



DEPARTMENT OF THE NAVY
COMMANDER, NAVY INSTALLATIONS COMMAND
2713 MITSCHER ROAD, SW
ANACOSTIA ANNEX, DC 20373-5802

CNICINST 5370.1
N00G

JAN 11 2007

CNIC INSTRUCTION 5370.1

From: Commander, Navy Installations Command

Subj: COMMANDER NAVY INSTALLATIONS COMMAND INSPECTOR GENERAL
(IG) HOTLINE PROGRAM

Ref: (a) CNICINST 3120.1
(b) SECNAVINST 5370.5B
(c) NAVINSGEN INVESTIGATIONS MANUAL
(d) U.S. Navy Regulations, 1990
(e) SECNAVINST 5430.92A
(f) SECNAVINST 5370.7C
(g) 18 U.S.C. 1001 (2003)
(h) Title 18, Chapter 47, United States Code
(i) CNICINST 5512.1

Encl: (1) Assignment, Training, and Certification

1. Purpose

a. To establish Commander Navy Installations Command (CNIC) policy, assign responsibilities, and outline procedures concerning the CNIC Inspector General (IG) Hotline Program, in accordance with reference (a).

b. To organize the CNIC IG Hotline Program and to clearly affirm CNIC's commitment to investigating Hotline complaints in an independent, professional, and timely manner in accordance with references (a) through (h).

2. Background

a. The CNIC IG Hotline Program is designed, consistent with Department of the Navy (DoN) and Department of Defense (DoD) Hotline programs, to strengthen and focus efforts to combat fraud, waste and mismanagement throughout CNIC by providing alternatives to the normal chain of command. The CNIC Hotline Program is available to all military personnel, DoD civilian employees, and members of the civilian community.

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b. Several channels exist for registering complaints, grievances and suspected mismanagement. When other channels are inappropriate, ineffective, or when threat of reprisal exists, personnel are encouraged to utilize the Hotline Program.

3. Policy

a. CNIC will effectively manage resources, enforce the highest ethical standards, exercise a fiduciary responsibility over taxpayers' dollars, and deter fraud, waste, and mismanagement. CNIC encourages identification and reporting of problems in these areas.

b. The CNIC Hotline Program is designed to ensure responsive and impartial investigation of complaints involving substantive allegations of fraud, waste, mismanagement, or regulatory violations. IG personnel will review all Hotline inquiries and results will be reported via the chain of command.

c. IG personnel will protect the confidentiality of the complainant, to the maximum extent possible, within the IG at all stages of the Hotline process. Exceptions include instances when the identification of the complainant is required by law or judicial order. Commanders, Commanding Officers, and supervisors responsible for enforcing accountability within their respective activities shall have access to IG reports and supporting documentation when the investigation is complete. Additionally, the release authority may redact portions of the requested report to protect the identity of the complainant.

d. Reference (b) describes procedures for DoN offices performing IG functions and provides basic requirements for investigators. In accordance with reference (b):

(1) Specific policies and procedures for assignment, training, and certification/credentialing of CNIC Investigators are detailed in enclosure (1).

(2) Unless specifically authorized by the CNIC IG, only certified CNIC Investigators are authorized to perform CNIC Hotline or other IG investigations. Certified Investigators shall be designated in writing through the issuance of credentials, reference (i) applies. A certified investigator is an individual who has been assigned, trained and certified by CNIC IG to conduct investigations and inquiries into allegations

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of wrongdoing, as described in reference (b). Each regional command will establish and maintain a Hotline to meet their respective needs and shall have at least one certified investigator.

e. References (d), (e) and (f) require military and civilian personnel to report suspected wrongdoing to their chain of command. This allows issues and concerns to be addressed and corrected at the lowest level possible. While the CNIC Hotline Program is not a substitute for the chain of command, it provides an alternative when a complainant reasonably fears reprisal and/or believes the chain of command has been unresponsive. The CNIC Hotline program provides an unbiased, impartial approach to address these issues and ensures that they are properly evaluated, investigated, and when necessary, corrected by appropriate responsible authorities.

4. Applicability. This instruction applies to all commands under the CNIC claimancy.

5. Responsibilities and Procedures

a. CNIC Inspector General (IG) will:

(1) Receive Hotline complaints from military personnel, DoD civilian employees and members of the civilian community.

(2) Ensure timely and impartial processing of all substantive Hotline allegations tasked both by the Navy Inspector General (NAVINSGEN) and received locally; ensure high quality and standards of independence, completeness, timeliness and accountability are met during the course of the investigation; and conduct all investigations in accordance with reference (c).

(3) Task Regional IGs with conducting inquiries and investigations, track the progress of investigations conducted at the regional level, and ensure corrective action is reported in a timely manner.

(4) Conduct all investigations of allegations involving any GS-15/CMC/O-6 under CNIC, unless otherwise delegated. All investigations of Commanding Officers in the pay grade of O-6, as well as all other significant cases, shall have a legal review and an endorsement by a Flag Officer in the

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Commanding Officer's chain of command. Both the legal review memorandum and the Flag endorsement shall be forwarded to NAVINSGEN with the report of investigation. Cases of a significant nature are those resulting in disciplinary action, detachments for cause, substantial monetary loss or property damage.

(5) Within two (2) working days notify NAVINSGEN of any complaints involving any Senior Official; active duty, retired, or reserve military officers in, or selected for, grades O-7 and above; current or former civilians in the Senior Executive Service (SES).

(6) Notify NAVINSGEN of any Military Whistleblower complaints and provide a copy of the complaint within ten (10) working days of receipt.

(7) Report the progress of investigations to NAVINSGEN in accordance with reference (c).

(8) Notify NAVINSGEN of any circumstances or issues impacting the ability to properly meet standards of independence, completeness, timeliness and accountability.

(9) Forward completed reports of investigation, including recommendations for corrective actions and resolution, to the appropriate responsible reviewing authorities for corrective action. Instances of significant non-concurrence or lack of progress on corrective actions will be referred by the CNIC IG to higher authority for action and resolution.

(10) Consult with CNIC Staff Judge Advocate (SJA) and Office of General Counsel (OGC), and other CNIC subject matter experts as appropriate.

(11) Request assistance from other DoN activities, including, but not limited to, Navy Criminal Investigative Service (NCIS), NAVINSGEN, and Naval Audit Service (NAVAUDSVC) as necessary for the timely and thorough resolution of Hotline cases.

(12) Implement a quality assurance program by providing oversight, reviewing completion reports and ensuring investigations are conducted in a thorough and timely manner in accordance with the requirements of reference (c).

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(13) Review and analyze the nature of allegations and results of investigations across Navy Regions in order to identify trends and systemic issues.

(14) Manage and administer CNIC IG program resources, including annual training and certification requirements for all IG personnel at all CNIC Echelons, as necessary to properly implement the CNIC Hotline Program as detailed in enclosure (1).

b. Regional Inspectors General will:

(1) Accept Hotline complaints from military personnel, DoD civilian employees and members of the civilian community. If after determining that a Hotline complaint is not applicable, Regional IGs will refer Hotline complaints to the appropriate Inspector General as soon as possible.

(2) Ensure timely and impartial processing of all substantive Hotline allegations both tasked by CNIC IG and received locally.

(3) Within two (2) working days, advise CNIC IG of all substantive Hotline complaints received, to include complaints of Military Whistleblower Reprisal, improper referrals for mental health evaluations, and complaints involving allegations of wrongdoing by O-6/CMC/GS-15 and above.

(4) Provide status reports and progress on completed reports of investigation as directed by CNIC IG.

(5) Notify CNIC IG of any circumstances or issues impacting ability to properly meet standards of independence, completeness, timeliness and accountability.

(6) Forward completed reports of investigation, including recommendations, to appropriate responsible reviewing authorities for corrective action.

(7) Consult with Regional Staff Judge Advocate (SJA) and Office of General Counsel (OGC) as appropriate.

(8) Implement a quality assurance program by providing oversight, reviewing completion reports and ensuring investigations are conducted in a thorough and timely manner in accordance with the requirements of reference (c).

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(9) Review and analyze the nature of allegations and results of investigations in order to identify trends and systemic issues.

(10) Ensure investigators are trained and certified in accordance with enclosure (1).

c. Regional Commanders/CNIC Headquarters Program Directors

(1) Regional Commanders and CNIC HQ Program Directors are required to provide the widest dissemination regarding the availability of the Hotline program to personnel. To assist in this effort, posters are available from CNIC IG. CNIC programs and commands shall post and distribute to all personnel the appropriate Hotline telephone numbers and email addresses as published on the NAVINSGEN website, www.ig.navy.mil.

(2) Regional Commanders and CNIC HQ Program Directors are responsible for enforcing accountability and for ensuring appropriate corrective action is implemented in a timely manner in response to IG investigations. Legal counsel should be consulted to ensure that any proposed remedial, disciplinary, or administrative corrective actions resulting from IG investigations are proper and lawful. Where allegations are substantiated, Hotline completion reports will remain open until appropriate corrective action is taken, documented, and reported to the IG by responsible management authorities.

d. Personnel. All U.S. military personnel and DoD civilian employees assigned to military establishments under CNIC are responsible for reporting suspected improprieties and illegal activity as required by references (d) and (e). To be effective, this program requires all personnel to be vigilant against the possibility of illegal or improper acts, and to report to the chain of command, or an IG, any improprieties in this regard. Unless the complainant requests to remain anonymous or the complaint is anonymous, personnel making Hotline complaints should provide accurate information and be encouraged to give a contact number where they can be reached. These reports shall be based on the complainant's "good faith" belief that the information is true. The use of the Hotline program to file knowingly false complaints is a violation of references (g) and (h). Those suspected of willfully and knowingly filing false complaints may be subject to administrative or disciplinary action.

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7. Other Avenues for Complaint Resolution

a. The IG is not a substitute for the chain of command. It is the policy of CNIC IG to encourage resolution of complaints at the lowest possible level. The chain of command should always be given the opportunity to resolve complaints and issues.

b. Numerous other investigative organizations exist and are designed to address certain kinds of complaints including, but not limited to, Equal Employment Opportunity, Office of Special Counsel, and Human Resources.

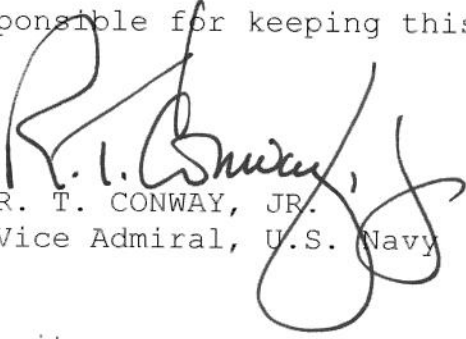
c. Complainants are encouraged to visit the NAVINSGEN website at www.ig.navy.mil to obtain detailed guidance, review the four step procedure for filing a complaint with the IG, and determine the most appropriate channel for reporting their specific issues.

d. CNIC IG will not accept complaints that are more appropriately handled by another organization unless the system has previously failed or has been unresponsive.

8. Action. Program Directors under CNIC disseminate the information provided in this instruction throughout areas under their purview, maintain and demonstrate a supportive attitude toward the Hotline Program, and assist and cooperate during IG investigations.

9. Effective Date. This instruction is effective upon receipt.

10. Responsibility. CNIC IG is responsible for keeping this document current.



R. T. CONWAY, JR.
Vice Admiral, U.S. Navy

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ASSIGNMENT, TRAINING, AND CERTIFICATION OF
COMMANDER, NAVY INSTALLATION COMMAND INSPECTOR GENERAL
INVESTIGATORS

1. Background. The Inspector General (IG) function is a special assistant staff function to the Commander. The function was established to benefit the Command by fostering independence, integrity and efficiencies. Assignment, training, and certification of CNIC IG investigators shall be consistent with the principles and guidance provided in SECNAVINST 5370.5B and the President's Council on Integrity and Efficiency/ Executive Council on Integrity and Efficiency (PCIE/ECIE) Quality Standards for Investigators (Dec 03), and as described herein.

2. Selection and Assignment

a. In order to ensure only qualified individuals occupy CNIC Inspector General investigator positions, selection requires specific nomination by the respective Echelon III regional command, endorsement by the CNIC IG, and receipt of an official letter of assignment signed by the individual's Regional Commander. Authorization to actually conduct investigations is conferred by credential or by a Letter of Authority (LOA) as described in paragraph 4.c of this enclosure. Echelon III IGs are appointed with the concurrence of the NAVINSGEN.

b. Investigating Officials (IO's) should not be assigned to a position in which a conflict of interest could occur. In addition to investigations and management of the Hotline Program, the mission and functions of CNIC Inspector General Office also includes command/program evaluation, internal oversight, inspections, external audit liaison, and coordination of the manager's internal control program. These functions all require an element of independence and should not innately create a conflict of interest with the investigative role. In any instances in which a real or perceived conflict of interest may exist, CNIC investigating officials must refer the specific complaint or investigation to the CNIC IG or NAVINSGEN for action.

c. The CNIC IO must possess and maintain the highest standards of conduct and ethics, and be of unquestionable character, honesty, and integrity. The CNIC investigator should

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be a person of proven competence, (i.e., able to investigate complex issues and write detailed reports with catalogued supporting documentation). The preferred series for a CNIC investigator is GS-1801 or GS-1810, and for Inspectors General GS-1801, GS-1810, GS-343 or GS-301.

3. Training.

a. Training requirements will be administered, offered, provided, developed and maintained by the CNIC IG to meet this prescribed instruction. SECNAVINST requires that any uncertified investigator be approved by the NAVINSGEN. All personnel within the IG offices that have investigative duties shall be certified.

b. For initial certification, the minimum requirements include completion of the Basic IG On-Line Training and the NAVINSGEN Hotline Investigations Course. Newly hired IG personnel shall complete the minimum training course within six months of assignment. When annual training requirements are not completed, certification may be revoked until compliance is achieved or CNIC will grant a waiver on a case by case basis. To maintain certification, investigators shall complete annual training requirements.

1) Each investigator with less than two (2) years experience must complete 24 hours of training and lead one (1) investigation and assist with one (1) investigation in each calendar year.

2) Each investigator with more than two (2) years experience must complete 12 hours of training and lead one (1) investigation and assist with one (1) in each calendar year.

c. CNIC IG investigating officials must complete the NAVINSGEN Inspector General Course every three years as a "refresher".

d. The CNIC IG will also conduct periodic training seminars for investigating officials.

4. Certification

a. Fully qualified CNIC investigators shall operate by authority of credentials issued by CNIC via the CNIC IG. CNIC investigators shall be designated in writing through the

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issuance of credentials. CNICINST 5512.1 provides the procedures for the issuance, control and use of the CNIC badges and credentials. Badges and credentials are attained by completion of initial training and recommendation by the CNIC IG. This recommendation is based on additional training received, education, qualifications, and experienced gained during actual investigations. Credentialing does not require renewal; however, if an investigator fails to maintain the prescribed training and standards, credentials will be revoked until such time that standards are met or CNIC IG may grant a waiver on a case by case basis. During the course of an investigation, CNIC investigating officials are representing the CNIC and NAVINSGEN. Therefore, based on performance or conduct related to investigative duties the CNIC IG also retains the authority to either temporarily or permanently revoke the credentials of any CNIC investigating official. CNIC IG investigating officials are expected to maintain proficiency and to continue developing skills through training and mentoring within the Navy IG Network as described in reference (b).

b. Before credentialing, in order to begin or continue to conduct investigations, the CNIC IO must hold a LOA from the CNIC IG. Assigned CNIC IO's will receive an LOA provided they have successfully completed the NAVINSGEN Hotline course. Receipt of credentials supersedes the LOA.

c. The CNIC IG may also provide one-time certification for a specific investigation or time period. The certification is generally for situations where a non-credentialed individual who does not normally conduct investigations is assigned a specific investigative assignment. The issuance of a temporary certification, or LOA, signed by the CNIC IG will be made for the duration of the specific investigation.

d. CNIC IG will provide copies of approved Certification Forms to NAVINSGEN and notify NAVINSGEN when an investigator's certification is no longer valid.

e. The investigator's badge and credentials or LOA shall be carried at all times when an investigator is conducting an investigation.

f. Badges and credentials shall be issued to IG personnel that are U.S. citizens and are eligible or possess (at a minimum) a Secret security clearance.