

DEPARTMENT OF DEFENSE

**JOINT INSPECTOR GENERAL
ASSISTANCE GUIDE**



Rev. 1

Joint IG Assistance Guide

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Chapter 1

Overview

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Section 1.2 The Assistance Function

Section 1.3 Who May Submit a Complaint to a Joint IG

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Section 1.1

Introduction

1. **Purpose:** This guide outlines the recommended techniques, formats, and procedures for providing Joint IG Assistance.
2. **The Joint IG Assistance Function:** The purpose of Joint IG Assistance is to resolve issues for Soldiers, Sailors, Airmen, Marines, Coast Guard, and Civilians so the individual -- the complainant -- can focus on the assigned mission. Assistance can be an informal fact-finding process used to address or respond to a complaint involving a request for help, information, or issues but not allegations of impropriety or wrongdoing. To remedy a problem, Joint IGs may make phone calls; ask questions of functional experts; solicit helpful information from the appropriate organization or agency; or put the complainant in contact with the person, organization, or agency that can appropriately address the complainant's problem. Joint IGs may also take requests for assistance from other-than-Department of Defense civilians such as contractors, third-country nationals, etc. as long as the requests concern matters of United States interest.
3. **The Guide as a Handbook:** This guide is designed to serve as a ready reference and step-by-step handbook that will allow a Joint IG to provide assistance to complainants as part of the Joint IG Action Process (JIGAP). Many of the techniques and formats offered herein are not mandatory for use but instead offer all Joint IGs a common frame of reference and a generally approved way of executing IG assistance actions. Joint IGs must ensure that they remain cautious and use applicable Service standards whenever appropriate such as handling issues of family non-support by a Service member. This guide was designed to support and complement the Joint Inspector General Concept and System Guide.
4. **Format for Sample Memorandums:** This guide contains sample memorandums that adhere to the format requirements outlined in Joint Staff Manual (JSM) 5711.01D, Joint Staff Correspondence Preparation. However, in an effort to save space and paper, some of the required font sizes and spacing have been compressed. Refer to JSM 5711.01D for the precise format specifications.
5. **Questions and Comments:** For questions or comments concerning this guide, please contact the faculty at the DoD Joint Inspector General Course.

Section 1.2

The Assistance Function

1. **Purpose:** This section explains the Assistance function.
2. **Assistance Function:** Assistance is a multi-step process. It begins with receiving the complaint or a request for assistance followed by preliminary analysis to determine if the issue has merit and requires resolution, if the matter is appropriate for IG action, or if the Joint IG should refer the matter to the command or another agency.

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

The Assistance function is a major portion of the Joint IG's workload. It complements the Inspections and Investigations functions of the Joint IG system. For example, during an inspection the Joint IG may receive Joint Inspector General Action Requests (IGARs) with either issues and / or allegations following interviews and sensing sessions. Likewise, a simple request for assistance may require an inspection to resolve, especially in cases where a systemic problem is suspected. Some complaints may expand into an investigation depending on the situation. If the complaint involves an allegation of impropriety or wrongdoing, the Joint IG must address the allegation either using an IG investigative inquiry or investigation or refer the allegation for investigative inquiry or investigation to the local command or another appropriate command or agency. The process for conducting an IG investigation is contained in the Joint Inspector General Investigations Guide.

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

Section 1.3

Who May Submit a Complaint to a Joint IG

1. **Purpose:** This section explains who may submit a complaint to a Joint IG and lists and describes some of the many sources of Joint IG Action Requests (Joint IGARs).

2. **Who May Submit a Complaint to an Inspector General?** Anyone, regardless of status, may make a complaint, allegation, or request for information or assistance to any Joint Inspector General concerning matters of military interest. There are no pre-conditions for coming to the Joint IG for assistance. However, during normal duty hours, military and Department of Defense (DoD) personnel must inform the chain of command that they are leaving their place of duty. They cannot just walk off the job and fail to inform their supervisors where they are going. After duty hours, they may go to the Inspector General without notifying their supervisors.

The Joint IG will encourage the Military or civilian employee to discuss complaints, allegations, or requests for assistance first with the commander, chain of command, or supervisor. If the complainant does not wish to do so, the Joint IG will accept the Joint IGAR. If specific redress procedures are available, the Joint IG will teach and train the complainant on using the appropriate, formally established redress process and refer him or her to that process.

3. **Sources of Joint IG Action Requests (Joint IGARs):** Joint IGARs can come from anyone and anywhere. They come from walk-ins, call-ins, e-mail messages, write-ins, anonymously, or with Joint IGs hearing the Joint IGARs for themselves. The following are some examples of sources of Joint IGARs:

- a. Active, Reserve, and National Guard Service members (Example: Reserve members not getting the same treatment as an active counterpart when they access the service systems).
- b. Anonymous (Example: An unidentified person complains about a lack of command opportunities in a specific unit).
- c. Department of Defense civilians (Example: Pre-selection in hiring / promotions).
- d. Family members (Example: Family nonsupport issues).
- e. Retirees / Veterans (Example: Veteran administration (VA) benefits / medical problems).
- f. Commander (Example: Discussing a policy or consulting the Joint Inspector General).
- g. Other services (Example: Member of the Navy comes to an Army Joint Inspector General for Assistance).
- h. Civilians (non-DoD employees) (Example: Civilians complaining about a Soldier driving too fast or drinking while driving a government vehicle).
- i. Media (Example: Requesting that the Joint IG confirm or deny something).
- j. Contractors (Example: Contractors not meeting requirements or the Government exceeding the requirements of a contract).
- k. Third parties (Example: Parents complaining on behalf of a son or daughter).

l. Other Inspectors General (Example: Another Inspector General received the case by mistake, or a Marine is not in his or her command).

m. Congress (Example: A Sailor went to his or her Congressional Representative).

n. Local National / Foreign National / Third Country National (Example: Concerns about treatment by supervisor).

A Joint IG's responsibility is to receive the Joint IGAR and determine if it is appropriate for that Inspector General to work or refer to another agency. Because a Joint IG assists on an area basis, these Joint IGARs can come from anyone and anywhere. As long as the matter is service-related, the Joint IG will provide assistance by working the case or referring the issue to the appropriate agency for action.

Section 1.4

The Purpose and Use of TRICOM Form 1

1. **Purpose:** This section discusses the TRICOM Form 1, Joint Inspector General Action Request and will be referred to throughout this Guide and course for example purposes only. Check the local Joint IG office for the form used there.
2. **TRICOM Form 1:** The TRICOM Form 1 is used primarily to document the initial request for assistance by the complainant. Therefore, complete the TRICOM Form 1 in as much detail as possible for every request for Joint IG Assistance. A good rule of thumb is to complete this form with sufficient detail to allow another Joint IG without prior knowledge of the case to work the issue. The Joint IG will ensure that he or she gets a good phone number to contact the complainant and ask the complainant exactly what it is that he or she wants the Joint IG to do for him or her.

During the initial interview with the complainant, the Joint IG will advise the complainant of the Privacy Act Statement of 1974 on the TRICOM Form 1. The purpose of discussing the Privacy Act is to show that the Joint IG has the authority to request personal information and that the release of the complainant's social security number, home address, and home telephone number is voluntary. Also review the statement concerning presenting false information or allegations to a Joint IG at the bottom of the page with the complainant. The complainant completes the TRICOM Form 1 or the Joint IG can assist the complainant in completing the form.

3. **Other Uses:** The TRICOM Form 1 is also a good tool to document the Joint IG's workload by keeping track of how many cases the Joint IG has worked. The Joint IG can also identify possible trends and systemic issues by reviewing the most common topics for which complainants requested help. Trends are discussed more in Chapter Two of this guide.

Joint Inspector General Action Request THIS TRICOM FORM IS FOR INSTRUCTIONAL PURPOSES ONLY.		
AUTHORITY: PRINCIPAL PURPOSE: To secure sufficient information to inquire into the matters presented and to provide a response to the requestor(s) and / or take action to correct deficiencies. ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complainants or respond to requests for assistance, advice, or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Defense; and, in certain cases, in trial by courts-martial and other military matters as authorized by the Uniform Code of Military Justice. Department of Defense Blanket Routine Uses also apply. DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY, HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTOR, ACCOMPLISHMENT OF THE REQUESTED ACTION(S), AND RESPONSE TO THE REQUESTOR.		
NAME (Last, First, MI)	GRADE / RANK	SSN
STATUS (Check applicable fields) <input type="checkbox"/> MILITARY <input type="checkbox"/> CIVILIAN <input type="checkbox"/> Air Force <input type="checkbox"/> Army <input type="checkbox"/> Navy <input type="checkbox"/> Marine Corps <input type="checkbox"/> Coast Guard <input type="checkbox"/> Active <input type="checkbox"/> Reserve <input type="checkbox"/> National Guard <input type="checkbox"/> Other _____ <input type="checkbox"/> Appropriated Fund <input type="checkbox"/> Non-appropriated Fund <input type="checkbox"/> Contractor <input type="checkbox"/> Foreign or Local National <input type="checkbox"/> Other _____	UNIT OR ORGANIZATION / ADDRESS PREFERRED MAILING ADDRESS (If different from unit address)	
CONTACT PHONE NUMBER (Duty, Home, and / or Cell)	E-MAIL ADDRESS	
SPECIFIC ACTION REQUESTED (What do you want the IG to do for you?)		
INFORMATION PERTAINING TO THIS REQUEST (Background, documents, who else you have talked with about this matter, etc.)		
<input type="checkbox"/> I do <input type="checkbox"/> I do not consent to release my personal information inside official channels in order to resolve the matters listed above. I understand that if I do not agree to release my personal information, my request for assistance may go unresolved. Those who knowingly and intentionally provide false statements in this complaint are subject to potential punitive and administrative actions (UCMJ Art 107, 18 USC 1001).		
DATE	SIGNATURE	

TRICOM Form 1, JAN 2011 (Ver 1)

Figure 1.4.1
TRICOM Form 1

Section 1.5

Teach and Train

1. **Purpose:** This section explains the Joint IG's Teach and Train function.
2. **Teach and Train:** The Teach and Train function is incorporated into all aspects of a Joint IG's duties. When a Joint IG learns that personnel do not know regulatory requirements, the Joint IG explains the requirements and the reason these requirements were established. Additionally, Joint IGs pass on lessons learned and good ideas (or benchmarks) observed during the conduct of other Joint IG functions (Inspections, etc.).

The effectiveness of the Joint IG system is, to a great extent, a function of how receptive personnel are to Joint IGs. Therefore, Joint IGs must teach leaders and their personnel how Joint IGs contribute to mission accomplishment and search for opportunities to inform them of the Joint IG system's purpose, functions, methods, benefits, and constraints. The bottom line is that while inspecting, assisting, or investigating, Joint IGs contribute to improving the command by Teaching and Training others in policy and procedures.

Chapter 2

Seven-Step Joint IG Action Process (JIGAP)

Section 2.1 Joint IG Action Process Chart

Section 2.2 **Step One** - Receive the Joint IGAR

Section 2.2.1 Walk-In

Section 2.2.2 Call-In

Section 2.2.3 Write-In

Section 2.2.4 E-Mail

Section 2.2.5 Anonymous

Section 2.3 **Step Two** - Conduct Joint IG Preliminary Analysis

Section 2.3.1 Analyze for Issues and Allegations

Section 2.3.1.1 Issue

Section 2.3.1.2 Allegation

Section 2.3.1.3 Complaint

Section 2.3.2 Determine Joint IG Appropriateness

Section 2.3.3 Open a Case

Section 2.3.4 Acknowledge Receipt

Section 2.3.4.1 Acknowledge Receipt to a Complainant

Section 2.3.4.2 Acknowledge Receipt to a Third Party

Section 2.3.5 Select a Course of Action

Section 2.3.5.1 Assist a Complainant

Section 2.3.5.2 Investigate a Complaint

Section 2.3.5.3 Refer a Complaint

Section 2.3.5.4 Transfer a Complaint

Section 2.3.5.5 Dismiss a Complaint

Section 2.3.5.6 Inspect a Systemic Issue

Section 2.4 **Step Three** - Make Initial Notifications

Section 2.5 **Step Four** - Conduct Joint IG Fact-Finding

Section 2.5.1 Assistance Inquiry

Section 2.5.2 Investigative Inquiry and Investigation

Section 2.5.3 Refer

Section 2.5.4 Transfer

Section 2.5.5 Dismiss

Section 2.5.6 Inspections

Section 2.6 **Step Five** - Make Notification of Results

Section 2.6.1 Assistance Inquiry

Section 2.6.2 Investigative Inquiry and Investigation

Section 2.7 **Step Six** - Conduct Follow-up

- Section 2.8 **Step Seven** - Close the Joint IGAR
- Section 2.8.1 Send a Final Reply
- Section 2.8.2 Close a Joint-IGAR Case File
- Section 2.8.3 Make Appropriate Reports
- Section 2.8.4 Analyze for Developing Trends

Section 2.1

Joint IG Action Process Chart

1. **Purpose:** This section explains the Joint IG Action Process (JIGAP) Chart.

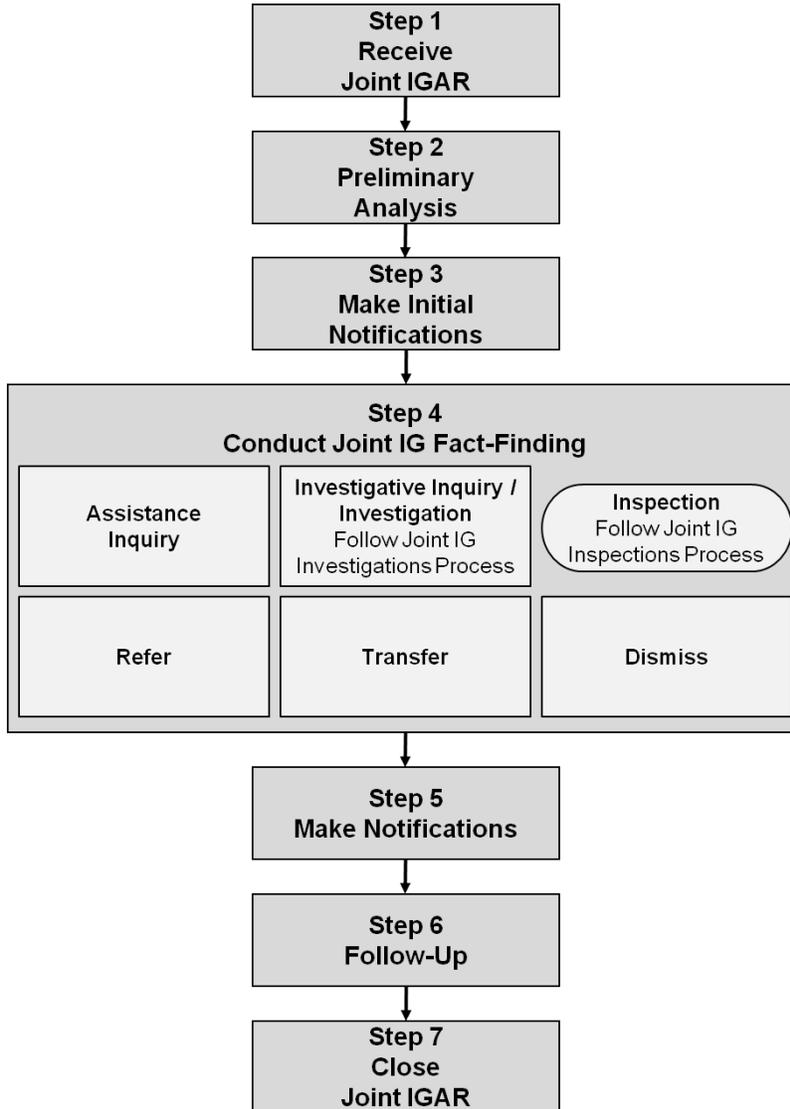


Figure 2.1.1
Joint IG Action Process Chart

2. **The Joint IG Action Process Chart:** This chart covers seven steps beginning with receiving the Joint IGAR in Step One to closing the Joint IGAR in Step Seven. The Joint IGAP Chart will assist Joint IGs in following a logical sequence in which to process a Joint IGAR from beginning to end. The process does not require dogmatic, sequential application of each step for every case, but using this process allows the Joint IG to accomplish all critical tasks in resolving complaints and / or issues.

Section 2.2

Step One - Receive the Joint IGAR

1. **Purpose:** This section explains Step One in the seven-step Joint IG Action Process (JIGAP).

2. **Receive the Joint Inspector General Action Request (IGAR):** Step One starts the seven-step Joint IG Action Process when a Joint IG receives a request for assistance, a request for information, a complaint, or an allegation. These things constitute a Joint IGAR. The receiving Joint IG records all information received during step one. For this Guide, the information is recorded on a TRICOM Form 1, which serves as a base-control document. Check with the local Joint IG office for the applicable local form used to capture the initial information from the complainant.

The Inspector General will encourage all personnel, both military and civilian employee, first to discuss complaints, allegations, or requests for assistance with the commander, chain of command, or supervisor. If the complainant has not already contacted or allowed the chain of command to resolve the issue, but at this time agrees to try this avenue, the Joint IG will document this course of action and follow up with the complainant later to ensure that the issue has been resolved. If a complainant does not wish to use the chain of command at this time, the Joint IG still accepts the Joint IGAR and asks the complainant for reasons. If the complainant is concerned about reprisal or does not trust the current chain of command to properly address the matter(s), then the Joint IG needs to proceed with caution to protect the individual. If specific redress procedures are available, the Joint IG will teach and train the complainant on using the appropriate, formally established redress process and refer him / her to that process (see Chapter 3, Issues with Other Forms of Redress).

Even if the case is not appropriate for Joint IG action, the Joint IG receiving the Joint IGAR will always open a case. Certain complaints of a sensitive nature such as allegations against senior officials or members of a special access programs (SAP) or sensitive activities (SA) have other requirements. See Chapter 3 in this guide for more information concerning specific types of cases.

Anyone can submit a complaint, allegation, or request for information or assistance to any Joint IG concerning a matter of military or command interest. Joint IGARs come from all directions: walk-ins, call-ins, write-ins, e-mails, web-based form, and indirectly.

An example of an indirect Joint IGAR is a Joint IG shopping in the Military Exchange who overhears two individuals discussing double standards in the awards program in their unit. The Joint IG just received a Joint IGAR.

Section 2.2.1

Step One - Receive the Joint IGAR Walk-In

1. **Purpose:** This section explains the process of receiving a walk-in Joint IGAR.
2. **Walk-in Joint IGARs:** One of many options to a complainant for requesting assistance from the Joint IG is to walk-in. The Joint IG will conduct an interview with the complainant to capture the essence of that person's complaint. The Joint IG must record all information received from the complainant. The Joint IG will follow the procedures listed below when interviewing a complainant.
 - a. **Interview:** The Joint IG will interview the complainant during a walk-in complaint. The key to a successful interview is to establish rapport and to listen actively.
 - b. **Private Area:** The Joint IG will interview the complainant in a private or semi-private area that affords confidentiality between the Joint IG and the complainant. If there are two or more complainants, the Joint IG will attempt to conduct separate interviews.
 - c. **Action Desired:** The Joint IG will ask the complainant at a minimum these five basic questions:
 - (1) What do you want the Joint IG to do for you?
 - (2) Do you have any supporting documentation?
 - (3) Is your chain of command aware of this matter?
 - (4) Have you asked any other agency to assist you?
 - (5) What is your status?
 - d. **TRICOM Form 1:** A complainant may submit a Joint IGAR in any form such as by telephone, in person, web-based, or by letter. The method for this Guide is for the complainant to submit a completed TRICOM Form 1 because it facilitates the standardization of Joint IGARs. TRICOM Form 1 also provides the complainant with Privacy Act information. The Joint IG will discuss the Privacy Act statement with each complainant. The Joint IG ensures that TRICOM Form 1 or applicable local form is completed with as much detail as possible and gives the complainant an opportunity to review the form before signing it and departing the Joint IG office.
 - e. **Confidentiality:** Joint IGs will ensure complainant confidentiality to the maximum extent possible. The complainant does not necessarily need to request confidentiality; the Joint IG will automatically maintain confidentiality to the greatest extent possible. However, Joint IGs never guarantee confidentiality because the nature of the complaint may require the Joint IG to reveal the person's name in order to resolve the matter presented. If a Joint IG must release a person's identity, he or she will first attempt to notify the complainant and to obtain a Privacy Act Information Release Statement, or a similar statement, before doing so. However, the Joint IG might still have to release certain information even if the complainant did not provide his or her permission.

f. **Commitments:** The Joint IG will avoid making any promises or commitments. Instead, the Joint IG will inform the complainant that he or she will look into the matter and, when appropriate, respond to the complainant.

g. **Case File:** All information gathered during an interview in Step One - Receive the Joint IGAR, will be included in the Joint IG case file. This information includes the Joint IG's notes and documents received from the complainant's initial interview. The Joint IG will then make copies of all documents received from the complainant but will not take original documents from the complainant. See the next page for a completed walk-in TRICOM Form 1.

3. Complainants Displaying Signs of Being Suicidal or Homicidal: A Joint IG might face situations that involve possible suicide either by the complainant or someone else. Such situations involve a potential conflict between protecting Joint IG confidentiality and taking immediate action to protect individual(s) by releasing Joint IG information to third parties. If, while conducting an interview, a Joint IG determines that a witness, suspect, or complainant may be a suicide risk, the Joint IG should first advise the individual of the places he / she can seek treatment or help. Strongly urge the individual to seek such professional assistance.

If the individual declines this advice or if the Joint IG is not confident the individual will indeed seek appropriate treatment or help and if time permits, the Joint IG should then coordinate with the legal office for further guidance on how to proceed. This coordination with legal is intended as a check so the Joint IG does not inadvertently release too much information.

To protect the individual or the safety of others, the Joint IG may in certain instances reveal some protected communications to the individual's chain of command or to appropriate medical personnel without first coordinating with the legal office. This release would be done on a "FOUO" (for official use only) basis to give the commander the information necessary to consider and process an emergency mental health referral under DoD Directive 6490.1, Mental Health Evaluations of Members of the Armed Forces. For extreme emergencies, especially when others are possibly in harm's way, the police (either military or civilian) might also provide assistance, especially if the incident is developing in a housing area. The command surgeon or the local medical facility's doctor-on-call might also be able to assist in extreme emergencies, especially when civilians are involved.

Bottom Line: The Joint IG never places Joint IG confidentiality over an individual's safety and may reveal protected communications to the appropriate chain of command or medical authorities to the limited extent necessary to protect the safety of others. This includes allowing the commander to place an escort with the individual and following the command's prevention of suicide procedures.

Joint Inspector General Action Request THIS TRICOM FORM IS FOR INSTRUCTIONAL PURPOSES ONLY.		
AUTHORITY: PRINCIPAL PURPOSE: To secure sufficient information to inquire into the matters presented and to provide a response to the requestor(s) and / or take action to correct deficiencies. ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complainants or respond to requests for assistance, advice, or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Defense; and, in certain cases, in trial by courts-martial and other military matters as authorized by the Uniform Code of Military Justice. Department of Defense Blanket Routine Uses also apply. DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY, HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTOR, ACCOMPLISHMENT OF THE REQUESTED ACTION(S), AND RESPONSE TO THE REQUESTOR.		
NAME (Last, First, MI) <i>Lowery, Sam</i>	GRADE / RANK <i>PO3</i>	SSN
STATUS (Check applicable fields) <input checked="" type="checkbox"/> MILITARY <input type="checkbox"/> CIVILIAN <input type="checkbox"/> Air Force <input type="checkbox"/> Army <input checked="" type="checkbox"/> Navy <input type="checkbox"/> Marine Corps <input type="checkbox"/> Coast Guard <input checked="" type="checkbox"/> Active <input type="checkbox"/> Reserve <input type="checkbox"/> National Guard <input type="checkbox"/> Other _____ <input type="checkbox"/> Appropriated Fund <input type="checkbox"/> Non-appropriated Fund <input type="checkbox"/> Contractor <input type="checkbox"/> Foreign or Local National <input type="checkbox"/> Other _____	UNIT OR ORGANIZATION / ADDRESS <i>TRICOM (Supply) 4 Command Dr Joint Base Andrews, MD 20767</i>	
		PREFERRED MAILING ADDRESS (If different from unit address) <i>2 Higher Place Castle, MD 206768</i>
CONTACT PHONE NUMBER (Duty, Home, and / or Cell) <i>301-555-5555</i>	E-MAIL ADDRESS <i>sam.lowery@email.com</i>	
SPECIFIC ACTION REQUESTED (What do you want the IG to do for you?) <i>Get me promoted!</i>		
INFORMATION PERTAINING TO THIS REQUEST (Background, documents, who else you have talked with about this matter, etc.) <i>The Navy is not promoting me. Everyone else is getting promoted but me. This is not fair! What does it take to get promoted?</i>		
<input checked="" type="checkbox"/> I do <input type="checkbox"/> I do not consent to release my personal information inside official channels in order to resolve the matters listed above. I understand that if I do not agree to release my personal information, my request for assistance may go unresolved.		
Those who knowingly and intentionally provide false statements in this complaint are subject to potential punitive and administrative actions (UCMJ Art 107, 18 USC 1001).		
DATE <i>7 January 2011</i>	SIGNATURE <i>Sam Lowery</i>	

TRICOM Form 1, JAN 2011 (Ver 1)

Figure 2.2.1.1
TRICOM Form 1 for Walk-In Example

Section 2.2.2

Step One - Receive the Joint IGAR Call-In

1. **Purpose:** This section explains the process of receiving a call-in Joint IGAR.

2. **Call-in Joint IGARs:** Another way for a complainant to request assistance from the Joint IG is to call-in. The Joint IG will conduct an interview with the complainant over the telephone to capture the essence of that person's complaint, including the five basic questions as discussed for the walk-in Joint IGAR previously. The Joint IG will record the information from the complainant on the TRICOM Form 1 or applicable local form. Receipt of a telephonic complaint does not mean that the Joint IG must handle it. However, Joint IGs analyze all complaints in accordance with Step Two - Preliminary Analysis of the seven-step JIGAP. In addition to the interview, the Joint IG will follow the steps listed below during a call-in interview:
 - a. **Written Follow-up Documentation:** The Joint IG will ask the complainant to forward any supporting documentation to the Joint IG's office.

 - b. **Privacy Act:** The Joint IG will read the Privacy Act Statement of 1974 to the complainant. The Joint IG must ensure that the complainant understands the Privacy Act statement before working the complainant's case.

 - c. **Read Back:** The Joint IG will read back to the complainant the information taken during the telephone interview for clarity and accuracy.

 - d. **Telephonic:** When taking complaints via the telephone, the Joint IG annotates in the signature block the word "Telephonic." The Joint IG may forward to the complainant a copy of the complaint for that person's records.

A completed example of the TRICOM Form 1 for a call-in is on the next page, showing how to annotate that the complaint is a call-in.

Joint Inspector General Action Request THIS TRICOM FORM IS FOR INSTRUCTIONAL PURPOSES ONLY.		
AUTHORITY: PRINCIPAL PURPOSE: To secure sufficient information to inquire into the matters presented and to provide a response to the requestor(s) and / or take action to correct deficiencies. ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complainants or respond to requests for assistance, advice, or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Defense; and, in certain cases, in trial by courts-martial and other military matters as authorized by the Uniform Code of Military Justice. Department of Defense Blanket Routine Uses also apply. DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY, HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTOR, ACCOMPLISHMENT OF THE REQUESTED ACTION(S), AND RESPONSE TO THE REQUESTOR.		
NAME (Last, First, MI) Lowery, Sam	GRADE / RANK PO3	SSN
STATUS (Check applicable fields) <input checked="" type="checkbox"/> MILITARY <input type="checkbox"/> CIVILIAN <input type="checkbox"/> Air Force <input type="checkbox"/> Army <input checked="" type="checkbox"/> Navy <input type="checkbox"/> Marine Corps <input type="checkbox"/> Coast Guard <input checked="" type="checkbox"/> Active <input type="checkbox"/> Reserve <input type="checkbox"/> National Guard <input type="checkbox"/> Other _____ <input type="checkbox"/> Appropriated Fund <input type="checkbox"/> Non-appropriated Fund <input type="checkbox"/> Contractor <input type="checkbox"/> Foreign or Local National <input type="checkbox"/> Other _____	UNIT OR ORGANIZATION / ADDRESS TRICOM (Supply) 4 Command Dr Joint Base Andrews, MD 20767 PREFERRED MAILING ADDRESS (if different from unit address) 2 Higher Place Castle, MD 206768	
CONTACT PHONE NUMBER (Duty, Home, and / or Cell) 301-555-5555	E-MAIL ADDRESS sam.lowery@email.com	
SPECIFIC ACTION REQUESTED (What do you want the IG to do for you?) Wants to get promoted!		
INFORMATION PERTAINING TO THIS REQUEST (Background, documents, who else you have talked with about this matter, etc.) The Navy is not promoting him. Everyone else is getting promoted but him. He stated that this is not fair. Wants to know what it takes to get promoted. Note: Covered Privacy Act; Sailor consented to release info to work in order to get him promoted.		
<input checked="" type="checkbox"/> I do <input type="checkbox"/> I do not consent to release my personal information inside official channels in order to resolve the matters listed above. I understand that if I do not agree to release my personal information, my request for assistance may go unresolved.		
Those who knowingly and intentionally provide false statements in this complaint are subject to potential punitive and administrative actions (UCMJ Art 107, 18 USC 1001).		
DATE 7 January 2011	SIGNATURE Telephonic	

TRICOM Form 1, JAN 2011 (Ver 1)

Figure 2.2.2.1
TRICOM Form 1 for Call-In Example

Section 2.2.3

Step One - Receive the Joint IGAR Write-In

1. **Purpose:** This section explains the process of receiving a write-in Joint IGAR.
2. **Write-in Joint IGARs:** Joint IGs may receive written complaints, allegations, and requests for Joint IG assistance in a variety of written formats. Upon receipt of a written request for assistance, the Joint IG will attach the document to a TRICOM Form 1 or applicable local form and write in the “specific action requested” block the words “see attached document / letter.” Often it is in the form of a letter, but it could come as a fax, online form (such as a local Hotline site linked to the Joint IG's office), an AF IMT Form 102, Army DA Form 1559, or an Action Request for Marines. Joint IGs should encourage the use of the TRICOM Form 1 or applicable local form. The following are some types of write-in Joint IGARs.
 - a. **Congressional Correspondence:** These referrals from Members of Congress include requests from constituents who may be Military, family members, or others. Chapter 5 outlines the procedures for responding to Congressional correspondence and / or inquiries.
 - b. **White House Correspondence:** These referrals and / or requests are from the President, Vice President, or their spouses on behalf of constituents to a Joint IG. Chapter 6 outlines the procedures for responding to these requests.
 - c. **Secretary of Defense, Secretary of the Services, and Service-related Chief of Staff Correspondence:** Joint IGs may receive from Joint Staff DIG referrals from the Secretary of Defense, Secretary of the various Services, Service Chiefs of Staff, and other senior leaders. These referrals normally include instructions as to the type of action requested and the desired form of reply. The Joint IG should advise the command of these referrals and respond back to the Joint Staff DIG.
 - d. **Department of Defense (DoD) Hotline Correspondence and Defense Hotline Complaints:** DoDI 7050.01, Defense Hotline Program, establishes policies and procedures used in processing issues or allegations referred to the Joint IG by the DoD Hotline. Chapter 7 outlines the procedures for responding to these complaints.
 - e. **Normal Correspondence:** These are letters written by the complainant or by someone on behalf of the complainant to the Joint IG presenting an allegation, concern, or request for assistance.

A completed example of the TRICOM Form 1 for a write-in is on the next page, showing how to annotate the form for a write-in.

Section 2.2.4

Step One - Receive the Joint IGAR E-Mail

1. **Purpose:** This section explains the process of receiving an e-mail Joint IGAR.
2. **E-mail Joint IGARs:** Joint IGs may receive complaints, allegations, and requests for Joint IG assistance via electronic mail (e-mail). Upon receipt of an e-mail request for assistance, the Joint IG will acknowledge receipt by sending a generic e-mail if the complainant did not provide a mailing address or phone number.

When using e-mail to acknowledge receipt, the Joint IG must use a generic subject line to ensure confidentiality of the complainant. Never responding to the actual message but instead developing a new message helps prevent inadvertently sending any confidential information through an open e-mail server.

There is no way for the Joint IG to know if the person making the complaint is actually the same person on the e-mail address line. The Joint IG should make every attempt to speak with the complainant by phone. The bottom line is that the Joint IG receiving the case should treat e-mail Joint IGARs just like a call-in Joint IGAR and ask the complainant to confirm the issue(s) or allegation(s) in writing.

If the complainant refuses to reply in writing or to call the Joint IG, treat the case just like an anonymous one and work it if there is enough information. If the complainant did not provide sufficient information, then close the case.

The following is an example of an e-mail Joint IGAR sent to the Joint IG for action from a complainant.

From: Complainant Name
Sent: Monday, June 20, 2xxx 3:19PM
To: TRICOMIGHotline@tricom.mil
Subj: My IG Complaint

Dear Joint IG,

I am making this complaint because I cannot live with my conscience anymore. I was just asked to back date an arms room inspection report.

What can you do about this?

Complainant

Figure 2.2.4.1
Sample E-Mail Joint IGAR

This next e-mail is in response to Complainant's e-mail message to the Joint IG regarding back dating the arms room inspection report. Notice the subject line and the content of this reply e-mail are different to protect the complainant's confidentiality.

The Joint IG **sends a new message and does not reply** to the original message received to prevent transmitting this person's Joint IGAR through the e-mail system unnecessarily. All e-mails should be digitally signed.

...

Subj: Your e-mail

We are in receipt of your e-mail dated June 20, 2xxx. Please give us a call at (301) 981-1111, DSN 858-111, or e-mail us back with your mailing address or phone number so that we can discuss this matter with you.

By policy, the Joint IG will not initiate an inquiry on your behalf based upon an e-mail message. To ensure that you are the one presenting these matters, we request that you provide us with a signed TRICOM Form 1, Joint Inspector General Action Request (Joint IGAR). You may fax or mail this request to our office.

Our fax number is (301) 981-1112 and our mailing address is:
TRICOM Joint IG Office
1 Command Drive, Suite 16
Joint Base Andrews, MD 20762

Sincerely,
Sarah Grace
MAJ, US Army
Joint Inspector General
(301) 981-1111

Figure 2.2.4.2
Sample Response to an E-mail Joint IGAR

If the complaint arrives via e-mail, the Joint IG will attach the TRICOM Form 1 or applicable local form and write in the "Specific Action Requested" block: See attached e-mail.

Section 2.2.5

Step One - Receive the Joint IGAR Anonymous

1. **Purpose:** This section explains the process of receiving an anonymous Joint IGAR.
2. **Anonymous Joint IGARs:** Joint IGs will always look into anonymous Joint IGARs. The substantiation rate for anonymous allegations is about the same as signed Joint Inspector General Action Requests (Joint IGARs). Joint IGs will take action to resolve anonymous Joint IGARs and protect the interests of the government. When processing anonymous allegations and complaints, Joint IGs should not create the appearance of unduly trying to identify a complainant. The determination of the facts and circumstances related to the Joint IGAR is the Joint IG's primary concern.

If the Joint IG does not have enough information to work the case, then he or she closes the case and annotates that fact in the case notes and the synopsis. Since the complaint is anonymous, there will be no reply to the complainant even if the Joint IG discovers the identity of the complainant.

If the complaint is anonymous, the Joint IG will write the word anonymous in the signature block of the TRICOM Form 1 or applicable local form.

Section 2.3

Step Two - Conduct Joint IG Preliminary Analysis

1. **Purpose:** This section explains Step Two - Conduct Joint IG Preliminary Analysis (JIGPA).

2. **Conduct Joint IG Preliminary Analysis (JIGPA):** This part of the process will determine if the Joint IGAR is an allegation, an issue, a request for assistance, or a combination of the three. Not all matters brought to the Joint IG's attention require an investigation and some issues may be referred onward.

a. Joint IG Preliminary Analysis (JIGPA) is a process used by a Joint IG to determine how best to proceed with a case. JIGPA may take a few moments, hours, or days. This process helps identify the issues and / or allegations, determines whether those issues or allegations are appropriate for Joint IG action, acknowledges receipt to the complainant, and assists the Joint IG in developing a course of action (COA). A Joint IG will use JIGPA to determine who should resolve the problem and how to solve it.

The Joint IG may provide Assistance; conduct a Joint IG Inspection or Investigation; refer or transfer the case to another Inspector General or agency; or recommend a follow-on investigation using other investigative processes such as a commander's inquiry or appropriate Service-related criminal investigation. A Joint IG is usually in JIGPA until he or she selects a course of action.

b. Joint IGs always look for the central issues at the core of a problem or problems when formulating allegations and providing assistance. Many assistance cases require the Joint IG to turn a matter of concern over to another individual or agency. This referral process requires the Joint IG to be aware of the possible implications concerning the confidentiality of the complainant. A person who asks for help may not want his supervisor to know that he made a complaint to the Joint IG. While interviewing the complainant, the Joint IG should determine the circumstances and act accordingly.

Referring the complaint to another agency usually means the Joint IG will need to follow-up to determine the action taken and whether or not it addressed the complaint. The Joint IG should request that the individual or agency provide the response back to the Joint IG. The Joint IG reviews the response to ensure that it addresses each concern before the complainant receives a final response. An incomplete response provided directly to a complainant may require additional time to resolve completely and may decrease the credibility of the Joint IG.

Section 2.3.1

Step Two - Conduct Joint IG Preliminary Analysis Analyze for Issues and Allegations

1. **Purpose:** This section explains the process of analyzing complaints for issues and allegations.
2. **Analyzing for Issues and Allegations:** Joint IGs will analyze the information presented by the complainant and determine whether that information is a systemic issue, an allegation of impropriety, a request for help (assistance), or a combination of two or more of these elements. For example, a military member who complains about not receiving a paycheck is a request for help, but it could also be a systemic problem if trends indicate that the same problem may be pervasive throughout the organization which would then indicate that inspections are needed. The Joint IG will determine the assistance requested and what issues or allegations the complainant presented.

The Joint IG must identify all requests for help and matters of concern, even if the complainant did not specifically mention them. The Joint IG should contact the complainant to clarify the issues, allegations, or concerns. The Joint IG may later refer the complainant to the chain of command or an appropriate staff agency for action.

For example, a military member with a pay complaint who has not initiated the complaint with his or her chain of command or servicing Personnel Administration Center should do so first. The Joint IG will follow-up referrals to ensure that the complainant receives the appropriate assistance.

Section 2.3.1.1

Step Two - Conduct Joint IG Preliminary Analysis Issue

1. **Purpose:** This section explains what a Joint IG determines to be an issue.
2. **Issue:** An issue is a request for information or assistance to the Joint IG that does not list a who by name as the violator of a standard or policy. The Joint IG determines the issues and allegations, not the complainant. If the information from the complaint has a who for the violator, then this complaint is an allegation, and the Joint IG must conduct an investigative inquiry or investigation (see the Joint IG Investigations Guide) or refer the allegation to the command or an agency which can conduct an investigative inquiry or investigation.
3. **Requirement:** Issue identification is critical to preliminary analysis. Joint IGs must address a complainant's issues during the inquiry in order to resolve the complaint. Failure to do so frequently results in an incomplete inquiry and, hence, a deficient resolution. Or, a follow-on complaint may arise from the dissatisfied complainant alleging that the Joint IG improperly "white-washed" or "covered-up" the complaint.

However, there are times when the complainant will express dissatisfaction, resentment, or discontent that does not necessarily imply a violation of a standard but is more appropriate for the chain of command. If the Joint IGAR involves more than simple assistance, the Joint IG must determine the action necessary to resolve the issues, using referral, transfer, Joint IG Inspection, Assistance Inquiry, Investigative Inquiry, or Investigation. The following are some examples of issues:

- a. A request for pay.
- b. A request to locate missing household goods.
- c. A request for a copy of a travel voucher.
- d. The finance office improperly failed to process a TDY voucher in a timely manner.

The Joint IG categorizes the issue as either founded if it has merit and requires resolution or unfounded if it does not have merit and requires no further action to resolve. These determinations will be documented in the case notes and, if required, in the IG Report of Investigative Inquiry (ROI), Report of Investigation (ROI), or Hotline Completion Report (HCR).

Section 2.3.1.2

Step Two - Conduct Joint IG Preliminary Analysis Allegation

1. **Purpose:** This section explains what a Joint IG determines to be an allegation.
2. **Allegation:** An allegation is a statement or assertion of wrongdoing by an individual. The Joint IG is responsible to place the allegation into the proper allegation format containing the following essential elements:

- a. **Who?** The complaint involves an individual.

For example: My commander, CPT Smith.

If no name is given, the Joint IG must verify which commander by name.

- b. **Improperly?** The complainant alleges the subject or suspect to have committed an improper action.

For example: The commander, CPT Smith, improperly did something. Some standards already include language that indicates a wrongful act. In these cases, the word "improperly" might not be required. Seek the SJA's advice when formulating allegations.

- c. **Did or did not do what?** Describing the improper behavior.

For example: The commander, CPT Smith, improperly used a government vehicle to transport his girlfriend to the movies.

- d. **In violation of what standard?** The policy, regulation, or law that has allegedly been violated.

For example: The commander, CPT Smith, improperly used a government vehicle to transport his girlfriend to the movies in violation of the Joint Ethics Regulation (JER).

- e. **When?** When did the alleged impropriety occur?

A correctly worded allegation by a Joint IG must contain all parts: who improperly did or did not do something in violation of an existing standard and when.

For example: CPT Smith improperly used a government vehicle to transport his girlfriend to the movies in violation of DoD 5500.7-R, The Joint Ethics Regulation (JER), on 10 July 2xxx.

All allegations require a Joint IG to pursue a course of action of either an investigative inquiry or investigation. Therefore, a Report of Investigative Inquiry (ROI), a Report of Investigation (ROI), or a Hotline Completion Report (HCR) is required to address allegations presented to a Joint IG. After reviewing all evidence and information provided, the allegation will be either substantiated, if the preponderance of credible

evidence indicates that the alleged misconduct did occur, or not substantiated, if the preponderance of credible evidence indicates that the alleged misconduct did not occur.

On rare occasions, Joint IGs might close a case prior to completion if the investigative inquiry or investigation is terminated due to a special circumstance. For example, a legal process that may terminate the ongoing inquiry or investigation would be a special circumstance (see the Joint IG Investigations Guide). In these instances the Joint IG will document this situation in the case file.

Inspections or Assistance Inquiries are not appropriate courses of action for resolving an allegation.

Section 2.3.1.3

Step Two - Conduct Joint IG Preliminary Analysis Complaint

1. **Purpose:** This section explains what a Joint IG determines to be a complaint.
2. **Complaint:** A complaint is an expression of dissatisfaction or discontent with a process or system such as leave policies or the pay system. In some cases, the Joint IG may not be able to assist the complainant with his or her complaint. The Joint IG will conduct teaching and training with the complainant and explain the role of the Joint IG. Even though the Joint IG knows that the complaint is not appropriate for the Joint IG, the Joint IG must still analyze the entire complaint for any issues and / or allegations. The following is an example of a complaint:

LTC Jones complains to the Joint IG about Basic Allowance for Housing (BAH). He is dissatisfied with the amount that he is receiving based upon the zip code for Arkansas. He feels he should be getting more.

The Joint IG's job is to teach and train the individual while analyzing the complaint for larger issues. In the above example, if the complainant is receiving BAH in accordance with approved rates but he simply does not agree with the amount authorized, the Joint IG must explain -- teach and train -- the BAH process to the complainant. More than likely, his chain of command cannot change these rates, so the complainant might consider addressing his request for higher rates through his congressional representatives. On the other hand, if the complainant is not receiving the correct amount, then this complaint is an issue which the Joint IG must address and ensure that this matter is corrected, probably by coordinating with the chain of command and / or the local finance office.

Section 2.3.2

Step Two - Conduct Joint IG Preliminary Analysis Determine Joint IG Appropriateness

1. **Purpose:** This section explains what issues are appropriate for Joint IG action.

2. **Determining Inspector General Appropriateness:** If the results of preliminary analysis indicate that the Joint IGAR received is appropriate for Joint IG action, the Joint IG will accept the Joint IGAR and open a case file. As a rule, not all matters presented to the Joint IG are appropriate for Joint IG action.

a. When presented with non-Inspector General appropriate matters of concern, Joint IGs will advise complainants of the appropriate agency that can resolve the complaint and normally allow complainants to present their issues to that agency directly. Joint IGs may elect to refer or transfer the issue to the appropriate agency on behalf of the complainant but must be mindful of confidentiality concerns. Joint IGs will provide the necessary information to the agency and determine whether to monitor the action until completion.

For example: If an individual alleges criminal activity, Joint IGs will refer the case to the appropriate military criminal investigation office.

The bottom line is that if the Joint IG knows of this problem (whether it is appropriate for Inspector General action or not), he or she must act on what is known. This action could be the Joint IG's own work or a referral or transfer to another agency. The Joint IG will still open the case, complete the applicable form stating why the issue is not appropriate for Joint IG action, and explain what the Joint IG did with the Joint IGAR. The Joint IG will then close the case.

b. If the Joint IG determines that the matters of concern are appropriate for Joint IG involvement, then the Joint IG should ask the following questions as part of preliminary analysis:

(1) Is the matter of concern clearly systemic in nature? If so, does the Joint IG need to conduct an inspection?

(2) Is there any indication of general officer or senior executive service misconduct or violations of 18 U.S.C., 207(a), (b), or (c) (post employment violations)? Refer these allegations directly to DoD IG in accordance with DoD Directive 5505.6, Investigations of Allegations Against Senior Officials in the Department of Defense.

(3) Do the matters of concern involve an allegation against an Inspector General? See Section 3.8 of this guide for procedures.

(4) Are the concerns within the purview of the Joint IG's Directing Authority? If not, refer them to the Inspector General of the appropriate organization.

(5) Joint IGs should consult with the COCOM or other Joint Command legislative liaison office to determine if a current IG case may have also gone to a Congressperson.

Section 2.3.3

Step Two - Conduct Joint IG Preliminary Analysis Open a Case

1. **Purpose:** This section provides an overview of opening a case and various case tracking systems.

2. **Open a Case:** Once the Joint IG identified all issues and allegations, he or she will open a case to monitor and record all actions pertaining to this case. The case file includes items such as the initial complaint, detailed case notes, other supporting documents, and a final report as needed. The case file provides a record for historical purposes, aids in trends analysis, and facilitates continuity between Joint IGs. Usually the case information also exists electronically maintained in an automated case tracking system. Several such systems are discussed below.

3. **Case Tracking System:** The following systems are currently in use throughout the various IG communities.

a. **Inspector General Action Request System (IGARS):** IGARS is a database accessed through Thin Client that stores all cases entered into it as a complete record of all issues and allegations presented to an Army IG. This database facilitates the identification of trends and helps Army IGs in the field to monitor and track open cases and refer back to closed cases as necessary.

b. **Naval Inspector General Hotline Tracking System (NIGHTS):** NIGHTS is a web enabled electronic corporate set of processes and metrics to measure qualitatively and quantitatively, providing real time analysis and feedback of Health of -- and Trends - within the Navy. NIGHTS is a paperless case and document management and storage system.

c. **Automated Case Tracking System III (ACTS):** ACTS is the Air Force web-based database collection tool for all IG levels. It is a centralized repository that is accessed through the World Wide Web. This database facilitates the identification of trends and helps Air Force IGs in the field to monitor and track open cases and refer back to closed cases as necessary.

d. **Local Tracking System:** This will vary from site to site and can be as simple as a spreadsheet or a database.

4. **Data Entry Responsibilities:** The individual commands decide the requirements and which automated case tracking system is used, if any at all, within their commands. Joint IGs are not responsible to load data into the Service IG case tracking systems unless agreed upon with that Department Service IG.

Section 2.3.4

Step Two - Conduct Joint IG Preliminary Analysis Acknowledge Receipt

1. **Purpose:** This section explains when and how to acknowledge receipt of a Joint IGAR.
2. **Acknowledge Receipt:** Joint IGs will properly acknowledge receipt of all Joint IGARs. Joint IGs acknowledge, orally or in writing, individual complaints, allegations, or requests for assistance. An acknowledgment is simply a notification that the Joint IG received the request and may either open a case, refer the Joint IGAR, or do nothing if the issue does not meet the criteria for Joint IG action. In some cases, it may be appropriate to provide a more substantive acknowledgment based upon the nature of the correspondence.

Joint IGs receiving an oral Joint IGAR may acknowledge it at that time but will make a written record of the acknowledgment in the file's case notes. Joint IGs do not acknowledge anonymous complaints or requests for assistance.

In acknowledging a request, inform the complainant that he or she will only receive information on the results of the Inquiry or Investigation that affect him or her directly and personally.

Joint IGs acknowledge Joint IGARs received from another Inspector General via telephone or e-mail. However, the Joint IG is not required to acknowledge receipt of information copies of letters addressed to other agencies unless that Joint IG should take action.

Section 2.3.4.1

Step Two - Conduct Joint IG Preliminary Analysis Acknowledge Receipt to a Complainant

1. **Purpose:** This section explains when and how to acknowledge receipt to a complainant.
2. **Acknowledge Receipt to a Complainant:** Joint IGs choosing to acknowledge receipt of a complaint in writing should use the format on the next page. This recommended example is direct and to the point; appears less awkward to a civilian recipient; and is in accordance with Joint Staff Manual (JSM) 5711.01D, Joint Staff Correspondence Preparation.

Sample of an Acknowledgment to a Complainant

(Letterhead)

December 2, 20XX

Office of the Joint Inspector General

Name Here
3030 Anywhere Lane
Anywhere, VA 22060

Dear Name Here:

We received your letter to The Joint Inspector General dated November 29, 20XX, concerning incorrect retirement points.

We initiated a thorough inquiry into your complaint (or request for assistance) and will advise you of the results at the conclusion of the inquiry.

Sincerely,

(SIGNATURE BLOCK)*

* Normally the Joint IG or Command Joint IG

Section 2.3.4.2

Step Two - Conduct Joint IG Preliminary Analysis Acknowledge Receipt to a Third Party

1. **Purpose:** This section explains how to acknowledge receipt to a third party.
2. **Acknowledge Receipt to a Third Party:** Joint IGs reply to third-party complainants in a very general manner. Joint IGs may divide third-party letters into two types.
 - a. The first type is a letter sent by someone on behalf of someone else.

For example: Parent or family members may submit complaints on behalf of a Soldier without the Soldier's knowledge.

- b. The second type of third-party letter pertains to someone giving information about another person who alleges that someone has done something wrong.

The resultant inquiries in both cases will produce information not directly pertaining to the individuals who initiated the letters. Remember that the Privacy Act generally prohibits the release of personal information to third parties without consent. However, the Privacy Act has provisions that may require a Joint IG to release personal information without the individual's consent (such as a subpoena). In some situations, the Joint IG may decide to contact the complainant and obtain a Privacy Act release statement from the complainant.

In general, Joint IG replies to third parties are direct in nature and simply acknowledge receipt of the complaint or allegation. The replies contain no specific information about the complaint or what the Joint IG has done with the complaint. Replies to third parties must not violate an individual's right to privacy (unless an exception exists as mentioned above). In general, the Joint IG should always obtain a Privacy Act release authorization from the individual about whom the complaint is made in order to release personal information to any third party -- unless a specific Privacy Act provision demands that release.

Sample of an Acknowledgment to a Third Party

(Letterhead)

December 2, 20XX

Office of the Joint Inspector General

Name Here
3030 Anywhere Lane
Anywhere, VA 22060

Dear Name Here:

We received your letter to The Joint Inspector General dated November 29, 20XX, concerning incorrect retirement points for your son.

We initiated a thorough inquiry into your complaint (or request for assistance). However, Privacy Act laws prohibit us to provide personal information to certain third parties. You are considered such a third party in this matter. Hence, we will not provide any detailed information reference this case to you unless we receive a written Privacy Act release statement from your son authorizing such release of information.

Sincerely,

(SIGNATURE BLOCK)*

* Normally the Joint IG or Command Joint IG

Section 2.3.5

Step Two - Conduct Joint IG Preliminary Analysis Select a Course of Action (COA)

1. **Purpose:** This section explains selecting a course of action.
2. **Select a Course of Action:** Once the Joint IG has identified all issues and allegations, he or she has several courses of action available: conduct a Joint IG Assistance Inquiry, conduct a Joint IG Investigative Inquiry or Investigation, refer the matter to another agency, transfer the matter to a different IG, dismiss the complaint, or conduct a Joint IG Inspection. Joint IGs should determine the appropriate courses of action for each complaint, issue, and allegation determined in the Joint IGAR. Joint IGARs often contain matters that result in more than one course of action. The following courses of action are explained in the subsequent sections:
 - a. Assistance Inquiry
 - b. Investigative Inquiry or Investigation
 - c. Refer
 - d. Transfer
 - e. Dismiss
 - f. Inspection

Section 2.3.5.1

Assist a Complainant

1. **Purpose:** This section explains when to use the assistance inquiry process as a course of action to resolve a complaint.
2. **When to Assist a Complainant:** When the Joint IGAR preliminary analysis shows there is no recognizable wrongdoing or violation of law, regulation, or policy by a specific by-name person and the complainant is seeking other help or requesting information, the Joint IG will provide assistance. This process generally involves making phone calls or other contact with persons or agencies that can provide assistance to the complainant. Examples are correcting an individual's pay or explaining the local command policy for leave requests.

Section 2.3.5.2

Investigate a Complaint

1. **Purpose:** This section explains when to use the investigative process as a course of action to resolve a complaint.

2. **When to Investigate a Complaint:** An allegation of impropriety always requires an investigative inquiry or an investigation -- it cannot be assisted or inspected away. Either the Joint IG can conduct the investigative inquiry or investigation (if Directing Authority directs the investigation) or the IG can refer / transfer the allegation to a command or an agency which can conduct an investigative inquiry or investigation. The process for investigating allegations of impropriety appears in the Joint IG Investigations Guide.

Section 2.3.5.3

Refer a Complaint

1. **Purpose:** This section explains when to use the referral process as a course of action to resolve a complaint.
2. **When to Refer a Complaint:** When the Joint IGAR analysis determines a recognizable wrong or violation of the law, regulation, or policy, but is not appropriate for the Joint IG because some other established resolution path exists, then the Joint IG refers the complainant or the complaint to the responsible person, agency, organization, or process. Section 3.4, "Issues with other Forms of Redress," of this Guide lists matters not appropriate for the Joint IG and the appropriate person, agency, or organization to resolve them.

Section 2.3.5.4

Transfer a Complaint

1. **Purpose:** This section explains when to use the transfer process as a course of action to resolve a complaint.

2. **When to Transfer a Complaint:** When the complaint analysis determines that the matter presented is appropriate for a Joint IG but at a different command level or Service, the Joint IG transfers the complaint to the appropriate IG office. The table below shows when to transfer a complaint to another IG; however, this table is not all-inclusive.

**Table 2.3.5.4.1
When to Transfer a Complaint**

	Considerations: If...	and...	then...
1.	The Subject is a Senior Official.		Transfer the complaint to DoD IG.
2.	The complaint has not been addressed at the lower level where the alleged wrongdoing occurred.	The higher level Joint IG determines no evidence of bias by lower-level Joint IG.	Transfer the case to the lower-level Joint IG.
3.	The complaint presents a conflict of interest for the Directing Authority or Joint IG.		Transfer the complaint to the next higher level Joint IG.
4.	The subject is assigned to a different command than the Joint IG who received the complaint.		Transfer the complaint to the Joint IG at the same command as the subject.
5.	The complainant is assigned to a tenant command and is anonymous or a third party.	The subject is assigned to the host command.	Transfer the complaint to the IG of the host command.

Section 2.3.5.5

Dismiss a Complaint

1. **Purpose:** This section explains when to use dismissal as a course of action to resolve a complaint.

2. **When to Dismiss a Complaint:** In rare instances, some issues do not warrant further action by a Joint IG. There are several reasons why a Joint IG would dismiss a complaint such as a complaint of a frivolous nature (Note 1) or the complainant refusing to cooperate so the Joint IG can determine the proper resolution path. The Joint IG must use great scrutiny before dismissing a case to avoid the appearance of not being fair and impartial or of not performing the IG's duties to the fullest. The table below shows when a Joint IG might dismiss a case.

**Table 2.3.5.5.1
When to Dismiss a Complaint**

	Considerations: If...	and...	then...
1.	The complaint analysis discloses a matter within the IG's purview, but too much time has elapsed and there is little or no potential to determine the facts and circumstances surrounding the alleged wrongdoing (see section 4.2, complaints not received in a timely manner)	There are no extraordinary circumstances or special interest in the matters presented to justify an inquiry	Dismiss the complaint
2.	The complainant has not provided sufficient information to conduct the Joint IGAR analysis properly		Dismiss the complaint
3.	The complainant files a complaint that is already the subject of investigation by an alternative investigative agencies or venues (Note 2)	The complaint addresses the same matter addressed in the IG complaint	Dismiss the complaint
4.	The complaint analysis discloses a matter within the IG's purview, but a higher level IG office has already addressed the matter	The complainant provides no new evidence or information that justifies further inquiry / investigation	Dismiss the complaint

Note 1: Generally, a complaint is not frivolous if it pertains to personnel, organizations, programs, or policies and / or identifies a violation of law, regulation, policy, or procedure.

Note 2: Examples of alternative investigative agencies or venues are the Defense Criminal Investigative Service, Naval Criminal Investigative Service, Army Criminal Investigative Division, and Air Force Office of Special Investigations.

Section 2.3.5.6

Inspect a Systemic Issue

1. **Purpose:** This section explains when to use the inspection process to complete actions required to completely resolve a complaint.
2. **When to Use an Inspection to Resolve a Complaint:** Sometimes the matter presented to the Joint IG might be a recurring issue or might not be easily corrected because of a systemic problem. In these cases, an inspection can identify the root cause and provide recommendations how to correct systemic problems. However, the Joint IG must ensure that the individual matter is resolved as best as possible right away using the assistance process, investigative process, referral, or transfer since inspections tend to take time. For information covering the Joint IG Inspections process see the [Joint IG Inspections Guide](#).

Section 2.4

Step Three - Make Initial Notifications

1. **Purpose:** This section explains the process of making initial notifications.
2. **Making Initial Notifications:** If Joint IGs conduct an investigative inquiry or an investigation, they will verbally notify the appropriate commanders or supervisors and the subjects or suspects of the inquiry / investigation and inform them of the nature of the allegation(s) (see Joint IG Investigations Guide). The Joint IG will document these notifications in the case notes and in the Report of Investigative Inquiry (ROI) or Report of Investigation (ROI).

Section 2.5

Step Four - Conduct Joint IG Fact Finding

1. **Purpose:** This section explains the process of conducting Joint IG Fact-Finding.
2. **Conduct Inspector General Fact-Finding:** Fact-finding involves the process of obtaining factual information in the conduct of a Joint IG Inspection, Assistance Inquiry, Investigative Inquiry, and Investigation. In order to resolve the issues and allegations gleaned from a Joint IGAR (no matter whether the Joint IGAR is from a complainant or a request from a commander), the Joint IG must obtain facts that will support the Joint IG's eventual decision.

The Joint IG needs no additional authority to conduct an Assistance Inquiry and Investigative Inquiry. When a Joint IG determines that a Joint IG Inspection or Investigation is needed, he or she must first obtain authority from the Joint IG's Directing Authority (usually the Commander). The Joint IG will use the Assistance Inquiry as the fact-finding process to gather the information needed to resolve Joint IGAR Assistance issues. Each of the courses of action as decided upon during Step Two (Joint IG Preliminary Analysis: Select a Course of Action) for Joint IG Fact-Finding is discussed on subsequent pages. These elements are: Assistance Inquiry, Investigative Inquiry and Investigation, Referral, Transfer, Dismissal, and Inspections.

No matter which IG fact-finding process is used, the Joint IG will enter each action taken along the way in the case notes to complete a detailed, chronological listing of all actions taken in resolving the complaint.

Section 2.5.1

Step Four - Conduct Joint IG Fact Finding Assistance Inquiry

1. **Purpose:** This section explains the process of conducting an Assistance Inquiry.
2. **Assistance Inquiry:** The Assistance Inquiry is an informal fact-finding process used to address or respond to a complaint involving a request for help, information, or issues but not allegations of impropriety or wrongdoing. Majority of the work for an Assistance Inquiry consists of coordination between various staff entities within the command and other agencies primarily conducted in person, per telephone, or via e-mail. While working an Assistance Inquiry, the Joint IG must be mindful of the Privacy Act and be careful how to provide information without unnecessarily releasing private information unless the complainant provided consent. Always remember to document all actions, including leaving a message on a voicemail, in the case notes of the case file. The case notes are especially important when another Joint IG takes over the case as they provide continuity.

Depending on the nature of the Joint IGAR, the Joint IG may complete the Assistance Inquiry. The Joint IG must evaluate the facts and evidence received to ensure that all issues were addressed before responding to the complainant. The information provided to the Joint IG must lead to a reasonable conclusion or recommendation. If there is a proponent available regarding the information requested, the proponent should verify the information provided to the Joint IG when appropriate. However, the Joint IG is responsible for ensuring that all issues have been addressed and / or resolved prior to notifying the complainant and closing the case.

The Joint IG should obtain an opinion from the local supporting Staff Judge Advocate (SJA) on the legal sufficiency of the Assistance Inquiry, as needed. The inquiry findings will be the basis for the notification to the complainant as well as the final reply. The table below outlines how to assist a complainant.

**Table 2.5.1.1
How to Assist a Complainant**

Step	Action
1.	Discuss concerns / issues with the complainant.
2.	Determine if the Joint IG can handle the complaint appropriately through assistance.
3.	Make phone calls or other contacts to provide the complainant with the assistance he or she needs.
4.	Ensure that the appropriate authority or agency is addressing the complainant's concerns.
5.	Document the case as an "Assist" and close the case.

Section 2.5.2

Step Four - Conduct Joint IG Fact Finding Investigative Inquiry and Investigation

1. **Purpose:** This section explains the process of conducting an Investigative Inquiry or Investigation.

2. **Joint IG Investigative Process:** If the Joint IG, during Step Two - Joint IG Preliminary Analysis, identified allegation(s), the Joint IG must use the Joint IG Investigative Inquiry or Investigation or refer / transfer the allegation(s) to an appropriate command or agency which can properly address allegations. The Joint IG Investigative Inquiry and Investigation are addressed below. How to refer and transfer a case are addressed in following sections.

a. **Joint IG Investigative Inquiry:** An Investigative Inquiry is an informal fact-finding examination by a Joint IG into allegations, issues, or adverse conditions. This process allows Joint IGs to gather information needed to address allegations of impropriety against an individual that do not require a formal investigation. The Command Joint IG can direct an IG Investigative Inquiry and does not need to obtain additional authority from his or her Directing Authority (Commander). The process for an Investigative Inquiry including the final report format is addressed in the Joint IG Investigations Guide.

b. **Joint IG Investigation:** The Investigation is a formal fact-finding examination led by a Joint IG into allegations, issues, or adverse conditions to provide the Directing Authority a sound basis for decisions and actions. Joint IG Investigations normally address allegations of wrongdoing by an individual and are authorized by written directives from the Directing Authority. The conduct of Joint IG Investigations involves the systematic collection and examination of testimony and documents but may also include physical evidence. The process for an Investigation including the final report format is addressed in the Joint IG Investigations Guide.

Section 2.5.3

Step Four - Conduct Joint IG Fact Finding Refer

1. **Purpose:** This section explains the process of referring a complaint.
2. **Referral:** At times another agency or organization may be better suited than the Joint IG to resolve a matter presented to the Joint IG. In these instances, the Joint IG refers the complainant or the complaint to that agency. The joint IG must be cautious not to violate the Privacy Act during the referral actions. Hence, in many such instances, the Joint IG should encourage the complainant to approach the appropriate agency him or herself. Though another agency has the primary lead to resolve the matter at hand, the Joint IG may keep the case open to document the resolution of the matter before closing the case. Chapter Three in this guide outlines some of these matters not usually Joint IG appropriate and who can best resolve them. The table below shows how to refer the complainant to that person, agency, or organization.

**Table 2.5.3.1
How to Refer a Complaint**

Step	Action
1.	Using Joint IGAR analysis, determine if the complaint could be handled in other channels.
2.	Refer the complaint, in writing, to the appropriate agency and notify the complainant, in writing (if possible), of the referral.
3.	Ask the referral agency to provide a copy of any closure response to the complainant for the case file.
4.	Document the case as a "Referral" and close the case.
5.	If no closure response is received, follow-up with the referral agency and document that follow-up action in the case notes.

Section 2.5.4

Step Four - Conduct Joint IG Fact Finding Transfer

1. **Purpose:** This section explains the process of transferring a complaint.
2. **Transfer:** When the matters presented to the Joint IG fall into the purview of a different command, the Joint IG transfers the complainant or the complaint to that appropriate IG. Both IGs -- originating and receiving -- will inform the complainant of the transfer. If the other IG accepts the Joint IGAR, then the originating Joint IG will annotate the transfer in the case notes and then close the case file. If the receiving IG does not agree to accept the case, but the originating Joint IG still believes the case needs to be transferred to another IG office, the Joint IG may seek assistance from the next higher Joint IG to decide where the case needs to be resolved. The table below explains how to transfer a complaint.

**Table 2.5.4.1
How to Transfer a Complaint**

Step	Action
1.	Using Joint IGAR analysis, determine if the complaint is appropriate for the Joint IG process and should be transferred to another IG.
2.	Transfer the complaint, in writing, to the appropriate IG explaining the rationale for the transfer. A courtesy telephone call prior to transfer is recommended. Ensure that the transferring IG forwards all the documentation and required information in order for the receiving IG to resolve the matter.
3.	Notify the complainant, in writing, of the transfer.
4.	Once the other IG accepts the case, document the case as "Transferred" and close the case.

Section 2.5.5

Step Four - Conduct Joint IG Fact Finding Dismiss

1. **Purpose:** This section explains the process of dismissing a complaint.
2. **Dismiss:** The Joint IG may have decided to dismiss a matter presented to the Joint IG because it has already been addressed or does not have enough information to proceed. The Joint IG must use great scrutiny before dismissing a case to avoid the appearance of not being fair and impartial or of not performing the IG's duties to the fullest. Unless the case is an anonymous case, the Joint IG can utilize the teaching and training function to fully explain to the complainant why the case is being dismissed to prevent any such misconceptions and ensure that the complainant understands. The table below shows how to dismiss a complaint.

**Table 2.5.5.1
How to Dismiss a Complaint**

Step	Action
1.	Using Joint IGAR analysis, determine if the Joint IG should dismiss the complaint.
2.	Notify the complainant, in writing (if possible), of the dismissal, and clearly communicate the rationale for the dismissal. Document this notification the case file's case notes.
3.	Document the case as a "Dismissal" and close the case.

Section 2.5.6

Step Four - Conduct Joint IG Fact Finding Inspections

1. **Purpose:** This section explains how systemic issues are best addressed through Inspections.
2. **Inspections:** An Inspection may be necessary if the Joint IG learns of a trend or sees a pattern of several individual complaints. When requests for assistance come to the Joint IG, they are recorded on the applicable form and in the applicable case tracking system and analyzed for any developing trends or systemic issues. These trends may result in a Joint IG Inspection and can assist the command in identifying local issues that are unique to that area. Members from the Inspection team sometimes bring back Joint IGARs received during their Inspections fact-finding. Inspections complement the Assistance function by allowing the Joint IG to identify potential problem areas and acting on them proactively. See the [Joint IG Inspections Guide](#) for further information about Joint IG Inspections.

Section 2.6

Step Five - Make Notification of Results

1. **Purpose:** This section explains the process of making notification of results for a Joint IG Assistance Inquiry, Investigative Inquiry, and Investigation.
2. **Make Notifications of Results:** At the completion of Step Four - IG Fact-finding, the Joint IG will notify certain individuals involved in the process of the expected or actual outcome. Only provide information pertaining directly to that individual. The Joint IG needs to protect the privacy of everyone possibly involved in these matters in accordance with the Privacy Act.

Section 2.6.1

Step Five - Make Notification of Results Assistance Inquiry

1. **Purpose:** This section explains the process of making notification of results for an Assistance inquiry.
2. **Make Notifications of Results for an Assistance Inquiry:** At the completion of Step Four, Conduct Joint IG Fact Finding, of the Assistance Inquiry, the complainant will be notified and informed of the results or expected outcome. Only information directly pertaining to the complainant regarding actions taken will be provided to the complainant in order to protect the privacy of other individuals involved while resolving the matter presented to the Joint IG.

Remember: The person presenting the complaint may in some cases be a third party and is only authorized by law to receive information directly pertaining to him or her without prior consent from the complainant (unless a Privacy Act exception applies). All notifications made will be recorded in the applicable automated case tracking system and annotated in the case file's case notes.

Section 2.6.2

Step Five - Make Notification of Results Investigative Inquiry and Investigation

1. **Purpose:** This section explains the process of making notifications of results for an Investigative Inquiry and Investigation.
2. **Making Notification of Results for an Investigative Inquiry and Investigation:** Investigative Inquiries or Investigations notifications during Step Five include the subject(s) / suspect(s), the supervisor / commander, and the complainant. See Joint IG Investigations Guide for more details.

Section 2.7

Step Six - Conduct Follow-Up

1. **Purpose:** This section explains the Joint IG's responsibilities in conducting follow-up.
2. **The Joint IG's Responsibilities in Conducting Follow-up:** Follow-up ensures that all issues and / or allegations have been thoroughly addressed and the Joint IG's responsibilities have been fulfilled. This responsibility includes follow-up on any needed corrective actions. Although the corrective actions may not satisfy the complainant, a Joint IG's primary concern is with ensuring that all Joint IG actions, command decisions, or proponent actions occurred as necessary. Follow-up should include a review of issues and / or allegations previously addressed to determine if further appeal procedures are available or if the Joint IG should examine due-process for the complainant. Joint IGs may personally conduct follow-up or address the issues and / or allegations during a Staff Assistance Visit (SAV) or during future Joint IG Inspections.

If the Joint IG referred a complainant to another agency (such as the Finance office) for problem resolution, the Joint IG should check back with the complainant to ensure that he or she received assistance from that agency.

Remember: Joint IGs assist in resolving problems. They do not close a case until the complainant's problem is resolved or until they are satisfied that the complainant has received fair and just treatment or consideration.

If the problem is not resolved, the Joint IG must determine the reason for the failure to resolve the issue. Some problems cannot be resolved until standards, such as laws, regulations, or policies, are changed.

Section 2.8

Step Seven - Close the Joint IGAR

1. **Purpose:** This section explains the process of closing the Joint IGAR.
2. **Closing the Joint IGAR:** Once all matters presented to the Joint IG have been thoroughly addressed, completed, corrected, and / or teaching and training completed, the Joint IG closes the case. This process entails several actions to ensure that all details are taken care of and that nothing has been accidentally overlooked. Even though the individual's complaint is completed at this point, the Joint IG needs to ensure closure / closing the loop and send a final reply to the complainant as well as closing the case file with complete case notes -- in both systems, hard copy and electronic as applicable. The Joint IG also needs to be proactive and look for developing trends, especially if this particular matter was not the only time it has been presented to the Joint IG. The following sub-sections detail these requirements.

Section 2.8.1

Step Seven - Close the Joint IGAR Send a Final Reply

1. **Purpose:** This section explains the process of sending the complainant a final reply.
2. **Send a Final Reply:** Closing a Joint IGAR includes providing the complainant a final reply. The response should be helpful, reflect established policies, and state corrective action as appropriate. The response will not contain classified information, information from agencies outside the Joint Command, private information about third parties, unconfirmed or speculative information, information pertaining to the loyalty of an individual, or information that could involve a breach of faith or violate a moral obligation to keep information confidential. The Joint IG will annotate this action in the case file.

The complainant will only get the information pertaining directly to him or her. If the complainant wishes to have more information, he or she must complete a Freedom of Information Act (FOIA) request for unofficial use of Joint IG records. At no time will the Joint IG provide any documents from Joint IG records directly to the requestor.

The final reply provides the Joint IG with an excellent opportunity to teach and train -- especially if the answer does not support the requested outcome by the complainant. Citing or adding excerpts of applicable references which explain the answer adds credibility to the Joint IG's response and often eliminates repetitive questions. The complainant may not like the reply provided by the Joint IG. In this case, the Joint IG must be prepared to attempt to resolve the questionable issues with the complainant. If it becomes apparent that resolution in the complainant's favor is not possible, advise the individual that he or she can request the assistance of an Inspector General at a higher headquarters.

If the final reply is for Congressional, White House, or DoD Hotline correspondence see Chapters 5 through 7 for the procedures.

The final response for an Assistance Inquiry to the complainant may be verbal or written. For Investigative Inquiries or Investigations, the final response to the complainant must be in writing. For more information on responses to subjects or suspects and their supervisors, see Joint IG Investigations Guide. Joint IGs may use the following example memorandums when providing a written final response to the complainant as either the affected party or as a third party.

Sample Final Response Letter to the Complainant -- Affected

(Letterhead)

December 22, 20XX

Office of the Joint Inspector General

Name Here
3030 Anywhere Lane
Anywhere, VA 22060

Dear Name Here:

This letter is in response to your letter dated December 1, 20XX, to the Inspector General concerning your pay problem.

We conducted a thorough inquiry into your request for assistance. Our inquiry determined that the Finance Office was missing the promotion orders they needed to pay you your base pay for the rank of captain. The promotion orders were provided through the personnel system and your pay has been corrected as shown on your last pay statement. (If more than one issue or complaint was provided, address each one in the same order that the complainant listed them in the initial letter or phone call).

We trust this information responds to your concerns.

Sincerely,

(SIGNATURE BLOCK)*

* Usually the Joint IG or Joint Command IG

Sample Final Response Letter to a Complainant -- Third-Party

(Letterhead)

December 22, 20XX

Office of the Joint Inspector General

Name Here
Address Here
City, State 22222

Dear Name Here:

This is a final response to your September 19, 20XX, letter requesting pay correction for your son's base pay due to promotion.

We conducted a thorough inquiry into your complaint. Legislation regarding an individual's right to privacy, however, restricts us from releasing information on an individual's personal affairs to those the Privacy Act classifies as third parties. You are classified as a third party under the act. Therefore, we are precluded from providing a further response to you.

We trust this information responds to your concerns. When contacting this office, please refer to case number xxx 07-0123.

Sincerely,

(SIGNATURE BLOCK)*

* Usually the Joint IG or Joint Command IG

Section 2.8.2

Step Seven - Close the Joint IGAR Close a Joint-IGAR Case File

1. **Purpose:** This section explains the process of closing a Joint-IGAR case file.
2. **Close the Joint-IGAR Case File:** In closing the file, ensure that all relevant documents, including memoranda and collected evidence, are present and included in the file. Review completed actions to ensure that all issues and allegations have been appropriately addressed. The file is complete if another Joint IG, unfamiliar with the case, can determine the extent of the examination conducted and understand the factual content on which the conclusions were based and agree that the inquiry was complete and accurate.
 - a. **Hard (Paper) Copy:** While reviewing the file, check for sticky-notes and other miscellaneous items which are no longer relevant -- since they have been incorporated into the case notes -- and shred them. This will help keep the case file manageable and easier to process when receiving a Freedom of Information Act (FOIA) request pertaining to that case file. Following the review, file the case in accordance with the relevant Joint Staff and Service-related policies.
 - b. **Electronic Case Tracking System:** If the Joint IG office utilizes an electronic system, before closing the electronic case file, review fields such as names and other pertinent search criteria for correct spelling. This will facilitate future automated searches for specific information. Also, check to ensure all applicable documents are attached or stored and maintained in accordance with the relevant Joint Staff and Service-related policies.

Section 2.8.3

Step Seven - Close the Joint IGAR Make Appropriate Reports

1. **Purpose:** This section explains the process of making appropriate reports.
2. **Making Appropriate Reports:** Appropriate reports are based upon the local Inspector General Standing Operating Procedures (SOP). These reports may vary from command to command. Check the local SOP.

Section 2.8.4

Step Seven - Close the Joint IGAR Analyze for Developing Trends

1. **Purpose:** This section explains the process of analyzing for developing trends.
2. **Analyze for Developing Trends:** The final process in closing a Joint IGAR is analyzing trends that may be developing. The Joint IG's objectives are to identify trends that affect the command and to identify and correct systemic problems or potential problem areas. The Joint IG may also provide the Commander and staff with information and insight for their use in improving the command. The below listed items, questions, and guidelines will help the Joint IG to identify trends. Furthermore, most automated case tracking systems incorporate reports which aid in identifying trends.
 - a. Items that a Joint IG should identify:
 - (1) Most frequent categories or topics.
 - (2) Most substantiated or founded categories or topics.
 - (3) Total numbers.
 - (4) Sources of Joint IGARs.
 - b. Questions the Joint IG should ask:
 - (1) Is there anything that suggests the need for a Joint IG Inspection or other command or staff action?
 - (2) How frequently should a Joint IG conduct an analysis? Monthly?
Quarterly?
 - (3) By major category or sub category?
 - (4) Comparing one quarter to the next quarter or to the previous fiscal year's compatible quarter?
 - c. Guidelines the Joint IG should follow:
 - (1) Do not compare units (outside of the Joint IG office). Start the analysis with major categories and work down to sub-categories. Look for good news as well as bad. Be observant for seasonal aberrations.
 - (2) A high level of not-substantiated allegations or unfounded issues may indicate areas that require more information and / or training.

(3) Consult closely with the other Joint IGs in the office on a regular basis to ensure that similar cases are coded (determination and topic identification / naming) in a like manner.

(4) Look first at the coding process to explain wide variations in data.

(5) Look at most frequently substantiated allegations and founded issues in addition to allegations and issues most frequently presented.

Chapter 3

Requests for Assistance and / or Complaints that are Generally Not Appropriate for a Joint Inspector General

- Section 3.1 Non-Service Related Matters
- Section 3.2 Equal Opportunity Complaints
- Section 3.3 Hazardous Work Conditions
- Section 3.4 Issues with Other Forms of Redress
- Section 3.5 Criminal Allegations
- Section 3.6 Allegations Against Senior Officials
- Section 3.7 Allegations Against Members of SAPs and SAs
- Section 3.8 Allegations of Misconduct for a Specific Profession / Professional Advice
- Section 3.9 Non-Support of Family Members
- Section 3.10 Civilian Grievances

Section 3.1

Non-Service Related Matters

1. **Purpose:** This section explains the process for working non-Service related matters presented to a Joint Inspector General.

2. **Non-Service related matters:** In cases where the issues are clearly not Service related, the Joint IG will advise the complainant to present the complaint to the appropriate agency. The Joint IG will still complete the applicable form to capture the request for assistance, thoroughly analyze the complaint for all issues and allegations to ensure that the entire matter is not appropriate for the Joint IG, open a case, and document any action taken. In cases where the issues are not appropriate for the Joint IG, he or she provides as much teaching and training as possible. When the Joint IG refers a case that is not appropriate for action, he or she refers and then closes the case. The Joint IG must acknowledge receipt to the complainant explaining what actions he or she took and what agency should process the complaint.

Listed on the next page is a sample letter of acknowledgment to the complainant in response to a complaint that is not appropriate for a Joint IG.

Sample Acknowledgment to Complainant, Referring to Outside Agency

(Letterhead)

December 2, 20XX

Office of the Joint Inspector General

Name
Street Address
City, State Zip code

Dear Name Here:

We received your letter to the Joint Inspector General dated November 29, 20XX, concerning promotion at your place of work, Company.

The matter you present is under the jurisdiction of the Company and not our Joint IG office. We recommend that you approach your Company's grievance channels to address your concern.

Sincerely,

(SIGNATURE BLOCK)*

* Usually the Joint IG or the Joint Command IG

Section 3.2

Equal Opportunity (EO) Complaints

1. **Purpose:** This section explains the process for working or referring Equal Opportunity complaints.
2. **Equal Opportunity Complaints:** These complaints include areas such as gender, racial, or age harassment or discrimination for military personnel. Since the Equal Opportunity Office normally works these complaints, the Joint IG usually refers the complainant to that office. If the Joint IG is involved in an EO related case then he or she follows the Joint IG Action Process (JIGAP) rather than the Equal Opportunity process to resolve the case. When there is a question of the EO office not following required procedures, then the Joint IG reviews the procedures -- looking at due-process.

When the complainant seeks redress for past alleged discriminatory practices that have become part of official military records, the Joint IG should advise the complainant to seek redress through appeals procedures provided by law or Service-related regulations pertaining to the particular adverse action.

If complaints by civilian personnel include gender, racial, or age harassment or discrimination, refer the complainant to the Equal Employment Opportunity Office (see Section 3.10, Civilian Grievances). The status of the complainant decides where to refer the complainant -- civilian to EEO and military to EO office.

Section 3.3

Hazardous Work Conditions

1. **Purpose:** This section explains the process for working or referring complaints involving hazardous work conditions.
2. **Hazardous Work Conditions:** The Joint IG will advise individuals presenting complaints of hazardous, unsafe, or unhealthy work conditions to follow the procedures outlined in the appropriate Service or command related Safety Program. The Joint IG will not work cases involving hazardous work conditions. However, the Joint IG may look into the reason why a certain hazardous condition is not corrected or why it keeps recurring -- a systemic issue.

Section 3.4

Issues with Other Forms of Redress

1. **Purpose:** This section explains the process for working issues where another form of redress exists.

2. **Issues with other forms of redress:** There are many situations for which law or regulation provides personnel with a remedy or means of redress. The individual must seek that prescribed redress or remedy -- a Joint IG cannot do it for the individual. Some common situations where specific redress, remedy, or appeals procedures are applicable include, but are not limited to, the following:

- a. Courts-martial actions (10 USC, Chapter 47, United States Code of Military Justice).
- b. Non-judicial punishment (Manual for Courts-Martial, Part V, paragraph 7).
- c. Officer evaluation reports / fitness reports
- d. Non-Commissioned Officer evaluation / enlisted performance evaluation
- e. Enlisted reductions
- f. Type of discharge received
- g. Pending or requested discharge
- h. A member has been wronged by the commanding officer
- i. Financial Liability Investigation of Property Loss
- j. Relief for cause
- k. Adverse information filed in personnel records
- l. Claims
- m. Security clearances

The Joint IG does not need to be the subject-matter expert on what redress, remedy, or appeals procedures the member must take, but must recognize if the member's request has a formally established redress process in place before taking action. If the complainant has not followed the initial appeals or redress process, the Joint IG will teach and train the complainant on the applicable redress process and regulations, and may assist with providing other points of contact to facilitate the routing of the appeal. If the complainant, after pursuing the established avenues of redress, still feels an injustice has occurred, the Joint IG can still address his or her concerns. However, the Joint IG's action is limited to a due-process review of the situation to determine if the individual was afforded an opportunity for redress as provided by law or regulation.

**Table 3.4.1
Established Redress and Resolution Paths (Not All Inclusive)**

Type of Issue	Appropriate Agency to Resolve the Issue
<u>Appropriated Fund employees:</u> Conditions of employment (personnel policies, practices, and matters affecting working conditions) Discrimination based on age, race, color, gender, religion, disability, or national origin Reprisal complaints	The servicing Human Resources Office Local Equal Employment Opportunity (EEO) office / representative Direct the complainant to the Office of Special Counsel (OSC) (www.osc.gov) (See Section 3.10 of this guide)
<u>Non-appropriated Fund employees:</u> Conditions of employment Discrimination Reprisal	Servicing Non-appropriated funded Employment Office Refer reprisal allegations to IG DoD (Hotline) (See Section 3.10 of this guide)
Reserve Assignment matters	Appropriate Service Reserve command or Human Resources Command
Military discrimination based on age, race, color, gender, religion, disability, or national origin	Local Equal Opportunity (EO) representative; Commander
Administrative Separations	Appropriate Service
Equal Opportunity in off-base housing	Appropriate Service Housing Referral Office
Landlord complains about a service member	Commander
Service member complains about the landlord	Legal Assistance Office of the OSJA
Claims against the Government	SJA
Correction of military records	Appropriate Service Board for Correction of Military Records
Appeal of Performance Reports, Fitness Evaluations, and Promotion Recommendations	Appropriate Service administrative or personnel support function; Commander; Applicable service regulations for the appeal process.
Support of Dependents	Service member's commander; DFAS (if court order with monetary requirements exists)

Private Indebtedness	Legal; service member's commander
Letter Of Counseling, Letter Of Reprimand, or Article 15 (other than discrimination / reprisal)	Applicable service regulations for the appeal process; Commander; Area Defense Counsel
Punishment under UCMJ	Area Defense Counsel
Article 138, UCMJ (Complaint of Wrong)	Appropriate commander
Hazardous Working Conditions (unsafe or unhealthy)	Appropriate Service or Command Safety channels (See section 3.3 of this guide)
Elimination From Training	Appropriate Service Training Command
Medical Treatment	Servicing Medical Command
TRICARE Complaints	TRICARE Benefits Services Office (www.tricare.mil)
Misuse or abuse of government vehicles	Base transportation or commander
Unprofessional Relationships / Adultery	Commander
Sexual Harassment (Military)	Commander or local EO representative
DoD contractors alleging reprisal	IG DoD (Hotline)
Allegations against Military Defense Counsel	Chief Circuit Defense Counsel or HQ
Anti-Deficiency Act violations	SJA or Appropriate Service Financial Management Branch
Health Insurance Portability and Accountability Act (HIPAA) Issues	Surgeon General; Legal
National Guard Title 32 matters	State JFHQ IG or NGB IG
Commander-Directed Investigations	Review for due-process; Commander; Legal Office
Local Nationals, contractors, or non-DoD civilians	SJA for advice on proper course of action (See Section 3.10 of this guide)
Sexual Assault	Report to law enforcement and to Sexual Assault Response Coordinator (SARC); Commander
Trafficking in Persons	Report to commander and law enforcement

Section 3.5

Criminal Allegations

1. **Purpose:** This section explains the process for working criminal allegations.
2. **Criminal Allegation:** Allegations of a criminal nature are normally not appropriate for Joint IG action. Joint IGs will report criminal allegations to the Joint Commander and the Staff Judge Advocate and then refer them to the DoD IG, the applicable DoD agency, or the respective Service's criminal investigative authorities for action. Coordination or consultation with the appropriate legal advisor is essential in such cases. However, the Joint IG's Directing Authority may still direct the Joint IG to conduct an Investigation or Inquiry into allegations of criminal conduct.

See the [Joint IG Investigations Guide](#) for more information.

Listed on the next page is a sample letter of acknowledgment to the complainant in response to a complaint that has been referred to another agency to resolve.

**Sample Acknowledgment to Complainant, Case Referred with Direct Reply
Authorized**

(Letterhead)

December 2, 20XX

Office of the Joint Inspector General

Name
Street Address
City, State Zip code

Dear Name Here:

We received your letter to the Joint Inspector General dated November 29, 20XX, concerning the theft of your car while parked on the installation.

The matter you present is under the jurisdiction of the [enter the appropriate Service criminal investigative organization]. We referred your correspondence for appropriate action and direct reply to you.

Sincerely,

(SIGNATURE BLOCK)*

* Usually the Joint IG or the Joint Command IG

Section 3.6

Allegations Against Senior Officials

1. **Purpose:** This section explains the process for handling allegations against senior officials.
2. **Allegations Against Senior Officials (SO):** A Joint IG is prohibited from conducting a senior official investigation until the Joint IG has reported the allegations to DoD IG and only if DoD IG has given explicit authority to the Joint IG to proceed. Hence, the Joint IG must report allegations involving senior officials to DoD IG within 5 workdays of receipt. The Joint IG will also notify the respective Department Service IG of the SO allegation per service IG requirements. Furthermore, the Joint IG will not inform his or her Directing Authority of the allegation, especially if it involves the Directing Authority. Nor will the Joint IG record the specifics of the allegation (who by name allegedly did what) in any case tracking system the Joint IG office is using, except that the Joint IG referred an allegation against a Senior Official to DoD IG. See Joint IG Concept and System Guide, and DoD Directive 5505.6, Investigations of Allegations Against Senior Officials of the Department of Defense, for more information.

Section 3.7

Allegations Against Members of SAPs and SAs

1. **Purpose:** This section explains the process for handling allegations against members serving in, or working with, special-access programs (SAPs) and sensitive activities (SAs).

2. **Allegations Against Military and Civilians assigned to, or working with, Special-Access Programs (SAPs) and Sensitive Activities (SAs):** Joint IGs will process Joint IGARs containing an allegation against any personnel assigned to a SAP or SA in accordance with their local policy. For assistance on handling procedures in these areas contact ATSD(IO).

A Special Access Program (SAP) is any DoD program or activity, as authorized in EO 12958, employing enhanced security measures (such as: safeguarding, access requirements, etc.) exceeding those normally required for collateral information at the same level of classification that has been established, approved, and managed as a DoD SAP.

A Sensitive Activity (SA) is an activity or functions in support of such activity, conducted in support of national foreign policy objectives abroad that is planned and executed so that the role of the U.S. Government is neither apparent nor acknowledged publicly; but that is not intended to influence U.S. political processes, public opinion, policies, or media, and does not include diplomatic activities or the collection and production of intelligence or related support functions.

DoD IG has oversight of all DoD activities and programs, including, but not limited to, DoD SAP / SA, pursuant to statutory and regulatory authority. See the Inspector General Act of 1978, as amended; DoD 5200.1-R, DoD Information Security Program and DoDD 5205.07, Special Access Program (SAP) Policy.

Section 3.8

Allegations of Misconduct for a Specific Profession / Professional Advice

1. **Purpose:** This section explains the process for handling allegations of misconduct in a specific professional area.

2. **Allegations of misconduct in a specific profession:** During Step 2, Conduct Joint IG Preliminary Analysis, the Joint IG identifies issues and allegations and decides on a course of action on how best to resolve them. Some allegations will not be easily decipherable, and the Joint IG might have difficulty deciding what standard to use. For example, when a complainant alleges misconduct by someone of a specific profession -- such as a doctor making a wrong medical decision, a lawyer's improper representation in a legal matter, or a recruiter fraudulently processing the initial enlistment contract -- the Joint IG, if he or she is not of this particular profession, might not necessarily know what would be a right or wrong action. Since the Joint IG is not a subject-matter expert in all topics of special interest, some issues or allegations presented to the Joint IG might need special consideration and the assistance of subject-matter experts. In fact, for many of these professional misconduct cases, the Joint IG will refer the case to the subject-matter experts. The following examples, though not all-inclusive, provide references and / or points of contact that will help the Joint IG gather more information.

3. **Lawyers and Legal Counsel:** Joint IGs will refer allegations involving professional misconduct by a lawyer, military or civilian, through the Service-related Legal Advisor to the senior counsel having jurisdiction over the subject lawyer for disposition. Allegations of mismanagement by a member of the Judge Advocate Legal service serving in a supervisory capacity at the time of the alleged mismanagement will be referred for disposition. Once the Service-related Legal Advisor confirms the referral, the Joint IG will close the case. The Joint IG will then notify the complainant that the case has been referred to legal channels. The Joint IG will not monitor the case any further.

4. **Inspectors General:** Complaints which involve the actions of an Inspector General (Joint or Service) while performing IG-specific duties, such as not resolving an Assistance Inquiry or not responding to the complainant, will be reported by confidential means to the next higher Joint or Service-related echelon IG for appropriate action within two workdays after receipt. See the appropriate Service-related policy for the correct procedure.

5. **Chaplains / spiritual guidance:** When a complainant presents issues involving the nature and quality of spiritual or religious counseling or advice from a chaplain, the Joint IG should recommend that the complainant take this issue to the next higher supervisory Chaplain. If there is no clear higher headquarters, the complainant should check with the local installation chaplain's office. Due to the sensitive nature and the complexity of the many various religious beliefs, the Joint IG considers these types of complaints as not appropriate for the Joint IG. The Joint IG advises the complainant to seek another chaplain's advice, and then closes the case.

6. **Service Recruiters:** Examples of recruiter misconduct or impropriety include, but are not limited to, prohibited relationships (social, business, or personal employment with subjects of recruiting efforts), criminal involvement, false documents, misrepresentation, and coercion. The Joint IG should refer cases with allegations against a Service recruiter, to include contract recruiters, to the appropriate higher echelon Service IG.

7. **Medical:** Complaints involving medical issues or allegations should be referred to the appropriate medical agency or command IG. For more information, including POCs, see the applicable medical agency web page or, for TRICARE-specific questions, use <http://www.tricare.mil>.

8. **Service-Related Criminal Investigative Agents:** Any allegations and issues involving a Service-related criminal investigative Special Agent as the subject or suspect should be referred to the appropriate Service-related criminal investigative Inspector General. Examples of special agent misconduct include treating a victim, witness, or suspect without dignity or respect; threatening the victim or suspect; conducting an unauthorized or illegal search of a person or premises; or violations of the Privacy Act by disclosing the victim's identity to unauthorized personnel. However, if the complainant believes that a detective in civilian clothing, who was rude to a witness or tried to ask a victim out on a date, was a special agent but, once identified, was actually a Military Police Investigator, then refer the allegation to the appropriate commander of the Military Police Investigator in question. Keep in mind that the sooner the Service-related criminal investigative IG has visibility on agent misconduct, the better.

9. **Other Considerations:** Even though a complaint might involve someone of a special profession, the issue or allegation might fall outside the specific professional conduct area as discussed previously. For example, a complaint that the doctor, chaplain, and IG used a military vehicle to move personal household goods from one off-post apartment to another is clearly a violation of the Joint Ethics Regulation and is not directly related to the medical, religious, or IG professions. Allegations and issues of these types are still best resolved at that local IG's office, either by the Joint IG or through the appropriate command.

Section 3.9

Non-Support of Family Members

1. **Purpose:** This section explains how to process a non-support request.
2. **Non-Support of Family Members:** The primary Joint IG role is to ensure that the commander is aware of all complaints and takes appropriate action. The complainant has the responsibility of communicating non-support problems through command channels to the member's commander. The Joint IG will refer the complaint to the commander and monitor the situation to ensure that the commander follows the appropriate service-specific regulation. An exception to this procedure occurs when the complainant tells the Joint IG that this is the third time in the past year that he / she has had to come to the Joint IG to help obtain support payments from the military member, a possible allegation of a failure to obey the commander's order to pay family support the first time (a UCMJ violation). In these cases, the Joint IG will refer these additional matters to the command -- possibly the next higher command -- for investigation of allegations against the military member.
3. **Joint Inspector General's Responsibility:** A Joint IG may offer assistance in formulating and routing the complaint. The Joint IG should do the following when presented with a request for family support:
 - a. Joint IGs should control the comments made to the family members being assisted. Do not offer opinions or be judgmental in their presence. Do not take sides.
 - b. Joint IGs can provide assistance to ensure that the immediate needs of the family are met (shelter, food, medical care, etc.) by referring the family member to appropriate agencies.
 - c. Determine if the family member or other dependent has forwarded a complaint through command channels informing the service member's commander of the problem. If not, offer assistance in formulating and properly routing the complaint to ensure that the commander is made aware of the situation.
 - d. If the complainant has already corresponded with the commander, continue assistance only if the responsible commander has not responded in accordance with applicable regulations. In the case where the commander is not in the immediate area, use Inspector General technical channels but only to the extent necessary to ascertain that the commander has fulfilled his or her obligations as required by law or regulation.
 - e. If the Joint IG continues to provide assistance, inform the complainant that the Joint IG may need to release personal information (social security numbers, address, etc.) in order to resolve the issue. Obtain written consent to release this information.
 - f. When in doubt read the appropriate Service-related instructions and contact the SJA.
 - g. Paternity and child custody issues will all be referred to the appropriate Commander for action.

Section 3.10

Civilian Grievances

1. **Purpose:** This section explains different civilian categories and how Joint IGs process civilian grievances.
2. **Civilian Categories:** Just as the military has different regulations for the different services (Marine Corps, Air Force, etc.) and for the different components (Active, National Guard, Reserve), civilians also have various statuses and, hence, fall under different rules. Though the Joint IG still uses the same seven-step IGAP to address matters presented to him or her by a civilian, the Joint IG needs to be careful when addressing civilian matters as the Joint IG may inadvertently deprive an employee of his or her right to due process. Hence, several matters presented to a Joint IG by a civilian may not be appropriate for the Joint IG to address directly, but, rather, to refer the complainant to the appropriate agency.
 - a. **Appropriated Fund Employees:** Appropriated Fund employees are U.S. citizens paid from funds appropriated by Congress and governed by Federal civil service laws. Appropriated Fund employees include General Schedule (GS) civilians and civilians under the National Security Personnel System (NSPS) working in DoD or in specific services such as the Army and Navy. The Office of Personnel Management (OPM) administers the laws governing Appropriated Fund employees.
 - b. **Non-Appropriated Fund Employees:** Non-Appropriated Fund (NAF) employees are paid from funds generated through the sale of goods and services. They are civilians, usually from the local labor market, or off-duty U.S. military personnel who compete for employment on the basis of merit. NAF employees play an important role in providing morale and recreation services to military personnel and their family members. Clubs, guest houses, child-care centers, craft shops, bowling centers, swimming pools, gymnasiums, and many other NAF activities employ a considerable number of employees at most military installations. Service-related regulations establish policies and procedures applicable to NAF employees. These policies are designed to maintain uniform, fair, and equitable employment practices in keeping with the military's traditional concept of being a good employer. HR provides guidance and personnel support to NAF managers who are responsible for administering the NAF personnel program.
 - c. **Local / Foreign Nationals:** Local National employees are normally hired to work in overseas duty stations such as South Korea and Germany. Federal law and DoD policy are consistent with the applicable Status of Forces Agreements (SOFAs) that form the basis of these employment systems. Within this framework, administration must be consistent with host-country practices, with U.S. law, and the management needs of the military based upon Department of Defense requirements.
 - d. **Third Country Nationals (TCN):** Third Country National employees may also approach the Joint IGs stationed overseas. Some common complaints may include trafficking in persons and labor issues such as pay and safety. Depending on the individual's affiliation (employer), resolution paths may be covered by applicable laws,

SOFAs, policies, or contracts. Seek guidance from contracting officers / representatives and legal counselors in these areas.

e. **Contractors:** Contractors generally provide services, products, or product support as outlined in a specific contract. The Joint IG must analyze the substance of complaints and requests for assistance from contractors involved in commercial activities, procurement activities, or contracting to determine if the complaints are proper for Joint IG action. Contract-related complaints could cover various topics: someone outside the contract complaining about the contract or contractors not fulfilling the requirements for which they are being paid; unfair awarding of the contract; unfair hiring practices by the contractor (nepotism); contractor complaints about the military or government not fulfilling their requirements, not getting paid, or not getting paid in a timely manner; or individual complaints from people working for the contractor concerning promotions, pay, leave accountability, overtime, time cards, supervisors inactions, discrimination, harassment, etc.

The Joint IG may render general requests for assistance. This assistance may include referring contractors to the appropriate agency for a specific issue since most contract-related matters normally have their own avenues for redress usually outlined in the contract. The Joint IG should check with the Contracting Officer Representative (COR) or the Contracting Officer (CO) for specific guidance. Also, someone in the SJA office should be able to sort through the contract to help answer some of these questions. For complaints involving fraud, waste, or mismanagement, an audit (possibly by the Internal Review and Audit Division) might be able to identify the problem.

Be cautious not to tell contractors to change certain procedures or practices since these changes might incur additional costs that the Joint IG is not authorized to approve or obligate.

f. **Not DoD-employed Civilians:** Anyone may present matters of military interest to the Joint IG, including civilians who are not directly associated with the military or any of its agencies. For example, a civilian can be a third-party complainant such as a parent requesting assistance for the military son or daughter possibly deployed overseas with a pay problem. Or, a person may have noticed a military vehicle used to move furniture between off-post apartments. Both examples are Joint IG appropriate.

3. **General Types of Civilian Complaints:** Code of Federal Regulations, Department of Defense Civilian Personnel Manual (CPM), Service-related Regulations, and local collective bargaining agreements include procedures for processing grievances, appeals, and Equal Employment Opportunity (EEO) complaints. These complaints pertain to all aspects of employment. The Joint IG's role in these cases usually involves determining the nature of the complaint and where the person should take the complaint for action. In most situations, these complaints are not appropriate for Joint IG action except to ensure due process unless they fall into the fifth category below (paragraph e).

a. **Grievances:** Refer grievances such as promotion and hiring matters within the purview of the DoD Civilian Personnel Manual and the local collective bargaining agreement to the Chief, Human Resources (HR) / Civilian Personnel Office (CPO) for information and assistance.

b. **Appeal for Adverse Action:** Refer appeals for adverse action within the purview of 5 U.S.C., Sections 7701 through 7703 to the Chief, Human Resources (HR) / Civilian Personnel Office (CPO) for information and assistance. The Joint IG will advise the employee of procedures and timelines provided by regulation. If the complainant, while understanding due process and presenting valid reasons for not exercising the employee grievance channel, insists on Joint IG involvement, the Joint IG may, as an exception to policy, accept the Joint IGAR and work it. The Joint IGAR should be in writing. If a locally negotiated grievance procedure exists, it must be used. A Joint IG Inquiry or Investigation can only determine the facts of the case. Subsequent correction of the record or change of a personnel action may still require submission of a request by the civilian to the appropriate agency.

c. **Equal Employment Opportunity (EEO):** These include complaints such as discrimination, harassment, intimidation for filing such a complaint, and reprisals for protected EEO activity, within the purview of 29 Code of Federal Regulations (CFR), 1614. Advise the complainant to contact the EEO officer or counselor for information and assistance in processing the complaint. EEO representative must be contacted by the complainant within 45 calendar days of an EEO-related incident.

d. **Whistleblower Reprisal:** Refer the complainant with complaints of retaliation or reprisal (Whistleblower) within the purview of 5 U.S.C., 2301 and 2302 to the Office of Special Counsel (OSC). In the case on Non-Appropriated Fund employees, refer them to Inspector General, DoD.

e. **Matters Not Directly Affecting the Individual:** Civilian complaints involving matters that do not directly affect the employment, situation, or well-being of the individual will be worked by the Joint IG. Examples include complaints or allegations by third parties and reports of alleged misconduct, mismanagement, or other matters requiring command attention.

4. **Joint Inspector General Actions:** As in all cases, the Joint IG will thoroughly analyze the entire complaint to determine if the request is appropriate for the Joint IG. This includes looking for systemic issues or trends that might be Joint IG or command appropriate. If the issues are Joint IG appropriate, the Joint IG will provide the necessary assistance. If not, he or she will refer the complainant or the matter to the appropriate agency. Furthermore, the Joint IG will document the case annotating the referral of the complainant to the appropriate agency.

If there is a procedure or system in place with the Chief, Human Resources (HR) / Civilian Personnel Office (CPO), Equal Employment Opportunity (EEO) Office, or a labor union, the Joint IG must know the applicable procedure or system (e.g., written policy, negotiated agreement, etc.) as it relates to the grievance procedures. The Joint IG needs to be careful when addressing civilian matters as the Joint IG may inadvertently deprive an employee of his or her right to due process. The Joint IG should consult the following individuals and documents as necessary:

- a. Staff Judge Advocate (SJA)
- b. Chief, Human Resources (HR) / Civilian Personnel Office (CPO)
- c. Equal Employment Opportunity (EEO) Office
- d. Service-related Regulations and Public Laws

Chapter 4

Considerations

Section 4.1 Withdrawn Complaints

Section 4.2 Complaints Not Received in a Timely Manner

Section 4.3 Habitual Complainants

Section 4.4 Abusers of the IG System

Section 4.1

Withdrawn Complaints

1. **Purpose:** This section explains the procedures for processing a complainant's request to withdraw a complaint.
2. **Withdrawn Complaints:** At no time will the Joint IGs suggest that a complainant withdraw a complaint. Nevertheless, at any point following receipt of a complaint, the complainant or the initiator may ask to withdraw the Joint IGAR. The Joint IG will ask the complainant why he or she wants to withdraw the complaint. Possible reprisal, coercion, or duress are issues of concern for all Inspectors General. Furthermore, the Joint IG will ask the complainant to present his or her withdrawal request in writing for proper documentation.

The Joint IG then decides whether or not to continue looking into the matter originally presented based on the best interests of the Service or the command. If the Joint IG decides to continue the case, he or she does not require the permission of the complainant. The Joint IG will ensure that the case name on the applicable documents and database entries are a generic title and not the name of the complainant. In addition, the Joint IG will not provide further responses to the complainant pertaining to the issues from this original request.

When a person who withdraws a complaint provides information about impropriety or wrongdoing, the Joint IG may disclose the complainant's identity to Joint IGs, the supporting legal advisor, and to the Directing Authority without the complainant's consent unless the Joint IG determines that such disclosure is unnecessary or prohibited during the course of an inquiry or investigation. The Joint IG must keep the Privacy Act and the Freedom of Information Act in mind.

Section 4.2

Complaints Not Received in a Timely Manner

1. **Purpose:** This section explains the procedures for processing a Joint IGAR not received in a timely manner.
2. **Complaints not received in a timely manner:** Complaints should be presented to a Joint IG in a timely manner in order to be resolved effectively. A Joint IG is not required to look into a complaint if the complainant has failed to present the matter to an IG within one year of learning or becoming aware of an alleged problem or wrongdoing or if more than three years have elapsed since the date of the problem or wrongdoing. In accordance with DOD Instruction 5106.05, Combatant Command Inspectors General – Implementing Procedures, an allegation that does not contain adequate information to pursue may become IG inappropriate. Many allegations that are outside of the time limit may have a difficult time in providing adequate information required for an IG to pursue them.

In all untimely cases, the Joint IG will thoroughly analyze the complaint for all issues and allegations and open a case. If the matter presented is untimely and no extenuating circumstances or reasons for special considerations exist, the Joint IG informs the complainant that the request is not timely and closes the case.

Joint IGs may accept complaints submitted three years after the alleged wrongdoing where extraordinary circumstances justify the complainant's delay in reporting the matter or in cases of special interest.

Example: A complainant submits a Joint IGAR to a Joint Inspector General that is four years old. The Joint IG will thoroughly analyze the entire complaint for issues and allegations. If the Joint IG does not see any extenuating or special circumstances, the Joint Inspector General will inform the complainant that the Joint IGAR is untimely, annotate such in the case file, and close the case. If the Joint IG thinks there is enough evidence and extenuating or special circumstances to work the case, then the Joint IG may continue with the inquiry or investigation.

3. **Exceptions:** This time limit does not give Joint IGs the authority to decline a referral from IG, DOD, or a Member of Congress (MoC) (see Chapter 5 of this guide); in addition, the time limit does not apply to the requirement to report allegations against senior officials (see Chapter 3, Section 3.6, of this guide).

Section 4.3

Habitual Complainants

1. **Purpose:** This section explains the process of receiving a Joint IGAR from a habitual complainant.

2. **Habitual Complainants:** Some complainants will repeatedly bring complaints to a Joint IG. Some complaints will be new while others will be matters previously handled by the Joint IG. The Joint IG must thoroughly analyze each complaint received for all issues and allegations even if presented by the same person.

a. If the Joint IG has worked the case before, he or she may choose not to reopen the case as long as the information presented does not change the outcome or conclusion as previously determined. However, the Joint IG will update the case notes to reflect the additional inquiry and resulting actions.

b. If the new information received changes the outcome or conclusion as previously determined of an already closed case, the Joint IG reopens the case and amends the opinion, judgment, or conclusion. The Joint IG must get approval from the Directing Authority prior to doing so, as well as another legal review if required. The file includes one copy of the requested amendment, the original report, recommendations whether to grant or refuse the amendment, and any supporting rationale or evidence.

c. If this complaint does not pertain to a previous case, the Joint IG will open a new case and resolve it.

Do not automatically reject the complainant's communication without first analyzing the correspondence for new matters.

Section 4.4

Abusers of the IG System

1. **Purpose:** This section explains the process of receiving a Joint IGAR from abusers of the IG system.

2. **Abusers of the IG System:** Since complainants have the responsibility to present truthful information concerning allegations or other information, the Joint IG must assume that each complaint received is legitimate and worthy of further inquiry. If a complainant has a documented history of submitting baseless and unfounded issues and allegations, or has presented a pattern of complaints that are false, malicious, deceptive, and defamatory, the Joint IG may require the complainant to present any and all subsequent matters in writing only. The IG should obtain the Directing Authority's approval prior to imposing this requirement via written notification to the complainant. Furthermore, since some people try to work more systems at once, the Joint IG can coordinate with the applicable service IG.

Chapter 5

Congressional Inquiries

1. **Purpose:** This section explains how Joint Inspectors General process Congressional Inquiries.

2. **Congressional Inquiries:** Constituents (i.e., Service member, family member, or other civilian) may contact a Member of Congress (MoC) with a complaint or requesting an answer or assistance. The MoC usually sends that request -- on behalf of the constituent -- through a legislative liaison / affairs office that sends the request either to the command or to the IG.

3. **Congressional Inquiries in Inspector General Channels:** The Joint IG can receive MoC inquiries from one of several ways:

- a. Directly from the MoC.
- b. Directly from Joint Staff Deputy IG.
- c. Directly from the COCOM IG.
- d. Directly from the Joint Command's legislative liaison / affairs office

In all cases, the Joint IG should coordinate their response with the joint command's legislative liaison / affairs office. All responses will go to the MoC and not the complainant. The MoC will notify the complainant involved.

For IG Congressional Inquiries, the Joint IG, as the Office of Inquiry, will **not** provide a final response to the complainant as ordinarily done during Step Seven (Close the Joint IGAR, Provide a Final Reply) of the Joint IGAP. Instead, the Joint IG provides a complete response through the legislative liaison / affairs office to the Member of Congress who responds to the constituent.

When receiving a Congressional, the Joint IG should coordinate with their local chain of command and the local command legislative liaison / affairs office to see if this particular matter had already been addressed being careful to protect the complainant's confidentiality. If so, then the Joint IG reviews the matter and actions taken and, if properly addressed and / or resolved, uses this information to respond to the Congressional Inquiry.

4. **Congressional Inquiries in Command Channels:** The local legislative liaison / affairs office should also coordinate with the IG before answering Congressional Inquiries through the command channels to see if the IG has already addressed the same matter. If so, the Congressional Inquiry may then be redirected through the Joint IG channels.

5. Specific Procedures: Procedures for handling or responding to Congressional Inquiries may vary from command to command. Joint IGs should check their local operating procedures.

Remember, when preparing the response, Joint IGs must be sensitive to the requirements of the Privacy Act. Without the individual's signed consent, PA restrictions generally apply.

Chapter 6

White House Inquiries

1. **Purpose:** This section explains how Joint Inspectors General process White House Inquiries.

2. **White House Inquiries in Inspector General Channels:** White House inquiries may include requests from constituents to the President, the Vice President, or their spouses. The Joint IG can receive White House inquiries from one of several organizations:

- a. White House Liaison Office (WHLO)
- b. Joint Staff Deputy IG
- c. Higher Joint IG
- d. Joint IG's legislative liaison / affairs office

The Joint Inspector General will then work the case by conducting an Assistance Inquiry, Investigative Inquiry, or Investigation as required to resolve the matter presented. All responses will go to the White House Liaison Office.

3. **Specific Procedures:** Procedures for handling / responding to White House Inquiries may vary from command to command.

When preparing the response, Joint IGs must be sensitive to the requirements of the Privacy Act. Without the individual's signed consent, PA restrictions generally apply.

Chapter 7

DoD IG Hotline Referrals

1. **Purpose:** This section describes the processing of DoD Hotline Referrals.
2. **General:** The DoD Inspector General Hotline forwards the DoD IG Hotline cases to the applicable IG, i.e. service IGs, Joint Staff IG, Defense Agencies (such as Defense Commissary Agency, Defense Logistics Agency, Defense Contract Audit Agency, etc.), and other Federal IGs as applicable. The Defense Hotline does the initial acknowledgement to the complainant and advises the complainant that if he or she wishes to know the results of the case, he or she must submit a Freedom of Information Act (FOIA) request.
3. **Types and Timelines:** DoD IG determines if a case will be "Action" or "Information." The DoD IG Hotline assigns the primary case number, which is a six-digit number.
 - a. **Information Cases:** Information cases are referred to the appropriate Joint Inspectors General with a 180-day suspense. If an allegation is substantiated or an issue founded, the Joint IG office working the case must forward a DoD Hotline Completion Report to DoD Hotline.
 - b. **Action Cases:** Action cases are referred to the appropriate Joint IG. All action cases must be addressed. The Joint IG coordinates with DoD Hotline when a question of jurisdiction arises to see if the case should be referred to another agency or IG office.

If a Hotline complaint is referred for action, the suspense is 90 calendar days. Action referrals requiring audit or criminal investigation are assigned a 180-day suspense. If the Defense component cannot meet the assigned suspense, a progress report is required. Progress reports must be in writing, state the reason for the delay and the anticipated completion date. For referrals that require a criminal investigation or audit, the extension request must include the date the investigation or audit began or is scheduled to begin.
4. **Reference:** DoDI 7050.01, Defense Hotline Program, describes this process and the requirements for the Progress Reports and the Hotline Completion Reports.

Appendix A

Glossary

Allegation: An allegation is a statement or assertion of wrongdoing by an individual formulated by the IG. An allegation contains five essential elements: Who, improperly did What, to Whom, in violation of What order, regulation, or policy, and When. An allegation is either substantiated or not substantiated.

Assistance: The process of receiving, inquiring into, recording, and responding to complaints or requests for assistance either brought directly to the Joint Inspector General or referred to the Joint Inspector General for action concerning matters of Command interest.

Assistance Inquiry: An informal fact-finding process used to address or respond to a complaint involving a request for help, information, or issues but not allegations of impropriety or wrongdoing. An Assistance inquiry may simply provide the facts to answer a question posed by the complainant.

Complainant: A person who submits a complaint, allegation, or other request for assistance to a Joint IG.

Complaint: An expression of dissatisfaction or discontent with a process or system.

Directing Authority: Any official who has the authority to direct an IG investigation or inspection is a Directing Authority. Directing Authorities can be the Secretary of Defense; the Deputy Secretary of Defense; The Inspector General, DoD; or Joint Commanders. Commanders and Directors who are authorized detailed IGs on their staffs may direct IG investigations and inspections within their commands. Only the Secretary of Defense, Deputy Secretary of Defense, or the Inspector General of DoD may direct investigations or inspections within subordinate commands or agencies.

Foreign National: Generally refers to anyone who is a citizen of a country other than the U.S. See Local National.

Frivolous: As used in this guide, a frivolous allegation is one that fails to allege facts that, if true, would constitute a violation of a standard whether defined by statute, regulation, or custom of service.

Hotline: A formal method of receiving Inspector General complaints, queries, or disclosures of wrongdoing. Hotlines are typically automated (electronic, telephonic, etc.) with 24-hour accessibility.

Joint IG Action Request (Joint IGAR): Joint IGAR is the term used to refer to the complaints or requests either brought directly to the Joint IG or referred to the Joint IG for action. Joint IGs record this information on the appropriate local inspector general action request form.

Joint IG Investigation: A formal fact-finding examination by a Joint IG into allegations, issues, or adverse conditions to provide the Directing Authority a sound basis for decisions and actions.

Joint IG Investigative Inquiry: An informal fact-finding examination by a Joint IG into allegations, issues, or adverse conditions. The investigative inquiry is a process followed by Joint IGs to gather information needed to address allegations of impropriety against an individual that do not require a formal investigation.

Issue: An issue is a request for information or a request for assistance to the Inspector General that does not list a “who” by name as the violator of a standard or policy. An issue is either founded if it has merit and requires resolution or unfounded if it does not have merit and requires no action.

Local National: Generally refers to someone who is a citizen of the country (not the U.S.) in which U.S. forces are stationed or are operating. See Foreign National.

Office of Inquiry (OoI): If another Joint IG office refers an Joint IGAR to a vertical lower-echelon IG office for action but retains office of record status, the IG office acting on the Joint IGAR becomes the office of inquiry. The OoI must gather all pertinent information and submit the completed case to the office of record for final disposition.

Office of Record (OoR): Normally the Joint IG office that receives the complaint. This office may request to refer the office of record status to another IG office if the case falls under another’s IG area of command. The OoR must ensure that all issues are addressed and all IG responsibilities were fulfilled.

Preliminary Analysis: The process for determining the most effective strategy to resolve the issues raised by the complainant’s assertion. It is a preliminary review of assertions and evidence to determine the potential validity and relevance of the assertion to the Joint IG and to determine what action, if any, in IG, supervisory, or other channels is necessary.

Refer: A complaint is referred when an analysis of the Joint IGAR determines that a certain section, directorate, division, agency, or organization other than the Joint IG receiving the Joint IGAR should primarily resolve the matters presented.

Resolution Process: The process by which Joint IGs resolve Joint Inspector General Action Requests (Joint IGARs).

Senior Official (SO): Active duty, retired, Reserve, or National Guard military officers in grade O-7 above, or selected for promotion to grade O-7; current and former members of the Senior Executive Service (SES); other current and former DoD civilian employees whose positions are deemed equivalent to that of a member of the Senior Executive Service; and current and former Presidential Appointees.

Sensitive Activity (SA): Any activity or functions in support of such activity, conducted in support of national foreign policy objectives abroad that is planned and executed so that the role of the U.S. Government is neither apparent nor acknowledged publicly; but that is not intended to influence U.S. political processes, public opinion, policies, or

media, and does not include diplomatic activities or the collection and production of intelligence or related support functions.

Special Access Program (SAP): Any DoD program or activity, as authorized in EO 12958, employing enhanced security measures (such as: safeguarding, access requirements, etc.) exceeding those normally required for collateral information at the same level of classification that has been established, approved, and managed as a DoD SAP.

Status: The category or component of which a person is a part of for pay purposes (Active Duty, Guard / Reserve, retired, etc.); the Service (Navy, Air Force, etc.); the civilian category (appropriated funded employee, contractor, etc.).

Subject: A person against whom non-criminal allegations have been made such as a violation of a local policy or regulation that is not punitive.

Suspect: A person against whom criminal allegations were made. The allegations include violations of the UCMJ, punitive regulations, or violations of other criminal laws.

Third Country National (TCN): Refers to someone who is neither a US citizen nor a citizen of the country to which assigned for duty or employment. For example, we (the U.S.) through contractors, hire citizens of other countries (e.g., the Philippines) to perform various functions within currently stationed country (e.g., Iraq).

Transfer: A complaint is transferred when an analysis of the Joint IGAR determines that a Joint IG other than the one receiving the Joint IGAR should resolve the matters presented.

Wrongdoing: A violation of the law, regulation, policy, procedure, operating instruction, or custom of service.

Appendix B

References

DoDD 5106.04, Combatant Command Inspectors General

DoDI 5106.05, Combatant Command Inspectors General Implementing Procedures

DoDD 5505.6, Investigations of Allegations Against Senior Officials in the Department of Defense

DoDI 7050.01, Defense Hotline Program

CJCSI 5901.01B, Joint Staff Inspector General Responsibilities, Procedures, and Oversight Functions

JSM 5711.01D, Joint Staff Correspondence Preparation

AFI 90-301, Inspector General Complaints Resolution

AR 20-1, Inspector General Activities and Procedures

SECNAV Instruction 5430.57G, Mission and Functions of the Naval Inspector General

IGMC Assistance and Investigations Manual

Joint Inspector General Concept and System Guide

Joint Inspector General Inspections Guide

Joint Inspector General Investigations Guide

AFI: Air Force Instruction

AR: Army Regulation

DoDD: Department of Defense Directive

DoDI: Department of Defense Instruction

CJCSI: Chairman of the Joints Chief of Staff Instruction

JSM: Joint Staff Manual

SECNAV: Secretary of the Navy

IGMC: Inspector General Marine Corps

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