



INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
4800 MARK CENTER DRIVE
ALEXANDRIA, VIRGINIA 22350-1500

September 20, 2013

INSPECTOR GENERAL INSTRUCTION 5106.2

ORGANIZATION AND FUNCTIONS

FOREWORD

This Instruction provides an organizational and functional overview of the Department of Defense Office of Inspector General. The Office of Inspector General Components are responsible for ensuring their mission and functions are accurately described in this Instruction.

This Instruction must be reissued, cancelled, or certified current within 5 years of its publication date, in accordance with DoD Instruction 5025.01, *DoD Directives Program*. If not, it will expire 10 years from its publication date and will be removed from the Office of Inspector General website.

The office of primary responsibility for this Instruction is the Office of Administration and Management. This Instruction is effective immediately.

FOR THE INSPECTOR GENERAL:

A handwritten signature in black ink, appearing to read "SD Wilson", is positioned above the typed name.

Stephen D. Wilson
Assistant Inspector General
for Administration and Management

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ORGANIZATION AND FUNCTIONS

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CHAPTER 1 GENERAL

- A. Purpose.** This Instruction provides an organizational and functional overview of the Department of Defense Office of Inspector General (DoD OIG).
- B. References.** See Appendix A.
- C. Acronyms.** See Appendix B.
- D. Cancellations.** This Instruction supersedes IGDG 5106.1, *Organization and Functions Guide*, March 12, 2001, and assigns the new number, IGDINST 5106.2. See Appendix C for policy memorandum cancellations related to this Instruction content.
- E. Applicability.** This Instruction applies to the Office of Inspector General.
- F. Clarification.** For simplicity:
1. Service members, appropriated fund employees, and nonappropriated fund instrumentality employees are referred to collectively as "employees," unless otherwise specified. This term specifically excludes contractor employees, unless specifically provided.
 2. The Office of the Secretary of Defense (OSD); the Military Departments; the Chairman of the Joint Chiefs of Staff and the Joint Staff; the Combatant Commands; the DoD OIG; the Defense Agencies; the DoD Field Activities; and all other organizational entities in DoD are referred to collectively as the "DoD Components."
- G. Revision Guidance.** Component Heads and Office Directorates may submit revisions to the Office of Administration and Management Front Office. Component or Office chapters and sections may be revised without requiring a full coordination of this Instruction. The updated chapters and sections will be annotated with an issuance date different from the original issuance date.
- H. Nomenclature.** Component and Office titles named in this Instruction will be used consistently throughout OIG communications.
- I. Background.**
1. The Fiscal Year 1983 Defense Authorization Bill, which amended the *Inspector General Act of 1978*, reference (a), established a statutory Inspector General of the DoD (hereafter referred to as the Inspector General (IG)), with the same independence as all other federal statutory inspectors general. The OIG statutory mission is embodied in this Act, and further delineated in references (b) and (c).

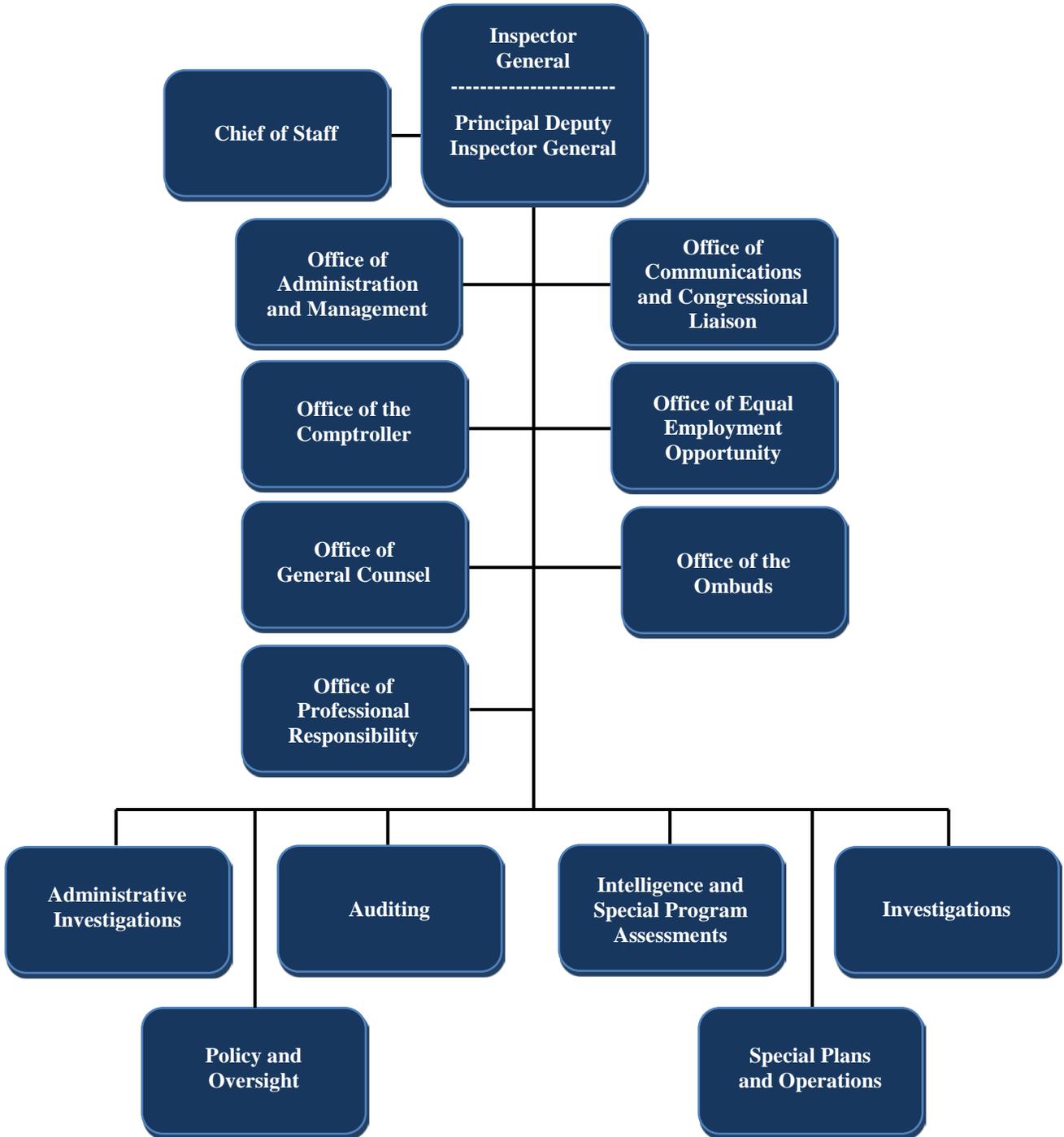
2. The IG, a civilian appointed by the President with the advice and consent of the Senate, serves as the head of the OIG, an agency comprised of auditors, evaluators, investigators, and support employees.

3. The OIG Components are established by the IG, with the resources assigned by the Secretary of Defense or by statute.

4. The OIG Components follow quality standards and principles set forth in references (d) and (e).

**CHAPTER 2
OFFICE OF INSPECTOR GENERAL**

A. Organization.



B. Mission. The OIG promotes integrity, accountability, and improvement of employees, programs, and operations to support the DoD’s mission and to serve the public interest.

C. Functions. The following are broad functions accomplished by the OIG:

1. Investigates fraud, waste, and abuse uncovered by contract and internal audits; evaluations; DoD Hotline referrals; contractor disclosures; referrals from the Department of Justice/Federal Bureau of Investigation or other law enforcement entities; requests from the Office of Special Counsel; or discovered by other means.

2. Operates the DoD Hotline Program and directs its implementation in the DoD Components; receives and investigates complaints or information on the possible violation of laws, rules, or regulations, mismanagement, waste of funds, abuse of authority, or danger to the health and safety of employees.

3. Maintains a whistleblower protection program in the DoD to encourage employees to report fraud, waste, and abuse.

4. Initiates, conducts, supervises, and coordinates audits, investigations, evaluations, and inspections within the DoD, including the DoD Components, as appropriate. Monitors the DoD Components internal audit, investigation, evaluation, and inspection activities with a view towards avoiding duplication and ensuring effective coverage, coordination, and cooperation. Within the OIG, to avoid duplication and to ensure effective coordination and cooperation, prior to a Deputy Inspector General (DIG) undertaking an activity involving “primary jurisdiction” of one or more DIGs, the undertaking DIG will first consult with any other DIG with primary jurisdiction in order to establish the following:

- a. appropriateness of undertaking the action, and
- b. roles and responsibilities for each affected DIG.

5. Receives and investigates allegations of misconduct made against senior DoD officials.

6. Investigates computer intrusion matters affecting the Global Information Grid, as considered appropriate.

7. Develops policy, monitors, and evaluates criminal investigative program performance, and provides guidance to the DoD Components on criminal investigative matters.

8. Provides policy direction for DoD audits and investigations on program results, financial status, economy and efficiency, compliance with laws and regulations, and evaluates the quality of audits performed by state and local government auditors and public accounting firms under the provisions of reference (f).

9. Establishes instructions for the use of nonfederal auditors and ensures their work complies with reference (g).
10. Monitors and evaluates DoD auditors' adherence to internal audit, contract audit, and internal review principles, policies, and procedures.
11. Develops audit followup policy, evaluates followup performance, and reports to the Secretary of Defense and the Congress on DoD Component actions taken in response to the Government Accountability Office (GAO) reports, DoD contract audits, internal audits, internal reviews, and OIG evaluations.
12. Reviews existing and proposed legislation and regulations on DoD programs and operations. Makes recommendations regarding their impact on the economy and efficiency of, or the prevention and detection of, fraud, waste, and abuse in DoD programs and operations.
13. Recommends policies for, conducts, supervises, or coordinates activities performed or financed by the DoD to promote economy and efficiency and to prevent and detect fraud, waste, and abuse.
14. Recommends policies for, conducts, supervises, or coordinates relationships between the DoD and other federal agencies, state and local government agencies, and nongovernment entities on:
 - a. The promotion of economy and efficiency in the DoD operations and the prevention and detection of fraud, waste, and abuse in the programs and operations administered or financed by the DoD.
 - b. The identification and prosecution of perpetrators of fraud, waste, and abuse cases.
 - c. Criminal investigative programs.
15. Issues subpoenas for information, documents, reports, answers, records, amounts, papers, and other data necessary to perform assigned functions and issues testimonial subpoenas in support of assigned functions.
16. Evaluates, monitors, and reviews the DoD intelligence community programs, policies, procedures, and functions to ensure intelligence resources are properly managed.
17. Receives and evaluates, consistent with section 8H of reference (a), complaints or information reported to Congress, by an employee or contractor of the Defense Intelligence Agency; National Geospatial-Intelligence Agency; National Reconnaissance Office; or National Security Agency/Central Security Service.
18. Submits the Semiannual Report to Congress through the Secretary of Defense. The report summarizes the initiatives of the IG and the DoD Components to prevent, detect, and respond to fraud, waste, and mismanagement.

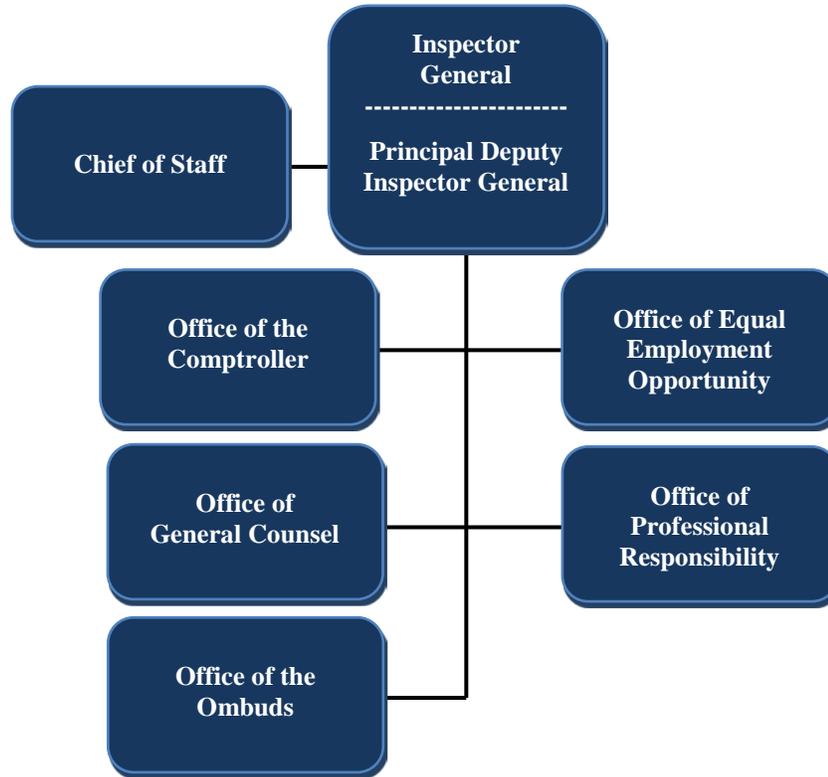
19. Reports apparent violations of criminal law to the Attorney General of the United States including the Department of Justice and United States Attorney's Offices. For apparent Uniform Code of Military Justice violations, reports to the Secretary of the Military Department concerned or the Secretary of Defense.

20. Immediately reports to the Secretary of Defense allegations of particularly serious or flagrant problems, abuses, or deficiencies. Allegations will be presumed to be particularly serious or flagrant if they:

- a. have been reported or are about to be reported in the press;
- b. have been briefed or are about to be briefed at or above the four-star uniform or civilian equivalent level; or
- c. are the subject of congressional hearings or correspondence from either the chair or ranking member of any congressional committee.

CHAPTER 3 FRONT OFFICE

A. Organization.



B. Senior Leadership.

1. Inspector General.

- a. Exercises the functions, powers, and duties of an agency head and appointing authority under the provisions of reference (a). Performs all of other duties the Secretary of Defense may request consistent with reference (a) and other applicable laws and regulations.
- b. Organizes, directs, and manages the OIG agency and its resources.
- c. The IG may delegate functions in writing or as provided by law or regulation.
- d. Advises the Secretary of Defense on audit and criminal investigative matters on the prevention and detection of fraud, waste, and abuse in DoD programs and operations.
- e. Encourages coordination and communication between the DoD and OIG Components, as well as other government agencies and entities affected by OIG operations and programs.

f. Speaks at various events providing information about the role, charter, current operations, and significant events of the OIG, and other topics of professional interest.

g. Serves as a member of the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

h. Chairs the Defense Council on Integrity and Efficiency (DCIE).

i. Serves as an advisor to the DoD Ethics Council.

j. Authorizes the publication of advertisements, notices, or proposals in newspapers, magazines or other public periodicals for the effective OIG administration and operation.

k. Designates the OIG security sensitive positions.

(1) Authorizes OIG employee appointments to sensitive positions for limited periods, pending security clearance completion.

(2) Authorizes access suspension to classified information by an employee in the interest of national security.

l. Exercises original security classification authority.

m. Authorizes selected OIG employees to carry firearms and to be credentialed in accordance with (IAW) their assigned duties and responsibilities.

n. Authorizes and delegates authority to approve travel and associated costs for the OIG employees IAW references (h) and (i).

o. Authorizes and delegates authority for support and service agreements with the DoD Components and other government agencies.

p. Communicates the OIG's commitment to ensuring equality of opportunity in employment by issuing a signed policy statement annually, which declares the agency's position against discrimination in the workplace.

q. Reviews and evaluates senior leadership performance in such a manner as to assure a vigorous enforcement of the OIG's Equal Employment Opportunity (EEO) program.

r. Serves as the appointing authority for OIG Senior Executive Service (SES) members or positions.

2. Principal Deputy Inspector General.

- a. Acts for the IG, as required, during the absence of the IG, and assists the IG in carrying out all OIG mission and functions.
- b. Represents the IG at meetings, congressional hearings, and other official functions, as directed by the IG.
- c. Conducts periodic review and analysis meetings to evaluate the functions and programs assigned to the OIG Components.
- d. Provides day-to-day management and supervision to the OIG Components and is responsible for execution of the OIG budget.
- e. Chairs the OIG Engagement Board, Executive Resource Board, and the Executive Coordination meeting.
- f. Serves as the Chief Human Capital Officer.

3. Chief of Staff.

- a. Assists the IG and Principal Deputy Inspector General (PDIG) by providing leadership and direction through coordination of major staff actions, events, and performance management.
- b. Ensures goals established by the IG and PDIG are tracked and measured and appropriate follow-on actions are completed.
- c. Provides advice to both the IG and the PDIG regarding a wide variety of sensitive issues, including specific matters affecting the OIG mission and operations.
- d. Directs IG Front Office operations to include scheduling, correspondence control, and tasking of the OIG Components.

C. Delegation of Authority – Functions and Duties of the Inspector General.

1. PDIG. If the IG is on temporary duty, leave, or otherwise unable to perform his or her functions and duties, the PDIG is delegated the authority to perform the IG's functions and duties IAW reference (b).

2. If the IG and PDIG are on temporary duty, leave, or otherwise unable to perform their functions and duties, the DIG for Investigations (INV) or the DIG for Auditing (AUD) is delegated the authority to perform the IG's functions and duties IAW reference (b). The order of precedence for the DIG-INV and DIG-AUD will be determined by the order of appointment to the position.

D. Offices.

1. Office of the Comptroller. The Comptroller serves as the Chief Financial Officer for the OIG. Office functions:

a. Supports the OIG goals by providing effective stewardship of resources to complete objectives, providing timely and accurate financial information, and ensuring quality customer service.

b. Formulates and defends the Program Objective Memorandum and Budget Estimate Submission to document the OIG extended resource requirements to the OSD and the Office of Management and Budget (OMB).

c. Prepares the annual President's Budget justification material to document the required resources to conduct the IG mission.

d. Provides timely financial information and analysis to allow management to make decisions on the optimum use of resources.

e. Manages budget execution including the allocation of resources to support OIG priorities and ensuring obligations and expenditures are within established targets and obligation rates comply with OSD standards.

f. Develops and distributes financial policies and procedures to guide day-to-day activities.

g. Ensures compliance with all governing fiscal laws, regulations, and procedures.

h. Compiles, consolidates, and analyzes financial data to ensure compliance and consistency in applying accounting procedures promulgated by the OMB, GAO, DoD Financial Management Regulations, and other applicable accounting standards and authorities.

i. Prepares the OIG financial statements to provide information to senior leadership, the Congress and the public, regarding the effective allocation of resources, the assessment of management performance, and the stewardship of public assets entrusted to the OIG.

j. Plans, implements, and executes the requirements of reference (j) IAW reference (k) to improve the accountability and effectiveness of the OIG programs and operations by establishing, assessing, correcting, and reporting on internal controls.

k. Directs the OIG Travel Program including implementing travel policies and procedures, providing technical advice and assistance in all aspects of travel, and monitoring compliance with OIG Instructions and references (h) and (i).

1. Reviews and coordinates, as appropriate, on all support and service agreements (e.g., memorandums of agreement, memorandums of understanding, and inter-Service support agreements).

2. Office of Equal Employment Opportunity.

a. Directs a proactive EEO program that is customer focused; ensures fair and equitable treatment of all OIG employees regardless of their age, race, color, national origin, sex, religion, disability or genetic information; is free from retaliation; and which helps address discriminatory perceptions or behavior in the OIG workforce.

b. Provides technical and authoritative advice and guidance to OIG executives, managers, employees, employee representatives, attorneys, and special interest groups concerning all facets of the OIG EEO Program.

c. Provides for the prompt, fair, and impartial processing of EEO complaints of discrimination IAW references (l), (m), (n), and (o).

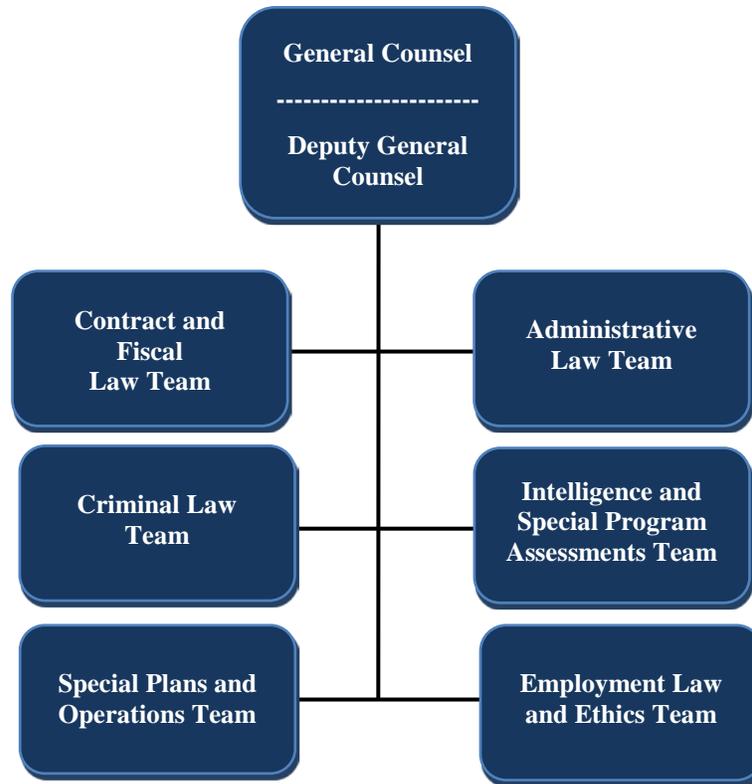
d. Conducts internal EEO program assessments to ensure compliance with the Equal Employment Opportunity Commission (EEOC), the DoD, Office of Personnel Management, and other federal EEO laws and regulations.

e. Establishes and maintains Special Emphasis Programs designed to identify barriers in employment that could have an adverse impact on employment opportunities for any protected group IAW references (l), (m), and (p). Ensures sufficient resources are allocated to each program in order to successfully administer specified program requirements.

f. Provides recurring varied statistical analysis and reports to the EEOC and the DoD regarding employment within the OIG.

3. Office of General Counsel.

a. Organization.



b. Mission. The General Counsel provides independent, objective, and timely legal advice and counsel on IG matters relating to the programs, duties, functions, and responsibilities.

c. Functions. The General Counsel:

- (1) Is the chief legal officer of the OIG and supervises the Office of General Counsel (OGC), an independent legal office within the OIG.
- (2) Serves as the OIG Designated Agency Ethics Official and manages the OIG Ethics Program.
- (3) Implements and administers the OGC Professional Responsibility Program including annual attorney certification, continuing legal education, and training.
- (4) Oversees legal services performed within the OGC, including determining adherence by attorneys to appropriate professional responsibility standards.
- (5) Implements and administers a summer legal intern program.

(6) Provides mandatory review and coordination for:

(a) Proposed OIG congressional testimony; proposed Information and Action Memorandums for the Secretary of Defense, Deputy Secretary of Defense, and Under Secretaries of Defense and comparable correspondence to senior officials of other federal agencies; memorandums of agreement; memorandums of understanding; inter-Service support agreements; correspondence to committee chairs and ranking members of Congress; and all actions signed by the IG.

(b) Existing and proposed legislation, regulations and policies applicable to the programs, duties, functions, and responsibilities of the OIG, as well as applicable to DoD programs and operations.

(c) Complaints about access issues and all denials of access, and responses to legal opinions provided a reviewed entity.

(7) Provides legal advice and counsel on a variety of matters, including, but not limited to:

(a) OIG projects and products, including audits, criminal and administrative investigations, inspections, evaluations, intelligence oversight activities, Office of Professional Responsibility (OPR) investigations, Freedom of Information Act (FOIA), military, civilian, and contractor whistleblower complaints, and DoD Hotline operations.

(b) Review and coordination on all requests for IG subpoenas, testimonial subpoenas, and requests for judicial enforcement of IG subpoenas from the military criminal investigative organizations (MCIOs), as well as other DoD investigative and oversight components pursuant to reference (q).

(c) All high visibility matters, such as matters with media interest; correspondence and meetings; and proposed OIG correspondence.

(d) Matters relating to OIG internal operations, procedures and policies, including financial management, acquisition, and fiscal matters.

(e) Liaison with the OSD, OGC on all legal and fiscal issues.

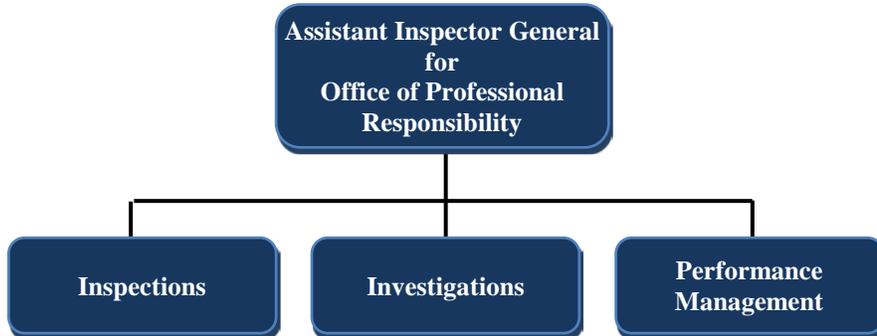
(f) In coordination with the DIG-INV, serves as liaison with Department of Justice.

(g) In all litigation requests pursuant to reference (r), the OGC will have authority to act according to the procedures of section 6.1.

(8) Represents the OIG in all Merit Systems Protection Board and EEO litigation.

4. Office of Professional Responsibility.

a. Organization.



b. Mission.

- (1) Conduct criminal and administrative investigations of allegations of misconduct by OIG employees.
- (2) Investigate other matters as directed by the IG.
- (3) Inspect OIG Headquarters (HQ) Components and field offices at regular intervals to determine the managerial, administrative, and operational efficiency.
- (4) Conduct special assessments of OIG HQ Components, as directed by the IG.
- (5) Assess OIG Component performance measures and internal controls, and report results to senior leadership.

c. Functions.

- (1) The Assistant Inspector General-OPR:
 - (a) Directs the OPR investigative, inspection, performance management, and administrative operations IAW reference (s).
 - (b) Develops and implements administrative and budget policies and procedures for OPR.
 - (c) Ensures the confidentiality of all OPR information is protected to the maximum extent possible.
 - (d) Develops annual and long-range plans.

(e) Maintains liaison activities with the Department of Justice, the MCIOs, other federal law enforcement agencies, and state and local law enforcement agencies.

(f) Directs activities relating to the preparation of budget submissions and Program Objective Memorandum issues.

(2) Investigations. The Director of Investigations:

(a) Develops and implements OPR investigative policies, procedures, and objectives.

(b) Conducts criminal and administrative investigations regarding allegations of OIG employee misconduct.

(3) Inspections. The Director of Inspections:

(a) Develops and implements OPR inspection policies, procedures, and objectives.

(b) Conducts inspections of OIG HQ Components and field offices at regular intervals to determine the managerial, administrative, and operational efficiency of an office.

(c) Conducts special assessments of the OIG HQ Components at the IG's request.

(4) Performance Management. The Director of Performance Management:

(a) Provides guidance to the OIG Components on the OIG's Annual Statement of Assurance.

(b) Coordinates the OIG Components' Organizational Assessment and Performance Assessments.

(c) Aligns the OIG Components' Organizational Assessment and Performance Assessments with the annual performance plan.

5. Office of the Ombuds. The Ombuds serves as a neutral, independent, confidential resource tasked with facilitating the resolution of internally generated complaints, disputes, and disagreements regarding the equitable and impartial application of OIG policies and procedures IAW reference (t). The Ombuds:

a. Provides feedback on systemic problems, issues, and complaints to the IG and senior leadership.

b. Fosters an atmosphere of trust and communication in ensuring IG policy that requires employees be treated fairly and impartially.

c. Serves as an informal source for resolving problems and issues and providing mediation services as required. Offers an alternative to handling employee complaints and obtaining employee feedback that is outside the formal processes, such as EEO and grievances.

d. Conducts informal inquiries of work environment problems and issues including systemic issues that are often complex, confidential, or sensitive in nature. Facilitates communication to resolve issues involving managers and employees that could potentially result in an adverse impact on OIG programs and operations.

e. Develops initiatives that facilitate a positive, effective, and efficient work environment in the OIG.

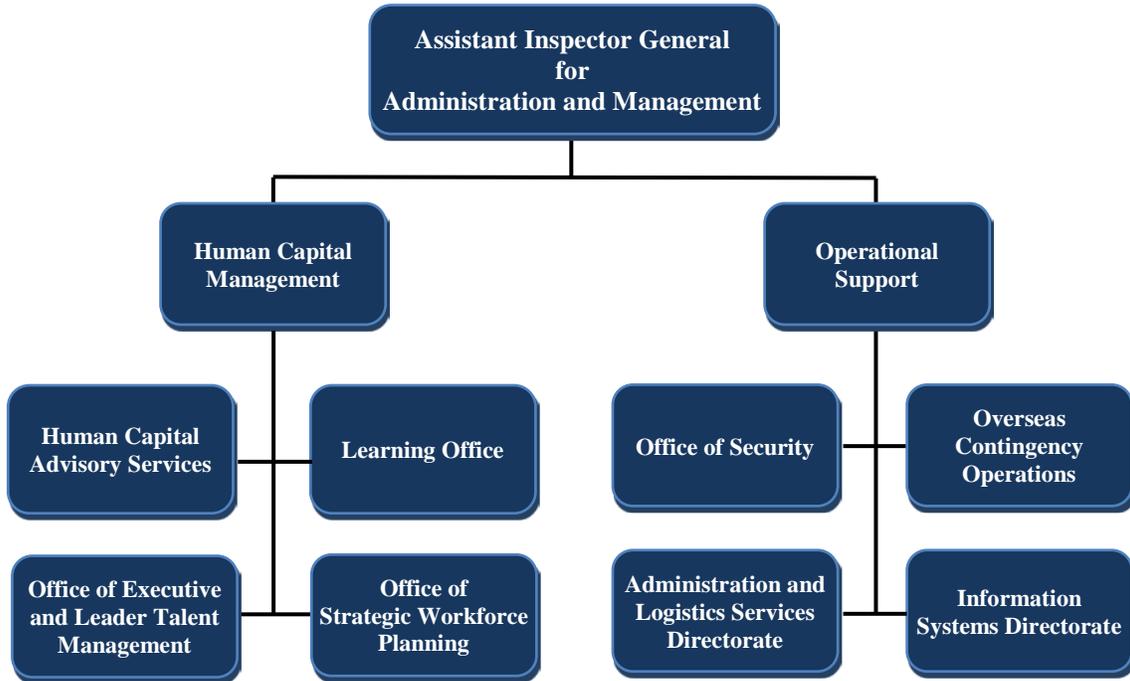
f. Gathers facts, reviews and analyzes pertinent information, and discusses all aspects of the problem and issues with the affected parties.

g. Reports directly to the IG on pertinent matters. Provides advice to the IG on a wide variety of policies, procedures, and issues having a major impact on OIG management.

h. Facilitates broad communication to support existing programs and processes under the purview of other OIG entities to include ethics and legal concerns; policy questions; benefits; discrimination and harassment; leadership; career planning; grievances and performance management; and merit system principles violations.

**CHAPTER 4
OFFICE OF ADMINISTRATION AND MANAGEMENT**

A. Organization.



B. Mission. The Office of Administration and Management (OA&M) mission is to actively engage, support, and sustain the OIG workforce, ensuring their unique needs are met by providing timely, caring, and dedicated support. Through outreach, small group engagements, and special projects, OA&M capitalizes on OIG resources to sustain the OIG team. OA&M promotes accountability, integrity, and efficiency while advising OIG Component leaders, and informing the OIG workforce of human capital and operational support matters.

C. Functions.

1. Human Capital. Provides strategic human capital management and maintains the merit system principles.
2. Learning Office. Provides employees access to multi-discipline practitioner training, learning services, and coaching and mentoring opportunities.
3. Security. Ensures OIG Components have efficient and compliant processes for the protection of employees and contractors, information, material, and facilities.

4. Overseas Contingency Operations. Manages pre- and post-deployment health and training activities; provides travel services and is responsible for directing operational and logistical support in overseas locations in support of deployed employees and contractor employees.

5. Administration and Logistics Services. Provides administrative and logistical support to employees and contractor employees.

6. Information Systems. Provides information technology (IT) products, services, and support to the OIG.

7. Continuity of Operations. Serves as the OIG Continuity Coordinator responsible for management oversight of the OIG continuity program.

D. Human Capital Management. The Deputy Assistant Inspector General for Human Capital Management is responsible for directing OIG human capital management programs.

1. Human Capital Advisory Services.

a. Human Resource Officer Teams. Provides position classification, compensation, and position management advice and consultation for OIG appropriated fund employee positions.

b. Policy Planning and Integration. Collaborates with the other functional areas of human capital management, OGC, and stakeholders to promote policies, procedures, and operating plans for a full range of human resources functions. Develops and directs human resources management programs and services. Ensures application of merit system's principles for human resources programs and decisions through the application of an internal human resources accountability program.

c. Human Resources Operations. Coordinates and provides advice and guidance related to affirmative recruitment programs. Provides operational service member management support to the OIG Senior Military Officer.

2. Learning Office. This office directs and oversees a comprehensive OIG learning program strategically aligned with the OIG's mission and functions.

a. Learning Support Operations. Designs and delivers specific training, such as occupation skills or skills-based learning (e.g., writing skills). Evaluates and authorizes all mandatory training. Manages:

(1) IG Electronic Learning system.

(2) New Employee Orientation.

(3) Commercial vendor training.

(4) Payment of job-related professional certifications, licenses, and expenses.

(5) Individual Development Plans.

(6) Manages the Graduate Education Program.

b. Learning, Planning, and Organizational Development. Aides OIG Component managers in assessing learning and development needs for executives, managers, and employees engaged in a wide range of occupational categories. Manages the coaching and mentoring program. Designs and delivers supervisory training.

c. Career Program Management. Develops and implements a comprehensive learning program to ensure employees have the right competencies and skills for current and future work assignments. Implements career program management initiatives to support organizational “replacement planning” and “succession planning.” Designs and develops behavioral and technical competency models and supporting infrastructure for employees General Schedule (GS)-14 and below. Develops a comprehensive training module addressing the OIG’s career management program, competency alignment, and career paths and embeds them into the organizational culture.

d. Learning Delivery. Develops and maintains Joint IG Policy and Doctrine to support Joint Operations and Joint Basing, Interoperability, and Interagency Partnerships. Develops and deploys resident and nonresident training courses aimed at producing mission-ready Joint Inspectors General. Manages Individual Development Plans.

3. Office of Executive and Leader Talent Management.

a. Manages an integrated process to ensure the OIG has a continuous supply of highly productive SES and GS-15 leaders in the right jobs at the right time.

b. Provides advice to OIG executives and managers on human resources management policies, principles, programs, and initiatives related to SES and GS-15 leaders.

c. Provides support to the Executive Resources Board and Performance Review Board.

4. Office of Strategic Workforce Planning.

a. Institutionalizes and manages the workforce planning process through strategically focused recurring planning sessions.

b. Integrates workforce planning in key organization events and OIG human capital, human resources, and learning activities.

E. Operational Support. The Deputy Assistant Inspector General for Operational Support is responsible for directing OIG operational support management programs.

1. Office of Security. The Office of Security (OSEC) ensures OIG Components have efficient and compliant processes for the protection of employees and contractor employees' information; material; and facilities. Responsible for the implementation and management of:

a. Information Security. The Information Security Program Manager provides the expert knowledge and is the focal point for this program. The Information Security Program Manager is the appointed Security Manager for the OIG.

b. Personnel Security Program. The Personnel Security Program Manager provides knowledge on employee and contractor employee security and adjudication issues.

c. Physical Security and Antiterrorism (AT). The AT Officer and the Assistant AT Officer are appointed to their positions by the IG.

d. Industrial Security. Reviews contract support in terms of compliance with security standards.

e. Operations Security (OPSEC). Prepares the annual OPSEC report to the Office of the Under Secretary of Defense Intelligence.

f. Communications Security (COMSEC). The COMSEC Program enables the secure communication of classified information over various systems. The COMSEC Program Manager (as the COMSEC Custodian) manages the OIG account and serves as the COMSEC property book officer for associated material.

g. Counterintelligence (CI). OSEC is the focal point for coordination and collaboration with the supporting Military Department CI organizations.

2. Overseas Contingency Operations. The Overseas Contingency Operations (OCO) is responsible for the deployment, sustainment, and redeployment of employees and contractor employees. Designs, directs, and provides in-theater operational and logistical support in support of the OIG mission. Serves as the authoritative source for advice and service related to all overseas travel, pre- and post-deployment health and training activities and programs.

a. Serves as liaison among stakeholders to identify, secure, and maintain operational and logistical support for the OIG mission conducted in response to an overseas contingency operation, to include execution of support agreements.

b. Ensures employees and contractor employees meet the health and training requirements articulated by DoD, the Combatant Command, and Host Nations to support deployment or redeployment from OCO locations.

c. Provides policy guidance and administrative support for all overseas travel:

- (1) Processes theater or country clearances, passports, and visas.
- (2) Develops authorization language.

3. Administration and Logistics Services Directorate. The Administration and Logistics Services Directorate (ALSD) provides administrative and logistical support and services.

a. Front Office.

(1) Forms Management. Provides program guidance and assistance for IG, OIG Component, DoD (DD), Standard, and Optional forms. Reviews and approves requests to create, revise, cancel, or obtain exceptions to IG, OIG Component, and DD forms. Manages IG form library.

(2) Publications and Policy Management. Reviews publications and policy memorandums for compliance. Provides guidance to the OIG Components throughout the publishing process. Assigns a publication series number to all OIG Instructions and policy memorandums IAW with the DoD Issuance Numbering System. Reviews final OIG instruction and policy memorandum packages before signature; posts approved OIG instructions and policy memorandum to the website.

(3) Safety and Occupational Health. Establishes guidelines and procedures to provide a safe and healthful work environment. Establishes and coordinates Occupant Emergency Preparedness Program. Conducts worksite inspections, visits, and evaluations. Prepares and submits the Annual Report on Occupational safety and Health to the Environmental Safety and Occupational Health Directorate, Office of the Deputy Under Secretary (Installations and Environment).

b. Facilities and Space Management. The IG delegated the AIG-A&M the authority to manage OIG facilities including the acquisition, allocation, and realignment of all operational space under the control of the OIG. In turn, the AIG-A&M further delegated this authority to the Facilities and Space Management Division (FSD) in ALSA. Liaison to the OSD Welfare and Recreation Association (serves all OIG Components, except AUD). FSD manages:

- (1) OIG facilities and space.
- (2) Mark Center Parking Program.
- (3) OIG Mass Transportation Benefit Program.

c. Acquisition.

(1) Reviews and analyzes requests for procurement, maintains a procurement tracking system, and related inventory systems.

(2) Responsible for the OIG Government Purchase Card Program to ensure proper controls to monitor and prevent fraud, waste, and abuse in the procurement of supplies and services.

(3) Responsible for the Printing Services and Copier Management Program; liaison for OIG printing at the Defense Logistics Agency, Document Services.

d. Property and Mail Services.

(1) Serves as the OIG Property Book Office; responsible for OIG accountable property records.

(2) Conducts property inventories with OIG Component property custodians.

(3) Manages OIG warehouse.

(4) Manages OIG Mail Services Center.

4. Information Systems Directorate. The Information Systems Directorate (ISD) is responsible for providing IT capabilities and services to support the OIG.

a. ISD Front Office/Business Operations.

(1) Develops and manages long- and short-range strategic and operational IT plans.

(2) Plans and manages the IT project lifecycle, system portfolio, and investment strategy.

(3) Manages agency Technology Review Committee, Enterprise Architecture, IT Change Management, and IT Change Review programs.

(4) Establishes IT instructions, policies, and governance documents.

(5) Manages IT budget.

(6) Records Management. Provides effective control of OIG records designation and disposition. Manages electronic records management system(s). Ensures prompt retirement or disposal of temporary records, and the timely transfer of permanent valuable records under authorized schedules. Acts as a liaison with the National archives and Records Administration

and other government agencies on records management matters. Exercises management controls over the transfer of records to, and retrieved from, the Federal Records Center.

b. Unified Communications.

(1) Responsible for network circuits, wireless devices, voice and phone service, and video teleconferencing.

(2) Engineers, implements, and manages network, wireless, voice, and video communication technologies.

c. Network Security.

(1) Ensures compliance with federal, DoD, and OIG Information Assurance (IA) policy.

(2) Provides Computer Network Defense support and manages network security systems.

(3) Contains classified message incidents, classified data spills, and computer-based compromise of Personally Identifiable Information.

(4) Manages IA and Public Key Infrastructure programs.

(5) Develops the IT Continuity of Operations Plan.

d. Systems Integration.

(1) Responsible for IT systems and servers, e-mail and messaging services, and IT databases.

(2) Performs functional testing and evaluation of IT solutions on the OIG network and infrastructure.

(3) Develops and configures IT capabilities and applications, leveraging Commercial Off-the-Shelf and Government Off-the-Shelf software.

(4) Administers IT data backup and server redundancy IAW the IT Continuity of Operations Plan.

e. Customer Support.

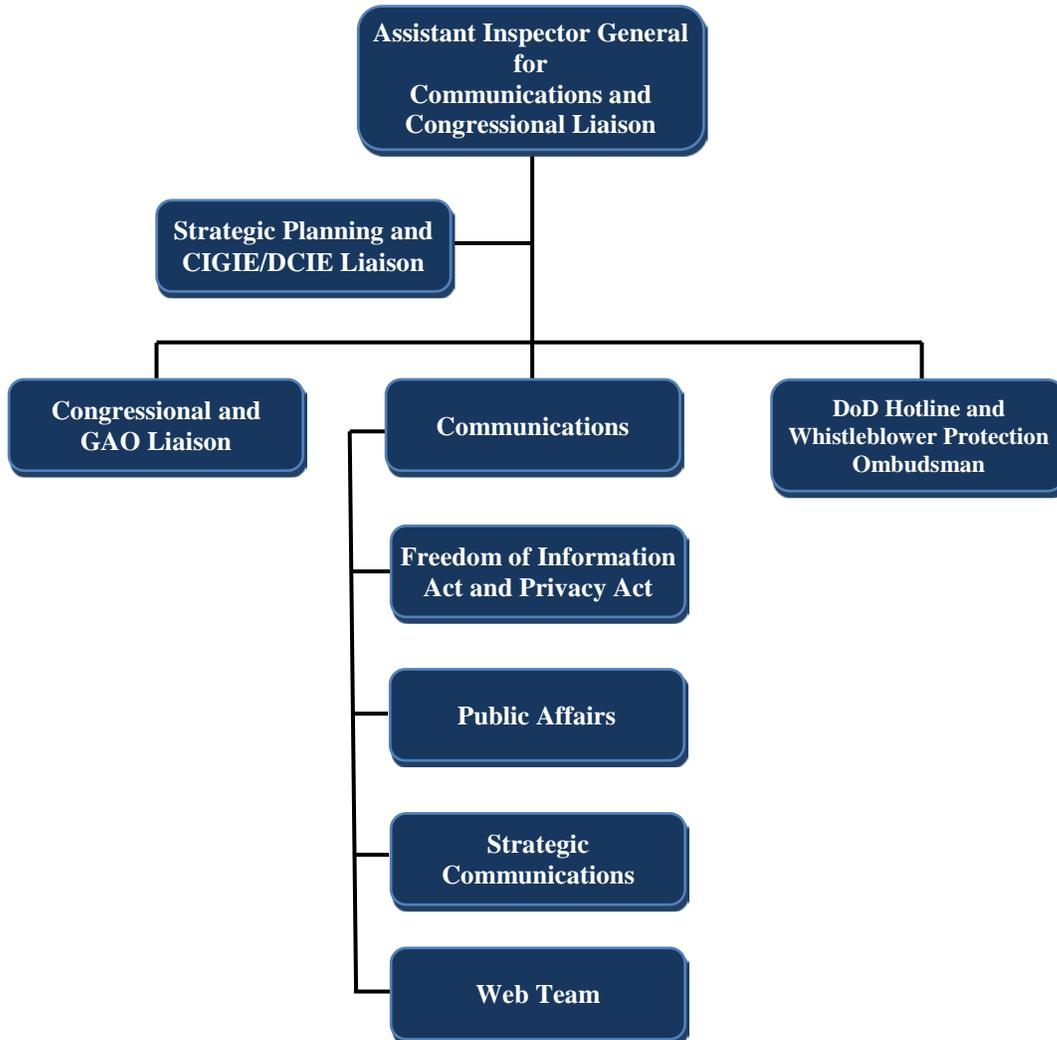
(1) Provides IT service desk (Tier 1) and on-premise customer support services (Tier 2) to support a full range of:

(a) IT systems, hardware, and software

- (b) Network, wireless, voice, and video communications
- (2) Prepares, installs, and tracks IT hardware and software assets.
- (3) Maintains a supply of laptops in the event of an individual system failure.
- (4) Provides technology training on IT services, systems, and capabilities.

CHAPTER 5
OFFICE OF COMMUNICATIONS AND CONGRESSIONAL LIAISON

A. Organization.



B. Mission. To keep Congress, the GAO, senior DoD and DoD OIG leadership, and the American public fully and currently informed of the work and accomplishments of the DoD OIG regarding the programs and operations of the Department of Defense; to enable and promote the reporting of fraud, waste, and abuse within the Department; and promote the protection of whistleblowers.

C. Functions.

1. Provides information to members of Congress, senior DoD and OIG leadership, other members of the federal inspectors general community, and the public regarding OIG review of DoD programs and operations.

a. Provides legislative liaison with congressional committees and executive branch legislative affairs staff; arranges meetings with the OIG and congressional staff; and responds to inquiries from congressional staff.

b. Reviews proposed legislation, alerts OIG managers to pending legislation of concern to the OIG, and coordinates the OIG comments on legislative proposals.

c. Identifies congressional reporting requirements contained in congressional reports and legislation.

d. Processes congressional correspondence, tasks the OIG Components for response, and tracks response status.

e. Prepares or coordinates the preparation of material for congressional testimony and provides the OIG with pre- and post-hearing support.

f. Serves as the liaison for the OIG with the CIGIE, managing OIG participation in meetings and activities of the council and its committees.

g. Provides staff support to the IG for the DCIE, to include organizing meetings of the council and assisting the IG with the responsibilities of serving as the council chair.

2. Administers and operates the DoD Hotline Program IAW references (b) and (u).

a. Receives, reviews, and evaluates written and oral allegations of fraud, waste, abuse, and mismanagement reported to the DoD Hotline.

b. Refers allegations of fraud, waste, abuse, and mismanagement needing further investigation to the proper DoD Component.

c. Ensures the identity of the complainant is protected to the maximum extent possible.

d. Reviews Hotline completion reports from the DoD Components for accuracy, objectivity, and thoroughness.

e. Provides oversight of DoD Component Hotline programs to ensure reported allegations are thoroughly investigated and the findings and conclusions reported by the investigating agency are fully documented.

f. Conducts followup on completed DoD Hotline referrals to determine if corrective action was taken.

g. Maintains an active DoD Hotline Program publicity campaign, using newspapers, official notices, telephone directories, posters, and other media. Implements marketing programs to encourage reporting fraud, waste, abuse, and mismanagement in DoD programs and operations.

3. Ensures open and transparent communication with the public and OIG employees on DoD and OIG issues.

a. Serves as the point of contact for the public and media regarding OIG activities; receives and reviews information requests from the media; coordinates OIG responses to requests for information, interviews, background briefings or other media interactions.

b. Administers the OIG intranet and internet, to include sites on the SECRET Internet Protocol Router Network and the Joint Worldwide Intelligence Communications System.

c. Manages OIG social media activities.

4. Administers the FOIA and Privacy Act (PA) within the OIG IAW references (v), (w), and (x).

a. Implements and administers the OIG FOIA and PA program.

b. Serves as the point of contact on OIG FOIA and PA matters.

c. Ensures annual FOIA and PA training for OIG Component FOIA and PA points of contact and other related employees.

d. Prepares the OIG Annual FOIA Report for submission to Congress.

e. Prepares and submits to the Defense Privacy Office input on the OIG Privacy Program IAW reference (y).

f. Assists and advises the public on the OIG policies and procedures for submitting FOIA and PA requests and on the status of individual FOIA and PA requests.

g. Ensures all new, amended, or altered system notices for the OIG system of records are prepared and submitted to the Defense Privacy Office for publication in the *Federal Register*.

h. Represents the OIG on the Defense Data Integrity Board.

i. Implements and administers the OIG Civil Liberties Program.

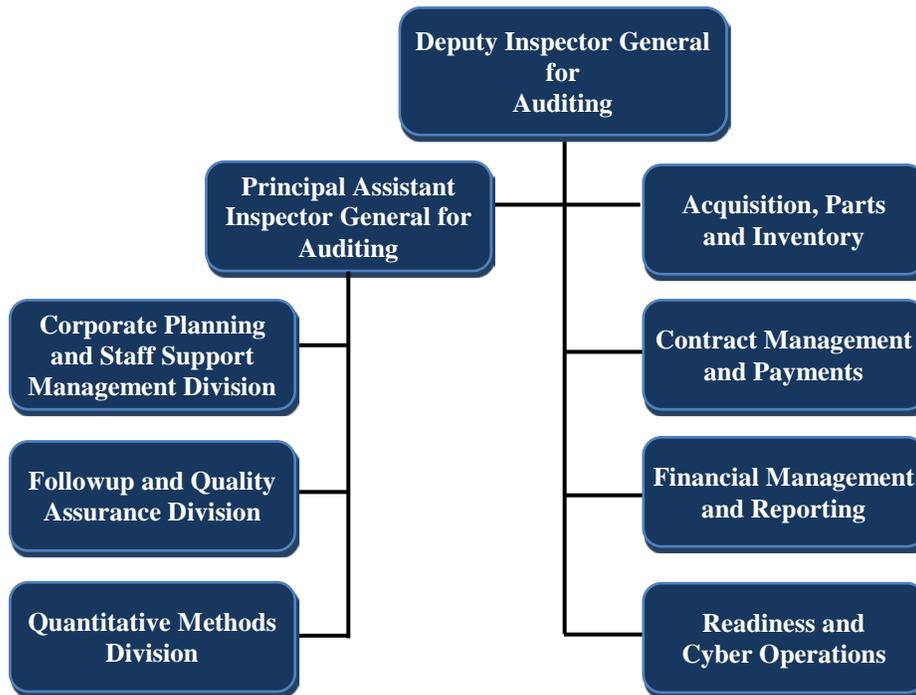
5. Develops and manages the OIG Strategic Communications Program.
 - a. Serves as the speechwriter for the IG and PDIG.
 - b. Manages all DoD OIG-wide publications and communications materials.
 - c. Manages the production of the Semiannual Report to Congress.
 - d. Directs the production of briefings on OIG activities and functions.
6. Coordinates the OIG strategic planning and monitors organization performance.
 - a. Develops and maintains the OIG Strategic Plan and develops other supporting plans as needed.
 - b. Prepares the OIG annual performance plan.
 - c. Prepares the IG Summary of Management and Performance Challenges for the Department of Defense.
7. Serves as the DoD Whistleblower Protection Ombudsman IAW reference (z).
 - a. Provides subject matter expertise to the IG and senior leadership on all aspects of whistleblowing.
 - b. Establishes and maintains a program to educate DoD employees about prohibitions on retaliation for protected disclosures, and the rights and remedies available to employees who have made or are contemplating making a protected disclosure.
8. Serves as the DoD central liaison with the Comptroller General of the United States on matters concerning GAO (i.e., surveys, reviews, reports, and other audit activities).
 - a. Designates appropriate DoD Components as the Primary Action Office and designates collateral action offices to work with the GAO during the conduct of reviews within the Department of Defense to ensure appropriate representation of the views and interests of the Secretary of Defense.
 - b. Develops policy regarding DoD participation in GAO surveys, reviews, reports, and other audit activities.
 - c. Monitors and distributes information regarding GAO activities with a view toward avoiding duplication and ensuring effective coordination and cooperation.
 - d. Coordinates DoD replies to GAO reports; facilitates resolution of issues and authorizes release of the response to the GAO and the Congress.

e. Informs DoD and OIG senior leadership of significant GAO planned and ongoing efforts and reports.

f. Facilitates resolution of disagreements among Principal Staff Assistants and DoD Components Heads regarding GAO surveys, reviews, reports, or other audit activities, and elevates unresolved matters through the IG to the Secretary of Defense or Deputy Secretary of Defense for decisions as appropriate.

CHAPTER 6
AUDITING
(Updated October 30, 2013)

A. Organization.



B. Mission. The Office of the DIG (ODIG) for AUD performs the primary internal audit functions of the OIG within the DoD Components. Auditing coverage may involve matters of special interest to the Secretary of Defense and the IG; allegations of fraud, waste, abuse, and mismanagement; DoD Hotline complaints; information on alleged violations of law, rule, or regulation; information on alleged abuse of authority or danger to public health and safety; matters involving economy and efficiency in DoD operations, contracts, and programs; financial audits; and cooperative projects with other DoD and governmental audit, inspection, and investigative organizations.

C. Functions.

1. The DIG-AUD serves as the principal advisor on audits to the IG.
2. Initiates, conducts, and supervises financial and performance audits of any DoD mission, program, function, system, or operation the IG considers appropriate, including DoD contractor operations.

3. Coordinates operational internal audit matters between the DoD, other federal agencies, state and local government agencies, and nongovernment entities. The purpose of coordination is to promote economy and efficiency in the administration of, or the prevention and detection of fraud, waste, and abuse in, the DoD programs and operations.

4. Participates in and collaborates with the Federal Audit Executive Council.

D. Acquisition, Parts and Inventory. Performs audits of:

1. Major and non-major weapons system and information technology acquisition programs, functions, and activities.

2. Inter-Service evaluation of acquisition management policies, procedures, and controls.

3. Program management of basic and applied research projects and the operations aspects of research and development activities.

4. Operations of test and evaluation facilities, including test ranges and procedures for testing the effectiveness of defense systems.

5. Procurement of parts to include price analysis and reasonableness, use of commercial item exemptions, and sole-source acquisitions.

6. Management of depot maintenance, public-private partnerships, performance-based logistics, and effective utilization and quality management of spare parts inventory.

E. Contract Management and Payments. Performs audits of:

1. The economy, efficiency, and effectiveness, by which DoD contracts are awarded, administered, and performed. Reviews focus on source selection, price determination, contract administration, contract payment, and contractor performance.

2. Military construction and housing programs; maintenance, repair, and utilization of real property; and DoD base realignments and closures.

3. Contracting processes for commercial and noncommercial supplies and services, and performance-based acquisition procedures.

4. DoD purchases through other government agencies; contracts for professional, administrative, and management support services; quality assurance; source inspections; and contracts relating to contingency contracting.

5. Military health system including peacetime and contingency operations, humanitarian assistance, healthcare fraud, and continuum of care.

6. Various DoD data and systems using a variety of advanced analytical tools and techniques.

F. Financial Management and Reporting. Performs audits of, and assistance on:

1. Finance and accounting systems, functions, and activities established to carry out the DoD fiscal responsibilities. Financial management audits generally include all comptroller type services and activities related to programming, budgeting, accounting, and reporting.

2. DoD compliance with and reporting as required by references (aa) and (ab). Serves as the focal point for DoD reporting to the CIGIE.

3. Audits required by references (ac) and (ad) provide financial audit coverage for all major DoD Components, references (f) and (g).

4. Federal audit community efforts to evaluate, analyze, and comment on the adequacy of federal and DoD financial regulations and their implementation by the DoD Components.

5. Coordinating with the GAO, OMB, Department of Treasury, and the DoD Component audit agencies, and actively participates in government-wide accounting and audit matters.

6. Serving as the focal point and liaison for the DoD Component audit agencies in their dealings with Defense Finance and Accounting Service for related Army, Navy, Air Force, Marine Corps, and DoD-wide financial data.

G. Readiness and Cyber Operations. Performs audits of:

1. Personnel (Active and Reserve Components) and equipment readiness; readiness planning; military training and exercises; and warfighting capabilities.

2. Combatant Command Operations.

3. IT management including oversight, enforcement and assurance, and cyber operations.

4. Critical infrastructure security.

5. Homeland Defense Programs to include interagency coordination, reserve affairs, disaster contingency plans, Continuity of Operations Program review, and threat deterrence.

6. Transportation of personnel, materials, and other assets in support of the warfighter.

7. The DoD supply chain management, logistics management and support, fuel acquisition, and depot maintenance.

8. Foreign Military Sales and demilitarization, disposal, and reutilization programs.

9. Joint and multinational operations, including host nation support agreements.
10. Wartime contracts and contracting processes in Iraq and Afghanistan, as required by reference (ae).
11. Support of combined, joint, interagency, and DoD missions and plans.
12. Personnel and material readiness, force protection, communications, contractor support operations, contract administration, acquisition, and finance to provide the full spectrum of audit oversight for the combatant commands.

H. Corporate Planning and Staff Support Management Division. Performs support on:

1. Maintains, reports, and advises on ODIG-AUD unique staffing, space issues, human capital, and budgeting matters.
2. Manages the corporate internal processes and infrastructure to support the audit mission. Internal processes include financial, resource and information management, strategic planning, performance management, auditing, and support staff development.
3. Assists in formulating and updating the annual audit plans. Coordinates audit plans and subsequent announcement memorandums with the GAO and the DoD Component audit agencies to ensure effective audit coverage and cooperation, and to prevent unnecessary duplication.
4. Receives, coordinates, and responds to DoD Hotline allegations referred to ODIG-AUD; monitors and reports on the status of ODIG-AUD oversight related to DoD Hotline allegations.
5. Oversees the electronic documentation software, which is the evidence collection tool for ODIG-AUD projects. This includes resolving technical issues, testing the software, advising staff on usage, updating the software with generally accepted government audit standards and internal requirements via libraries, creating stores of topical information, and archiving completed projects.
6. Establishes standards, policies, and procedures for the ODIG-AUD for conducting audits of DoD programs and operations.
7. Oversees the OIG project management information system (Defense Automated Management Information System). This includes resolving technical issues, testing the software, advising OIG-wide on usage, updating the software, and modernizing the OIG project management information system. Develops OIG workflows to provide senior leadership adequate situational awareness of activities within the OIG.

8. Assembles data and prepares various ODIG-AUD submissions to internal and external reporting entities including the Semiannual Report to Congress and OIG Management Challenges.

9. Participates in federal audit community efforts to evaluate, comment on, and implement standards from OMB, GAO, and other standards setting and governing agencies.

10. Prepares or provides support for respective IG or ODIG-AUD testimony and maintains the OIG Testimony Portal; provides portal training to other OIG Components.

11. Develops and acts as the lead on the OIG Southwest Asia and Guam portals (includes unclassified OIG related products, as well as participating DoD Component and federal oversight community products).

12. Addresses audit suggestions received from external sources.

13. Receives, compiles, coordinates, and responds to access requests by the DoD Component audit agencies seeking to contact components outside their respective Components.

14. Develops and maintains the internal ODIG-AUD websites.

I. Followup and Quality Assurance Division. Performs support on:

1. Develops audit followup policy and conducts followup reviews.

2. Conducts and oversees internal quality assurance reviews to assure audit work and reports comply with reference (e) and internal operating procedures and meet the requirements of the AUD Strategic Plan.

3. Conducts training of ODIG-AUD employees and updates internal audit policies in the areas of project documentation, and internal quality procedures to ensure compliance with reference (g) and federal audit policies.

4. Evaluates the ODIG-AUD internal controls through integrity reviews of auditing functional areas and reports the ODIG-AUD status for the Managers' Internal Control Program.

5. Performs testing of management's actions to address report recommendations.

6. Monitors the status of and collects management's actions to address OIG Components' open recommendations.

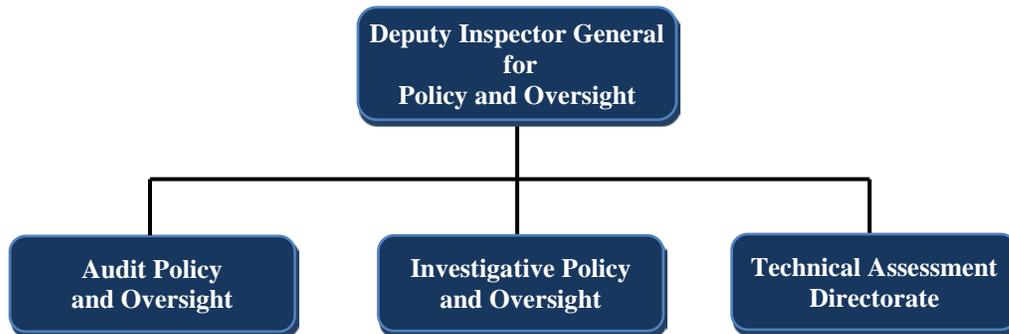
7. Tracks and reports potential monetary benefits and status of recommendations for the Semiannual Report to Congress.

J. Quantitative Methods Division. Performs support on:

1. Ensures quantitative methods, analyses, and results used in OIG products are defensible and technically sound and appropriate for the stated objectives.
2. Provides statistical and quantitative support and advice for OIG projects.
3. Ensures analyses are performed correctly and are consistent with the methodology.
4. Ensures provided results are interpreted and presented appropriately, and when applicable, all relevant details of the original plan, any modifications, the analyses, and the interpretations are fully disclosed.
5. Provides technical expertise in statistical sampling, quality assurance methods, statistical methodology and analysis, survey design and analysis, operations research methods and financial and economic analysis.
6. Provides review and certification of OIG Audit Products and Reports.
7. Provides oversight and policy coordination on quantitative issues for OIG, and for the DoD Component audit agencies and contractors performing work for OIG.
8. Serves as liaison with quantitative technical experts in GAO, the DoD Component audit agencies, and the CIGIE agencies.
9. Provides quantitative consulting for OIG Components and for the OSD and the CIGIE agencies.
10. Provides management and analysis of large data sets.

CHAPTER 7 POLICY AND OVERSIGHT

A. Organization.



B. Mission. The ODIG for Policy and Oversight provides oversight and policy for the auditing and investigative functions within the DoD; provides technical advice, support, and expertise in various engineering disciplines for OIG projects; leads technical assessments for the OIG; and manages the draft DoD policy coordination within the OIG.

C. Audit Policy and Oversight.

1. Serves as the principal advisor to the IG on all matters pertaining to the DoD and other governmental or nongovernmental audit communities. Represents the IG on groups, committees, councils, or similar entities concerning audit and related issues and initiatives.

2. Develops and promulgates audit policies to be followed by DoD audit organizations, including the DoD Component audit agencies, Defense Contract Audit Agency (DCAA), and non-DoD audit agencies conducting audits or attestation engagements of, or providing nonaudit services for DoD programs and operations.

3. Develops methods and procedures for and conducts oversight and quality assurance reviews of DoD audit and internal review functions and operations. Monitors and evaluates adherence to applicable professional and technical standards, policies, procedures, regulations, and statutes.

4. Establishes guidelines for determining when nonfederal auditors may be used to perform audits or attestation engagements of, or provide nonaudit services to the DoD. Monitors use of nonfederal auditors and evaluates their adherence to applicable professional and technical standards, policies, procedures, regulations, and statutes.

5. Reviews and evaluates new or revised statutes, rules, regulations, legal decisions, policy documents, and standards for applicability and appropriateness to audit policy.

6. Plans and conducts functional and management reviews and analysis of DoD audit activities to improve productivity and effectiveness, and adherence to applicable professional and technical standards, regulations, statutes, and established policies and procedures.

7. Prepares publications and other tools, and provides training on fraud, waste, abuse, or mismanagement for auditors and audit agencies performing audits or attestation engagements of, or providing nonaudit services to DoD programs and operations.

8. Sets policy and oversees actions contracting officers take on DCAA audit reports to ensure their appropriateness and compliance with applicable professional standards, regulations, statutes, policies, procedures, and other applicable guidance.

D. Investigative Policy and Oversight.

1. Serves as the principal advisor to the IG on policy matters pertaining to the DoD investigative and law enforcement communities. Represents the IG on groups, committees, and councils concerning investigative and law enforcement matters.

2. Establishes policy and provides guidance to DoD Components on criminal investigative and law enforcement programs. Promotes coordination and cooperation among the MCIOs, other federal law enforcement agencies, and state and local enforcement agencies.

3. Establishes and monitors DoD standards, policies, and procedures on investigations.

4. Manages the DoD Contractor Disclosure Program including determinations of acceptance or rejection of the disclosure(s).

5. Reviews and evaluates statutes, rules, regulations, legal decisions, and policy documents for applicability to investigative and law enforcement policy.

6. Manages the Subpoena Program for OIG within the IG statutory authority.

7. Plans and conducts functional and management reviews and analysis of the DoD investigative and law enforcement activities to ensure productivity, case management practices and systems, and established policies and procedures.

8. Trains investigators, managers, and program employees to improve the prevention, detection, investigation, and resolution of fraud, waste, abuse, or mismanagement.

9. Prepares publications on fraud, waste, abuse, or mismanagement and presents fraud awareness programs.

10. Maintains liaison with the MCIOs, other federal law enforcement agencies, state and local law enforcement agencies, and foreign law enforcement, as well as nongovernment entities, such as the American Bar Association and the Defense Industry Initiative.

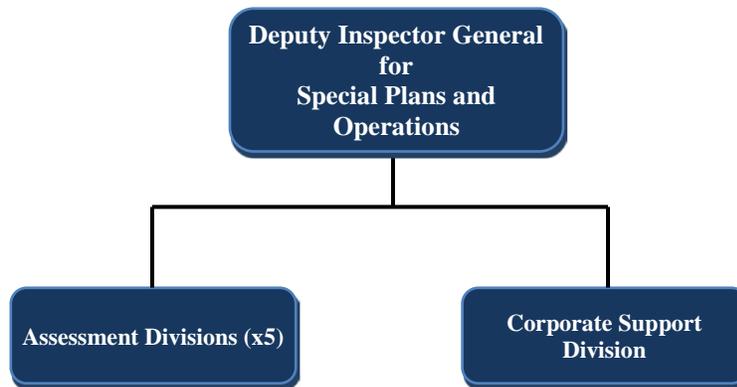
11. Manages the referral of DCAA Forms 2000, *Reporting Suspected Contractor Fraud and Other Contractor Irregularities*, to the MCIOs for investigative followup.

E. Technical Assessment Directorate.

1. Assesses engineering and the application of science in the design, planning, development, testing, and manufacturing of DoD mission critical systems.
2. Provides technical advice and support to the DoD managers, auditors, evaluators, inspectors, and investigators.
3. Provides technical assessments of defense programs as part of OIG projects; e.g., adequacy of engineering, computer system certification and accreditation, and analysis-of-alternatives.
4. Conducts assessment projects and makes recommendations to improve DoD programs and operations.

CHAPTER 8 SPECIAL PLANS AND OPERATIONS

A. Organization.



B. Mission. The ODIG for Special Plans and Operations (SPO) provides assessment oversight reports that address priority national security objectives and congressionally mandated projects in order to enable informed, timely decision-making by DoD civilian, military, and congressional leaders.

C. Functions.

1. Performs rapid assessments of issues critical to the senior leadership of DoD, Congress, and other government agencies focused on strategic, high-value, high-visibility missions.
2. Identifies potential long range, strategic developments that may affect the ability of DoD to accomplish its missions including those outlined in references (af) and (ag).
3. Deploys assessment teams into areas of operations worldwide, including the Southwest Asia theater, in response to requests from the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, Combatant Commanders, or senior leadership of other U.S. government organizations.
4. Reports findings, observations, and recommendations to appropriate entities within the federal government executive and legislative branches.

D. Assessment Divisions (x5).

1. Plans and conducts oversight (assessment) projects undertaken by the ODIG-SPO.
2. Establishes and maintains effective liaison and coordination within the OIG and with various DoD and other U.S. government organizations.

3. Plans and conducts internal activities and projects, including strategic planning related to the ODIG-SPO mission.

E. Corporate Support Division.

1. Plans and conducts activities to support the SPO mission.

2. Advises and assists the DIG-SPO in planning, monitoring, and completing actions required for the administrative, personnel, training, and logistical functions of the ODIG-SPO.

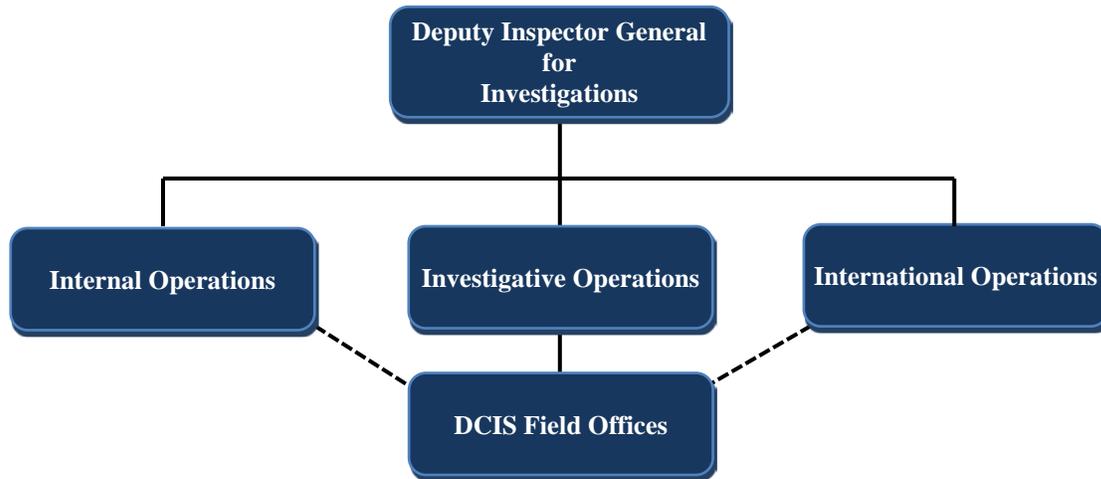
3. Recommends improvements in management systems to support the development and efficiency of the organization.

4. Establishes and maintains internal control mechanisms with respect to personnel, financial, equipment resources, physical security, and IT security-related matters.

5. Prepares and maintains the procedures manual and field operating procedures for the ODIG-SPO.

CHAPTER 9 INVESTIGATIONS

A. Organization.



B. Mission. The functions of the ODIG-INV are carried out by the Defense Criminal Investigative Service (DCIS), and its mission is to protect America’s Warfighters by conducting investigations in support of national defense priorities. As the criminal investigative arm of the OIG, the DCIS accomplishes its mission by conducting investigations of suspected criminal violations to include fraud, terrorism, cyber-crimes, computer intrusion, technology protection, corruption, environmental crimes, and major thefts.

C. Functions.

1. The DIG-INV serves as the principal advisor on investigations to the IG.

a. If the individual appointed as the DIG-INV **is a** Special Agent of the DCIS at the time of appointment, the IG may appoint or re-appoint that individual as a DCIS Special Agent in his or her new capacity as DIG-INV, subject to the provisions of Chapter 1 of reference (ah).

b. If the individual appointed as DIG-INV **is not a** DCIS Special Agent at the time of appointment, the IG may appoint that individual as a DCIS Special Agent in his or her new capacity as DIG-INV, provided the IG determines the individual is otherwise fully qualified to serve as a DCIS Special Agent pursuant to reference (ah).

2. Advises the IG and PDIG on criminal investigations involving the DoD.

3. Represents the IG on matters involving criminal investigations involving the DoD.

4. Liaison with other MCIOs

5. Directs and coordinates the DCIS operations.
6. Develops annual and long-range plans for INV, including its strategic plan.

7. DCIS consists of a HQ and subordinate field offices located throughout the United States and select locations overseas. The HQ staff, under the direction of the DIG-INV, provides oversight and support in three functional areas, each headed by an Assistant Inspector General for INV: Internal Operations, Investigative Operations, and International Operations.

D. Internal Operations.

1. Maintains computerized management information systems, provides analytical studies of data derived from criminal investigations, conducts management inquiries concerning complaints made against DCIS employees, and evaluates DCIS management and operations by assisting in inspections of DCIS HQ and field offices.

2. Responsible for budgetary and personnel matters.

3. Responsible for all training, including use of force and defensive tactics, through the Training Division located at the Federal Law Enforcement Training Center in Glynco, Georgia.

4. Responsible for administrative support, policy, space management, and logistics related to agent safety, defensive tactics, and use of force equipment.

5. Conducts liaison and marketing to enhance the public's knowledge of DCIS and to recruit quality DCIS employees.

E. Investigative Operations.

1. Provides oversight, coordination, and support to all DCIS investigative elements in the functional program areas of Regional Operations, Special Operations, and Asset Forfeiture.

2. Provides guidance to the field offices on investigative issues, coordinates policy in the functional areas, and develops conference and training opportunities for the field offices.

F. International Operations.

1. Provides oversight, coordination, and support to DCIS investigative elements in the functional program areas of International Affairs, National Security, and Cyber Crimes.

2. Provides guidance to the field offices on investigative issues; coordinates policy in these functional areas; manages the deployment process; and develops conference and training opportunities for the field offices.

G. Defense Criminal Investigative Service Field Offices.

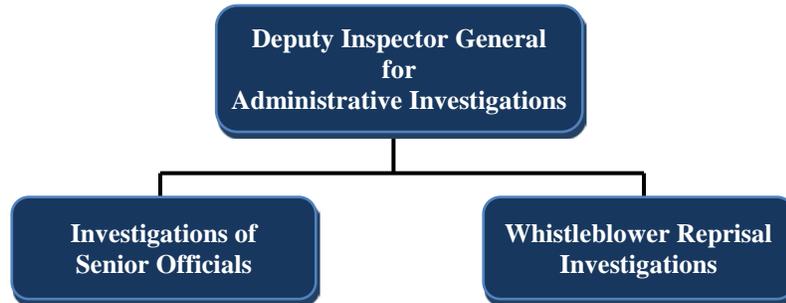
1. Investigate allegations of major procurement and contract fraud; corruption; bribery and gratuity; cost mischarging; defective pricing; product substitution; environmental and fuels-related crimes; antitrust violations; major thefts and embezzlement; illegal transfer of technology; computer intrusions; TRICARE fraud; and other general criminal activities affecting DoD programs and operations.

2. Present fraud and integrity awareness briefings to personnel in the procurement chain to emphasize the potential for bribery, conflict of interest, and fraud.

3. Work with the MCIOs, other federal law enforcement agencies, state and local law enforcement agencies, and the intelligence units comprising the Joint Terrorism Task Forces to ensure terrorism information is shared and investigations are completed in a thorough and timely manner.

CHAPTER 10
ADMINISTRATIVE INVESTIGATIONS

A. Organization.



B. Mission. Promote public confidence in the integrity and accountability of DoD leadership by investigating allegations of misconduct by senior DoD officials and by protecting whistleblowers from reprisal.

C. Investigations of Senior Officials. This Directorate is responsible for investigations of allegations against senior officials IAW reference (ai), to include:

1. Receives and reviews allegations of misconduct made against senior officials to ensure appropriate investigative action is conducted.
2. Conducts investigations, as necessary, into allegations against senior officials, or refers such allegations to the DoD Components for appropriate action.
3. Performs records checks to provide notices of allegations and investigations to appropriate authorities.
4. Provides oversight on investigations conducted by the DoD Components into allegations against senior officials.
5. Conducts outreach.

D. Whistleblower Reprisal Investigations. This Directorate is responsible for maintaining a DoD Whistleblower Protection Program, to include:

1. Investigates or oversees DoD Component investigations of complaints of reprisal for making disclosures protected by statute, consistent with references (u), (aj), (ak), (al), and (am).
2. Receives and investigates complaints of reprisal made by appropriated fund employees, consistent with references (an) and (ao).

3. Receives and investigates complaints of reprisal made under references (ap), (aq), and (ar) by the intelligence community and other covered employees, consistent with references (ao) and (as).
4. Reviews and approves the results of investigations conducted by DoD Component IGs.
5. Develops DoD policy for whistleblower protection and reprisal investigations.
6. Provides training to DoD Components on reprisal investigations.
7. Performs outreach to educate and inform on whistleblower protection laws, whistleblower rights, and reprisal investigations policies and procedures.
8. Provides statistical analysis and reporting on whistleblower reprisal complaints and investigations in the Semiannual Report to Congress, DoD leadership, whistleblower protection advocate organizations, and the news media.

CHAPTER 11
INTELLIGENCE AND SPECIAL PROGRAM ASSESSMENTS

A. Organization.



B. Mission. Provide oversight (audits, evaluations, and inspections) across the full spectrum of programs, policies, procedures, and functions of the intelligence community, special access programs (SAPs), nuclear enterprise, and related DoD security issues.

C. Functions.

1. Executes carefully planned audits and evaluations of elements within the DoD intelligence community, as well as SAPs, nuclear surety, and security issues.
2. Reports to the IG any apparent deviation of public law or DoD policy, as well as, any situations impeding the efficient and effective administration of the DoD intelligence programs and functions.
3. Reports findings, recommendations, and observations to appropriate entities within the Federal Government executive and legislative branches.
4. Coordinates intelligence issues with the DoD Components, other federal agencies, and nongovernment entities.
5. Identifies, develops, and manages annual and long-range audits and evaluations through the coordination with other OIG Components, as well as, the DoD Components' inspectors general to prevent duplication of efforts.
6. Maintains a close relationship with congressional intelligence committees regarding inspector general intelligence related issues.

7. Participates in the Intelligence Community IGs Forum, discussing intelligence community issues and coordinating action on requests for audits and evaluations from the intelligence community, Congress, and other federal agencies.
8. Oversees the Joint Intelligence Oversight Coordination Group on behalf of the IG to coordinate intelligence audits and evaluations to eliminate redundancy and identify shortfalls in intelligence oversight coverage of key intelligence issues.
9. Coordinates complaints submitted to the IG under reference (at) and has the primary responsibility, in coordination with Office of Communications and Congressional Liaison, for all intelligence matters related to the process of transmitting complaints to the Secretary of Defense and Congress.
10. Coordinates, on behalf of the IG, a uniform system of periodic reviews, through the existing organization and DoD Components' inspection processes, to evaluate compliance with directives concerning security, technology protection, and CI practices at the DoD Research, Development, Test and Evaluation facilities. This includes developing inspection guidelines for SAP DoD Components' inspectors general to enhance consistency and issuing a summary report of inspections of security, technology protection, and CI practices.
11. Manages, operates, and administers the OIG Special Security Office; sensitive compartmented information (SCI) and SAP personnel billets; SCI programs; and SCI facility.
12. Ensures OIG compliance with the Director of National Intelligence, and DoD SCI and SAP policies.

**APPENDIX A
REFERENCES**

- a. Title 5, United States Code, *Inspector General Act of 1978*, as amended
- b. DoD Directive 5106.01, *Inspector General of the Department of Defense (IG DoD)*, April 20, 2012
- c. DoD Directive 5100.01, *Functions of the DoD and Its Major Components*, December 21, 2010
- d. President's Council on Integrity and Efficiency, *Quality Standards for Federal Offices of Inspector General*, October 2003
- e. Association of Inspectors General, *Principles and Standards for Offices of Inspector General*, May 2004
- f. Chapter 75 of title 31, United States Code, *Requirements for Single Audits*
- g. General Accounting Office-12-331G, *Government Auditing Standards*, December 1, 2011
- h. Joint Federal Travel Regulations, Vol 1, *Uniformed Service Members*, current edition
- i. Joint Travel Regulations, Vol 2, *Department of Defense Civilian Personnel*, current edition
- j. OMB Circular A-123, *Management's Responsibility for Internal Control*, December 21, 2004
- k. DoD Instruction 5010.40, *Managers' Internal Control Program Procedures*, May 30, 2013
- l. Title VII of Public Law 88-352, *The Civil Rights Act of 1964*, as amended
- m. Equal Employment Opportunity Commission Management Directive-110, November 9, 1999
- n. IG Instruction 1020.1, *Processing Complaints of Discrimination Policy and Procedures*, May 21, 2009
- o. Public Law 107-174, *Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002*, May 15, 2002
- p. Equal Employment Opportunity Commission Management Directive-715, October 1, 2003
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- r. DoD Directive 5405.2, *Release of Official Information in Litigation and Testimony by DoD Personnel as Witnesses*, July 23, 1985
- s. IG Instruction 5505.1, *Office of Professional Responsibility*, April 30, 2010
- t. IG Instruction 5100.1, *Office of the Ombuds*, November 25, 2009
- u. DoD Instruction 7050.01, *Defense Hotline Program*, December 17, 2007
- v. DoD Directive 5400.07, *DoD Freedom of Information Act (FOIA) Program*, January 2, 2008
- w. DoD 5400.7-R, *DoD Freedom of Information Act Program*, September 4, 1998
- x. Section 552 of title 5, United States Code, *The Freedom of Information Act of 1996*
Section 552a of title 5, United States Code, *The Privacy Act of 1974*
- y. Chapter 35 of title 44, United States Code, *Coordination of Federal Information Policy*
- z. Public Law 112-199, *Whistleblower Protection Enhancement Act of 2012*,
November 27, 2012
- aa. Public Law 111-204, *Improper Payments Elimination and Recovery Act of 2010*,
July 22, 2010
- ab. Executive Order 13520, *Reducing Improper Payments and Eliminating Waste in Federal Programs*, November 23, 2009
- ac. Public Law 101-576, *Chief Financial Officers Act of 1990*, November 15, 1990
- ad. Title VIII of Public Law 104-208, *Federal Financial Management Improvement Act of 1996*, September 30, 1996
- ae. Section 842 of Public Law 110-181, *Investigation of Waste, Fraud, and Abuse in Wartime Contracts and Contracting Processes in Iraq and Afghanistan*, January 28, 2008
- af. DoD Instruction 3000.05, *Stability Operations*, September 16, 2009
- ag. Department of Defense, *Quadrennial Roles and Missions Review Report*, current edition
- ah. Office of Inspector General, *DCIS Special Agents Manual*, current edition

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- ai. DoD Directive 5505.06, *Investigations of Allegations Against Senior DoD Officials*, June 6, 2013
- aj. DoD Directive 7050.06, *Military Whistleblower Protection*, July 23, 2007
- ak. DoD Directive 1401.03, *DoD Nonappropriated Fund Instrumentality (NAFI) Employee Whistleblower Protection*, April 23, 2008
- al. DoD Instruction 6490.04, *Mental Health Evaluations of Members of the Military Services*, March 4, 2013
- am. Subpart 203.9 of Defense Federal Acquisition Regulation Supplement, *Whistleblower Protections for Contractor Employees*, January 15, 2009
- an. Chapter 12, Subchapter II of title 5, United States Code, *Office of Special Counsel*
- ao. Section 2302 of title 5, United States Code, *Prohibited Personnel Practices*
- ap. Presidential Policy Directive 19, *Protecting Whistleblowers with Access to Classified Information*, October 19, 2012
- aq. Directive-type Memorandum 13-008, *DoD Implementation of Presidential Policy Directive 19*, July 8, 2013
- ar. IG Policy Memorandum 2013-5, *Protecting Whistleblowers with Access to Classified Information in DoD OIG*, June 18, 2013 (office of primary responsibility is Human Capital Advisory Services)
- as. Section 1221(e) of title 5, United States Code, *Individual Right of Action in Certain Cases*
- at. Section 701(a) of Public Law 105-272, *Intelligence Community Whistleblower Protection Act of 1998*, October 20, 1998

**APPENDIX B
ACRONYMS**

AT	Antiterrorism
AUD	Auditing
CI	Counterintelligence
CIGIE	Council of the Inspectors General on Integrity and Efficiency
COMSEC	Communications Security
DCAA	Defense Contract Audit Agency
DCIE	Defense Council on Integrity and Efficiency
DCIS	Defense Criminal Investigative Service
DIG	Deputy Inspector General
DoD	Department of Defense
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
FOIA	Freedom of Information Act
GAO	Government Accountability Office
GS	General Service
HQ	Headquarters
IA	Information Assurance
IAW	In Accordance With
IG	Inspector General
INV	Investigations
IT	Information Technology
MCIO	Military Criminal Investigative Organization
ODIG	Office of Deputy Inspector General
OGC	Office of General Counsel
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPR	Office of Professional Responsibility
OPSEC	Operations Security

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OSD	Office of the Secretary of Defense
PA	Privacy Act
PDIG	Principal Deputy Inspector General
SAP	Special Access Program
SCI	Sensitive Compartmented Information
SES	Senior Executive Service
SPO	Special Plans and Operations

APPENDIX C
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2. IGDPM 2003-07, *Primary Jurisdiction*, April 17, 2003
3. IGDPM 2003-08, *Duty of the Inspector General to Maintain Effective Working Relationships with the Department of Justice (DoJ) in the Investigation of Crimes Involving the Programs, Operations, or Personnel of the Department of Defense*, April 21, 2003
4. IGDPM 2003-10, *IG Act Duty to Report Violations of Federal Criminal Law*, May 1, 2003
5. IGDPM 2003-11, *Designation of Deputy Inspectors General for Auditing, Investigations, Inspections and Policy, and Intelligence*, May 2, 2003
6. IGDPM 2003-13, *Designation of Office of Inspector General Chief Human Capital Officer*, June 20, 2003
7. IGDPM 2003-22, *Assignment of Auditing Responsibility in the Office of the Inspector General of the Department of Defense*, October 8, 2003
8. IGDPM 2003-23, *Requesting Assistance from Department of Defense Components to Conduct Projects of the Office of the Inspector General of the Department of Defense*, October 9, 2003
9. IGDPM 2003-24, *Inspector General Reporting*, November 5, 2003
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11. IGDPM 2003-26, *Principal Adviser to the Secretary of Defense for Matters Relating to Fraud, Waste, and Abuse*, November 5, 2003
12. IGDPM 2003-28, *Inspector General Act Implementation and Office of Inspector General Policy Guidance (Revision I)*, November 7, 2003
13. IGDPM 2003-35, *Coordination and Cooperation with the Comptroller General*, October 30, 2003
14. IGDPM 2004-04, *Auditor Compliance with Standards Established by the Comptroller General of the United States*, February 10, 2004

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15. IGDPM 2004-06, *Use of Nonfederal Auditors*, February 18, 2004
16. IGDPM 2004-07, *Assignment of Policy Oversight for Investigations and Audits Responsibility in the Office of the Inspector General of the Department of Defense*, February 18, 2004
17. IGDPM 2004-08, *Assignment of Responsibility for Developing Policy and Monitoring and Evaluating Performance of Actions Taken by DoD Components on Audits and Internal Review Reports*, February 24, 2004
18. IGDPM 2004-09, *Inspector General Implementation of the Intelligence Community Whistleblower Protection Act of 1988*, February 27, 2004
19. IGDPM 2004-11, *Independence of the Office of the Inspector General and its Staff Policy Guidance (Revision 2)*, March 22, 2004
20. IGDPM 2004-14, *Duty of the Inspector General to keep the Secretary of Defense and Congress Fully and Currently Informed*, April 23, 2004
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24. IGDPM 2004-20, *Semiannual Reports*, June 22, 2004
25. IGDPM 2004-23, *Duty to Report Alleged or Suspected Violations of the Uniform Code of Military Justice to the Secretary of the Military Department Concerned or the Secretary of Defense*, July 27, 2004
26. IGDPM 2004-24, *Robust Leadership Development and Succession Planning (Revision 1)*, July 28, 2004
27. IGDPM 2004-32, *Policy Statement on "Zero Tolerance" for Whistleblower Reprisal by DoDIG Managers and Staff (Rev. 1)*, October 18, 2004
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30. IGDPM 2005-02, *Policy on Selection of Intakes to Process as Civilian Reprisal Investigations*, January 7, 2005
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32. IGDPM 2005-05, *Reviewing Office of Inspector General Memoranda of Understanding and Memoranda of Agreement for Compliance with Independence Principles (Revision 1)*, February 23, 2005
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34. IGDPM 2008-13, *Office of Inspector General Chief Human Capital Officer*, October 1, 2008