joint IG can assist the complainant in completing the form.

b. The Joint IG will ensure that he or she gets a good phone number to contact the complainant and ask the complainant at least the following five questions:

- (1) What do you want the IG to do for you?
- (2) Do you have any supporting documents?
- (3) Have you asked any other agency to assist you?
- (4) Is your chain of command aware of your problem?

(5) What is your status?

c. The JIGAR is also a good tool to document the Joint IG's workload by keeping track of how many cases the Joint IG has worked. The Joint IG can also identify possible trends and systemic issues by reviewing the most common topics for which the complainants request help.

6. All personnel have the right to request assistance to file a complaint without fear of retaliatory action. Complaints and requests for assistance made to the IG are considered a protected communication. It is prohibited to deny or interfere with an individual's right to communicate with a Member of Congress or the IG, or to threaten to take adverse action or withhold favorable action against an individual who requested assistance or filed a complaint IAW references f through h.

7. All complainants should try to resolve their issue at the lowest level within their chain of command before filing a complaint or requesting assistance. However, personnel are not required to use the chain of command or get approval from their supervisor to process a complaint or request assistance at any level. A complainant may go directly to the IG at any time. The responsibility for adjusting and resolving complaints rests with all levels of command. J-Directors and supervisors must make it clear to all personnel that complaints and assistance requests are important and will be addressed by the command.

8. Responsibilities

a. J-Directors and supervisors at all levels must ensure:

(1) There is an "open door" policy at every level of management for personnel to seek counsel, either verbally or in writing.

(2) Personnel receive fair and prompt consideration regarding a complaint or request and they receive redress where needed. The complainant must believe that he or she can bring any issue to supervisory attention at any level without fear of reprisal. Supervisory personnel must ensure that no form of reprisal is taken against any individual filing a complaint or request.

(3) Personnel are informed of the complaint system and this instruction. The complaint system must be publicized on a continuing basis, to include during newcomer orientations, Directors Calls, etc.

(4) Anonymous complaints or requests are processed in the same manner as other complaints, i.e., conduct appropriate inquiry or investigation to resolve all substantive allegations and issues.

(5) No one prevents, inhibits or hinders any person from presenting a complaint to a higher authority or directly to the IG.

(6) Each complaint, whatever the source, is resolved fairly within JS policy. The appropriate J-Director/supervisor must ensure that the complainant or requestor is given a prompt and full reply.

(7) No reprisal action is taken against any complainant.

b. The DIG and JS IG office will:

(1) Not require prior approval of the individual's supervisor or J-Director to process a complaint. The IG will process and resolve JIGARs.

(2) Assure that whatever inquiry or investigation is necessary to resolve the complaint is conducted promptly, and that the individual receives an answer within 7 working days. If more time is needed, the IG will provide an interim reply.

(3) Reply to each complaint requesting assistance in writing acknowledging that the request has been received.

(4) Enter the complaint in the commands IG Case Database.

(5) Submit the complaint to the Combatant Command or Service IG if the complaint is not a JS matter. Submission will include all necessary and appropriate comments and supporting documentation.

(6) Inform the complainant that the complaint can be reviewed by the appropriate IG Staff if the individual desires such a review. The JS IG Staff will explain that it is the complainant's responsibility to request this review, by writing the appropriate IG (IG DoD, CCMD IG, or Service IG) giving his or her reason for the request.

c. The military or civilian complainant or requestor should:

(1) Discuss the issue first with their immediate supervisor. In discussing it, the complainant should remember that the case can be handled faster if all facts in the case are presented at the initial meeting.

(2) Present his or her concern to the next higher supervisor, Service Senior Enlisted Advisor, element commander, or to the IG if the initial action taken does not resolve the complaint or request within a reasonable period of time.

(3) Provide factual, true and unbiased information. Signing a complaint or request certifies that the information contained therein is true and correct to the best of the writer's knowledge and belief.

ENCLOSURE C

INSPECTIONS AND INTELLIGENCE OVERSIGHT RESPONSIBILITIES AND
COORDINATION

1. Purpose. The DIG will ensure inspections are mission-oriented, coordinated, and tailored to meet the Chairman, DJS and J-Directorates needs. Inspections will evaluate compliance with a recognized standard. Teaching and training will be an essential element of all inspections and staff assistance visits.

2. Responsibilities

a. The JS IG office will inspect and report on:

(1) Personnel accountability programs in J-1 to ensure compliance with reference m.

(2) Intelligence programs IAW references n through r.

(3) Component's information operations programs regarding IO to ensure compliance with reference s.

(4) Inspection results IAW internal operating procedures and distributes inspection results to the staff and the inspected activity.

(5) Monitoring the progress and effectiveness of actions taken to correct identified deficiencies and/or discrepancies.

(6) Budgeting for inspections to include all representatives required from other directorates within the JS subject to the availability of budgeted funds.

b. JS Directorates, CCAs and activities responsive to the Chairman will:

(1) Provide augmenting personnel to support inspection teams as required.

(2) Review inspection reports and, if applicable, comply with corrective actions within 90 days of receiving the final report.

(3) Ensure the JS inspection checklists in their functional areas are kept current.

3. Intelligence Oversight Responsibilities and Coordination

a. The JS IG office coordinates and consolidates the quarterly Intelligence Oversight (IO) reports of the Joint Information Operations Warfare Center (JIOWC), J-3, Joint Personnel Recovery Agency, J-7 and the CCMD IGs.

b. The Defense Intelligence Agency (DIA) Office of the Inspector General (OIG) is responsible for IO matters for the Joint Staff Intelligence Directorate (J-2). The DIA OIG will inform the DIG of all questionable intelligence activities, significant or highly sensitive (S/HS) matters, and IO investigations pertaining to Joint Staff intelligence components.

c. The Joint Staff/J-2, CCMDs, sub-unified commands, and joint task forces may collect, retain and disseminate foreign intelligence and counterintelligence. Intelligence personnel will comply fully with references c and n through r.

4. Policy. The JS IG office provides the conduit for the CCMD IG quarterly IO reports and reports of questionable intelligence activity.

5. IO Responsibilities

a. CCMD IGs will:

(1) Monitor, inspect and report on their command's IO program.

(2) Ensure procedures exist within the Combatant Command's headquarters and subordinate joint intelligence organizations for the reporting of questionable activities and S/HS matters and that employees of such organizations are aware of their responsibilities as specified in Procedures 14 and 15 of reference q.

(3) Ensure the Combatant Command's headquarters and subordinate joint intelligence organizations report questionable intelligence activity and S/HS matters to the CCMD IG and then forward these reports to the JS IG office.

(4) Submit quarterly IO reports covering the Combatant Command's headquarters and subordinate joint intelligence organizations to the JS IG office no later than 5 working days after the beginning of each quarter (January, April, July and October). CCMD IGs will also report questionable intelligence activities and all S/HS matters immediately to the JS IG office.

(5) If and when appropriate, investigate questionable intelligence activities and S/HS matters.

(a) Investigate each report of questionable activity to the extent necessary to determine the facts and assess whether the activity and S/HS matters is legal and consistent with applicable policies.

(b) Conduct investigations expeditiously. Obtain assistance from other DoD Components when necessary to complete an investigation in a timely manner.

(c) Retain overall responsibility for investigation of questionable intelligence activities and S/HS matters concerning the Combatant Command's headquarters and subordinate joint organizations. While the combatant command IG need not necessarily conduct the investigation, it should review the results of all investigations prior to submission to the JS IG office.

(d) The CCMD Service components will investigate and report questionable activities and S/HS matters IAW Service regulations. Combatant Command Service components should send quarterly reports through Service channels IAW their Service regulations.

b. JS IG office will:

(1) Provide all reports of questionable intelligence activities and S/HS matters to the DoD General Counsel and the Office of the Department of Defense Senior Intelligence Oversight Official (DoD SIOO) as specified in Procedure 15 of reference q.

(2) Report questionable intelligence activities and S/HS matters of a serious nature immediately.

(3) Submit the consolidated quarterly IO report of the Joint Staff and the CCMDs to the DoD SIOO no later than 10 working days after the beginning of each quarter (January, April, July and October).

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ENCLOSURE D

INSPECTOR GENERAL INQUIRY AND INVESTIGATION FUNCTION

1. An investigation is a fact-finding examination into allegations of impropriety by an individual or an adverse condition that affects the warfighting capability of a Joint command. The JS IG office may investigate any violation of law, policy, or ethical standard, including but not limited to allegations of fraud, waste, abuse and mismanagement. The JS IG office is also responsible for conducting investigations into allegations of restricting access to the IG, statutory Whistleblower Reprisal and Improper Mental Health Referrals involving military members, civilians, non-appropriated fund employees, and contractors IAW established law and DoD policy.
2. The IG has the authority to conduct investigations and inquiries into any activity of the JS in order to provide the CJCS and DJS with an independent and sound basis for action. Investigations and inquiries will be conducted impartially and without prejudice. Issues that cannot be resolved in an impartial manner within the command will be referred to a higher authority. If an investigation is warranted, the JS IG will obtain a directive to conduct an investigation from the DJS.
3. The JS IG staff will use the guidance in the Joint IG Investigations Guide as a baseline for the conduct of investigations and inquiries and will use Service-specific IG inquiry and investigation guidelines, as appropriate.
4. IGs are authorized access to all documents and other evidentiary materials needed to discharge their duties. These documents include normally protected data. Examples are classified documents (IGs must have appropriate clearance level to review classified documents), record of board proceedings, acquisition information, medical records, drug and alcohol records, financial records, evaluation reports, security dossiers, criminal investigation reports and copies of personal restricted fiche. IGs are not authorized access to material subject to attorney-client privilege.
5. Procedures
 - a. Each investigative office that conducts an inquiry or investigation must contact all witnesses or persons who have any knowledge relevant to the complaint. Direct communications with personnel or agency officials outside command channels is authorized.
 - b. Inquiries and investigations will be conducted at an appropriate level of command to preclude self-investigation or the appearance of coercion. In each inquiry, an objective approach must be used to ensure that the review and findings are done fairly.

(1) Commanders and supervisors may not initiate or direct investigations into complaints lodged against themselves or those reporting directly to them. These complaints will be referred to the next higher level of command for investigation and resolution. This does not limit the authority of the J-Directors to investigate complaints in which they or those reporting directly to them are named solely because of their official position in the chain of command as long as the complaint does not allege any action or omission against them personally. The J-Director and supervisor must evaluate each complaint to determine at what level the complaint should be investigated. In cases of doubt, the complaint should be referred to the next level of staff or to the IG.

(2) Items appropriate for IG inquiry or investigation include:

(a) Operational or administrative systems that fail to prevent, direct or correct violations of law or regulation.

(b) Violations of basic rights of any individual or other irregularity.

(c) Incidents that involve fraud, waste and abuse.

(3) Inquiries and investigations falling outside this instruction that are normally inappropriate for IG inquiry include criminal investigations, Article 138, UCMJ, Equal Opportunity Complaints, Article 32 Investigations Boards of Inquiry, and Audits, etc. Matters that have a redress process are not appropriate for IG action.

(4) Follow-On Investigations. Investigating officers conducting follow-on investigations subsequent to an IG investigation or investigation inquiry will be provided readily available documents (documents that could be obtained from other sources), a list of witnesses who have information relevant to the investigation, an explanation of how they are relevant (i.e., eyewitness, duty position, etc., and an oral brief on the nature of the allegation or matters examined by the JS IG office. Written statements, transcripts and recorded tapes taken by the JS IG office will not be released.

ENCLOSURE E

INSPECTOR GENERAL SPECIAL INVESTIGATIONS

1. The Joint Staff IG will:

a. Establish methods for processing and controlling the receipt, examination and reporting of all allegations referred for audit, inspection and investigation through the Defense Hotline Program.

b. Track, monitor and follow up on allegations referred to the Defense Hotline, Office of Management and Budget, other executive agency hotlines, DoD staff activities, and individuals communicating directly with the IG.

c. Establish necessary controls to provide maximum protection for the identity of individuals using the Defense Hotline, as provided in Public Law 95-452 and references a and b. However, individuals reporting alleged fraud and mismanagement should be encouraged to identify themselves to the Defense Hotline so Hotline Staff can contact the source if additional information is needed.

d. Examine all substantive allegations. The examination will be conducted by disinterested but qualified auditors, inspectors or investigators. When necessary, the individuals or groups possessing other technical or professional skills will assist in conducting examinations under the direct supervision of the JS IG staff.

e. Ensure that due professional care and organizational independence are observed, and that these procedures are impartial and objective. Allegations must be examined by officials independent of the office, staff element, operation, etc., in which the complaint is alleged to have occurred. Reports of investigations/complaints will be forwarded to the IG DoD using the HCR found in reference i.

2. The JS IG will investigate reprisal allegations that meet the requirements of title 10, U.S.C., IAW reference d and will use the Joint IG Investigations Guide. The IG will conduct a preliminary analysis to determine if sufficient evidence exists to warrant investigation. Notify the IG DoD Whistleblower Reprisal Investigations Directorate within 10 working days after receiving allegations that prohibitions of restriction of reprisal have been violated. Provide a copy of the written complaint to the IG DoD. Investigation reports will be prepared IAW the Joint IG Investigations Guide and forwarded to IG DoD after legal review. The preliminary analysis must at a minimum answer "yes" to the following questions:

a. Element 1, Protected Communication (PC): Did Complainant make or prepare to make a protected communication, or was Complainant perceived as having made or prepared to make a protected communication?

b. Element 2, Personnel Action (PA): Was an unfavorable personnel action taken or threatened against Complainant, or was a favorable personnel action withheld or threatened to be withheld from Complainant?

c. Element 3, Knowledge: Did the responsible management official(s) have knowledge of Complainant's protected communication(s) or perceive Complainant as making or preparing protected communication(s)?

d. Element 4, Causation: Would the same personnel action(s) have been taken, withheld, or threatened absent the protected communication(s)?

ENCLOSURE F

REFERENCES

- a. DoDD 5106.04, "Defense Inspectors General," 22 May 2014
- b. DoDI 5106.05, "Combatant Command Inspectors General -- Implementing Procedures," 14 July 2006
- c. DoDD 5400.11, "DoD Privacy Program," 29 October 2014
- d. DoDD 5400.7-R, "DoD Freedom of Information Act Program," 2 January 2015
- e. DoDD 5505.06, "Investigations of Allegations Against Senior Officials of the Department of Defense," 6 June 2013
- f. DoDD 7050.06, "Military Whistleblower Protection," 17 April 2015
- g. DoDD 1401.03, "DoD Non-Appropriated Fund Instrumentality (NAFI) Employee Whistleblower Protection," 13 June 2014
- h. Title 48, Code of Federal Regulations, Subpart 3.9., "Whistleblower Protections for Contractor Employees"
- i. DoDI 7050.01, "Defense Hotline Program," 17 December 2007
- j. Joint Inspector General Assistance, Concept and System, Inspection and Investigations Guides, www.dodigmil/programs/JIGP/references.html
- k. CJCS 5760.01 Series, "Records Management Policy for the Joint Staff and Combatant Commands," 30 April 2007
- l. DoDD 5015.2, "Records Management Program," 6 March 2000
- m. DoDD 3001.02, "Personnel Accountability in Conjunction With Natural or Manmade Disasters," 3 May 2010
- n. Executive Order 12333, "United States Intelligence Activities," 4 December 1981
- o. DoDD 5148.11, "Assistant to the Secretary of Defense for Intelligence Oversight (ATSD(IO)),," 24 April 2013
- p. DoDD 5240.01, "DoD Intelligence Activities," 27 August 2007

- q. DoD 5240.1-R, "Procedures Governing the Activities of DoD Intelligence Components That Affect United States Persons," December 1982
- r. DTM 08-052, "DoD Guidance for Reporting Questionable Intelligence Activities and Significant or Highly Sensitive Matters," 17 June 2009
- s. DoDD 3600.01, "Information Operations," 2 May 2013

GLOSSARY OF ABBREVIATIONS AND ACRONYMS

CCMD	Combatant Command
CJCS	Chairman of the Joint Chiefs of Staff
DCIE	Defense Council on Integrity and Efficiency
DIA	Defense Intelligence Agency
DIG	Deputy Inspector General
DISPOC	Defense Intelligence and Special Programs Oversight Committee
DJS	Director, Joint Staff
DoD	Department of Defense
DoD SIOO	Office of the Department of Defense Senior Intelligence Oversight Official
FOIA	Freedom of Information Act
HCR	Hotline Completion Report
JIGAR	Joint Inspector General Action Request
JIGC	Joint Inspector General Course
JPRA	Joint Personnel Recovery Agency
JS IG	Joint Staff Inspector General
IAW	In Accordance With
IG DoD	Inspector General of the Department of Defense
IO	Intelligence Oversight
LC	Legal Counsel
OIG	Office of the Inspector General
PA	Personnel Action
PC	Protected Communication
SES	Senior Executive Service
S/HS	Significant or Highly Sensitive
SME	Subject Matter Expert
SWA JPG	Southwest Asia Joint Planning Group

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