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TAB 1

Rights Warning Advisements

# RIGHTS WARNING PROCEDURE/WAIVER CERTIFICATE

For use of this form, see AR 190-30; the proponent agency is ODCSOPS

## DATA REQUIRED BY THE PRIVACY ACT

**AUTHORITY:** Title 10, United States Code, Section 3012(g)  
**PRINCIPAL PURPOSE:** To provide commanders and law enforcement officials with means by which information may be accurately identified.  
**ROUTINE USES:** Your Social Security Number is used as an additional/alternate means of identification to facilitate filing and retrieval.  
**DISCLOSURE:** Disclosure of your Social Security Number is voluntary.

1. LOCATION	2. DATE	3. TIME	4. FILE NO.
5. NAME (Last, First, MI)	8. ORGANIZATION OR ADDRESS		
6. SSN	7. GRADE/STATUS		

## PART I - RIGHTS WAIVER/NON-WAIVER CERTIFICATE

### Section A. Rights

The investigator whose name appears below told me that he/she is with the United States Army \_\_\_\_\_ and wanted to question me about the following offense(s) of which I am suspected/accused: \_\_\_\_\_

Before he/she asked me any questions about the offense(s), however, he/she made it clear to me that I have the following rights:

1. I do not have to answer any question or say anything.
2. Anything I say or do can be used as evidence against me in a criminal trial.
3. *(For personnel subject to the UCMJ)* I have the right to talk privately to a lawyer before, during, and after questioning and to have a lawyer present with me during questioning. This lawyer can be a civilian lawyer I arrange for at no expense to the Government or a military lawyer detailed for me at no expense to me, or both.

- or -

*(For civilians not subject to the UCMJ)* I have the right to talk privately to a lawyer before, during, and after questioning and to have a lawyer present with me during questioning. I understand that this lawyer can be one that I arrange for at my own expense, or if I cannot afford a lawyer and want one, a lawyer will be appointed for me before any questioning begins.

4. If I am now willing to discuss the offense(s) under investigation, with or without a lawyer present, I have a right to stop answering questions at any time, or speak privately with a lawyer before answering further, even if I sign the waiver below.

5. COMMENTS (Continue on reverse side)

### Section B. Waiver

I understand my rights as stated above. I am now willing to discuss the offense(s) under investigation and make a statement without talking to a lawyer first and without having a lawyer present with me.

WITNESSES (If available)		3. SIGNATURE OF INTERVIEWEE
1a. NAME (Type or Print)		
b. ORGANIZATION OR ADDRESS AND PHONE		4. SIGNATURE OF INVESTIGATOR
2a. NAME (Type or Print)		5. TYPED NAME OF INVESTIGATOR
b. ORGANIZATION OR ADDRESS AND PHONE		6. ORGANIZATION OF INVESTIGATOR

### Section C. Non-waiver

1. I do not want to give up my rights  
 I want a lawyer  I do not want to be questioned or say anything

2. SIGNATURE OF INTERVIEWEE

ATTACH THIS WAIVER CERTIFICATE TO ANY SWORN STATEMENT (DA FORM 2823) SUBSEQUENTLY EXECUTED BY THE SUSPECT/ACCUSED

PART II - RIGHTS WARNING PROCEDURE

THE WARNING

1. WARNING - Inform the suspect/accused of:
  - a. Your official position.
  - b. Nature of offense(s).
  - c. The fact that he/she is a suspect/accused.
2. RIGHTS - Advise the suspect/accused of his/her rights as follows:

"Before I ask you any questions, you must understand your rights."

  - a. "You do not have to answer my questions or say anything."
  - b. "Anything you say or do can be used as evidence against you in a criminal trial."
  - c. (For personnel subject to the UCMJ) "You have the right to talk privately to a lawyer before, during, and after questioning and to have a lawyer present with you during questioning. This lawyer

can be a civilian you arrange for at no expense to the Government or a military lawyer detailed for you at no expense to you, or both."

- or -

*(For civilians not subject to the UCMJ)* You have the right to talk privately to a lawyer before, during, and after questioning and to have a lawyer present with you during questioning. This lawyer can be one you arrange for at your own expense, or if you cannot afford a lawyer and want one, a lawyer will be appointed for you before any questioning begins."

- d. "If you are now willing to discuss the offense(s) under investigation, with or without a lawyer present, you have a right to stop answering questions at any time, or speak privately with a lawyer before answering further, even if you sign a waiver certificate."

Make certain the suspect/accused fully understands his/her rights.

THE WAIVER

"Do you understand your rights?"

(If the suspect/accused says "no," determine what is not understood, and if necessary repeat the appropriate rights advisement. If the suspect/accused says "yes," ask the following question.)

"Have you ever requested a lawyer after being read your rights?"

(If the suspect/accused says "yes," find out when and where. If the request was recent (*i.e., fewer than 30 days ago*), obtain legal advice whether to continue the interrogation. If the suspect/accused says "no," or if the prior request was not recent, ask him/her the following question.)

"Do you want a lawyer at this time?"

(If the suspect/accused says "yes," stop the questioning until he/she has a lawyer. If the suspect/accused says "no," ask him/her the following question.)

"At this time, are you willing to discuss the offense(s) under investigation and make a statement without talking to a lawyer and without having a lawyer present with you?" *(If the suspect/accused says "no," stop the interview and have him/her read and sign the non-waiver section of the waiver certificate on the other side of this form. If the suspect/accused says "yes," have him/her read and sign the waiver section of the waiver certificate on the other side of this form.)*

SPECIAL INSTRUCTIONS

WHEN SUSPECT/ACCUSED REFUSES TO SIGN WAIVER CERTIFICATE: If the suspect/accused orally waives his/her rights but refuses to sign the waiver certificate, you may proceed with the questioning. Make notations on the waiver certificate to the effect that he/she has stated that he/she understands his/her rights, does not want a lawyer, wants to discuss the offense(s) under investigation, and refuses to sign the waiver certificate.

IF WAIVER CERTIFICATE CANNOT BE COMPLETED IMMEDIATELY: In all cases the waiver certificate must be completed as soon as possible. Every effort should be made to complete the waiver certificate before any questioning begins. If the waiver certificate cannot be completed at once, as in the case of street interrogation, completion may be temporarily postponed. Notes should be kept on the circumstances.

PRIOR INCRIMINATING STATEMENTS:

1. If the suspect/accused has made spontaneous incriminating statements before being properly advised of his/her rights he/she should be told that such statements do not obligate him/her to answer further questions.

2. If the suspect/accused was questioned as such either without being advised of his/her rights or some question exists as to the propriety of the first statement, the accused must be so advised. The office of the serving Staff Judge Advocate should be contacted for assistance in drafting the proper rights advisal.

NOTE: If 1 or 2 applies, the fact that the suspect/accused was advised accordingly should be noted in the comment section on the waiver certificate and initialed by the suspect/accused.

WHEN SUSPECT/ACCUSED DISPLAYS INDECISION ON EXERCISING HIS OR HER RIGHTS DURING THE INTERROGATION PROCESS: If during the interrogation, the suspect displays indecision about requesting counsel (for example, "Maybe I should get a lawyer."), further questioning must cease immediately. At that point, you may question the suspect/accused only concerning whether he or she desires to waive counsel. The questioning may not be utilized to discourage a suspect/accused from exercising his/her rights. (For example, do not make such comments as "If you didn't do anything wrong, you shouldn't need an attorney.")

COMMENTS *(Continued)*

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TAB 2

TEMPLATES

## AR 15-6 Interview Script

My name is Greta Powell. I am a GG-13 Supervisory Security Specialist and I am normally the Chief of the Fort Lewis Installation Security Office.

I have been appointed directly by the Garrison Commander, COL Cynthia Murphy, to conduct an AR 15-6 investigation. This investigation is a response to certain allegations by civilian employees and other Chain of Command concerns related to WWTP and WTP operations.

I can not force you to speak with me. I have been appointed directly by the Garrison Commander to make a good faith effort to investigate certain allegations by civilian employees and other Chain of Command concerns. It will be difficult for me to investigate and respond to these concerns if the individuals who lodged the allegations refuse to participate in the process.

**AR 15-6 Investigation**

Investigating Officer: Greta M. Powell, GG-13/Chief, DPTMS Security Division

Appointing Official: COL Cynthia A. Murphy, Garrison Commander

# Interview Data Sheet

Name: \_\_\_\_\_ Date: \_\_\_\_\_  
Rank: \_\_\_\_\_ Time: \_\_\_\_\_  
Organization: \_\_\_\_\_ Location: \_\_\_\_\_  
Phone: \_\_\_\_\_ Email: \_\_\_\_\_  
Union Representative: \_\_\_\_\_ Union POC Info: \_\_\_\_\_

Sworn Statement	Privacy Act Advisement	Rights Waiver Certificate
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

Documents Requested:

1. Document Name

Provided:  YES       NO       N/A – Available from another source \_\_\_\_\_

**Interview Notes:**

**DATE**

**AR 15-6 INVESTIGATION NOTES (IO: POWELL, GRETA M.)**





BOOK 3 OF 3

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TAB 3

ARMY REGULATIONS

Army Regulation 15-6

Boards, Commissions, and Committees

# Procedures for Investigating Officers and Boards of Officers

Headquarters  
Department of the Army  
Washington, DC  
2 October 2006

**UNCLASSIFIED**

# ***SUMMARY of CHANGE***

AR 15-6

Procedures for Investigating Officers and Boards of Officers

This rapid action revision, dated 2 October 2006--

- o Clarifies the distinction between levels of appointing authorities for hostile fire death investigations and friendly fire death investigations (para 2-1a(3)).
- o Permits the general court-martial convening authority to delegate appointing authority to the special court-martial convening authority in hostile fire death investigations (para 2-1a(3)).

This regulation, dated 30 September 1996--

- o Is a complete revision of the earlier regulation dated 24 August 1977.
- o Updates policies and procedures concerning the procedures for investigating officers and boards of officers.

Boards, Commissions, and Committees


Procedures for Investigating Officers and Boards of Officers

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By Order of the Secretary of the Army:

PETER J. SCHOOMAKER  
General, United States Army  
Chief of Staff

Official:

  
JOYCE E. MORROW  
Administrative Assistant to the  
Secretary of the Army

chapters and policies contained in this regulation may be modified by the proponent.

**Proponent and exception authority.**

The proponent of this regulation is The Judge Advocate General. The Judge Advocate General has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The Judge Advocate General may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through higher headquarters to the policy proponent. Refer to AR 25-30 for specific guidance.

**Army management control process.**

This regulation does not contain management control provisions.

**Supplementation.** Supplementation of

this regulation and establishment of command and local forms are prohibited without prior approval from HQDA (DAJA-AL), Washington, DC 20310-2212.

**Suggested improvements.** The proponent agency of this regulation is the Office of The Judge Advocate General. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (DAJA-AL), Washington, DC 20310-2212.

**Distribution.** This publication is available in electronic media only and is intended for command level A for the Active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

**History.** This publication is a rapid action revision. The portions affected by this rapid action revision are listed in the summary of change.

**Summary.** This regulation establishes procedures for investigations and boards of officers not specifically authorized by any other directive.

**Applicability.** This regulation applies to the Active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. During mobilization,

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\*This regulation supersedes AR 15-6 dated 30 September 1996.

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## Chapter 1 Introduction

### 1-1. Purpose

This regulation establishes procedures for investigations and boards of officers not specifically authorized by any other directive. This regulation or any part of it may be made applicable to investigations or boards that are authorized by another directive, but only by specific provision in that directive or in the memorandum of appointment. In case of a conflict between the provisions of this regulation, when made applicable, and the provisions of the specific directive authorizing the investigation or board, the latter will govern. Even when not specifically made applicable, this regulation may be used as a general guide for investigations or boards authorized by another directive, but in that case its provisions are not mandatory.

### 1-2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

### 1-3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

### 1-4. Responsibilities

Responsibilities are listed in chapter 2.

### 1-5. Types of investigations and boards

*a. General.* An administrative fact-finding procedure under this regulation may be designated an investigation or a board of officers. The proceedings may be informal (chap 4) or formal (chap 5). Proceedings that involve a single investigating officer using informal procedures are designated investigations. Proceedings that involve more than one investigating officer using formal or informal procedures or a single investigating officer using formal procedures are designated a board of officers.

*b. Selection of procedure.*

(1) In determining whether to use informal or formal procedures, the appointing authority will consider these among other factors:

(a) Purpose of the inquiry.

(b) Seriousness of the subject matter.

(c) Complexity of issues involved.

(d) Need for documentation.

(e) Desirability of providing a comprehensive hearing for persons whose conduct or performance of duty is being investigated. (See paras 1-8, 4-3, and 5-4a.)

(2) Regardless of the purpose of the investigation, even if it is to inquire into the conduct or performance of a particular individual, formal procedures are not mandatory unless required by other applicable regulations or directed by higher authority.

(3) Unless formal procedures are expressly required, either by the directive authorizing the board or by the memorandum of appointment, all cases to which this regulation applies will use informal procedures.

(4) In determining which procedures to use, the appointing authority will seek the advice of the servicing judge advocate (JA).

(5) Before opening an investigation involving allegations against general officers or senior executive service civilians, the requirements of Army Regulation (AR) 20-1, subparagraph 8-3i(3) must be met.

*c. Preliminary investigations.* Even when formal procedures are contemplated, a preliminary informal investigation may be advisable to ascertain the magnitude of the problem, to identify and interview witnesses, and to summarize or record their statements. The formal board may then draw upon the results of the preliminary investigation.

*d. Concurrent investigations.* An administrative fact finding procedure under this regulation, whether designated as an investigation or a board of officers, may be conducted before, concurrently with, or after an investigation into the same or related matters by another command or agency, consistent with subparagraph *b*(5) above. Appointing authorities, investigating officers, and boards of officers will ensure that procedures under this regulation do not hinder or interfere with a concurrent investigation directed by higher headquarters, a counterintelligence investigation or an investigation being conducted by a criminal investigative. In cases of concurrent or subsequent investigations, coordination with the other command or agency will be made to avoid duplication of investigative effort, where possible.

### 1-6. Function of investigations and boards

The primary function of any investigation or board of officers is to ascertain facts and to report them to the appointing authority. It is the duty of the investigating officer or board to ascertain and consider the evidence on all sides of each



issue, thoroughly and impartially, and to make findings and recommendations that are warranted by the facts and that comply with the instructions of the appointing authority.

### **1-7. Interested persons**

Appointing authorities have a right to use investigations and boards to obtain information necessary or useful in carrying out their official responsibilities. The fact that an individual may have an interest in the matter under investigation or that the information may reflect adversely on that individual does not require that the proceedings constitute a hearing for that individual.

### **1-8. Respondents**

In formal investigations the appointing authority may designate one or more persons as respondents in the investigation. Such a designation has significant procedural implications. (See chap 5, sec II, in general, and para 5-4a, in particular.) Respondents may not be designated in informal investigations.

### **1-9. Use of results of investigations in adverse administrative actions**

*a.* This regulation does not require that an investigation be conducted before adverse administrative action, such as relief for cause, can be taken against an individual. However, if an investigation is conducted using the procedures of this regulation, the information obtained, including findings and recommendations, may be used in any administrative action against an individual, whether or not that individual was designated a respondent, and whether formal or informal procedures were used, subject to the limitations of *b* and *c* below.

*b.* The Office of Personnel Management and Army Regulations establish rules for adverse actions against Army civilian personnel and establish the procedural safeguards. In every case involving contemplated formal disciplinary action against civilian employees, the servicing civilian personnel office and labor counselor will be consulted before the employee is notified of the contemplated adverse action.

*c.* Except as provided in *d* below, when adverse administrative action is contemplated against an individual (other than a civilian employee, see *b* above), including an individual designated as a respondent, based upon information obtained as a result of an investigation or board conducted pursuant to this regulation, the appropriate military authority must observe the following minimum safeguards before taking final action against the individual:

(1) Notify the person in writing of the proposed adverse action and provide a copy, if not previously provided, of that part of the findings and recommendations of the investigation or board and the supporting evidence on which the proposed adverse action is based.

(2) Give the person a reasonable opportunity to reply in writing and to submit relevant rebuttal material.

(3) Review and evaluate the person's response.

*d.* There is no requirement to refer the investigation to the individual if the adverse action contemplated is prescribed in regulations or other directives that provide procedural safeguards, such as notice to the individual and opportunity to respond. For example, there is no requirement to refer an investigation conducted under this regulation to a soldier prior to giving the soldier an adverse evaluation report based upon the investigation because the regulations governing evaluation reports provide the necessary procedural safeguards.

*e.* When the investigation or board is conducted pursuant to this regulation but the contemplated administrative action is prescribed by a different regulation or directive with more stringent procedural safeguards than those in *c* above, the more stringent safeguards must be observed.

## **Chapter 2 Responsibilities of the Appointing Authority**

### **2-1. Appointment**

*a. Authority to appoint.* The following people may appoint investigations or boards to inquire into matters within their areas of responsibility.

(1) Except as noted in subparagraph 2-1a(3) below, the following individuals may appoint a formal investigation or board (chap 5) after consultation with the servicing judge advocate (JA) or legal advisor (LA):

(a) Any general court-martial (GCM) or special court-martial convening authority, including those who exercise that authority for administrative purposes only.

(b) Any general officer.

(c) Any commander or principal staff officer in the grade of colonel or above at the installation, activity, or unit level.

(d) Any State adjutant general.

(e) A Department of the Army civilian supervisor permanently assigned to a position graded as a general schedule

(GS)/general management, grade 14 or above and who is assigned as the head of an Army agency or activity or as a division or department chief.

(2) Except as noted in subparagraph 2-1a(3), the following individuals may appoint an informal investigation or board (chap 4):

- (a) Any officer authorized to appoint a formal board.
- (b) A commander at any level.
- (c) A principal staff officer or supervisor in the grade of major or above.

(3) Only a general court-martial convening authority may appoint a formal investigation or board (chap 5) or an informal investigation or board (chap 4) for incidents resulting in property damage of \$1,000,000 or more, the loss or destruction of an Army aircraft or missile, an injury and/or illness resulting in, or likely to result in, permanent total disability, the death of one or more persons, and the death of one or more persons by fratricide/friendly fire.

(a) For investigations of a death or deaths involving a deployed force(s), from what is believed to be hostile fire, the general court-martial convening authority may delegate, in writing, appointing/approval authority to a subordinate commander exercising special court-martial convening authority. This authority may not be further delegated.

(b) If evidence is discovered during a hostile fire investigation that indicates that the death(s) may have been the result of fratricide/friendly fire, the investigating officer will immediately suspend the investigation and inform the appointing authority and legal advisor. At this time the general court-martial convening authority will appoint a new investigation into the fratricide/friendly fire incident. Any evidence from the hostile fire investigation may be provided to the investigating officer or board conducting the fratricide/friendly fire investigation.

(4) Appointing authorities who are general officers may delegate the selection of board members to members of their staffs.

(5) When more than one appointing authority has an interest in the matter requiring investigation, a single investigation or board will be conducted whenever practicable. In case of doubt or disagreement as to who will appoint the investigation or board, the first common superior of all organizations concerned will resolve the issue.

(6) Appointing authorities may request, through channels, that persons from outside their organizations serve on boards or conduct investigations under their jurisdictions.

*b. Method of appointment.* Informal investigations and boards may be appointed orally or in writing. Formal boards will be appointed in writing but, when necessary, may be appointed orally and later confirmed in writing. Any written appointment will be in the form of a memorandum of appointment. (See figs 2-1 through 2-5.) Whether oral or written, the appointment will specify clearly the purpose and scope of the investigation or board and the nature of the findings and recommendations required. If the appointment is made under a specific directive, that directive will be cited. If the procedures of this regulation are intended to apply, the appointment will cite this regulation and, in the case of a board, specify whether it is to be informal or formal. (Refer to chaps 4 and 5.) Any special instructions (for example, requirement for verbatim record or designation of respondents in formal investigations) will be included.

*c. Who may be appointed.* Investigating officers and board members shall be those persons who, in the opinion of the appointing authority, are best qualified for the duty by reason of their education, training, experience, length of service and temperament.

(1) Except as provided in paragraph 5-1e, only commissioned officers, warrant officers, or Department of the Army civilian employees permanently assigned to a position graded as a GS-13 or above will be appointed as investigating officers or voting members of boards.

(2) Recorders, legal advisors, and persons with special technical knowledge may be appointed to formal boards in a nonvoting capacity. (See para 5-1.)

(3) An investigating officer or voting member of a board will be senior to any person whose conduct or performance of duty may be investigated, or against whom adverse findings or recommendations that may be made, except when the appointing authority determines that it is impracticable because of military exigencies. Inconvenience in obtaining an investigating officer or the unavailability of senior persons within the appointing authority's organization would not normally be considered military exigencies.

(a) The investigating officer or board president will, subject to the approval of the appointing authority, determine the relative seniority of military and civilian personnel. Actual superior/subordinate relationships, relative duty requirements, and other sources may be used as guidance. Except where a material adverse effect on an individual's substantial rights results, the appointing authority's determination of seniority shall be final (see para 2-3c).

(b) An investigating officer or voting member of a board who, during the proceedings, discovers that the completion thereof requires examining the conduct or performance of duty of, or may result in findings or recommendations adverse to, a person senior to him or her will report this fact to the board president or the appointing authority. The appointing authority will then appoint another person, senior to the person affected, who will either replace the investigating officer or member, or conduct a separate inquiry into the matters pertaining to that person. Where necessary, the new investigating officer or board may be furnished any evidence properly considered by the previous investigating officer or board.

(c) If the appointing authority determines that military exigencies make these alternatives impracticable, the appointing authority may direct the investigating officer or member to continue. In formal proceedings, this direction will be

written and will be an enclosure to the report of proceedings. If the appointing authority does not become aware of the problem until the results of the investigation are presented for review and action, the case will be returned for new or supplemental investigation only where specific prejudice is found to exist.

(4) Specific regulations may require that investigating officers or board members be military officers, be professionally certified, or possess an appropriate security clearance.

---

*(Appropriate letterhead)*

OFFICE SYMBOL DATE

MEMORANDUM FOR: *(President)*

SUBJECT: Appointment of Board of Officers

1. A board of officers is hereby appointed pursuant to AR 735-5 and AR 15-6 to investigate the circumstances connected with the loss, damage, or destruction of the property listed on reports of survey referred to the board and to determine responsibility for the loss, damage, or destruction of such property.

2. The following members are appointed to the board:

MAJ Robert A. Jones, HHC, 3d Bn, 1st Inf Bde, 20th Inf Div, Ft Blank, WD 88888 Member (President)

CPT Paul R. Wisniewski, Co A, 2d Bn, 3d Inf Bde, 20th Inf Div, Ft Blank, WD 88888 Member

CPT David B. Braun, Co C, 1st Bn, 3d Inf Bde, 20th Inf Div, Ft Blank, WD 88888 Member

CPT John C. Solomon, HHC, 2d S & T Bn, DISCOM 20th Inf Div, Ft Blank, WD 88888 Alternate member (see AR 15-6, para 5-2c)

1LT Steven T. Jefferson, Co B, 2d Bn, 2d Inf Bde, 20th Inf Div, Ft Blank, WD 88888 Recorder (without vote)

3. The board will meet at the call of the President. It will use the procedures set forth in AR 735-5 and AR 15-6 applicable to formal boards with respondents. Respondents will be referred to the board by separate correspondence.

4. Reports of proceedings will be summarized (the findings and recommendations will be verbatim) and submitted to this headquarters, ATTN: ABCD-AG-PA. Reports will be submitted within 3 working days of the conclusion of each case. The Adjutant General's office will furnish necessary administrative support for the board. Legal advice will be obtained, as needed, from the Staff Judge Advocate's office.

5. The board will serve until further notice.

*(Authority Line)*

*(Signature block)*

CF: *(Provide copy to board personnel)*

---

Figure 2-1. Sample memorandum for appointment of a standing board of officers using formal procedures

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(Appropriate letterhead)

OFFICE SYMBOL DATE

MEMORANDUM FOR: *(President of standing board)*

SUBJECT: Referral of Respondent

1. Reference memorandum, this headquarters, dated *(day-month-year)*, subject: Appointment of Board of Officers.
2. *(Enter rank, name, SSN, and unit)* is hereby designated a respondent before the board appointed by the referenced memorandum. The board will consider whether *(enter name of respondent)* should be held pecuniarily liable for the loss, damage, or destruction of the property listed on the attached report of survey. The correspondence and supporting documentation recommending referral to a board of officers are enclosed.
3. *(Enter rank, name, branch, and unit)* is designated counsel for *(enter name of respondent)*.
4. For the consideration of this case only, *(enter rank, name, and unit)* is designated a voting member of the board, vice *(enter rank, name, and unit)*.

*(Authority line)*

Encl

*(Signature block)*

CF: *(Provide copy to board personnel, counsel, and respondent)*

---

**Figure 2-2. Sample memorandum for referral of a respondent to a standing board**

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(Appropriate letterhead)

OFFICE SYMBOL DATE

MEMORANDUM FOR: *(Officer concerned)*

SUBJECT: Appointment as a Board of Officers to Investigate Alleged Corruption and Mismanagement

1. You are hereby appointed a board of officers, pursuant to AR 15-6, to investigate allegations of *(enter subject matter to be investigated, such as corruption and mismanagement in the office of the Fort Blank Provost Marshal)*. The scope of your investigation will include *(mention specific matters to be investigated, such as whether military police personnel are properly processing traffic tickets, whether supervisory personnel are receiving money or other personal favors from subordinate personnel in return for tolerating the improper processing of traffic tickets, and so forth)*. Enclosed herewith is a report of proceedings of an earlier informal investigation into alleged improper processing of traffic tickets that was discontinued when it appeared that supervisory personnel may have been involved.
2. As the board, you will use formal procedures under AR 15-6. *(Enter duty positions, ranks, and names)* are designated respondents. Additional respondents may be designated based on your recommendations during the course of the investigation. Counsel for each respondent, if requested, will be designated by subsequent correspondence.
3. *(Enter rank, name, branch, and unit)* will serve as legal advisor to you, the board. *(Enter rank, name, duty position, and unit)*, with the concurrence of *(his/her)* commander, will serve as an advisory member of the board. The office of the adjutant general, this headquarters, will provide necessary administrative support. The Fort Blank Resident Office, Criminal Investigation Division Command (CIDC), will provide technical support, including preserving physical evidence, if needed.
4. Prepare the report of proceedings on DA Form 1574 and submit it to me within 60 days.

*(Signature of appointing authority)*

CF: *(Provide copy to all parties concerned)*

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**Figure 2-3. Sample memorandum for appointment of a single officer as a board of officers, with legal advisor and advisory member, using formal procedures**

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(Appropriate letterhead)

OFFICE SYMBOL DATE

MEMORANDUM FOR: (Officer concerned)

SUBJECT: Appointment of Investigating Officer

1. You are hereby appointed an investigating officer pursuant to AR 15-6 and AR 210-7, paragraph 4-3, to conduct an informal investigation into complaints that sales representatives of the Fly-By-Night Sales Company have been conducting door-to-door solicitation in the River Bend family housing area in violation of AR 210-7. Details pertaining to the reported violations are in the enclosed file prepared by the Commercial Solicitation Branch, Office of the Adjutant General, this headquarters (Encl).

2. In your investigation, all witness statements will be sworn. From the evidence, you will make findings whether the Fly-By-Night Sales Company has violated AR 210-7 and recommend whether to initiate a show cause hearing pursuant to AR 210-7, paragraph 4-5, and whether to temporarily suspend the company's or individual agents' solicitation privileges pending completion of the show cause hearing.

3. Submit your findings and recommendations in four copies on DA Form 1574 to this headquarters, ATTN: ABCD-AG, within 7 days.

(Authority line)

Encl

(Signature block)

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Figure 2-4. Sample memorandum for appointment of an investigating officer under AR 15-6 and other directives

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(Appropriate letterhead)

OFFICE SYMBOL DATE

MEMORANDUM FOR: (Officer concerned)

SUBJECT: Appointment as Investigating Officer

1. You are hereby appointed an investigating officer pursuant to AR 15-6 and AR 380-5, paragraph 10-8, to investigate the circumstances surrounding the discovery of a CONFIDENTIAL document in a trash can in the office of the 3d Battalion S-3 on 31 August 1987. A preliminary inquiry into the incident proved inconclusive (see enclosed report).

2. In your investigation, use informal procedures under AR 15-6. You will make findings as to whether security compromise has occurred, who was responsible for any security violation, and whether existing security procedures are adequate.

3. This incident has no known suspects at this time. If in the course of your investigation you come to suspect that certain people may be responsible for the security violation, you must advise them of their rights under the UCMJ, Article 31, or the Fifth Amendment, as appropriate. In addition, you must provide them a Privacy Act statement before you solicit any (further) personal information. You may obtain assistance with these legal matters from the office of the Staff Judge Advocate.

4. Submit your findings and recommendations on DA Form 1574 to the Brigade S-2 within 10 days.

(Authority line)

(Signature block)

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Figure 2-5. Sample memorandum for appointment of an investigating officer in a case with potential Privacy Act implications

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## 2-2. Administrative support

The appointing authority will arrange necessary facilities, clerical assistance, and other administrative support for investigating officers and boards of officers. If not required by another directive, a verbatim transcript of the proceedings may be authorized only by The Judge Advocate General (TJAG) or the GCM convening authority in his or her sole discretion. However, before authorization, the GCM convening authority will consult the staff judge advocate (SJA). A contract reporter may be employed only for a formal board and only if authorized by the specific directive under which the board is appointed. A contract reporter will not be employed if a military or Department of the Army

(DA) civilian employee reporter is reasonably available. The servicing JA will determine the availability of a military or DA civilian employee reporter.

### **2-3. Action of the appointing authority**

*a. Basis of decision.* Unless otherwise provided by another directive, the appointing authority is neither bound nor limited by the findings or recommendations of an investigation or board. Therefore, the appointing authority may take action less favorable than that recommended with regard to a respondent or other individual, unless the specific directive under which the investigation or board is appointed provides otherwise. The appointing authority may consider any relevant information in making a decision to take adverse action against an individual, even information that was not considered at the investigation or board (see para 1-9c and d). In all investigations involving fratricide/friendly fire incidents (see AR 385-40), the appointing authority, after taking action on the investigation, will forward a copy of the completed investigation to the next higher Army headquarters for review.

*b. Legal review.* Other directives that authorize investigations or boards may require the appointing authority to refer the report of proceedings to the servicing JA for legal review. The appointing authority will also seek legal review of all cases involving serious or complex matters, such as where the incident being investigated has resulted in death or serious bodily injury, or where the findings and recommendations may result in adverse administrative action (see para 1-9), or will be relied upon in actions by higher headquarters. The JA's review will determine—

- (1) Whether the proceedings comply with legal requirements.
- (2) What effects any errors would have.
- (3) Whether sufficient evidence supports the findings of the investigation or board or those substituted or added by the appointing authority (see para 3-10b).
- (4) Whether the recommendations are consistent with the findings.

*c. Effect of errors.* Generally, procedural errors or irregularities in an investigation or board do not invalidate the proceeding or any action based on it.

(1) *Harmless errors.* Harmless errors are defects in the procedures or proceedings that do not have a material adverse effect on an individual's substantial rights. If the appointing authority notes a harmless error, he or she may still take final action on the investigation.

(2) *Appointing errors.* Where an investigation is convened or directed by an official without the authority to do so (see para 2-1a), the proceedings are a nullity, unless an official with the authority to appoint such an investigation or board subsequently ratifies the appointment. Where a formal board is convened by an official authorized to convene an informal investigation or board but not authorized to convene formal investigations, any action not requiring a formal investigation may be taken, consistent with paragraph 1-9 and this paragraph.

(3) *Substantial errors.*

(a) Substantial errors are those that have a material adverse effect on an individual's substantial rights. Examples are the failure to meet requirements as to composition of the board or denial of a respondent's right to counsel.

(b) When such errors can be corrected without substantial prejudice to the individual concerned, the appointing authority may return the case to the same investigating officer or board for corrective action. Individuals or respondents who are affected by such a return will be notified of the error, of the proposed correction, and of their rights to comment on both.

(c) If the error cannot be corrected, or cannot be corrected without substantial prejudice to the individual concerned, the appointing authority may not use the affected part of that investigation or board as the basis for adverse action against that person. However, evidence considered by the investigation or board may be used in connection with any action under the Uniform Code of Military Justice (UCMJ), civilian personnel regulations, AR 600-37, or any other directive that contains its own procedural safeguards.

(d) In case of an error that cannot be corrected otherwise, the appointing authority may set aside all findings and recommendations and refer the entire case to a new investigating officer or board composed entirely of new voting members. Alternatively, the appointing authority may take action on findings and recommendations not affected by the error, set aside the affected findings and recommendations, and refer the affected portion of the case to a new investigating officer or board. In either case, the new investigating officer or board may be furnished any evidence properly considered by the previous one. The new investigating officer or board may also consider additional evidence. If the directive under which a board is appointed provides that the appointing authority may not take less favorable action than the board recommends, the appointing authority's action is limited by the original recommendations even though the case subsequently is referred to a new board which recommends less favorable action.

(4) *Failure to object.* No error is substantial within the meaning of this paragraph if there is a failure to object or otherwise bring the error to the attention of the legal advisor or the president of the board at the appropriate point in the proceedings. Accordingly, errors described in (3) above may be treated as harmless if the respondent fails to point them out.

## Chapter 3 General Guidance for Investigating Officers and Boards

### Section I Conduct of the Investigation

#### 3-1. Preliminary responsibilities

Before beginning an informal investigation, an investigating officer shall review all written materials provided by the appointing authority and consult with the servicing staff or command judge advocate to obtain appropriate legal guidance.

#### 3-2. Oaths

*a. Requirement.* Unless required by the specific directive under which appointed, investigating officers or board members need not be sworn. Reporters, interpreters, and witnesses appearing before a formal board will be sworn. Witnesses in an informal investigation or board may be sworn at the discretion of the investigating officer or president. The memorandum of appointment may require the swearing of witnesses or board members.

*b. Administering oaths.* An investigating officer, recorder (or assistant recorder), or board member is authorized to administer oaths in the performance of such duties, under UCMJ, Art. 136 (for military personnel administering oaths) and Section 303, Title 5, United States Code (5 USC 303) (for civilian personnel administering oaths) (see fig 3-1 for the format for oaths).

#### 3-3. Challenges

Neither an investigating officer nor any member of a board is subject to challenge, except in a formal board as provided in paragraph 5-7. However, any person who is aware of facts indicating a lack of impartiality or other qualification on the part of an investigating officer or board member will present the facts to the appointing authority.

#### 3-4. Counsel

Only a respondent is entitled to be represented by counsel (see para 5-6). Other interested parties may obtain counsel, at no expense to the Government, who may attend but not participate in proceedings of the investigation or board which are open to the public. The proceedings will not be unduly interrupted to allow the person to consult with counsel. When a civilian employee is a member of an appropriate bargaining unit, the exclusive representative of the unit has the right to be present whenever the employee is a respondent or witness during the proceedings if requested by the employee and if the employee reasonably believes that the inquiry could lead to disciplinary action against him or her (see para 3-8).

#### 3-5. Decisions

A board composed of more than one member arrives at findings and recommendations as provided in section II of this chapter. A formal board decides challenges by a respondent as provided in paragraph 5-7. The investigating officer or president decides administrative matters, such as time of sessions, uniform, and recess. The legal advisor or, if none, the investigating officer or president decides evidentiary and procedural matters, such as motions, acceptance of evidence, and continuances. The legal advisor's decisions are final. Unless a voting member objects to the president's decision on an evidentiary or procedural matter at the time of the decision, it too is final. If there is such an objection, a vote will be taken in closed session, and the president's decision may be reversed by a majority vote of the voting members present.

#### 3-6. Presence of the public and recording of proceedings

*a. The public.* Proceedings of an investigation or board are normally open to the public only if there is a respondent. However, if a question arises, the determination will be made based on the circumstances of the case. It may be appropriate to open proceedings to the public, even when there is no respondent, if the subject matter is of substantial public interest. It may be appropriate to exclude the public from at least some of the proceedings even though there is a respondent, if the subject matter is classified, inflammatory, or otherwise exceptionally sensitive. In any case, the appointing authority may specify whether the proceedings will be open or closed. If the appointing authority does not specify, the investigating officer or the president of the board decides. If there is a respondent, the servicing JA or the legal advisor, if any, will be consulted before deciding to exclude the public from any portion of the proceedings. Any proceedings that are open to the public will also be open to representatives of the news media.

*b. Recording.* Neither the public nor the news media will record, photograph, broadcast, or televise the board proceedings. A respondent may record proceedings only with the prior approval of the appointing authority.

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Preliminary Matters

PRES: This hearing will come to order. This board of officers has been called to determine\_\_\_\_\_

When RESP is without counsel:\_\_\_\_\_

PRES:\_\_\_\_\_, you may, if you desire, obtain civilian counsel at no expense to the Government for this hearing. If you do not obtain civilian counsel, you are entitled to be represented by a military counsel designated by the appointing authority. Do you have counsel?

RESP: No (Yes).

*If RESP has counsel, the RCDR should identify that counsel at this point for the record. If RESP does not have counsel, the PRES should ask this question:*

PRES: Do you desire to have military counsel?

RESP: Yes (No).

*If RESP answers "yes," the PRES should adjourn the hearing and ask the appointing authority to appoint counsel for RESP (see para 5-6b). If counsel is supplied, the RCDR should identify that counsel for the record when the board reconvenes.*

*A reporter and an interpreter, if used, should be sworn.*

RCDR: The reporter will be sworn.

RCDR: Do you swear (or affirm) that you will faithfully perform the duties of reporter to this board, (so help you God)?

REPORTER: I do.

RCDR: The interpreter will be sworn.

RCDR: Do you swear (or affirm) that you will faithfully perform the duties of interpreter in the case now in hearing, (so help you God)?

INTERPRETER: I do.

RCDR: The board is appointed by Memorandum of Appointment, Headquarters,\_\_\_\_\_, dated\_\_\_\_\_. Have all members of the board read the memorandum of appointment? (If not, the memorandum of appointment is read aloud by RCDR or silently by any member who has not read it.)

*When RESP has been designated by a separate memorandum of appointment, the same procedure applies to that memorandum of appointment.*

RCDR: May the memorandum of appointment be attached to these proceedings as Enclosure I?

PRES: The memorandum of appointment will be attached as requested.

RCDR: The following members of the board are present:

The following members are absent:

*RCDR should account for all personnel of the board, including RESP and COUNSEL, if any, as present or absent at each session. RCDR should state the reason for any absence, if known, and whether the absence was authorized by the appointing authority.*

PRES:\_\_\_\_\_, you may challenge any member of the board (or the legal advisor) for lack of impartiality. Do you desire to make a challenge?

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Figure 3-1. Suggested procedure for board of officers with respondents

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RESP (COUNSEL): No. (The respondent challenges\_\_\_\_\_.)

*If RESP challenges for lack of impartiality, the LA, PRES, or next senior member, as appropriate, determines the challenge. See paragraph 5-7. If sustaining a challenge results in less than a quorum, the board should recess until additional members are added. See paragraph 5-2b.*

*RCDR swears board members, if required. PRES then swears RCDR, if required.*

RCDR: The board will be sworn.

*All persons in the room stand while RCDR administers the oath. Each voting member raises his or her right hand as RCDR calls his or her name in administering the following oath:*

RCDR: Do you, Colonel\_\_\_\_\_, Lieutenant Colonel\_\_\_\_\_, Major\_\_\_\_\_, swear (affirm) that you will faithfully perform your duties as a member of this board; that you will impartially examine and inquire into the matter now before you according to the evidence, your conscience, and the laws and regulations provided; that you will make such findings of fact as are supported by the evidence of record; that, in determining those facts, you will use your professional knowledge, best judgment, and common sense; and that you will make such recommendations as are appropriate and warranted by your findings, according to the best of your understanding of the rules, regulations, policies, and customs of the service, guided by your concept of justice, both to the Government and to individuals concerned, (so help you God)?

MEMBERS: I do.

*The board members lower their hands but remain standing while the oath is administered to LA and to RCDR, if required.*

PRES: Do you, \_\_\_\_\_, swear (or affirm) that you will faithfully perform the duties of (legal advisor) (recorder) of this board, (so help you God)?

LA/RCDR: I do.

*All personnel now resume their seats.*

*PRES may now give general advice concerning applicable rules for the hearing.*

RCDR: The respondent was notified of this hearing on \_\_\_\_\_ 19\_\_\_\_\_.

*RCDR presents a copy of the memorandum of notification with a certification that the original was delivered (or dispatched) to RESP (para 5-5) and requests that it be attached to the proceedings as Enclosure\_\_\_\_\_.*

PRES: The copy of the memorandum of notification will be attached as requested.

#### **Presentation of Evidence by the Recorder**

*RCDR may make an opening statement at this point to clarify the expected presentation of evidence.*

*RCDR then calls witnesses and presents other evidence relevant to the subject of the proceedings. RCDR should logically present the facts to help the board understand what happened. Except as otherwise directed by PRES, RCDR may determine the order of presentation of facts. The following examples are intended to serve as a guide to the manner of presentation, but not to the sequence.*

RCDR: I request that this statement of (witness) be marked Exhibit\_\_\_\_\_ and received in evidence. This witness will not appear in person because\_\_\_\_\_.

LA (PRES): The statement will (not) be accepted.

*RCDR may read the statement to the board if it is accepted.*

RCDR: I request that this (documentary or real evidence) be marked as Exhibit\_\_\_\_\_ and received in evidence.

*A foundation for the introduction of such evidence normally is established by a certificate or by testimony of a witness indicating its authenticity. LA (PRES) determines the adequacy of this foundation. If LA (PRES) has a reasonable basis to believe the evidence is what it purports to be, he or she may waive formal proof of authenticity.*

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**Figure 3-1. Suggested procedure for board of officers with respondents—Continued**

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RCDR: The recorder and respondent have agreed to stipulate\_\_\_\_\_.

*Before LA (PRES) accepts the stipulation, he or she should verify that RESP joins in the stipulation.*

LA (PRES): The stipulation is accepted.

*If the stipulation is in writing, it will be marked as an exhibit.*

*RCDR conducts direct examination of each witness called by RCDR or at the request of PRES or members. RESP or COUNSEL may then cross-examine the witness. PRES and members of the board may then question the witness, but PRES may control or limit questions by board members.*

RCDR: The board calls\_\_\_\_\_ as a witness.

*A military witness approaches and salutes PRES, then raises his or her right hand while RCDR administers the oath. A civilian witness does the same but without saluting. See MCM, Rules for Court-Martial 807, for further guidance with regard to oaths.*

RCDR: Do you swear (or affirm) that the evidence you shall give in the case now in hearing shall be the truth, the whole truth, and nothing but the truth, (so help you God)?

*If the witness desires to affirm rather than swear, the words "so help you God" will be omitted.*

WITNESS: I do.

*The witness then takes the witness chair. RCDR asks every witness the following question no matter who called the witness.*

RCDR: What is your full name (grade, branch of service, organization, and station) (and address)?

*Whenever it appears appropriate and advisable to do so, the board should explain the rights of a witness under Article 31 of the UCMJ or the Fifth Amendment to the Constitution. See paragraph 3-6c(5).*

*If the report of proceedings will be filed in a system of records under the witness's name, the board must advise that witness in accordance with the Privacy Act. See paragraph 3-7e. Normally, this requirement applies only to RESP.*

*RCDR then asks questions to develop the matter under consideration.*

RCDR: The recorder has no further questions.

*RESP (COUNSEL) may cross-examine the witness. RCDR may then conduct a redirect examination.*

RCDR: Does the board have any questions?

*Any board member wishing to question the witness should first secure the permission of PRES.*

*If RCDR and RESP (COUNSEL) wish to ask further questions after the board has examined the witness, they should seek permission from the PRES. PRES should normally grant such requests unless the questions are repetitive or go beyond the scope of questions asked by the board.*

*When all questioning has ended, PRES announces:*

PRES: The witness is excused.

*PRES may advise the witness as follows:*

PRES: Do not discuss your testimony in this case with anyone other than the recorder, the respondent, or his or her counsel. If anyone else attempts to talk with you about your testimony, you should tell the person who originally called you as a witness.

*Verbatim proceedings should indicate that the witness (except RESP) withdrew from the room.*

*Unless expressly excused from further attendance during the hearing, all witnesses remain subject to recall until the proceedings have ended. When a witness is recalled, the RCDR reminds such witness, after he or she has taken the witness stand:*

RCDR: You are still under oath.

*The procedure in the case of a witness called by the board is the same as outlined above for a witness called by RCDR.*

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Figure 3-1. Suggested procedure for board of officers with respondents—Continued

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RCDR: I have nothing further to offer relating to the matter under consideration.

#### Presentation of Respondent's Evidence

RESP (COUNSEL): The respondent has (an) (no) opening statement.

*RESP presents his or her stipulations, witnesses, and other evidence in the same manner as did RCDR. RCDR administers oath to all witnesses and asks the first question to identify the witness.*

*Should the RESP be called to the stand as a witness, the RCDR will administer the oath and ask the following preliminary questions, after which the procedure is the same as for other witnesses:*

RCDR: What is your name, (grade, branch of service, organization, and station) (address, position, and place of employment)?

RESP: \_\_\_\_\_

RCDR: Are you the respondent in this case?

RESP: Yes.

*The board may advise RESP of his or her rights under Article 31 of the UCMJ, or the Fifth Amendment of the Constitution. See paragraph 3-6c(5).*

*If the report of proceedings will be filed in a system of records under RESP's name, the board must advise RESP in accordance with the Privacy Act. See paragraph 3-7e.*

*When RESP has concluded his or her case, RESP announces:*

RESP (COUNSEL): The respondent rests.

RCDR: The recorder has no further evidence to offer in this hearing. Does the board wish to have any witnesses called or recalled?

PRES: It does (not).

#### Closing Arguments and Deliberations

PRES: You may proceed with closing arguments. RCDR: The recorder (has no) (will make an) opening argument.

*RCDR may make the opening argument and, if any argument is made on behalf of RESP, the rebuttal argument. Arguments are not required (see para 5-9). If no argument is made, RESP or RCDR may say:*

RESP (COUNSEL)/RCDR: The (respondent) (recorder) submits the case without argument.

PRES: The hearing is adjourned.

*Adjourning the hearing does not end the duties of the board. It must arrive at findings based on the evidence and make recommendations supported by those findings. See chapter 3, section II. Findings and recommendations need not be announced to RESP, but in certain proceedings, such as elimination actions, they customarily are. RCDR is responsible for compiling the report of proceedings and submitting properly authenticated copies thereof to the appointing authority. See chapter 3, section III.*

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#### Legend

PRES: President of the board of officers.

LA: Legal Advisor

LA(PRES): Legal Advisor, if one has been appointed; otherwise the board President.

RCDR: Recorder (junior member of the board if no recorder has been appointed). (If the board consists of only one member, that member has the responsibilities of both PRES and RCDR.)

RESP: Respondent.

RESP (COUNSEL): Respondent or respondent's counsel, if any.

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Figure 3-1. Suggested procedure for board of officers with respondents—Continued

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### 3-7. Rules of evidence and proof of facts

*a. General.* Proceedings under this regulation are administrative, not judicial. Therefore, an investigating officer or board of officers is not bound by the rules of evidence for trials by courts-martial or for court proceedings generally. Accordingly, subject only to the provisions of *c* below, anything that in the minds of reasonable persons is relevant and material to an issue may be accepted as evidence. For example, medical records, counseling statements, police reports, and other records may be considered regardless of whether the preparer of the record is available to give a statement or testify in person. All evidence will be given such weight as circumstances warrant. (See para 3-5 as to who decides whether to accept evidence.)

*b. Official notice.* Some facts are of such common knowledge that they need no specific evidence to prove them (for example, general facts and laws of nature, general facts of history, location of major elements of the Army, and organization of the Department of Defense (DOD) and its components), including matters of which judicial notice may be taken. (See Military Rules of Evidence (MRE) 201, sec II, part III, Manual for Courts-Martial, United States (MCM).)

*c. Limitations.* Administrative proceedings governed by this regulation generally are not subject to exclusionary or other evidentiary rules precluding the use of evidence. The following limitations, however, do apply:

(1) *Privileged communications.* MRE, section V, part III, MCM, concerning privileged communications between lawyer and client (MRE 502), privileged communications with clergy (MRE 503), and husband-wife privilege (MRE 504) apply. Present or former inspector general personnel will not be required to testify or provide evidence regarding information that they obtained while acting as inspectors general. They will not be required to disclose the contents of inspector general reports of investigations, inspections, inspector general action requests, or other memoranda, except as disclosure has been approved by the appropriate directing authority (an official authorized to direct that an inspector general investigation or inspection be conducted) or higher authority. (See AR 20-1, para 3-6.)

(2) *Polygraph tests.* No evidence of the results, taking, or refusal of a polygraph (lie detector) test will be considered without the consent of the person involved in such tests. In a formal board proceeding with a respondent, the agreement of the recorder and of any respondent affected is required before such evidence can be accepted.

(3) *"Off the record" statements.* Findings and recommendations of the investigating officer or board must be supported by evidence contained in the report. Accordingly, witnesses will not make statements "off the record" to board members in formal proceedings. Even in informal proceedings, such statements will not be considered for their substance, but only as help in finding additional evidence.

(4) *Statements regarding disease or injury.* A member of the Armed Forces will not be required to sign a statement relating to the origin, incurrence, or aggravation of a disease or injury that he or she has suffered. Any such statement against his or her interest is invalid (10 USC 1219) and may not be considered on the issue of the origin, incurrence, or aggravation of a disease or injury that the member concerned has suffered. A statement made and signed voluntarily by a soldier is not a statement that the soldier was "required to sign" within the meaning of this paragraph.

(5) *Ordering witnesses to testify.*

(a) No military witnesses or military respondents will be compelled to incriminate themselves, to answer any question the answer to which could incriminate them, or to make a statement or produce evidence that is not material to the issue and that might tend to degrade them (see UCMJ, Art. 31).

(b) No witnesses or respondents not subject to the UCMJ will be required to make a statement or produce evidence that would deprive them of rights against self-incrimination under the Fifth Amendment of the U.S. Constitution.

(c) A person refusing to provide information under (a) or (b) above must state specifically that the refusal is based on the protection afforded by UCMJ, Art. 31, or the Fifth Amendment. The investigating officer or board will, after consultation with the legal advisor or, if none has been appointed, the servicing JA, unless impractical to do so, decide whether the reason for refusal is well taken. If it is not, the witness may be ordered to answer.

(d) Whenever it appears appropriate and advisable, an investigating officer or board will explain their rights to witnesses or respondents. A soldier, for example, who is suspected of an offense under the UCMJ, such as dereliction of duty, will be advised of his or her rights under UCMJ, Art. 31, before being asked any questions concerning the suspected offense. The soldier will be given a reasonable amount of time to consult an attorney, if requested, before answering any such questions. No adverse inference will be drawn against soldiers who invoke that right under UCMJ, Art. 31. It is recommended that the procedure for explaining rights set forth on DA Form 3881 (Rights Warning Procedure/Waiver Certificate) be used.

(e) The right to invoke UCMJ, Art. 31, or the Fifth Amendment is personal. No one may assert the right for another person, and no one may assert it to protect anyone other than himself or herself. An answer tends to incriminate a person if it would make it appear that person is guilty of a crime.

(f) In certain cases the appropriate authority may provide a witness or respondent a grant of testimonial immunity

and require testimony notwithstanding UCMJ, Art. 31, or the Fifth Amendment. Grants of immunity will be made under the provisions of AR 27-10, chapter 2.

(6) *Involuntary admissions.* A confession or admission obtained by unlawful coercion or inducement likely to affect its truthfulness will not be accepted as evidence. The fact that a respondent was not advised of his or her rights under UCMJ, Art. 31, or the Fifth Amendment, or of his or her right to a lawyer does not, of itself, prevent acceptance of a confession or admission as evidence.

(7) *Bad faith unlawful searches.* If members of the Armed Forces acting in their official capacity (such as military police acting in furtherance of their official duties) conduct or direct a search that they know is unlawful under the Fourth Amendment of the U.S. Constitution, as applied to the military community, evidence obtained as a result of that search may not be accepted or considered against any respondent whose personal rights were violated by the search. Such evidence is acceptable only if it can reasonably be determined by the legal advisor or, if none, by the investigating officer or president that the evidence would inevitably have been discovered. In all other cases, evidence obtained as a result of any search or inspection may be accepted, even if it has been or would be ruled inadmissible in a criminal proceeding.

### **3-8. Witnesses**

#### *a. General.*

(1) Investigating officers and boards generally do not have authority to subpoena witnesses to appear and testify. An appropriate commander or supervisor may, however, order military personnel and Federal civilian employees to appear and testify. Other civilians who agree to appear may be issued invitational travel orders in certain cases (see Joint Travel Regulations (JTR), vol 2, para C6000.11). The investigating officer or board president normally will inform witnesses of the nature of the investigation or board before taking their statements or testimony. The investigating officer or board president, assisted by the recorder and the legal advisor, if any, will protect every witness from improper questions, unnecessarily harsh or insulting treatment, and unnecessary inquiry into his or her private affairs. (See para 3-2 as to placing witnesses under oath.)

(2) During an investigation under this regulation, the exclusive representative of an appropriate bargaining unit has the right to be present whenever a civilian employee of the unit is a respondent or witness during the proceedings if requested by the employee and if the employee reasonably believes that the inquiry could lead to disciplinary action against him or her. Unless required by the collective bargaining agreement, there is no requirement to advise the employee of this right. If the employee requests the presence of the exclusive representative, a reasonable amount of time will be allowed to obtain him or her. The servicing civilian personnel office and labor counselor will be consulted before denying such a request.

*b. Attendance as spectators.* Witnesses other than respondents normally will not be present at the investigation or board proceedings except when they are testifying. In some cases, however, it is necessary to allow expert witnesses to hear evidence presented by other witnesses in order that they may be sufficiently advised of the facts to give informed testimony as to the technical aspects of the case. In such instances, the report of proceedings will indicate that the expert witnesses were present during the testimony of the other witnesses.

#### *c. Taking testimony or statements.*

(1) If a board is formal, or if the appointing authority has directed a verbatim record (see para 2-2), witnesses' statements will be elicited by questions and answers. However, narrative testimony may be used.

(2) In informal proceedings, statements of witnesses may be obtained at informal sessions in which they first relate their knowledge and then summarize those statements in writing. A tape recorder may be used to facilitate later preparation of written statements, but the witness will be informed if one is used. The investigating officer or board will assist the witness in preparing a written statement to avoid inclusion of irrelevant material or the omission of important facts and circumstances. However, care must be taken to ensure that the statement is phrased in the words of the witness. The interviewer must scrupulously avoid coaching the witness or suggesting the existence or nonexistence of material facts. The witness may be asked to read, correct, and sign the final statement.

(3) Whether the witness swears to the statement is within the discretion of the investigating officer or president. If the statement is to be sworn, use of DA Form 2823 (Sworn Statement) is recommended. If the witness is unavailable or refuses to sign, the person who took the statement will note, over his or her own signature, the reasons the witness has not signed and will certify that the statement is an accurate summary of what the witness said.

(4) Whether the proceeding is formal or informal, to save time and resources, witnesses may be asked to confirm written sworn or unsworn statements that have first been made exhibits. The witnesses remain subject to questioning on the substance of such statements.

(5) Although the direct testimony of witnesses is preferable, the investigating officer or board may use any previous statements of a witness as evidence on factual issues, whether or not the following conditions exist:

- (a) Proceedings are formal or informal.
- (b) Witness is determined to be unavailable.
- (c) Witness testifies.
- (d) Prior statements were sworn or unsworn.

(e) Prior statements were oral or written.

(f) Prior statements were taken during the course of the investigation.

d. *Discussion of evidence.* An investigating officer or board may direct witnesses who are subject to Army authority, and request other witnesses, not to discuss their statements or testimony with other witnesses or with persons who have no official interest in the proceedings until the investigation is complete. This precaution is appropriate to eliminate possible influence on the testimony of witnesses still to be heard. Witnesses may not be precluded from discussing any relevant matter with the recorder, a respondent, or counsel for a respondent.

e. *Privacy Act statements.*

(1) *When required.* A Privacy Act statement (AR 340-21) will be provided to a witness if the report of proceedings will be filed in a system of records from which it can be retrieved by reference to the name or other personal identifier of that witness. Unless otherwise informed by the appointing authority, an investigating officer or board may presume that the report of proceedings will be retrievable by the name of each person designated as a respondent, but that the report will not be retrievable by the name of any other witness. If any question arises as to the need for a Privacy Act statement, the investigating officer or board will consult the legal advisor, if any, or the servicing JA.

(2) *Method of providing statement.* Appendix B provides guidance for preparing Privacy Act statements. The statement may be written or oral, but it must be provided before taking the witness's testimony or statement. A written statement will be attached to the report of proceedings as an enclosure. An oral statement will be noted in the report either as part of a verbatim transcript or as an enclosure, in the form of a certificate by the officer who provided the Privacy Act statement.

(3) *Copy of the statement.* Anyone to whom this requirement applies is entitled to a copy of the Privacy Act statement in a form suitable for retention. Providing a respondent a copy of the part of the report of proceedings (see para 5-10) that includes the statement satisfies this requirement. Any other witness who is provided a Privacy Act statement will, on request, be furnished a copy of the statement in a form suitable for retention.

### **3-9. Communications with the appointing authority**

If in the course of the investigation or board something happens that could cause the appointing authority to consider enlarging, restricting, or terminating the proceedings, altering the composition of the fact-finding body or otherwise modifying any instruction in the original appointment, the investigating officer or president of the board will report this situation to the appointing authority with recommendations.

## **Section II**

### **Findings and Recommendations**

#### **3-10. Findings**

a. *General.* A finding is a clear and concise statement of a fact that can be readily deduced from evidence in the record. It is directly established by evidence in the record or is a conclusion of fact by the investigating officer or board. Negative findings (for example, that the evidence does not establish a fact) are often appropriate. The number and nature of the findings required depend on the purpose of the investigation or board and on the instructions of the appointing authority. The investigating officer or board will normally not exceed the scope of findings indicated by the appointing authority. (See para 3-9.) The findings will be necessary and sufficient to support each recommendation.

b. *Standard of proof.* Unless another directive or an instruction of the appointing authority establishes a different standard, the findings of investigations and boards governed by this regulation must be supported by a greater weight of evidence than supports a contrary conclusion, that is, evidence which, after considering all evidence presented, points to a particular conclusion as being more credible and probable than any other conclusion. The weight of the evidence is not determined by the number of witnesses or volume of exhibits, but by considering all the evidence and evaluating such factors as the witness's demeanor, opportunity for knowledge, information possessed, ability to recall and relate events, and other indications of veracity.

c. *Form.* Findings will be stated to reflect clearly the relevant facts established by the evidence and the conclusions thereon of the investigating officer or board. If findings are required on only one subject, normally they will be stated in chronological order. If findings are required on several distinct subjects, they normally will be stated separately for each subject and chronologically within each one. If the investigation or board is authorized by a directive that establishes specific requirements for findings, those requirements must be satisfied.

#### **3-11. Recommendations**

The nature and extent of recommendations required also depend on the purpose of the investigation or board and on the instructions of the appointing authority. Each recommendation, even a negative one (for example, that no further action be taken) must be consistent with the findings. Investigating officers and boards will make their recommendations according to their understanding of the rules, regulations, policies, and customs of the service, guided by their concept of fairness both to the Government and to individuals.

### 3-12. Deliberation

After all the evidence has been received (and arguments heard, if there is a respondent), the investigating officer or board members will consider it carefully in light of any instructions contained in the original appointment and any supplemental instructions. These deliberations will (and if there is a respondent, must) be in closed session, that is, with only voting members present. Nonvoting members of the board do not participate in the board's deliberations but may be consulted. The respondent and the respondent's counsel, if any, will be afforded the opportunity to be present at such consultation. The board may request the legal advisor, if any, to assist in putting findings and recommendations in proper form after their substance has been adopted by the board. A respondent and counsel are not entitled to be present during such assistance.

### 3-13. Voting

A board composed of more than one voting member arrives at its findings and recommendations by voting. All voting members present must vote. After thoroughly considering and discussing all the evidence, the board will propose and vote on findings of fact. The board will next propose and vote on recommendations. If additional findings are necessary to support a proposed recommendation, the board will vote on such findings before voting on the related recommendation. Unless another directive or an instruction by the appointing authority establishes a different requirement, a majority vote of the voting members present determines questions before the board. In case of a tie vote, the president's vote is the determination of the board. Any member who does not agree with the findings or recommendations of the board may include a minority report in the report of proceedings, stating explicitly what part of the report he or she disagrees with and why. The minority report may include its own findings and/or recommendations.

## Section III

### Report of Proceedings

#### 3-14. Format

*a. Formal.* If a verbatim record of the proceedings was directed, the transcript of those proceedings, with a completed DA Form 1574 (Report of Proceedings by Investigating Officer/Board of Officers) as an enclosure, and other enclosures and exhibits will constitute the report. In other formal boards, a completed DA Form 1574, with enclosures and exhibits, will constitute the report.

*b. Informal.* In an informal investigation or board, the report will be written unless the appointing authority has authorized an oral report. Written reports of informal investigations will use DA Form 1574; however, its use is not required unless specifically directed by the appointing authority. Every report—oral or written, on DA Form 1574 or not—will include findings and, unless the instructions of the appointing authority indicate otherwise, recommendations.

#### 3-15. Enclosures

In written reports, all significant letters and other papers that relate to administrative aspects of the investigation or board and that are not evidence will be numbered consecutively with roman numerals and made enclosures, including such items as these:

*a.* The memorandum of appointment or, if the appointment was oral, a summary by the investigating officer or board including date of appointment, identification of the appointing authority and of all persons appointed, purpose of the investigation or board, and any special instructions.

*b.* Copies of the notice to any respondent (see para 5-5).

*c.* Copies of other correspondence with any respondent or counsel.

*d.* Written communications to or from the appointing authority (see para 3-8).

*e.* Privacy Act statements (see para 3-8e).

*f.* Explanation by the investigating officer or board of any unusual delays, difficulties, irregularities, or other problems encountered.

#### 3-16. Exhibits

*a. General.* In written reports, every item of evidence offered to or received by the investigation or board will be marked as a separate exhibit. Unless a verbatim record was directed, statements or transcripts of testimony by witnesses will also be exhibits. Exhibits will be numbered consecutively as offered in evidence (even if not accepted), except that those submitted by each respondent will be lettered consecutively (and further identified by the name of the respondent, if more than one). Exhibits submitted but not admitted in evidence will be marked "Not admitted."

*b. Real evidence.* Because attaching real evidence (physical objects) to the report is usually impractical, clear and accurate descriptions (such as written statements) or depictions (such as photographs) authenticated by the investigating officer, recorder, or president may be substituted in the report. In any case, the real evidence itself will be preserved, including chain of custody, where appropriate, for use if further proceedings are necessary. The exhibit in the report will tell where the real evidence can be found. After final action has been taken in the case, the evidence will be disposed of as provided in AR 190-22, where applicable.

*c. Documentary evidence.* When the original of an official record or other document that must be returned is an exhibit, an accurate copy, authenticated by the investigating officer, recorder, or president, may be used in the written report. The exhibit in the report will tell where the original can be found.

*d. Official notice.* Matters of which the investigating officer or board took official notice (para 3-6b) normally need not be recorded in an exhibit. If, however, official notice is taken of a matter over the objection of a respondent or respondent's counsel, that fact will be noted in the written report of proceedings, and the investigating officer or board will include as an exhibit a statement of the matter of which official notice was taken.

*e. Objections.* In a formal board, if the respondent or counsel makes an objection during the proceedings, the objection and supporting reasons will be noted in the report of proceedings.

### **3-17. Authentication**

Unless otherwise directed, a written report of proceedings will be authenticated by the signature of the investigating officer or of all voting members of the board and the recorder. Board members submitting a minority report (see para 3-13) may authenticate that report instead. If any voting member of the board or the recorder refuses or is unable to authenticate the report (for example, because of death, disability, or absence), the reason will be stated in the report where that authentication would otherwise appear.

### **3-18. Safeguarding a written report**

*a.* When the report contains material that requires protection but does not have a security classification, the report will be marked "For Official Use Only" as provided by AR 25-55.

*b.* No one will disclose, release, or cause to be published any part of the report, except as required in the normal course of forwarding and staffing the report or as otherwise authorized by law or regulation, without the approval of the appointing authority.

### **3-19. Submission**

A written report of proceedings will be submitted, in two complete copies, directly to the appointing authority or designee, unless the appointing authority or another directive provides otherwise. If there are respondents, an additional copy for each respondent will be submitted to the appointing authority.

### **3-20. Action of the appointing authority**

The appointing authority will notify the investigating officer or president of the board if further action, such as taking further evidence or making additional findings or recommendations, is required. Such additional proceedings will be conducted under the provisions of the original appointing memorandum, including any modifications, and will be separately authenticated per paragraph 3-16. If applicable, the appointing authority will ensure that the provisions of paragraph 1-8 have been satisfied. (See para 2-3 for further guidance.)

## **Chapter 4 Informal Investigations and Boards of Officers**

### **4-1. Composition**

Informal procedures may be used by a single investigating officer or by a board of two or more members. (One officer is not designated a board unless procedures are formal.) All members are voting members. Appointment of advisory members or a legal advisor is unnecessary because persons with special expertise may be consulted informally whenever desired. The senior member present acts as president. There is no recorder. The president prescribes the duties of each member. A quorum is required only when voting on findings and recommendations. (See para 3-13.)

### **4-2. Procedure**

An informal investigation or board may use whatever method it finds most efficient and effective for acquiring information. (See chap 3 for general guidance.) A board may divide witnesses, issues, or evidentiary aspects of the inquiry among its members for individual investigation and development, holding no collective meeting until ready to review all the information collected. Although witnesses may be called to present formal testimony, information also may be obtained by personal interview, correspondence, telephone inquiry, or other informal means.

### **4-3. Interested persons**

Informal procedures are not intended to provide a hearing for persons who may have an interest in the subject of the investigation or board. No respondents will be designated and no one is entitled to the rights of a respondent. The



investigating officer or board may still make any relevant findings or recommendations, including those adverse to an individual or individuals.

## Chapter 5 Formal Boards of Officers

### Section I General

#### 5-1. Members

*a. Voting members.* All members of a formal board of officers are voting members except as provided elsewhere in this paragraph, in other applicable directives, or in the memorandum of appointment.

*b. President.* The senior voting member present acts as president. The senior voting member appointed will be at least a major, except where the appointing authority determines that such appointment is impracticable because of military exigencies. The president has the following responsibilities:

(1) *Administrative.* The president will—

(a) Preserve order.

(b) Determine time and uniform for sessions of the board.

(c) Recess or adjourn the board as necessary.

(d) Decide routine administrative matters necessary for efficient conduct of the business of the board.

(e) Supervise the recorder to ensure that all business of the board is properly conducted and that the report of proceedings is submitted promptly. If the board consists of only one member, that member has the responsibilities of both the president and the recorder.

(2) *Procedural.*

(a) When a legal advisor has been appointed, the legal advisor rules finally on matters set forth in paragraph *d* below.

(b) When a legal advisor has not been appointed, the president will rule on evidentiary and procedural matters. The ruling on any such matter (other than a challenge) may be reversed by majority vote of the voting members present. (See para 3-5.) If the president determines that he or she needs legal advice when ruling on evidentiary and procedural matters, he or she will contact the legal office that ordinarily provides legal advice to the appointing authority and ask that a JA or a civilian attorney who is a member of the Judge Advocate Legal Service be made available for legal consultation. When a respondent has been designated, the respondent and counsel will be afforded the opportunity to be present when the legal advice is provided.

*c. Recorder.* The memorandum of appointment may designate a commissioned or warrant officer as recorder. It may also designate assistant recorders, who may perform any duty the recorder may perform. A recorder or assistant recorder so designated is a nonvoting member of the board. If the memorandum of appointment does not designate a recorder, the junior member of the board acts as recorder and is a voting member.

*d. Legal advisor.*

(1) A legal advisor is a nonvoting member. He or she rules finally on challenges for cause made during the proceedings (except a challenge against the legal advisor (see para 5-7c)) and on all evidentiary and procedural matters (see para 3-5), but may not dismiss any question or issue before the board. In appropriate cases, the legal advisor may advise the board on legal and procedural matters. If a respondent has been designated, the respondent and counsel will be afforded the opportunity to be present when legal advice is provided to the board. If legal advice is not provided in person (for example, by telephone or in writing), the right to be "present" is satisfied by providing the opportunity to listen to or read the advice. The right to be present does not extend to general procedural advice given before the board initially convened, to legal advice provided before the respondent was designated, or to advice provided under paragraph 3-12.

(2) A JA or a civilian attorney who is a member of the Judge Advocate Legal Service may be appointed as legal advisor for a formal board of officers under the following circumstances:

(a) TJAG authorizes the appointment.

(b) Another directive applicable to the board requires the appointment.

(c) The appointing authority is a GCM convening authority.

(d) The appointing authority is other than a GCM convening authority, and a JA is assigned to his or her organization or a subordinate element thereof under an applicable table of organization and equipment or tables of distribution and allowances; or the appropriate GCM convening authority authorizes appointment of a legal advisor.

(3) Appointment of a legal advisor under this paragraph will occur only after consultation with the SJA of the GCM jurisdiction concerned. The SJA will then be responsible for providing or arranging for the legal advisor.

*e. Members with special technical knowledge.* Persons with special technical knowledge may be appointed as voting

members or, unless there is a respondent, as advisory members without vote. Such persons need not be commissioned or warrant officers. If appointed as advisory members, they need not participate in the board proceedings except as directed by the president. (See para 3-12 with regard to participation in the board's deliberations.) The report of proceedings will indicate the limited participation of an advisory member.

## **5-2. Attendance of members**

*a. General.* Attendance at the proceedings of the board is the primary duty of each voting member and takes precedence over all other duties. A voting member must attend scheduled sessions of the board, if physically able, unless excused in advance by the appointing authority. If the appointing authority is a GCM convening authority or a commanding general with a legal advisor on his or her staff, the authority to excuse individual members before the first session of the board may be delegated to the SJA or legal advisor. The board may proceed even though a member is absent, provided the necessary quorum is present (see *d* below). If the recorder is absent, the assistant recorder, if any, or the junior member of the board will assume the duties of recorder. The board may then proceed at the discretion of the president.

*b. Quorum.* Unless another directive requires a larger number, a majority of the appointed voting members (other than nonparticipating alternate members) of a board constitutes a quorum and must be present at all sessions. If another directive prescribes specific qualifications for any voting member (for example, component, branch, or technical or professional qualifications), that member is essential to the quorum and must be present at all board sessions.

*c. Alternate members.* An unnecessarily large number of officers will not be appointed to a board of officers with the intention of using only those available at the time of the board's meeting. The memorandum of appointment may, however, designate alternate members to serve on the board, in the sequence listed, if necessary to constitute a quorum in the absence of a regular member. These alternate members may then be added to the board at the direction of the president without further consultation with the appointing authority. A member added thereby becomes a regular member with the same obligation to be present at all further proceedings of the board. (See subpara *a* above.)

*d. Member not present at prior sessions.* A member who has not been present at a prior session of the board, such as an absent member, an alternate member newly authorized to serve as a member, or a newly appointed member, may participate fully in all subsequent proceedings. The member must, however, become thoroughly familiar with the prior proceedings and the evidence. The report of proceedings will reflect how the member became familiar with the proceedings. Except as directed by the appointing authority, however, a member who was not available (because of having been excused or otherwise) for a substantial portion of the proceedings, as determined by the president, will no longer be considered a member of the board in that particular case, even if that member later becomes available to serve.

## **5-3. Duties of recorder**

*a. Before a session.* The recorder is responsible for administrative preparation and support for the board and will perform the following duties before a session:

(1) Give timely notice of the time, place, and prescribed uniform for the session to all participants, including board members, witnesses, and, if any, legal advisor, respondent, counsel, reporter, and interpreter. Only the notice to a respondent required by paragraph 5-5 need be in writing. It is usually appropriate also to notify the commander or supervisor of each witness and respondent.

(2) Arrange for the presence of witnesses who are to testify in person, including attendance at Government expense of military personnel and civilian government employees ordered to appear and of other civilians voluntarily appearing pursuant to invitational travel orders. (See para 3-8a.)

(3) Ensure that the site for the session is adequate and in good order.

(4) Arrange for necessary personnel support (clerk, reporter, and interpreter), recording equipment, stationery, and other supplies.

(5) Arrange to have available all necessary Privacy Act statements and, with appropriate authentication, all required records, documents, and real evidence.

(6) Ensure, subject to security requirements, that all appropriate records and documents referred with the case are furnished to any respondent or counsel.

(7) Take whatever other action is necessary to ensure a prompt, full, and orderly presentation of the case.

*b. During the session.* The recorder will perform the following duties during the session:

(1) Read the memorandum of appointment at the initial session or determine that the participants have read it.

(2) Note for the record at the beginning of each session the presence or absence of the members of the board and, if any, the respondent and counsel.

(3) Administer oaths as necessary.

(4) Execute all orders of the board.

(5) Conduct the presentation of evidence and examination of witnesses to bring out all the facts.

*c. After the proceedings.* The recorder is responsible for the prompt and accurate preparation of the report of

proceedings, for the authentication of the completed report, and, whenever practicable, the hand-carried delivery of the report, including delivery to the appointing authority or designee.

## **Section II Respondents**

### **5-4. Designation**

*a. General.* A respondent may be designated when the appointing authority desires to provide a hearing for a person with a direct interest in the proceedings. The mere fact that an adverse finding may be made or adverse action recommended against a person, however, does not mean that he or she will be designated a respondent. The appointing authority decides whether to designate a person as a respondent except where designation of a respondent is—

- (1) Directed by authorities senior to the appointing authority; or
- (2) Required by other regulations or directives or where procedural protections available only to a respondent under this regulation are mandated by other regulations or directives.

*b. Before proceedings.* When it is decided at the time a formal board is appointed that a person will be designated a respondent, the designation will be made in the memorandum of appointment.

*c. During the proceedings.*

(1) If, during formal board proceedings, the legal advisor or the president decides that it would be advisable to designate a respondent, a recommendation with supporting information will be presented to the appointing authority.

(2) The appointing authority may designate a respondent at any point in the proceedings. A respondent so designated will be allowed a reasonable time to obtain counsel (see para 5-6) and to prepare for subsequent sessions.

(3) If a respondent is designated during the investigation, the record of proceedings and all evidence received by the board to that point will be made available to the newly designated respondent and counsel. The respondent may request that witnesses who have previously testified be recalled for cross-examination. If circumstances do not permit recalling a witness, a written statement may be obtained. In the absence of compelling justification, the proceedings will not be delayed pending the obtaining of such statement. Any testimony given by a person as a witness may be considered even if that witness is subsequently designated a respondent.

### **5-5. Notice**

The recorder will, at a reasonable time in advance of the first session of the board concerning a respondent (including a respondent designated during the proceedings), provide that respondent a copy of all unclassified documents in the case file and a letter of notification. In the absence of special circumstances or a different period established by the directive authorizing the board, a "reasonable time" is 5 working days. The letter of notification will include the following information:

- a.* The date, hour, and place of the session and the appropriate military uniform, if applicable.
- b.* The matter to be investigated, including specific allegations, in sufficient detail to enable the respondent to prepare.
- c.* The respondent's rights with regard to counsel. (See para 5-6.)
- d.* The name and address of each witness expected to be called.
- e.* The respondent's rights to be present, present evidence, and call witnesses. (See para 5-8*a*.)
- f.* (Only if the board involves classified matters.) The respondent and counsel may examine relevant classified materials on request and, if necessary, the recorder will assist in arranging clearance or access. (See AR 380-67.)

### **5-6. Counsel**

*a. Entitlement.* A respondent is entitled to have counsel and, to the extent permitted by security classification, to be present with counsel at all open sessions of the board. Counsel may also be provided for the limited purpose of taking a witness's statement or testimony, if respondent has not yet obtained counsel. An appointed counsel will be furnished only to civilian employees or members of the military.

*b. Who may act.*

(1) *Civilian counsel.* Any respondent may be represented by civilian counsel not employed by and at no expense to the Government. A Government civilian employee may not act as counsel for compensation or if it would be inconsistent with faithful performance of regular duties. (See 18 USC 205.) In addition, a DA civilian employee may act as counsel only while on leave or outside normal hours of employment, except when acting as the exclusive representative of the bargaining unit pursuant to 5 USC 7114(a)(2)(B). (See para 3-4.)

(2) *Military counsel for military respondents.* A military respondent who does not retain a civilian counsel is entitled to be represented by a military counsel designated by the appointing authority. A respondent who declines the services of a qualified designated counsel is not entitled to have a different counsel designated.

(3) *Military counsel for civilian respondents.* In boards appointed under the authority of this regulation, Federal civilian employees, including those of nonappropriated fund instrumentalities, will be provided a military counsel under

the same conditions and procedures as if they were military respondents, unless they are entitled to be assisted by an exclusive representative of an appropriate bargaining unit.

*c. Delay.* Whenever practicable, the board proceedings will be held in abeyance pending respondent's reasonable and diligent efforts to obtain civilian counsel. However, the proceedings will not be delayed unduly to permit a respondent to obtain a particular counsel or to accommodate the schedule of such counsel.

*d. Qualifications.* Counsel will be sufficiently mature and experienced to be of genuine assistance to the respondent. Unless specified by the directive under which the board is appointed, counsel is not required to be a lawyer.

*e. Independence.* No counsel for a respondent will be censured, reprimanded, admonished, coerced, or rated less favorably as a result of the lawful and ethical performance of duties or the zeal with which he or she represents the respondent. Any question concerning the propriety of a counsel's conduct in the performance of his or her duty will be referred to the servicing JA.

## **5-7. Challenges for cause**

*a. Right of respondent.* A respondent is entitled to have the matter at issue decided by a board composed of impartial members. A respondent may challenge for cause the legal advisor and any voting member of the board who does not meet that standard. Lack of impartiality is the only basis on which a challenge for cause may be made at the board proceedings. Any other matter affecting the qualification of a board member may be brought to the attention of the appointing authority. (See para 3-3.)

*b. Making a challenge.* A challenge will be made as soon as the respondent or counsel is aware that grounds exist; failure to do so normally will constitute a waiver. If possible, all challenges and grounds will be communicated to the appointing authority before the board convenes. When the board convenes, the respondent or counsel may question members of the board to determine whether to make a challenge. Such questions must relate directly to the issue of impartiality. Discretion will be used, however, to avoid revealing prejudicial matters to other members of the board; if a challenge is made after the board convenes, only the name of the challenged member will be indicated in open session, not the reason for believing the member is not impartial.

*c. Deciding challenges.* The appointing authority decides any challenge to a board of officers composed of a single member and may decide other challenges made before the board convenes. Otherwise, a challenge is decided by the legal advisor or, if none or if the legal advisor is challenged, by the president. If there is no legal advisor and the president is challenged, that challenge is decided by the next senior voting member.

*d. Procedure.* Challenges for lack of impartiality not decided by the appointing authority will be heard and decided at a session of the board attended by the legal advisor, the president or the next senior member who will decide the challenge, the member challenged, the respondent and his or her counsel, and the recorder. The respondent or counsel making the challenge may question the challenged member and present any other evidence to support the challenge. The recorder also may present evidence on the issue. The member who is to decide the challenge may question the challenged member and any other witness and may direct the recorder to present additional evidence. If more than one member is challenged at a time, each challenge will be decided independently, in descending order of the challenged members' ranks.

*e. Sustained challenge.* If the person deciding a challenge sustains it, he or she will excuse the challenged member from the board at once, and that person will no longer be a member of the board. If this excusal prevents a quorum (see para 5-2b), the board will adjourn to allow the addition of another member; otherwise, proceedings will continue.

## **5-8. Presentation of evidence**

*a. Rights of respondent.* Except for good cause shown in the report of proceedings, a respondent is entitled to be present, with counsel, at all open sessions of the board that deal with any matter concerning the respondent. The respondent may—

- (1) Examine and object to the introduction of real and documentary evidence, including written statements.
- (2) Object to the testimony of witnesses and cross-examine witnesses other than the respondent's own.
- (3) Call witnesses and otherwise introduce evidence.
- (4) Testify as a witness; however, no adverse inference may be drawn from the exercise of the privilege against self-incrimination. (See para 3-7c(5).)

*b. Assistance.*

(1) Upon receipt of a timely written request, and except as provided in (4) below, the recorder will assist the respondent in obtaining documentary and real evidence in possession of the Government and in arranging for the presence of witnesses for the respondent.

(2) Except as provided in subparagraph (4) below, the respondent is entitled to compulsory attendance at Government expense of witnesses who are soldiers or Federal civilian employees, to authorized reimbursement of expenses of other civilian witnesses who voluntarily appear in response to invitational travel orders, and to official cooperation in obtaining access to evidence in possession of the Government, to the same extent as is the recorder on behalf of the Government. If the recorder, however, believes any witness's testimony or other evidence requested by the respondent is irrelevant or unnecessarily cumulative or that its significance is disproportionate to the delay, expense, or difficulty

in obtaining it, the recorder will submit the respondent's request to the legal advisor or president (see para 3-5), who will decide whether the recorder will comply with the request. Denial of the request does not preclude the respondent from obtaining the evidence or witness without the recorder's assistance and at no expense to the Government.

(3) Nothing in this paragraph relieves a respondent or counsel from the obligation to exercise due diligence in preparing and presenting his or her own case. The fact that any evidence or witness desired by the respondent is not reasonably available normally is not a basis for terminating or invalidating the proceedings.

(4) Evidence that is privileged within the meaning of paragraph 3-7c(1) will not be provided to a respondent or counsel unless the recorder intends to introduce such evidence to the board and has obtained approval to do so.

#### **5-9. Argument**

After all evidence has been received, the recorder and the respondent or counsel may make a final statement or argument. The recorder may make the opening argument and, if argument is made on behalf of a respondent, the closing argument in rebuttal.

#### **5-10. After the hearing**

Upon approval or other action on the report of proceedings by the appointing authority, the respondent or counsel will be provided a copy of the report, including all exhibits and enclosures that pertain to the respondent. Portions of the report, exhibits, and enclosures may be withheld from a respondent only as required by security classification or for other good cause determined by the appointing authority and explained to the respondent in writing.

## **Appendix A**

### **References**

#### **Section I**

##### **Required Publications**

Military Rules of Evidence are found in the Manual for Courts-Martial, United States.

##### **AR 20-1**

Inspector General Activities and Procedures. (Cited in paras 1-5 and 3-7.)

##### **AR 25-55**

The Department of the Army Freedom of Information Act Program. (Cited in para 3-18.)

##### **AR 27-10**

Military Justice. (Cited in para 3-7 and app B.)

##### **AR 195-5**

Evidence Procedures. (Cited in para 3-16.)

##### **AR 340-21**

The Army Privacy Program. (Cited in para 3-8 and app B.)

##### **AR 380-67**

The Department of the Army Personnel Security Program. (Cited in para 5-5.)

##### **JTR, vol. 2**

(Cited in para 3-7.) (Available at <https://secureapp2.hqda.pentagon.mil/perdiem>.)

##### **MCM 2005**

See Military Rules of Evidence contained therein. (Cited in para 3-7.)

##### **MRE 201**

Judicial notice of adjudicative facts.

##### **MRE 502**

Lawyer-client privilege.

##### **MRE 503**

Communications to clergy.

##### **MRE 504**

Husband-wife privilege.

##### **UCMJ, Art. 31**

Compulsory self-incrimination prohibited

##### **UCMJ, Art. 136**

Authority to administer oaths and act as notary. (Cited in paras 1-3, 2-3, 3-2, and 3-7.) (Available from [www.army.mil/references/UCMJ](http://www.army.mil/references/UCMJ).)

##### **UCMJ, Art. 138**

Complaints of wrongs

#### **Section II**

##### **Related Publications**

A related publication is a source of additional information. The user does not have to read it to understand this regulation. United States Code is found at [www.gpoaccess.gov/uscode](http://www.gpoaccess.gov/uscode).

##### **AR 210-7**

Commercial Solicitation on Army Installations

**AR 380-5**

Department of the Army Information Security Program

**AR 385-40**

Accident Reporting and Records

**AR 600-8-14**

Identification Cards for M

**AR 600-37**

Unfavorable Information

**AR 735-5**

Policies and Procedures for Property Accountability

**5 USC 303**

Oaths to witnesses

**5 USC 7114**

Representation rights and duties

**10 USC 933**

Conduct unbecoming an officer and a gentleman

**10 USC 1219**

Statement of origin of disease or injury: limitations

**10 USC 3012**

Department of the Army: seal

**18 USC 205**

Activities of offices and employees in claims against and other matters affecting the Government

**U.S. Constitution, amend. 5**

No person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment or indictment of a Grand Jury. . . .

**Section III**

**Prescribed Forms**

The following forms are available on the APD Web site ([www.apd.army.mil](http://www.apd.army.mil)) unless otherwise stated.

**DA Form 1574**

Report of Proceedings by Investigating Officer/Board of Officers. (Cited in para 3-14.)

**Section IV**

**Referenced Forms**

**DA Form 2823**

Sworn Statement

**DA Form 3881**

Rights Warning Procedure/Waiver Certificate

**Appendix B**

**Guidance for Preparing Privacy Act Statements**

**B-1. General**

a. The Privacy Act requires that, whenever personal information is solicited from an individual and the information

will be filed so as to be retrievable by reference to the name or other personal identifier of the individual, he or she must be advised of the following information:

- (1) The authority for soliciting the information.
- (2) The principal purposes for which the information is intended to be used.
- (3) The routine uses that may be made of the information.
- (4) Whether disclosure is mandatory or voluntary.
- (5) The effect on the individual of not providing all or part of the information.

b. Each Privacy Act statement must be tailored to the matter being investigated and to the person being asked to provide information. The servicing JA will be consulted for assistance in preparing Privacy Act statements, as necessary.

## **B-2. Content**

a. *Authority.* If a specific statute or executive order authorizes collection of the information, or authorizes performance of a function that necessitates collection of the information, the Privacy Act statement will cite it as the authority for solicitation. For example, if a commander appoints an investigating officer to inquire into a UCMJ, Art. 138, complaint under the provisions of AR 27-10, the statutory authority for solicitation of the information would be 10 USC 938. Regulations will not be cited as the authority. If no specific statute or executive order can be found, the authority to cite is 10 USC 3012.

b. *Principal purposes.* The statement of principal purposes will consist of a short statement of the reason the investigation is being conducted. The following examples apply to particular types of investigations:

(1) Administrative elimination proceeding under AR 635-200: "The purpose for soliciting this information is to provide the commander a basis for a determination regarding your retention on active duty and, if a determination is made not to retain you on active duty, the type of discharge to award."

(2) Investigation of a UCMJ, Art. 138, complaint: "The purpose for soliciting this information is to obtain facts and make recommendations to assist the commander in determining what action to take with regard to (your) (complainant's) UCMJ, Art 138, complaint."

(3) Investigation of a security violation: "The purpose for soliciting this information is to determine whether the security violation under investigation resulted in a compromise of national defense information, to fix responsibility for the violation, and to determine whether to change existing security procedures."

(4) Flying evaluation board pursuant to AR 600-107: "The purpose for soliciting this information is to provide the commander a basis for a determination regarding your flying status."

c. *Routine uses.* In order to advise an individual of what routine uses may be made of solicited information, it is necessary to identify the system of records in which the report of proceedings will be filed. The routine uses will be summarized from the system notice and from the routine uses of general applicability in AR 340-21. The routine use statement may be introduced as follows: "Any information you provide is disclosable to members of the Department of Defense who have a need for the information in the performance of their duties. In addition, the information may be disclosed to Government agencies outside of the Department of Defense as follows: (list of routine uses external to the Department of Defense)."

d. *Routine uses. Disclosure mandatory or voluntary; the effect of not providing information.*

Providing information is voluntary unless the individual may be ordered to testify. The following statement can be used in most situations:

(1) Respondent or other individual warned of his or her rights under the UCMJ, Art. 31, or the Fifth Amendment: "Providing the information is voluntary. There will be no adverse effect on you for not furnishing the information other than that certain information might not otherwise be available to the commander for his or her decision in this matter."

(2) Individual who may be ordered to testify: "Providing the information is mandatory. Failure to provide information could result in disciplinary or other adverse action against you under (the UCMJ or Army regulations) (civilian personnel regulations)."

2. *UCMJ, Art. 31 rights advisement.* If during the proceeding it is determined to advise an individual of his or her rights under the UCMJ, Art. 31, or the Fifth Amendment, after he or she has been told it is mandatory to provide information, the advising official must be certain that the individual understands that such rights warning supersedes this portion of the Privacy Act statement.



## **Glossary**

### **Section I Abbreviations**

**AR**

Army regulation

**DA**

Department of the Army

**DOD**

Department of Defense

**GCM**

general court-martial

**GS**

general schedule

**JA**

judge advocate

**LA**

legal advisor

**MCM**

Manual for Courts-Martial, United States, 2005

**MRE**

Military Rules of Evidence

**SJA**

staff judge advocate

**TJAG**

The Judge Advocate General

**UCMJ**

Uniform Code of Military Justice

**USC**

United States Code

### **Section II Terms**

**Adverse administrative action**

Adverse action taken by appropriate military authority against an individual other than actions taken pursuant to the UCMJ or MCM.

**Military exigency**

An emergency situation requiring prompt or immediate action to obtain and record facts.

### **Section III**

#### **Special Abbreviations and Terms**

This section contains no entries.

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BOOK 3 OF 3

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TAB 4

SIGNED REPORTS



DEPARTMENT OF THE ARMY  
INSTALLATION MANAGEMENT AGENCY  
HEADQUARTERS, UNITED STATES ARMY GARRISON  
BOX 339500, MAIL STOP 16  
FORT LEWIS WASHINGTON 98433-9500

REPLY TO  
ATTENTION OF

IMWE-LEW-PL-S

7 June 2007

MEMORANDUM FOR Garrison Commander, ATTN: IMWE-LEW-ZA, Box 339500, Fort Lewis, WA 98433-9500

SUBJECT: AR 15-6 Investigation Concerning Hiring Actions Taken in Reference to Army Vacancy WTEU5004308 for Utility Systems Repairer-Operator Supervisor, WS-4742-10 and Specific Management Practices at the Fort Lewis Wastewater (WWTP) and Water Treatment Plants (WTP).

1. On 17 April 2007, I was appointed as the AR 15-6 Investigating Officer (IO) for (1) the hiring actions taken in reference to Army vacancy WTEU05004308 for Utility Systems Repairer-Operator Supervisor, WS-4742-10 and (2) specific management practices at the Fort Lewis Wastewater (WWTP) and Water Treatment Plants (WTP). I have conducted a thorough investigation of the circumstances surrounding both issues. My observations, conclusions, and recommendations are provided in the following format: issues, facts, findings, and recommendations.

2. ISSUE - Hiring actions taken in reference to Army vacancy WTEU05004308 for Utility Systems Repairer-Operator Supervisor, WS-4742-10.

a. FACTS.

(1) 30 April 2005 - Date of most recent Base System Civilian Evaluation Report for (b)(6), Utility Systems Repairer-Operator WS-4742-10, Maintenance and Repair (M&R) Division, Directorate of Public Works (DPW). (b)(6) has unrated supervisory time from 4 September 2005 to present. (b)(6) supervisor is (b)(6); Chief, M&R Division, DPW. (Tab 1J).

(2) July 2005 - (b)(6), the incumbent of the Utility Systems Repairer-Operator Supervisor WS-4742-10 position voluntarily resigned from the position.

(3) 5 August 2005 - Request for Personnel Action (RPA) number 05AUG9EULDPWXX775645 submitted by Ms. Marnie Holder, Administrative Services Specialist, on behalf of Mr. Robinson. RPA requested non-competitive, temporary not to exceed (NTE) 120 day (2 January 2006) promotion of Mr. Long, under position description (PD) number EU200383. (Tab 1B).

(4) 4 September 2005 - Notification of Personnel Action (SF50) for (b)(6) non-competitively promoted (b)(6) from Utility Systems Repairer-Operator

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WG-4742-09 to Utility Systems Repairer-Operator Supervisor WS-4742-10 with a NTE date of 2 January 2006 based on RPA number 05AUG9EULDPWXX775645. Neither the Fort Lewis Civilian Personnel Advisory Center (CPAC) nor the West Civilian Personnel Operations Center (WCPOC) verified (b)(6) held the certifications required by PD number EU200383 prior to processing this action. (Tab 1B).

(5) 29 November 2005 – RPA number 05NOV9EULDPWXX004308 submitted by (b)(6), Administrative Services Specialist, on behalf of (b)(6). (b)(6) RPA requested a competitive, temporary NTE 365 day, recruit-fill action for Utility Systems Repairer-Operator Supervisor, WS-4742-10 under PD number EU200383. (Tab 1C)

(a) RPA limited recruiting sources to current Fort Lewis employees.

(b) RPA stated that position could be non-competitively extended until implementation of the MEO.

(c) RPA listed a by-name request for (b)(6). Listing a by-name request is not a prohibited personnel practice. The individual who is listed by-name must still qualify for the referral list and the hiring official is under no obligation to select the individual if he/she appears on the referral list.

(d) Gatekeeper Checklist for RPA number 05NOV9EULDPWXX004308 identified (b)(6) as the hiring official.

(6) (b)(6) assisted (b)(6) with the drafting and uploading of his resume into the Army Resume Builder website. (b)(6) provided (b)(6) with a copy of the RPA and the PD prior to the vacancy announcement. (b)(6) called (b)(6) at his residence on 24 December 2005 to notify him that the vacancy announcement was posted and to ensure he self nominated for the vacancy. (b)(6) (b)(6) claims she was directed by her supervisor, (b)(6), to take these actions. She also claims that (b)(6) directed her not to notify other employees of the vacancy announcement. Although (b)(6) claims cannot be determined to be fact, her sworn statement (Tab 13) is consistent with (b)(6) sworn statement (Tab 16) on these issues and there appears to be no pre-existing relationship or motivation for her to use her personal time on Christmas Eve, 24 December 2007 to notify an employee of a vacancy. (b)(6) denies (b)(6) claims in his sworn statement (Tab 15).

(7) 16 December 2005 – RPA number 05DEC9EULDPWXX048567 submitted by (b)(6), Administrative Services Specialist, on behalf of (b)(6) (b)(6). RPA requested permanent promotion of (b)(6) (Tab 1D).

(8) 23 December 2005 – Vacancy Announcement number WTEU05004308 advertising for temporary NTE 365 day position as Utility Systems Repairer-Operator Supervisor, WS-4742-10 under PD number EU200383 released on Army Vacancy Announcement Board website by (b)(6), WCPOC. (Tab 1E).

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(a) Vacancy announcement was open from 23 December 2005 to 27 December 2005. The hiring official selected a five day announcement period. While this is the shortest announcement period, it is not unusual for hiring officials to request a short announcement period. The fact that the announcement was open over the Christmas holidays was not a hiring official decision but rather a result of the timed action processing system used by WCPOC which requires WCPOC personnel to process a vacancy announcement within a certain number of days. Although vacancy announcements are not opened or closed on a Federal Holiday, the open period of a vacancy announcement can include a Federal Holiday. (Tab 10).

(b) On 23 December 2005, (b)(6) notified (b)(6) via email that the vacancy announcement had been posted on the Army Vacancy Announcement Board website.

(c) (b)(6) email included two additional statements:

1. "Please get this to anyone that you know of that might be interested in being considered for this position."
2. "Please let me know on Tuesday if you feel this needs to be extended to be open for a longer period of time".

(d) Vacancy announcement listed the following conditions of employment:

1. Must possess a valid Washington State driver's license.
2. NOTE: Must possess and maintain a Group III waste water certification issued by the State of Washington. Special Requirements. Must be able to obtain within 2-years and maintain a current State of Washington Water Distribution Manager III certification. Must be able to obtain within 2-years and maintain a current State of Washington Water Treatment Plant Operator II certification.

(e) Vacancy announcement specified the following under the section marked "Other Information"

1. Position may be filled by temporary promotion not to exceed 1 year.
2. Temporary promotion may be made or extended up to a maximum of five years.
3. Competitive temporary promotion may be made permanent without further competition.

(9) 28 December 2005 – Web Based Referral List for Vacancy Announcement number WTEU05004308 and RPA number 05NOV9EULDPWXX004308 issued by (b)(6) to (b)(6) and (b)(6) (b)(6), Fort Lewis CPAC. The referral list included four candidates: (b)(6) (b)(6) (b)(6), and (b)(6) (Tab 1F).

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(10) 28 December 2005 – Referral List Candidate Selection documents that (b)(6) selected (b)(6) to fill Vacancy Announcement number WTEU05004308 based on “knowledge, skills, and experience.” (Tab 1G).

(11) 29 December 2005 – (b)(6), CPAC, extended job offer to (b)(6). (b)(6) accepted job offer for WS-4742-10, Utility Systems Repairer-Operator Supervisor, temporary promotion NTE 2 January 2006. (Tab 1G).

(12) 3 January 2006 – Notification of Personnel Action (SF50) for (b)(6) extended temporary promotion NTE date from 2 January 2006 to 2 January 2007 based on RPA number 05NOV9EULDPWXX004308. Neither CPAC nor WCPOC verified (b)(6) held the certifications required by PD number EU200383 prior to processing this action. (Tab 1G).

(13) 2 April 2006 – Notification of Personnel Action (SF50) for (b)(6) removed temporary limitation to promotion action under Vacancy Announcement WTEU05004308 dated 23 December 2005. This action made (b)(6) promotion permanent without competition as was authorized under the Vacancy Announcement: “Competitive temporary promotion may be made permanent without further competition.” Neither CPAC nor WCPOC verified (b)(6) held the certifications required by PD number EU200383 prior to processing this action. (Tab 1I).

(14) The following chart depicts the historical sequence of the PD number and certification requirements for the supervisory position for which Mr. Long was hired:

Classified Date	PD Number	Replaces PD Number	Series/Grade	POSITION DESCRIPTION REQUIREMENTS			
				WA State Driver's License	WWTP Operator	Water Distribution Manager	WTP Operator
3 FEB 94	EUL2053	EUZ6056	WS-4742-09	YES	Group III	N/A	N/A
13 JUL 04	EU178523	N/A	WS-4742-09	YES	Group III	Group III	Group II
27 AUG 04	EU182461	EUL2053	WS-4742-10	YES	Group III	Group III	Group II
20 OCT 04	EU186946	N/A	WS-4742-10	YES	Group III	Group III	Group II
4 APR 05	EU200383	EU185551*	WS-4742-10	YES	Group III	2 Years to Obtain Group III	2 Years to Obtain Group II

\*PD number EU185551 is not available in the FASCLASS system for review and a hardcopy could not be obtained from either CPAC or WCPOC.

There is no substantive difference between PD number EU186946 and PD number EU200383 except for the addition of the 2 year period to obtain the necessary Water Distribution Manager Group III and Water Treatment Plant Operator Group II certifications. (Tab 1A). (b)(6) explained the new certification requirements, stating: “To the best of my knowledge, certification requirements were changed in order to make the position available to a wider range of applicants and get the position filled as soon as possible before the hiring freeze. PW management was afraid there would be no eligible candidates because of the unique requirements but by giving eligible applicants two years to obtain certification, the position might be more

SUBJECT: AR 15-6 Investigation Concerning Hiring Actions Taken in Reference to Army Vacancy WTEU5004308 for Utility Systems Repairer-Operator Supervisor, WS-4742-10 and Specific Management Practices at the Fort Lewis Wastewater (WWTP) and Water Treatment Plants (WTP).

attractive to those whose experience/education met all other requirements. Management did not want to waste time by posting the announcement with the statement that applicants "must possess" specific certifications with the possibility of no eligible applicants then have to re-announce with the two year certification period adjustment. It was all about timing because the MEO implementation was right around the corner and management wanted to get someone on board before the freeze." (Tab 29).

(15) (b)(6) stated in the resume which was used to select him for the position that he holds the following certifications: Wastewater Treatment Plant Operator II, Water Distribution Manager III, and Water Treatment Plant Operator III. (Tab 1F). When (b)(6) was first promoted into the position on a non-competitive, temporary basis on 4 September 2005, he did not meet the conditions of employment specified by PD EU200383; specifically he did not hold a Waste Water Treatment Plant Operator Group III certification. When (b)(6) was subsequently competitively temporarily promoted on 3 January 2006, he still did not meet the conditions of employment. It is the responsibility of CPAC in coordination with the prospective employee and the hiring official to verify the prospective employee meets the conditions of employment prior to hiring. CPAC did not verify (b)(6) met the conditions of employment on the 3 January 2006 competitive temporary promotion action because the employee was already in the position on a non-competitive temporary promotion. Based on the fact that the employee was already in the position, CPAC assumed the conditions of employment were verified at the time of the first non-competitive temporary promotion action on 4 September 2005.

(16) (b)(6) previously held a supervisory position at the Water Treatment Plant (WTP) from 29 May 1994 to 11 October 1998. There was eight months of unrated supervisory time from 2 January 1998 to 14 October 1998. This was the time period immediately proceeding (b)(6) voluntary change to a lower grade from a supervisory position to a non-supervisory position. (Tab 1J).

(a) 29 May 1994 - RPA number DEH-94-651 was a recruit-fill action that promoted (b)(6) from Utility Systems Repairer-Operator WS-4742-09, PD number Z3100, to Water Treatment Plant Operator Supervisor WS-5409-08, PD number L2049. (Tab 1H). PD number L2049 specified the following special requirements:

1. Must possess and be able to maintain a current State of Washington Water Distribution manager III certification.
2. Must possess or be able to obtain and maintain a current State of Washington Water Treatment Plant Operator II certification.
3. Must possess or be able to obtain Washington State driver's license.

(b) 29 May 1994 - Notification of Personnel Action (SF50) promoted (b)(6) from Utility Systems Repairer-Operator WS-4742-09, PD number

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Z3100, to Water Treatment Plant Operator Supervisor WS-5409-08, PD number L2049 based upon merit promotion announcement 086 dated 2 May 1994. (Tab 1I).

(c) 11 October 1998 - RPA number 98LPWK004738 was a voluntary change to lower grade action that moved (b)(6) from Water Treatment Plant Operator Supervisor WS-5409-08, PD number EUL2049, to Maintenance Mechanic WG-4749-09, PD number EU88140. According to the RPA remarks, "Employee requested voluntary Change to Lower Grade based on medical reasons (stress)." (Tab 1H). Interviews with WTP employees indicate that (b)(6) voluntarily changed to a lower grade in lieu of being removed by his supervisor, (b)(6) (Retired); Chief of Production Division, for failure to adequately perform supervisory duties (Tab 26).

(d) 11 October 1998 - Notification of Personnel Action (SF50) changed (b)(6) to a lower grade from Water Treatment Plant Operator Supervisor WS-5409-08, PD number EUL2049, to Maintenance Mechanic WG-4749-09, PD number EU88140 based upon RPA 98LPWK004738. (Tab 1I).

(17) (b)(6) completed Leadership Education and Development (LEAD) training on 22 July 1994. On 21 February 2006, (b)(6) recommended that (b)(6) complete the Human Resources (HR) for Supervisors course. (b)(6) declined to permit (b)(6) to complete the training stating that (b)(6) "did not need this training as he previously had supervisory experience and was being coached." (Tab 1K).

#### b. FINDINGS.

(1) (b)(6) did not meet a condition of employment, possession of a Waste Water Treatment Plant Operator Group III Certification, when he was non-competitively temporarily promoted to Utility Systems Repairer-Operator Supervisor WS-4742-10 on 4 September 2005 with a NTE date of 2 January 2006. (b)(6) did not meet this same condition of employment when he accepted a competitive temporary promotion for the same position on 3 January 2006 with a NTE date of 2 January 2007. (b)(6) did not meet this same condition of employment when his promotion was made permanent on a non-competitive basis on 4 April 2006. (Tab 16). Neither the CPAC nor the WCPOC verified (b)(6) met the conditions of employment. (Tabs 1, 2, 10 and 19).

(2) (b)(6) actions related to vacancy announcement number WTEU05004308 provided (b)(6) with an unfair advantage over other potential applicants for the position.

(a) Although (b)(6) was the best qualified candidate of the four candidates on the vacancy announcement referral list (Tab 1F), the referral list did not include other qualified candidates who were interested in applying but did not do so because they were unaware of the vacancy (Tabs 4, 5, and 6). While it is an

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individual's responsibility to maintain a resume in the Army Resume Builder website and self-nominate for vacant positions, (b)(6) was aware that a majority of his employees did not have access to internet connected computers at either their residence or their work site. Consequently, employees relied on the hardcopy posting of vacancy announcements on office bulletin boards to know when vacancies were opened. Although management was not required to do so, they established a precedent prior to vacancy announcement number WTEU05004308 of posting hardcopy vacancy announcements on office bulletin boards. Vacancy announcement number WTEU05004308 was not posted on the office bulletin board. (Tabs 19, 20, and 29).

(b) (b)(6) received preference to other potential candidates in that he was notified over the telephone of the vacancy announcement by (b)(6) at the direction of (b)(6). No other potential candidates received telephone notifications of the vacancy announcement from (b)(6). (Tabs 13 and 16).

(c) At the direction of (b)(6), (b)(6) assisted (b)(6) with the drafting, revision and uploading of his resume into the Army Resume Builder website. (b)(6) assisted with both content and process. (Tabs 13 and 16).

(d) PD number EU200383 appears to have been classified just six months after PD number EU186946 solely to reduce the certification requirements for the position. (Tab 1A).

(e) The fact that (b)(6) directed the initiation of RPA number 05DEC9EULDPWXX048567 requesting permanent promotion of (b)(6) prior to the posting of Vacancy Announcement number WTEU05004308 suggests that (b)(6) pre-selected (b)(6) for the position. (Tab 1D).

(f) (b)(6) previously held a supervisory position at the WTP from 29 May 1994 to 11 October 1998. (b)(6) voluntarily left his supervisory position and changed to a lower graded non-supervisory position citing the medical condition of stress as the reason. (b)(6) was aware that (b)(6) voluntarily left his supervisory position but stated he "did not know why he left". (Tab 15).

(3) (b)(6) has not received a rating since 30 April 2005. (b)(6) has not provided a rating for (b)(6) supervisory time from 4 September 2005 to present. (Tab 1J).

### c. RECOMMENDATIONS.

(1) Request CPAC immediately modify their local procedures to ensure conditions of employment are verified in writing for all recruit-fill and promotion actions regardless of the nature of recruit-fill or promotion action (i.e. competitive, non-competitive, temporary, or permanent). Ensure procedures include retention in the individual's official personnel file (OPF) of any written verifications that the



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individual meets the conditions of employment.

(2) Direct DPW to ensure all supervisory personnel complete the HR for Supervisors course offered by CPAC. Prevent DPW supervisors from functioning as hiring officials until they complete the HR for Supervisors course.

(3) Direct DPW to work in coordination with CPAC to develop a targeted training class for Administrative Support Assistants which focuses on what you can and cannot do to assist an individual with the resume, self-nomination and hiring process. Ensure all DPW Administrative Support Assistants receive training NLT 90 days from the date of this report.

(4) Recommend the appointing official request CPAC initiate notice of proposed removal for (b)(6) for failure to meet a condition of employment.

(5) Recommend the appointing official determine whether formal disciplinary action is warranted for (b)(6)

3. ISSUE – Specific management practices at the Fort Lewis Wastewater (WWTP) and Water Treatment Plants (WTP).

a. SUB-ISSUE – Failure to use the proper oil in the WWTP compressor.

(1) FACTS.

(a) The WWTP employees cannot agree on what type and weight of oil is required for the WWTP gas compressor. (Tabs 4, 5, 6, 7, 8, 9 and 16).

(b) The Operations and Maintenance Instruction Manual (O&M Manual) for the Sliding Vane Gas Compressor and Accessories dated May 1999 does not mandate an oil type and weight; however, it does specify suggested oils. The suggested oil for wet compressor service is Chevron – EP Industrial 220x or Gulf – Marine Engine Oil 220. (Tab 24Q).

(c) All the WWTP employees stated that they have previously used an unsuitable oil in the WWTP gas compressor because it was all they had available in on-hand supplies. (b)(6) stated that “employees may have used the incorrect oil by grabbing the wrong can. We keep multiple oils on site and it’s their job to use the correct oil. Using the incorrect oil is an employee self made decision. There is always a way for them to get the correct oil. I had the authority to purchase the correct oil at any time using the government purchase card. I don’t recall employees asking me to buy oil for the gas compressor.” (Tabs 4, 5, 6, 7, 8, 9 and 16).

(c) (b)(6) submitted an exhibit 6 request to (b)(6) for 30 gallons of Gulf-Marine Engine Oil 220 on 6 December 2005 (Tab 24Q). (b)(6) (b)(6) declined to process the request because it was “an idiotic request”. (Tab 16). (b)(6)

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(b)(6) did not annotate the exhibit 6 with the denial but rather simply did not action the request.

(2) FINDINGS.

(a) Although the O&M Manual is not prescriptive, the suggested oil should be used to ensure the proper functioning of the gas compressor.

(b) There have been occasions when a suitable oil type and weight has not been available in on-hand supplies. There have been occasions when (b)(6) (b)(6) has failed to action employee requests to order a suitable oil type and weight.

(3) RECOMMENDATIONS.

(a) Direct DPW to order sufficient quantities of the proper oil so that there is enough on-hand supplies to deal with unplanned maintenance emergencies.

(b) Direct DPW to educate WWTP employees on what oil type and weight is required.

(c) Direct DPW to visibly post what oil type and weight is required on or in close proximity to the WWTP gas compressor.

b. SUB-ISSUE – Allegations arising from the WWTP daily entry logs.

(1) FACTS.

(a) (b)(6) published guidance to WWTP employees on how to fill out the WWTP daily entry logs on 23 December 2005. (Tab 16O).

(b) (b)(6) wrote inappropriate comments in the WWTP daily entry logs prior to his promotion to Utility Systems Repairer-Operator Supervisor, WS-4742-10 on 4 September 2005. Those comments include:

1. 8 April 2005 - Referred to (b)(6) as "Lab Monkey" and (b)(6) as "Luda Fisk Buoy". (Tab 16O).

2. 6 August 2004 - "Raining like a cow with a serious balder leak. May need boat soon." (Tab 16O).

3. 18 October 2003 - "Turned the whole business over to Jer (referring to (b)(6)) and the fool took it." (Tab 16O).

4. 29 November 2002 - "Turning the place over to Yippy Ki Ya (referring to (b)(6))s). (Tab 16O).

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5. 11 October 2002 – Referred to (b)(6) as “Lab Monkey”. (Tab 16O).

6. 25 December 2001 – “This verse is like the first, everything is humming along fine with no broken pipes due to freezing. Luda Fisk Buoy (referring to (b)(6)) is taking over. My god watch over him cause he needs all the help he can get.” (Tab 16O).

(c) (b)(6) admits to writing inappropriate comments and personal attacks in the WWTP daily entry logs. (Tab 16).

(d) A review of all the WWTP daily entry logs from 4 September 2005 to 30 April 2007 did not reveal any inappropriate comments written by (b)(6).

(2) FINDINGS. As an employee of the WWTP, (b)(6) wrote inappropriate comments in the WWTP daily entry logs. While the comments were inappropriate and unprofessional, they were infrequent and were more a failed attempt at humor than harassment. After assuming supervisory responsibilities, (b)(6) did not write inappropriate comments in the WWTP daily entry logs.

### (3) RECOMMENDATIONS.

(a) Direct DPW to ensure Mr. Long and all WWTP employees complete annual EEO and EO training.

(b) Direct DPW to train Mr. Long and WWTP personnel on how to complete the WWTP daily entry logs. DPW published revised WWTP daily log entry guidance on 17 April 2007; however, Mr. Long and WWTP employees may not have been trained on what is and is not acceptable to enter into the log.

c. SUB-ISSUE – Improper refusal to allow plant operators to sample the sludge removed from No. 1 digester by Cascade and transferred to the drying beds, on or about 14 November 2006.

#### (1) FACTS.

(a) Cascade was contracted to effect repairs to digester number one. Before Cascade made the repairs, they had to remove the water and residual sludge from the digester. (Tabs 30 and 31).

(b) Cascade took samples of the sludge after the diatomaceous earth was added. Those tests results for those samples revealed suspiciously high levels of oil. There are no chain of custody documents for the samples taken by Cascade and Cascade has declined to provide details on their sampling methodology. (Tabs 30 and 31).

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(c) WWTP employees are responsible for testing sludge at the beginning, middle and end of a normal sludge bed pour. (Tabs 4, 5, 6, 7, 8, and 9). A sludge bed pour resulting from repairs to the digesters is not considered to be a normal sludge bed pour.

(d) All of the WWTP employees were interviewed. None of the interviewed employees stated that they attempted to take samples and were denied the opportunity. (b)(6) stated that the proper tests were not conducted but she did not state that she was prevented from taking samples. (Tabs 4, 5, 6, 7, 8, and 9).

(2) FINDINGS.

(a) Although WWTP employees did not sample the sludge handled by Cascade/Alkai, I found no indication that WWTP employees were prevented from doing so.

(b) Making a distinction between sampling standards for normal sludge bed pours and sludge bed pours resulting from contract repair work is unnecessary and confusing.

(3) RECOMMENDATIONS. Direct DPW to implement a single testing standard for all sludge bed pours.

d. SUB-ISSUE – Safety violations in connection with repairs to a swing arm on the floating lid of Digester No. 3.

(1) FACTS.

(a) In the Spring of 2006, (b)(6) made repairs to the swing arm of the floating lid of digester number three. (b)(6) (b) made those repairs with (b)(6) (b)(6) and (b)(6) (Tab 23).

(b) (b)(6) contacted the Installation Safety Office (ISO) to report a safety violation related to the repairs. (b)(6), Safety and Health Specialist with the ISO, conducted a site visit. Although a safety investigation report was not generated at the time (b)(6) generated a Memorandum for Record (MFR) (Tab 17) at the direction of (b)(6), Chief ISO.

(c) The MFR specified that safety hazards were present. It stated that the supervisor (b)(6) “did not report to the Operator on duty as per their SOP, the supervisor was not qualified to make repairs, he was not using non-sparking tools, and he needed to have a crane to remove the broken part, as it was on a building roof and would be dangerous to carry down the stairs.”

(d) Neither (b)(6) (Tab 16) nor (b)(6) (Tab 23) believed the

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manner in which they conducted the repairs was unsafe.

(2) FINDINGS. (b)(6) failed to follow proper safety procedures when he undertook repairs to the swing arm on the floating lid of digester number three. Specifically, he failed to follow the WWTP SOP and check in with the plant operator prior to making any repairs, he failed to use non-sparking tools while working in an area where gas could be present, and he failed to use a lift or crane to move the broken standpipe as is required for heavy and awkward items.

(3) RECOMMENDATIONS.

(a) Direct DPW to retrain all WWTP, WTP and Outside Water and Sewer personnel on proper safety procedures for repair work at the WWTP.

(b) Recommend the appointing official determine whether formal disciplinary action is warranted for (b)(6) based on his disregard for the safety, health and welfare of his subordinate employees.

e. SUB-ISSUE – Failure to properly document sewage backups on or about 3 January 2007.

(1) FACTS.

(a) All current employees of the WWTP, WTP and Outside Water and Sewer were interviewed. None could agree on what procedures, if any, should be used to document sewage backups. (Tabs 4, 5, 6, 7, 8, 9, 21, 22, 23, 24, 25, 26, 27 and 28).

(b) On 3 January 2007 there was a sewage backup at the Eagle View 1, Eagle View 2 and Murray Creek lift stations as a direct result of an area wide power outage caused by a wind storm. The lift stations did not have backup generator power, so when the power went out the lift stations failed. The sewage backed up and there was spillage into American Lake. (Tab 21).

(c) The National Pollutant Discharge Elimination System (NPDES) Permit Number WA-002195-4 effective 1 February 2004 through 1 February 2009, is the permit under which the WWTP operates. The NPDES permit requires that the permittee (Fort Lewis) report occurrences of noncompliance to the United States Environmental Protection Agency, Region 10, by telephone within 24 hours from the time the permittee becomes aware of the circumstances. Specifically, "any overflow prior to the treatment works, whether or not such overflow endangers health or the environment or exceeds any effluent limitation in the permit." (Tab 11).

(d) I was unable to confirm whether or not the sewage backup on 3 January 2007 was telephonically reported to the United States Environmental Protection Agency, Region 10, within 24 hours.

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(2) FINDINGS. None. I could find no requirement to document sewage backups in writing. The only requirement was to notify the United States Environmental Protection Agency, Region 10, by telephone within 24 hours from the time the permittee becomes aware of the circumstances of the non-compliance.

(3) RECOMMENDATIONS. Although outside the scope of this investigation, it may be advisable to explore backup power solutions for lift stations so that future power outages do not lead to sewage back ups.

f. SUB-ISSUE - Improperly leaving the WWTP unattended.

(1) FACTS.

(a) The NDPEs permit does not require the WWTP to be attended 24/7. (Tab 11).

(b) WWTP employees universally believe there is a requirement to man the WWTP 24/7. (Tabs 4, 5, 6, 7, 8 and 9).

(c) The WWTP is left unattended when there is a single employee on shift and he/she is called out to deal with a lift station alarm. (Tabs 4, 5, 6, 7, 8 and 9).

(2) FINDINGS. There is no written requirement which specifies the WWTP must be attended 24/7.

(3) RECOMMENDATIONS. Direct DPW to determine if a 24/7 manning requirement is prudent or necessary to effectively and efficiently execute WWTP operations. If prudent or necessary, DPW should modify the WWTP SOP to specify the 24/7 manning requirement and adjust manpower and lift repair call procedures accordingly.

g. Use of improper procedures to treat water at Donovan Reservoir.

(1) FACTS.

(a) When the service life of the lining for Donovan Reservoir ended, an individual job order contract was executed to replace the lining of Donovan Reservoir. The contract was awarded to Centennial contractors. (Tabs 30 and 31).

(b) After starting the removal process of the existing lining, Centennial contractors discovered the presence of poly chlorinated biphenyls (PCB's) in the sealant used to affix the existing lining. (Tabs 30 and 31).

(c) Once (b)(6) was notified by Centennial contractors of the presence of PCB's in the waste products from the lining removal and

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replacement project (b)(6) ordered tests to determine if PCB's were released into the drinking water supply. The tests were conducted and did not reveal the presence of PCB's. Archived tests results are maintained by (b)(6) (Tab 31).

(d) Centennial contractors released PCB contaminated material chunks onto the surface ground immediately surrounding Donovan Reservoir. Centennial contractors released PCB contaminated particles into the atmosphere. (Tabs 30 and 31).

(e) (b)(6) and (b)(6) provided advice to Centennial contractors on the industry standards for proper waste management and removal of PCB contaminated materials. (Tabs 30 and 31).

(f) Centennial contractors is responsible for brining the work site back to its original condition. Once Centennial contractors completes their work, DPW personnel will verify site cleanliness through testing. (Tabs 30 and 31).

## (2) FINDINGS.

(a) Centennial contractors released PCB's into the atmosphere and onto the surface ground when they removed the existing lining of Donovan Reservoir. PCB's were not released into the drinking water supply. (Tabs 30 and 31).

(b) As a direct result of a lack of sufficient manpower, there is an oversight disconnect between contracted projects and the Environment and Engineering Division of DPW. The Environment and Engineering Division does not conduct routine oversight of contracted projects but rather defers to the contractor for environmental compliance issues. This oversight disconnect results in confusion as to what standards must be followed on contracted projects.

## (3) RECOMMENDATIONS.

(a) Once Centennial contractors completes their work on the Donovan Reservoir site, conduct thorough testing to ensure site cleanliness.

(b) Direct DPW to work with Army Corps of Engineers to develop and execute a collaborative oversight and quality assurance/quality control program administered by government employees for all individual job order contracts which are assessed as having the potential to negatively impact the environment.

h. Failure of PW management to make regular site visits to the WWTP and WTP.

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(1) FACTS.

(a) According to employees, DPW managers, (b)(6) and (b)(6), rarely visited the WWTP and WTP. Some employees have never met anyone in DPW management (Tab 21). (b)(6) went so far as to say, "That's a joke. No one comes out here. We never see them." (Tab 22). (b)(6) commented that, "I don't even think they know where our shop is." (Tab 26).

(b) (b)(6) and (b)(6) both indicated that they have sporadically visited employees at the WWTP and WTP when responding to specific issues. They typically visited during day shift hours and therefore employees working swing and night shifts may not have seen (b)(6) and (b)(6) during their visits. (Tabs 15 and 32).

(c) There is no written requirement which specifies how frequently DPW managers should visit their geographically separated work sites.

(2) FINDINGS. Although some employees are content with the frequency of visits from DPW managers, most expressed a desire to have their second (b)(6) and third line (b)(6) supervisors visit their work sites at least twice a year. This is a reasonable request of senior managers and can be used as an opportunity to improve communication between DPW management and employees.

(3) RECOMMENDATIONS. Direct DPW managers to conduct a minimum of two site visits per year to each of their geographically separated work sites. Ensure at least one site visit a year is during swing shift or night shift hours.

i. Improper budgeting causing a shortage of repair parts and equipment at the WWTP and WTP.

(1) FACTS.

(a) According to (b)(6), DPW managers and supervisors do not receive an annual funding distribution letter to manage and execute. (Tab 12). When managers and supervisors require non-pay funding, they:

1. Use the Government Purchase Credit Card (GPCC) if the request is for supplies or parts and the total cost is under two thousand five hundred dollars
2. Submit a service order request if the request is for service and the total cost is under two thousand dollars or under forty man hours
3. Submit an individual job order contract if the request is for service or repair and the total cost is over two thousand dollars or over forty man hours

(b) According to (b)(6), Director, Directorate of



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Resource Management (DRM), no requests for repair parts for the WWTP were denied in FY 2006 or FY 2007 due to lack of funds. (Tab 14).

(c) When an employee identifies a requirement to order a repair part or a piece of equipment, he/she fills out an exhibit 6 and turns it in to (b)(6). (b)(6) does not notify the requesting employee of the disposition of the exhibit 6 request. When the request is denied by (b)(6), he does not notify the requesting employee. When the request is delayed due to funding availability, (b)(6) does not notify the requesting employee. (Tabs 4, 5, 6, 7, 8 9, 21, 22, 23, 24, 25, 26, 27 and 28).

(d) Although most employees claim there was and is a shortage of repair parts, none could point to a specific example of a request for a repair part which was denied. Most employees stated that their requests for repair parts are simply ignored or not actioned by (b)(6). There was and is no formal mechanism by which (b)(6) notifies employees of the status of their requests for repair parts or equipment. (Tabs 4, 5, 6, 7, 8 9, 21, 22, 23, 24, 25, 26, 27 and 28).

(e) (b)(6) is the GPCC holder for the WWTP. (b)(6) (b)(6), Boiler Plant, is the approving official for (b)(6) GPCC account. He took over as the approving official for (b)(6) account when (b)(6) left. (b)(6) should have taken over as the approving official once he was hired to fill the supervisor position vacated by (b)(6). As the supervisor of the WWTP, WTP and Outside Water and Sewer (b)(6) should be the approving official for the GPCC account. (b)(6) is not the approving official because he has not completed the required GPCC approving official training despite being in the supervisor position since 4 September 2005. (Tab 12).

(f) On 9 February 2007 (b)(6) purchased a Samsung High-Design 40 inch Flat-Panel LCD HDTV and stand from Sears. The exhibit 6 was signed by the approving official (b)(6) on 3 February 2007. (b)(6) justification for the purchase of the Samsung High-Design 40 inch Flat-Panel LCD HDTV was to provide employees with on-site video training on: Confided spaces, deadly places; Confided spaces, survival by permit; No injury, no accident?; Pole top and bucket truck safety; Lockout-tagout procedures. Since its purchase, the Samsung High-Design 40 inch Flat-Panel LCD HDTV has been locked in (b)(6) private office at the WTP. The training videos and supporting materials have not been made available to the employees. (Tab 12M).

## (2) FINDINGS.

(a) Employees who request repair parts or equipment are not kept informed by their supervisor, (b)(6), of the status of their request. This failure to communicate in kind with employees who are required to make written requests leads to the perception that funds are being mismanaged.

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(b) (b)(6) is not executing appropriate supervisory oversight of (b)(6) GPCC account. (b)(6) should be the approving official for (b)(6)'s GPCC account and should ensure appropriate GPCC account documents are maintained.

(c) (b)(6)'s purchase of the Samsung High-Design 40 inch Flat-Panel LCD HDTV from Sears constitutes misuse and abuse of the GPCC. Purchase should have been executed with a mandatory source or under a blanket purchase agreement through DoD Email. Sears is neither a mandatory source nor part of the blanket purchase agreement. (b)(6) misrepresented the intended use of the television. If the true intent was to make training materials available to employees located at three geographically separated work site locations, then he could easily have purchased three smaller televisions and three sets of training materials so that employees at each work site had ready access. Instead (b)(6) purchased a single television and located it inside his locked office so that employees could not access it in his absence. Furthermore, (b)(6) has yet to make the training materials available to employees.

### (3) RECOMMENDATIONS.

(a) Direct DPW to have supervisors and managers implement a work group process or procedure that keeps requesting employees informed as to the status of their requests for repair parts or equipment.

(b) Direct Internal Review conducts a 100% audit of GPCC records for (b)(6) GPCC for FY2006 and FY2007.

(c) Remove the television and training materials from (b)(6) office and relocate the television and training materials to an area that is accessible to employees.

(d) Direc (b)(6) be retrained on GPCC holder responsibilities through attendance at the Department of Contracting (DOC) sponsored GPCC holder class.

(e) Recommend the appointing official determine whether formal disciplinary action is warranted for (b)(6) in accordance with USD Memorandum, Subject: Government Charge Card Disciplinary Guide for Civilian Employees dated 29 December 2003.

j. Failure to correct deficiencies at the portable latrine dumping site at North Fort.

### (1) FACTS.

(a) The portable latrine dumping site was originally located on the grounds of the WWTP. The site was determined to be unusable for portable latrine

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dumping as a result of engineering concerns which threatened the safe operation of the WWTP. Specifically, Soldiers were dumping live rounds into the portable latrines and when the portable latrines were subsequently dumped at the WWTP site the live rounds would damage the WWTP pumps. (Tab 16).

(b) The portable latrine dumping site was moved to a manhole feed in front of the Outside Water and Sewer Building 7913. The port-a-potty trucks currently dump directly into this manhole. During dumping operations, there is occasionally spillage on the asphalt surrounding the manhole. The WA State Department of Ecology directed a concrete containment be built to appropriately manage and mitigate sewage spillage. A temporary solution of surrounding the manhole with sandbags was implemented; however, this solution was not accepted by the WA State Department of Ecology because sewage spillage onto the sandbags could not be effectively cleaned. (Tab 21).

(c) A new portable latrine dumping site located at I Street is under construction to meet the requirement to have a concrete containment for sewage spills. Until the site is completed, dumping operations will continue in front of the Outside Water and Sewer Building 7913. (Tabs 21 and 26).

(d) The new portable latrine dumping site located at I Street was identified over two years ago and is still not completed. (Tabs 21 and 26).

(2) FINDINGS. None.

(3) RECOMMENDATIONS. Direct DPW to complete construction of the new portable latrine dumping site by the end of FY2007.

3. During the course of my investigation, several matters arose which were outside the scope of the investigation but warrant documentation.

a. Several employees of the WWTP and the WTP alleged that unspecified individuals may be stealing government tools from work sites. A criminal inquiry into this matter may be warranted.

b. Through observations, discussions with employees, supervisors and managers, and review of WWTP log entries, I believe that some WWTP employees are not performing their jobs in accordance with their position descriptions and that some WWTP employees are failing to meet minimum performance standards. A management review of position descriptions, employee performance standards and actual employee performance may be warranted.

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4. Point of contact is the undersigned at (253) 967-0458 or [greta.powell@us.army.mil](mailto:greta.powell@us.army.mil).



GRETA M. POWELL  
Chief, Fort Lewis Installation  
Security Office

BOOK 3 OF 3

CD- EXH 10

TAB 5

DA FORM 1574

IF MORE SPACE IS REQUIRED IN FILLING OUT ANY PORTION OF THIS FORM, ATTACH ADDITIONAL SHEETS

SECTION I - APPOINTMENT

Appointed by COL Cynthia A. Murphy, Garrison Commander  
(Appointing authority)

on 17 April 2007 (Date) (Attach inclosure 1: Letter of appointment or summary of oral appointment data.) (See para 3-15, AR 15-6.)

SECTION II - SESSIONS

The (investigation) (board) commenced at Fort Lewis, WA at 0900 hours  
(Place) (Time)

on 18 April 2007 (Date) (If a formal board met for more than one session, check here . Indicate in an inclosure the time each session began and ended, the place, persons present and absent, and explanation of absences, if any.) The following persons (members, respondents, counsel) were present: (After each name, indicate capacity, e.g., President, Recorder, Member, Legal Advisor.)

The following persons (members, respondents, counsel) were absent: (Include brief explanation of each absence.) (See paras 5-2 and 5-8a, AR 15-6.)

The (investigating officer) (board) finished gathering/hearing evidence at 1500 hours on 6 June 2007  
(Time) (Date)  
and completed findings and recommendations at 1000 hours on 7 June 2007  
(Time) (Date)

SECTION III - CHECKLIST FOR PROCEEDINGS

A. COMPLETE IN ALL CASES		YES	NO <sup>1)</sup>	NA <sup>2)</sup>
1	Inclosures (para 3-15, AR 15-6) Are the following inclosed and numbered consecutively with Roman numerals: (Attached in order listed)			
	a. The letter of appointment or a summary of oral appointment data?	X		
	b. Copy of notice to respondent, if any? (See item 9, below)			
	c. Other correspondence with respondent or counsel, if any?	X		
	d. All other written communications to or from the appointing authority?			X
	e. Privacy Act Statements (Certificate, if statement provided orally)?			X
	f. Explanation by the investigating officer or board of any unusual delays, difficulties, irregularities, or other problems encountered (e.g., absence of material witnesses)?			X
	g. Information as to sessions of a formal board not included on page 1 of this report?			X
	h. Any other significant papers (other than evidence) relating to administrative aspects of the investigation or board?			X

JOINTNOTES: <sup>1)</sup> Explain all negative answers on an attached sheet.  
<sup>2)</sup> Use of the N/A column constitutes a positive representation that the circumstances described in the question did not occur in this investigation or board.

a.	Are all items offered (whether or not received) or considered as evidence individually numbered or lettered as exhibits and attached to this report?	X		
b.	Is an index of all exhibits offered to or considered by investigating officer or board attached before the first exhibit?	X		
c.	Has the testimony/statement of each witness been recorded verbatim or been reduced to written form and attached as an exhibit?	X		
d.	Are copies, descriptions, or depictions (if substituted for real or documentary evidence) properly authenticated and is the location of the original evidence indicated?	X		
e.	Are descriptions or diagrams included of locations visited by the investigating officer or board (para 3-6b, AR 15-6)?	X		
f.	Is each written stipulation attached as an exhibit and is each oral stipulation either reduced to writing and made an exhibit or recorded in a verbatim record?	X		
g.	If official notice of any matter was taken over the objection of a respondent or counsel, is a statement of the matter of which official notice was taken attached as an exhibit (para 3-16d, AR 15-6)?			X
3	Was a quorum present when the board voted on findings and recommendations (paras 4-1 and 5-2b, AR 15-6)?			X
<b>B. COMPLETE ONLY FOR FORMAL BOARD PROCEEDINGS (Chapter 5, AR 15-6)</b>				
4	At the initial session, did the recorder read, or determine that all participants had read, the letter of appointment (para 5-3b, AR 15-6)?			
5	Was a quorum present at every session of the board (para 5-2b, AR 15-6)?			
6	Was each absence of any member properly excused (para 5-2a, AR 15-6)?			
7	Were members, witnesses, reporter, and interpreter sworn, if required (para 3-1, AR 15-6)?			
8	If any members who voted on findings or recommendations were not present when the board received some evidence, does the inclosure describe how they familiarized themselves with that evidence (para 5-2d, AR 15-6)?			
<b>C. COMPLETE ONLY IF RESPONDENT WAS DESIGNATED (Section II, Chapter 5, AR 15-6)</b>				
9	Notice to respondents (para 5-5, AR 15-6):			
a.	Is the method and date of delivery to the respondent indicated on each letter of notification?			
b.	Was the date of delivery at least five working days prior to the first session of the board?			
c.	Does each letter of notification indicate --			
(1)	the date, hour, and place of the first session of the board concerning that respondent?			
(2)	the matter to be investigated, including specific allegations against the respondent, if any?			
(3)	the respondent's rights with regard to counsel?			
(4)	the name and address of each witness expected to be called by the recorder?			
(5)	the respondent's rights to be present, present evidence, and call witnesses?			
d.	Was the respondent provided a copy of all unclassified documents in the case file?			
e.	If there were relevant classified materials, were the respondent and his counsel given access and an opportunity to examine them?			
If any respondent was designated after the proceedings began (or otherwise was absent during part of the proceedings):				
a.	Was he properly notified (para 5-5, AR 15-6)?			
b.	Was record of proceedings and evidence received in his absence made available for examination by him and his counsel (para 5-4c, AR 15-6)?			
11	Counsel (para 5-6, AR 15-6):			
a.	Was each respondent represented by counsel?			
Name and business address of counsel:				
(If counsel is a lawyer, check here <input type="checkbox"/> )				
b.	Was respondent's counsel present at all open sessions of the board relating to that respondent?			
c.	If military counsel was requested but not made available, is a copy (or, if oral, a summary) of the request and the action taken on it included in the report (para 5-6b, AR 15-6)?			
12	If the respondent challenged the legal advisor or any voting member for lack of impartiality (para 5-7, AR 15-6):			
a.	Was the challenge properly denied and by the appropriate officer?			
b.	Did each member successfully challenged cease to participate in the proceedings?			
13	Was the respondent given an opportunity to (para 5-8a, AR 15-6):			
a.	Be present with his counsel at all open sessions of the board which deal with any matter which concerns that respondent?			
b.	Examine and object to the introduction of real and documentary evidence, including written statements?			
c.	Object to the testimony of witnesses and cross-examine witnesses other than his own?			
d.	Call witnesses and otherwise introduce evidence?			
e.	Testify as a witness?			
f.	Make or have his counsel make a final statement or argument (para 5-9, AR 15-6)?			
14	If requested, did the recorder assist the respondent in obtaining evidence in possession of the Government and in arranging for the presence of witnesses (para 5-8b, AR 15-6)?			
15	Are all of the respondent's requests and objections which were denied indicated in the report of proceedings or in an inclosure or exhibit to it (para 5-11, AR 15-6)?			

**NOTES:** 1) Explain all negative answers on an attached sheet.  
2) Use of the N/A column constitutes a positive representation that the circumstances described in the question did not occur in this investigation or board.

The *(investigating officer) (board)*, having carefully considered the evidence, finds:  
See attached Memorandum for Garrison Commander, Subject: AR 15-6 Investigation Concerning Hiring Actions Taken in Reference to Army Vacancy WTEU5004308 for Utility Systems Repairer-Operator Supervisor, WS-4742-10 and Specific Management Practices at the Fort Lewis Wastewater (WWTP) and Water Treatment Plants (WTP) dated 7 June 2007.

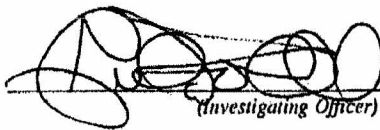
**SECTION V - RECOMMENDATIONS** *(para 3-11, AR 15-6)*

In view of the above findings, the *(investigating officer) (board)* recommends:  
See attached Memorandum for Garrison Commander, Subject: AR 15-6 Investigation Concerning Hiring Actions Taken in Reference to Army Vacancy WTEU5004308 for Utility Systems Repairer-Operator Supervisor, WS-4742-10 and Specific Management Practices at the Fort Lewis Wastewater (WWTP) and Water Treatment Plants (WTP) dated 7 June 2007.



THIS REPORT OF PROCEEDINGS IS COMPLETE AND ACCURATE. (If any voting member or the recorder fails to sign here or in Section VII below, indicate the reason in the space where his signature should appear.)

\_\_\_\_\_  
(Recorder)

  
(Investigating Officer) (President)

\_\_\_\_\_  
(Member)

\_\_\_\_\_  
(Member)

\_\_\_\_\_  
(Member)

\_\_\_\_\_  
(Member)

**SECTION VII - MINORITY REPORT** (para 3-13, AR 15-6)

To the extent indicated in Inclosure \_\_\_\_\_, the undersigned do(es) not concur in the findings and recommendations of the board. (In the inclosure, identify by number each finding and/or recommendation in which the dissenting member(s) do(es) not concur. State the reasons for disagreement. Additional/substitute findings and/or recommendations may be included in the inclosure.)

\_\_\_\_\_  
(Member)

\_\_\_\_\_  
(Member)

**SECTION VIII - ACTION BY APPOINTING AUTHORITY** (para 2-3, AR 15-6)

The findings and recommendations of the (investigating officer) (board) are (approved) (disapproved) (approved with following exceptions/substitutions). (If the appointing authority returns the proceedings to the investigating officer or board for further proceedings or corrective action, attach that correspondence (or a summary, if oral) as a numbered inclosure.)

\_\_\_\_\_

