

DEPARTMENT OF DEFENSE

JOINT INSPECTOR GENERAL CONCEPT AND SYSTEM GUIDE



Rev. 1

Joint IG Concept and System Guide

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Introduction

Joint IG Concept and System Guide

1. **Purpose.** This guide outlines the Joint Inspector General (IG) system as it applies to COCOM IGs, Sub-Unified Command IGs, Joint Task Force IGs, and other Joint IGs as applicable.
2. **Joint IG System.** The Joint IG system represents a common, joint approach to IG work in Joint commands that provides all Joint IGs with an established, well-defined system with clear policy guidelines and doctrinal procedures to facilitate the execution of the Joint IG functions of Inspections, Assistance, Investigations, and Teaching and Training. This system further defines the IG's role and responsibilities within the Joint command. It also specifies the capabilities an IG system can bring to the command's readiness, warfighting, and mission capabilities.

This guide addresses specific policy rules regarding the Joint IG tenet of confidentiality, use of Joint IG records, and other key aspects of the system. Procedures contained in the companion guides on Inspections, Assistance, and Investigations are authoritative in nature, require judgment in application, and represent the preferred methods for performing these functions. In other words, these guides have the authoritative backing of the Inspector General (IG), Department of Defense (DoD), as the proponent of the Joint IG system; but the IG, DoD, does not mandate their use. This guide represents a combination of the prescriptive aspects of the Joint IG system and the doctrinal aspects of the IG's role and responsibilities within that system. Joint IG policy, the prescriptive aspects of the Joint IG system, appears in Department of Defense Instruction 5106.05, "Combatant Command Inspectors General-Implementing Procedures."

3. **Questions and Comments.** For questions or comments concerning this guide, please contact the Joint IG Course staff and faculty.

Chapter 1

Joint IG System

1. **Purpose.** This chapter describes the Joint IG system, its proponent and functions.
2. **Joint IG System.** The Joint IG system is defined by its guiding philosophy, the system's proponent, the overall concept for the system, the system's four functions, and laws bearing on the execution of those five functions. This chapter includes five sections addressing all of these topics and how they form a comprehensive, inter-related Joint IG system to enhance the readiness, warfighting, and mission capability of a Joint command. Those sections are as follows:

Section 1.1 Proponent for the Joint IG System

Section 1.2 Joint IG Concept and Philosophy

Section 1.3 Joint IG Functions

Section 1.4 Statutory Authorities Impacting Joint IGs

Section 1.5 Responsibilities of Key Players in the Joint IG System

Section 1.1

Proponent for the Joint IG System

1. **Purpose.** This section describes the responsibilities of the proponent for the Joint IG system.

2. **Proponent for the Joint IG system.** The proponent for the Joint IG system is the IG, DoD. As the proponent, the IG, DoD, is responsible for the development of Joint IG policy in the form of a Department of Defense directive and instruction, and procedures associated with executing the IG functions. Additionally, the IG, DoD, will recommend notional manning levels and grade structures for Combatant Command (COCOM) and Joint Task Force (JTF) IG offices. The IG, DoD, will rely upon the advice and counsel of the Service Inspectors General, the Joint Staff IG, and the sitting COCOM IGs.

3. **Responsibilities of the Proponent.** Responsibilities of the IG, DoD, as proponent of the Joint IG system are as follows:

a. Assist the Joint IGs by coordinating and clarifying DoD policy, issuing implementing instructions, and resolve conflicting or inconsistent IG policy involving Joint IG duties, responsibilities, and functions.

b. Develop, coordinate, conduct, and provide uniform training and certification regarding Joint IG duties, responsibilities, and functions for all Defense components.

c. Provide a forum for Department of Defense IG issues.

d. Designate an office as the focal point for the Office of Inspector General, Department of Defense, to assist, coordinate, and integrate appropriate IG matters with the IGs of Joint commands and the IGs of the Military Departments.

e. Determine manpower requirements for staffing of Joint IG offices in Joint commands to include; COCOMs, JTFs, and other Joint commands/bases.

f. Determine baseline requirements to include; manpower, equipment, software and training requirements for the development of a joint automated case tracking system.

g. Has the authority to decertify Joint IGs.

Section 1.2

Joint IG Concept and Philosophy

1. **Purpose.** This section describes the Joint IG guiding philosophy and concept for the system.
2. **Joint IG Guiding Philosophy.** The guiding philosophy behind the Joint IG system is to enhance the **Readiness, Warfighting, and Mission Capabilities** of the command. This philosophy is based upon the model approach developed in 1778 for the Continental Army by Major General Friedrich Wilhelm Augustin *Freiherr* (Baron) von Steuben. The resulting name for this guiding philosophy is The von Steuben Model.

After suffering through three ineffective Inspectors General during the early months of the American Revolution, General George Washington finally found the man who understood the Commander-in-Chief's concept for a 'drillmaster general' in the guise of Baron von Steuben. Von Steuben, a retired Prussian army captain with extensive combat and general staff experience, arrived at Valley Forge in February 1778 thanks to the Paris-based recruiting efforts of Benjamin Franklin and Silas Deane. Unlike his predecessors, von Steuben did not overtly seek command authority or a position of responsibility equal to, or greater than Washington's but instead set about turning the rag-tag Continental Army into a peer competitor for the highly skilled and professional British army.

Von Steuben's efforts began with the establishment of baseline drill standards and tactics that focused solely on enhancing the combat readiness, warfighting, and mission capability of the Army, a model approach that endures today in the 21st Century in each of the Service IG systems and the Joint IG world. Von Steuben dictated the standards, set down by a scribe but later compiled by the Baron into the famous "Blue Book" and then trained one squad of Washington's guard on how to load, fire, and re-load a musket in only a few quick steps. These newly trained Soldiers in turn trained others under von Steuben's direct supervision; and, once the individual tasks were covered, von Steuben moved on to tactical drill maneuvers and the like.

By early spring of 1778, von Steuben had re-shaped the entire Continental Army and weathered the initial scorn and suspicion cast upon him by the senior officer corps. But von Steuben quickly earned their respect and the gratitude of General Washington, who promoted him to major general and authorized the assignment of other Inspectors General at lower echelons of command. Washington's actions resulted in the birth of America's first military Inspector General system, a system focused on enhancing the **Readiness, Warfighting, and Mission Capabilities** of the command.

One important aspect of von Steuben's success was his realization, at General Washington's urging, that the Inspector General would work best not as someone with independent command authority but as an inspector who worked through the authority and vision of the Commander-in-Chief. Although von Steuben harbored his own ambitions for command, he quickly squelched them when he learned through practice that Washington's concept for an Inspector General was the best recipe for success. The resulting relationship that Washington and von Steuben nurtured between the Commander-in-Chief and his Inspector General set the foundation for the Army's Inspector General system, a concept which has grown over the years and found its way into the other Services. Over time, and despite many ups and downs throughout history, the Inspector General concept has proved crucial to preparing our Nation's armed forces for war. Although adapted differently by each Service based upon Service culture, the various Inspector General systems have become defined by specific functions such as Inspections, Investigations, and so on. These functions have proved critical to providing not just oversight within the Services but also as mechanisms designed to enhance the **Readiness, Warfighting, and Mission Capabilities** of the Soldiers, Sailors, Airmen, Marines, and Coast Guard they support. Over 230 years later, The von Steuben Model has stood the test of time.

3. Definition of a Joint IG. Joints IGs are officers, non-commissioned officers, and civilians from the Army, Navy, Air Force, Marines, and Coast Guard who are assigned to duty as an IG in a Joint command/activity, Combatant Commands and/or Joint Task Forces (and other unique Joint organizations by exception). Each Joint command has a Joint Command IG (JCIG) that leads an IG office to execute the Joint IG system on behalf of the command and the commander. Joint IGs are uniquely qualified to execute the Joint IG system in a Joint command by undergoing a four-step certification process: nomination or requisition, approval and assignment to a Joint IG billet, completion of the Joint IG Course, and swearing of the Joint IG oath.

4. Joint IG Concept. The Joint IG system is defined by four functions which include the following: Inspections, Assistance, Investigations, and Teaching and Training. The Teaching and Training function is also embedded among the first three functions. Joint IGs serve their commands and the Soldiers, Sailors, Airmen, Marines, Coast Guard, and civilians who comprise these commands by executing the four IG functions based upon the commander's vision, intent, goals, and command philosophy.

Joint IGs adhere to strict standards of integrity, objectivity, independence, professional judgment, and confidentiality. The Joint IG system is effective only if Joint IGs are credible and trusted by the supported population. When a Joint IG cannot be trusted or lacks credibility, the supported population will not accept IG assistance. The supported population will also be less likely to provide accurate,

timely information that will allow the Joint IG and his/her Joint IG office to resolve, and possibly prevent, problem areas within the Joint command.

The success of the IG system within a particular Joint organization largely depends on the commander and IG relationship. The Joint IG is a member of the commander's personal staff and serves as a key player in enabling the commander to organize and employ combat-ready forces to carry out missions assigned to the command (for Combatant Commanders, this authority is statutory in nature and derives directly from 10 USC 164). The Joint IG must have direct access to the commander and remain exclusively under the commander's control in order to avoid the perception of external influence. Personnel, budget, and operational matters that impact upon the Joint IG and IG office must also remain under the direct control of the commander for the similar reasons.

The Joint IG is an extension of the eyes, ears, voice, and conscience of the commander. The Joint IG extends the commander by looking into areas that might hinder the readiness and warfighting capability of the command. The Joint IG must be careful to remember that a fine line exists between extending the commander and serving as a fair and impartial fact-finder and problem-solver. The Joint IG's loyalty rests with the overall command and not just with the commander.

The Joint IG is the commander's confidant, an individual with whom the commander can discuss in complete trust, any aspect of the command in either a peacetime or wartime environment. The Joint IG is responsible for informing the Joint commander of IG observations, findings, and impressions on all aspects of the command. The Joint IG's responsibility is to teach and train the Joint Commander on how the Joint IG system can enhance the command's readiness, warfighting, and mission capability and how best to use the Joint IG and the commander's IG office.

Joint IGs have no inherent authority to conduct an inspection or investigation without the commander's permission. All inspections and investigations must be in line with the commander's guidance, goals, and philosophy. Joint IGs do not need the commander's authority to provide assistance, conduct investigative inquiries, or engage in teaching-and-training activities.

Joint IGs provide IG support to the commander to ensure that all systems, processes, and procedures are functioning according to established law, policy, and command directives. All Joint IGs must respond to requests for assistance from anyone (including foreign nationals) that present matters of interest to the Joint command or to the United States.

Joint IGs and the members of Joint IG offices execute the four Joint IG functions within the limitations of the Joint IG tenet of confidentiality and the

restrictions and limitations placed upon the use and release of Joint IG records. Confidentiality, never guaranteed, is critical because it ensures confidence in the Joint IG system, safeguards identities, and minimizes the fear of reprisal. However, a Joint IG can never guarantee confidentiality because the records (including JTF and other Joint IG records) belong to the Commander, and he/she may be forced to overturn confidentiality due to unforeseen reasons. As the one who owns IG records and is the release authority for such documents, the Commander must carefully consider the use of such documents (Reports of Investigations, etc.) for adverse action due to the potentially negative effect such use could have on the Joint IG system.

Section 1.3

Joint IG Functions

1. **Purpose.** This section describes the four Joint Inspector General functions.
2. **Joint IG Functions and Approach.** The Joint IG system consists of four specific functions that all IGs must be able to perform on behalf of the Joint commander; the command; and all military members and civilians within the organization. The two function areas; Inspections, and Teaching and Training are proactive in nature and are designed to get ahead in problem areas in order to resolve them before they become larger issues. Assistance and Investigations are the other two Joint IG functions. They are reactive by nature and depend upon complainants to bring forth issues or allegations of impropriety in order for the IG to take action or resolution. Through the four specific functions, the Joint IG serves as the “eyes and ears of the commander” executing those functions in accordance with the rules and regulations set forth in Joint IG policy, doctrine, and procedures.

The three functions are addressed separately below; however, the fourth function, the Joint IG’s supportive role as a teacher and trainer of command personnel at all levels, while it is embedded in each function area, is also addressed separately in this section. The Joint IG has the responsibility of educating the command of the purpose and value of the IG, ensuring that the IG staff receives training to allow them to perform their duties, reinforcing the principles of ethical conduct and applicable standards, and instilling the importance of good leadership, all of which have a direct effect on the readiness, warfighting, and mission capability of the command.

To perform the four functions efficiently and effectively, the Joint IG must develop relationships with other IGs at all levels. Mutual sharing of ideas among Joint IGs fosters best practices and the free-flow of information. For example, a well-integrated and defined inspections program established by one organization may serve as a model for others.

While the four functions are distinct and separate, the Joint IG must develop and manage a program that incorporates all aspects of these functions together. As an inspector, the Joint IG’s job is to identify root causes of problems. An IG that takes a proactive approach and aggressively seeks out issues and challenges facing a unit will confront fewer issues to identify and resolve.

a. **Inspections.** The fundamental purpose of inspections is to assess, assist, and enhance the ability of a command to effectively prepare for and to perform its assigned mission. Inspections will identify root causes of problems, particularly those beyond the capability of the commander to solve. The Joint IG

Inspection program is built upon five basic principles that inspections must be purposeful, coordinated, focused on feedback, instructive, and followed up.

Joint IG Inspections will apply either a compliance-oriented or systemic approach. In compliance-oriented inspections, the readiness of organizations and their respective functions are measured against established standards. These inspections strive to identify root causes of any deviation. As for the systemic approach, it involves larger problems oriented around individual systems, functions, and programs within the Joint command.

Joint IGs should safeguard inspection reports from use in adverse actions; these reports should serve only as another oversight mechanism that supports a subordinate commander's efforts in identifying and eliminating readiness 'friction points' within the organization. The desired goal of any inspection is to increase combat effectiveness, efficiency, mission readiness, and safety.

In addition to developing a rigorous inspections program, the Joint IG may also serve as the Joint command's coordination point for external inspections and/or audits conducted by the IG, DoD; the Government Accountability Office (GAO); Service Audit Agencies and other Federal agencies.

The **Joint IG Inspections Guide** provides direction on preparing and conducting an inspection. A section has been added that covers the Intelligence Oversight Program and other areas of special interest inspections.

b. Assistance. An integral part of the Joint IG's roles and responsibilities, a Joint IG uses the Assistance Function to address issues presented by an individual -- Soldier, Sailor, Airman, Marine, Coast Guard, civilian, or family member -- quickly and thoroughly so the individual can focus on the assigned mission. The Assistance Inquiry is an informal fact-finding process used to address or respond to a complaint involving a request for information or help with an issue, but not allegations of impropriety or wrongdoing.

Through networking and problem-solving skills, the Joint IG provides well-researched and correct answers and resolutions to the matters presented to the Joint IG. In order to obtain information to properly address the complainant's concern, the Joint IG makes phone calls; questions functional experts; solicits information from appropriate organizations and agencies; or places the complainant in contact with the person, organization, or agency that can best address the complainant's problem.

Teaching and Training, another Joint IG function, is deeply integrated in Assistance. The Joint IG uses this function to inform the complainants as well as staff and commanders of current requirements and regulations. This process often explains the path to the solution of the issue, thus decreasing the possibilities of recurrence of the same matter. Furthermore, as part of the joint

world, providing awareness throughout the command of Service specific cultures and regulations will greatly support the effort to enhance readiness, warfighting, and mission capabilities.

The **Joint IG Assistance Guide** provides direction on providing assistance.

c. **Investigations.** An investigation is a fact-finding examination into allegations of impropriety by an individual or an adverse condition that affects the warfighting and mission capability of a Joint command. A Joint IG may investigate any violation of law, policy, or ethical standards, including, but not limited to, allegations of fraud, waste, abuse, and mismanagement. A Joint IG is also responsible for conducting investigations into allegations of statutory whistleblower reprisal and improper mental health evaluation referrals involving military members, civilians, non-appropriated fund employees, and contractors in accordance with established law and DoD policy. The Joint IG, working at the COCOM level, will report allegations against senior officials to the DoD IG through the COCOM IG (if a JTF IG is reporting) with a concurrent report to the respective Service IG. All other Joint IGs will report senior official allegations to DoD IG.

A Joint IG investigation must meet four standards; independence, accountability, completeness, and timeliness (IACT). Although sometimes difficult, the JCIIG must be **independent** and impartial both in fact and appearance. The Joint IG gives the final Report of Investigation (ROI) to the Directing Authority (commander), the only person authorized to use the ROI to hold wrongdoers **accountable** for their actions. The report stands alone, is **complete**, and tells the story from beginning to end without referring to enclosures. The goal should be to have the reader understand the content of the report and arrive at the same conclusion as the investigator. In support of the investigative process, the Joint IG should complete the investigation and submit the report to the Directing Authority in a **timely** manner. This timeliness is particularly important given the impact a Joint IG Investigation has on an organization and the lives and careers of individuals.

The preponderance of credible evidence (51 percent or greater) is the standard of proof applied to a Joint IG investigation to substantiate or not substantiate allegations. Hotline investigations originating from the Department of Defense IG (DoD IG) are administrative in nature and follow the same standards mentioned above. As such, the Joint IG will investigate criminal allegations by exception only. Depending on the circumstances, the Joint IG will refer allegations of criminal activity to the commander, the Service IG, or the appropriate criminal investigative service as appropriate. If the alleged criminal activity involves the Commander or Deputy Commander, the Joint IG should refer the matter through the COCOM IG (if a JTF) and then to DoD IG.

Joint IGs will investigate or inquire into allegations of impropriety and those allegations that originate from the Department of Defense IG Hotline program concerning matters within their purview. If a complaint does not fall within the purview of their (the Joint IG's) organization, the COCOM IG is responsible for notifying the Joint Staff IG for assistance in directing the complaint to the appropriate office. Upon completing an inquiry or investigation, the Joint IG will submit the investigative findings through the COCOM IG (if a JTF IG) to the DoD IG and to the military Services using the Hotline Completion Report format.

The types of complaints addressed by Joint IGs include fraud, waste, abuse, and mismanagement. The Joint IG will also investigate allegations of military whistleblower reprisal in accordance with DoD Directive 7050.06, "Military Whistleblower Protection"; and improper referrals for mental health evaluations in accordance with DoD Directive 6490.1, "Mental Health Evaluations of Members of the Armed Forces", and DoD Instruction 6490.4, "Requirements for Mental Health Evaluations of Members of the Armed Forces." The Joint IG is required to report allegations of alleged reprisal or improper mental health evaluations submitted by military members and civilians through the COCOM IG (if submitted by a JTF IG) to DoD IG and the Service IGs within 10 working days of receipt. Joint IGs will report reprisal allegations against appropriated-fund government employees to the Office of Special Counsel. Reprisal allegations against non-appropriated-fund and contractor employees will go to the IG, DoD.

Joint IGs must promptly report allegations made against senior officials to the DoD IG by confidential means within **five work days** in accordance with DoDD 5505.06. As facts and evidence are gathered in an investigative inquiry, continually evaluate whether the new allegations or issues are appropriate for continued involvement. As an example, if senior-official allegations are developed during an investigative inquiry or investigation, notify the DoD IG. If the senior official is the IG's boss, there could be concerns about confidentiality and the possible damage that could occur to the relationship between the IG and the commander. Make the DoD IG aware of these concerns. During the initial report the DoD IG will take every reasonable step to protect the relationship between the IG and the commander. ***Do not do any preliminary analysis into allegations against senior officials.***

(1) Inform the commander of the general nature of the allegations against other senior officials in the command. Should an IG receive an allegation against his/her general/flag officer commander, contact the DoD IG for guidance prior to informing the commander. Past experience has shown that IGs who have attempted to "protect" their bosses by informing them of the allegations and/or conducting their own "preliminary analysis" or "preliminary inquiry" have actually exposed the commander and themselves to allegations of reprisal and regulatory violations. The best method of protecting the boss is to immediately report the allegation in accordance with DoDD 5505.06. The DoD IG will provide information and/or guidance on what, if anything, to tell the boss.

(2) If the DoD IG is conducting an investigation within the IG's own command, the agency will normally inform the commander. The DoD IG may not inform the IG of the investigation, specific allegations or status unless the DoD IG deems that they have a need to know. COCOM IGs who receive allegations against civilians in the intelligence field (normally those civilians assigned to a J-2 staff section at the COCOM level) must refer the matter through the COCOM IG (if a JTF) to the Joint Staff IG (if applicable) for subsequent referral to DIA.

The **Joint IG Investigations Guide** provides direction on preparing and conducting an investigation.

d. Teach and Train. The Joint IG Teach and Train function is an integral and embedded part of the other Joint IG functions of Inspections, Assistance, and Investigations. Joint IGs possess a reservoir of experience and knowledge that can assist commanders in achieving and maintaining disciplined and combat-ready units. Through their example, Joint IGs assist commanders in setting standards of behavior and appearance and pass on lessons learned to enable others to benefit from past experience.

Joint IGs have a responsibility to train non-IGs on how the Joint IG system operates and on specific standards, responsibilities, processes, and systems related to non-IG activities. The effectiveness of the Joint IG system is, to a great extent, a function of how receptive non-IGs are to Joint IGs. Therefore, Joint IGs must teach leaders and their Soldiers, Sailors, Airmen, Marines, Coast Guard, and Civilians 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. Failure to explain the Joint IG system to commanders and others may result in commanders misusing, or simply not using, their IGs.

While inspecting, assisting, or investigating, Joint IGs contribute to improving the Joint command by Teaching and Training others in policy and procedures. During periods of organizational change and high operational pace, Soldiers, Sailors, Airmen, Marines, Coast Guard, Civilians, and their leaders may lack a complete understanding of required standards and procedures. Since Joint IGs are selected based on their experience, they possess valuable knowledge, experience, and insight that many non-IGs lack. A Joint IG's knowledge increases through training, experience as an IG, and the extensive research that Joint IG duties require. Joint IGs gain a broad perspective on the Joint command that few others attain.

Joint IGs incorporate Teaching and Training into all aspects of their duties. When Joint IGs notice that inspected personnel do not know standards, they explain those standards and the reason those standards were established.

Additionally, Joint IGs pass on lessons learned and good ideas or benchmarks observed during other inspections or Joint IG activities.

Joint IGs may also use the Teaching and Training function during security cooperation events with other nations as a way to promote and to help them develop healthy military oversight systems that are beneficial to our mutual interests.

Section 1.4

Statutory Authorities Impacting Joint IGs

1. **Purpose.** This section describes the various statutory authorities that have an impact on the Joint IG system.
2. **Statutory Authorities.** The following statutory authorities are relevant to, or impact, the Joint IG system and its execution. Those authorities include the following:
 - a. Executive Order 12333, United States Intelligence Activities - establishes procedures governing the oversight of military service intelligence components.
 - b. Title 5, United States Code Appendix 3, "The Inspector General Act of 1978," - establishes the responsibilities and duties of an IG in the Federal government. The IG Act was amended throughout the 1980s to increase the number of agencies with statutory IGs. This culminated in 1988 with the establishment of IGs in smaller, independent agencies for a current total of 64 statutory IGs. The Department of Defense Inspector General Office is one of these statutory IGs.
 - c. Section 2302(b) (8) of title 5, United States Code - provides whistleblower protection from reprisal for appropriated fund employees and non-appropriated fund (NAF) employees.
 - d. Section 164 of title 10, United States Code - establishes the assignment, powers, authority, and duties of commanders of Combatant Commands.
 - e. Section 1034 of title 10, United States Code - revised by The Strom Thurmond National Defense Authorization Act for Fiscal Year 1999, effective 16 October 1998, extends authority to IGs within the military departments to grant whistleblower protection from reprisal for allegations presented directly to them by Service members.
 - f. Section 2409(a) of title 10, United States Code - provides whistleblower protection coverage to contractor employees.
 - g. Section 546 of Public Law 102-484, "National Defense Authorization Act for Fiscal Year 1993", 23 October 1992 - prohibits the use of referrals of Service members by commanding officers for mental health evaluations in reprisal for whistleblowing.

Section 1.5

Responsibilities of Key Players in the Joint IG System

1. **Purpose.** This section describes the specific responsibilities and functions of all individuals and organizations with a role in the Joint IG system.

2. **Inspector General, Department of Defense (IG, DoD).** The IG, DoD, is the proponent of the Joint IG system, and his specific role and responsibilities are captured in Section 1.1.

3. **Joint Staff Inspector General.** The Joint Staff IG serves under the Chairman of the Joint Chiefs of Staff and performs IG duties in accordance with Chairman of Joint Chiefs of Staff Instruction (CJCSI) 5901.01B and applicable DoD instructions.

a. Provide assistance to Joint IG offices as requested.

b. Coordinate and consolidate the quarterly COCOM IG intelligence oversight report in accordance with CJCSI 5901.01B.

c. Serve as an intermediary between the DoD IG, and the COCOM IGs concerning IG functions as requested by the DoD IG.

d. Assist in integrating issues between the DoD IG and the COCOM IGs concerning IG functions as requested by the DoD IG.

e. Coordinate with the DoD IG to include current and accurate Joint IG information in the appropriate Joint doctrine and publications.

4. **Secretaries of the Military Departments.** The Service secretaries are force providers for Joint IG billets.

a. Nominate qualified commissioned officers to serve as Joint Command IGs if requested by the commander of a Joint command.

b. Nominate qualified commissioned officers and non-commissioned officers to serve as members of Joint IG offices when requested by the commander of a Joint command.

c. Comment on the qualifications and suitability of any prospective Joint IG assigned to a Joint command if requested by the commander of that Joint command.

5. Inspectors General of the Military Departments. Service Inspectors General assist the Service secretaries in providing qualified personnel to Joint IG billets.

a. Comment as necessary on the qualifications and suitability of any prospective Joint command IG nominated by the Service or selected from within the Joint command.

b. Provide service-specific IG training for Joint IGs to supplement their Joint IG training if requested or required.

c. Comment as necessary on the qualifications and suitability of any prospective service member requisitioned or selected from within a Joint command for Joint IG duty.

d. Screen the service's IG database for adverse information and the suitability of service personnel nominated or requisitioned for Joint IG duty.

6. Commanders of the Combatant Commands. COCOM commanders provide oversight over all Joint IG functions within the command.

a. Select officers or assign approved Service-nominated officers in the grade of O-6 or above to serve as the COCOM IG in fulltime separate positions.

b. Coordinate with the Military Department IGs on the qualifications and suitability of the nominated or selected COCOM IGs and the other prospective individuals requisitioned for duty in a Joint IG office within a Combatant Command.

c. Provide the necessary resources to the COCOM IG office to perform the Joint IG functions in support of the command.

d. May not assign duties for the IGs that may interfere with their status as fair and impartial fact-finders for the command.

e. Rate and evaluate the IG. If necessary, delegate this requirement on to the Deputy Commander at the three-star level (or civilian equivalent) but no lower.

f. Responsible for all Joint IG records within the command, to include records belonging to Sub-Unified Commands and JTFs assigned to command.

g. Serve as the release authority or initial denial authority for all Joint IG records within the command (the appellate authority for release denials is the Office of the Secretary of Defense).

h. Serve as the Directing Authority for Joint IG inspections, investigations, and audits (unless that authority is delegated to the deputy commander or chief of staff).

7. Commanders of Joint Commands. Joint commanders provide oversight over all Joint IG functions within the command.

a. Select officers, or approve Service-nominated officers, in the appropriate grade to serve as the Joint Command IG.

b. Coordinate with the Military Department IGs on the qualifications and suitability of the nominated or selected Joint Command Inspectors General and the other prospective individuals requisitioned for duty within a Joint IG office..

c. Provide the necessary resources to the IG office to perform the Joint IG functions in support of the command.

d. May not assign duties for the IGs that may interfere with their status as fair and impartial fact-finders for the command.

e. Rate and evaluate the Joint Command IG. If necessary, delegate this requirement only to the Deputy Commander of the Joint command but no lower.

f. Assume ownership of Joint IG records and serve as the release authority or initial denial authority for all Joint IG records.

8. Heads of the Department of Defense Components.

a. IGs within the various Defense agencies must establish liaison with all Joint IGs. Establish liaison with JTF IGs through the COCOM IGs.

b. Designate a point of contact to coordinate all Joint IG matters with the Joint IGs.

c. For DoD components that have an IG, the point of contact shall be the DoD component IG.

d. Agencies that do not have IGs will establish liaison with the COCOM IGs via an agency-designated official or the coordinator of the agency's Defense Hotline according to DoD Directive 7050.1.

e. Assist all Joint IGs, through the COCOM IGs, in the performance of their duties, to include providing subject-matter experts as necessary.

f. Provide assistance, including subject matter experts as necessary, to assist the Joint IGs and staffs in the performance of their duties in accordance with applicable laws, policies and regulations.

g. Accept investigative referrals and transfers from the Joint IGs and process them in accordance with the applicable IG procedures.

h. Accept assistance referrals and transfers from the Joint IG and process them in accordance with applicable laws, policies, and regulations.

i. Coordinate and address IG issues with the DoD IG and the Joint IGs.

9. Joint Inspectors General. Joint IGs shall:

a. Serve as a member of the commander's personal staff and provide advice and counsel on all IG matters pertaining to the Joint command.

b. Report on the state of the economy, efficiency, discipline, morale, training, and readiness throughout the command as directed by the Commander and DoDD 5106.04 and the "Inspector General Act of 1078," as amended.

c. Perform investigative, inspection, assistance, teach and train functions as directed by the Joint Commander and make inquiries into any matter within the scope of the commander's authority per DoDD 5106.04 and the "Inspector General Act of 1078," as amended.

d. Coordinate with the Office of Inspector General, Department of Defense, to address issues of mutual concern.

e. Inspect and report on the command's intelligence oversight programs.

f. Notify the respective Military Department IG upon initiating investigations on members of their service who are identified as subjects or suspects in accordance with that Military Department's service requirements. Provide a copy of the final report to the respective Military Department IG.

g. Maintain Joint IG records and release them only as authorized by the Commander.

h. Recommend actions to correct deficiencies identified during investigations, inspections, and assistance; visit and monitor the progress of approved corrective actions.

i. Promptly report allegations against senior officials to DoD IG in accordance with DoDD 5505.06. Reporting shall be concurrent with the COCOM

IG (if applicable) and the respective Military Department IG or Defense Agency IG.

j. Review and investigate inquiries received from the Defense Hotline Program in accordance with DoDD 7050.1.

k. Coordinate IG activities with DoD IG, Joint Staff IG, and Military Department IGs, as applicable.

l. Refer to the appropriate official for disposition of any matter outside the authority of the Joint IG.

m. All Joint IGs serving in Combatant Commands, Sub-Unified Commands, JTFs or other Joint commands must successfully complete the DoD Joint IG course or applicable Mobile Team Training (MTT) within 120 days of assignment to qualify as a Joint IG.

n. Joint IG offices will utilize a case tracking system which is compliant with security requirements and certified by the appropriate Defense agency.

Chapter 2

Categories of Joint IGs

1. **Purpose.** This chapter describes the categories of Joint IGs, their assignment and certification requirements, their personal and professional standards, and their authority.
2. **Categories of Joint IGs.** Joint IGs fall into specific categories that denote their responsibilities and duties within a Joint IG staff section (or office). Joint IG duty requires hand-picked personnel from each of the Services to serve as Joint IGs as well as specialized training and certification. The sections in this chapter address the different categories of Joint IGs. The sections are as follows:

Section 2.1 Categories of Joint IGs

Section 2.2 Assignment of Joint IGs

Section 2.3 Nomination and Requisitioning of Joint IGs

Section 2.4 Joint IG Oath

Section 2.1

Categories of Joint IGs

1. **Purpose.** This section describes the various categories of Joint IGs.
2. **Categories of Joint IGs.** There are five separate categories of Joint IGs. Table 2.1.1 shows Joint IG duties and functions.
 - a. **The Joint Command Inspector General (JCIG)** is a personal staff officer responsible to the commander for executing the Joint IG system within the command. The JCIG is responsible for leading and overseeing the Joint IG staff (or office). The JCIG should also be personally capable of leading and performing all Joint IG functions. JCIGs should be commissioned officers serving in the grades of O-6, O-5, or O-4. Exceptions to this must be submitted to the DoD, IG.
 - b. **The Deputy Joint Command Inspector General (DJCIG)** is responsible for assisting the JCIG in leading and overseeing the Joint IG staff (or office). The DJCIG should also be personally capable of leading and performing all Joint IG functions. DJCIGs should be commissioned officers serving in the grades of O-5 or O-4 or the civilian equivalents.
 - c. **Assistant Inspectors General (AIGs)** are responsible for assisting the JCIG in all functions performed within the Joint IG staff (or office). All AIGs should be capable of leading and assisting in all Joint IG functions. AIGs may be commissioned officers serving in the grades of O-5, O-4, or O-3; commissioned warrant officers in the grades of CW-5, CW-4, or CW-3; staff non-commissioned officers/chief petty officers serving in the grades of E-9, E-8, or E-7; or the civilian equivalents.
 - d. **Temporary Assistant Inspectors General (TAIGs)** are personnel not permanently assigned to the JCIG office who are temporarily serving as subject-matter experts or augmentees for a limited period of time or for a specified purpose. TAIGs may assist (but not lead) in the execution of the Assistance, Inspections, Intelligence Oversight, Investigations, and Teaching and Training functions. TAIGs may be commissioned officers, non-commissioned officers/petty officers, or the civilian equivalents.
 - e. **Liaison Inspectors General (LIGs)** are commissioned officers appointed to this additional, but temporary, duty by the Joint commander based upon a recommendation from the JCIG. LIGs assist a JCIG's staff section with receiving Joint Inspector General Action Requests (Joint IGARs) in population areas for which the JCIG has responsibility but from which the JCIG and his or her staff section is often geographically separated. LIGs will only provide simple assistance and will not conduct investigations, serve on Joint IG inspection

teams, or perform duties in the office of a JCIG. LIGs may not administer oaths or have access to the local IG databases. JCIGs (or DJCIGs) will train LIGs on their responsibilities and all necessary procedures and provide technical and performance supervision. Commissioned officers in the chain of command, or those who routinely assume duties in the chain of command, will not be designated as LIGs. LIGs will not be assigned non-IG investigations such as Article 32 investigations. Although these duties may not conflict directly with the LIG's duties, they may create the perception in the command of a Joint IG investigation while placing the LIG in a position of fulfilling two separate but opposing roles. The Joint command will announce the designation of the LIG by memorandum; that memorandum will specify the extent of the LIG's authority to receive and act upon requests for assistance, will identify the JCIG charged with supervising the LIG's activities, and will establish a time frame for the LIG's tenure.

3. **Administrative Assistants** are personnel assigned to the Joint IG office and provide administrative assistance for the Joint IG staff. They do not lead but may provide assistance in any of the Joint IG functions after successfully completing either DoD Joint IG Course or applicable Mobile Training Team (MTT) Course. Administrative Assistants that have successfully completed training may be sworn in as Administrative Assistants, and not as Joint IGs, and have access to IG-related databases when providing assistance in any of the Joint IG functions. Administrative Assistants can be enlisted personnel serving in the grades of E-6, E-5, or E-4 or the civilian equivalents.

	Assistance	Inspect	Investigation	Train and Teach
JCIG	Lead	Lead	Lead	Lead
DJCIG	Lead	Lead	Lead	Lead
AIG	Lead	Assist or Lead	Assist or Lead	Lead
TAIG	Assist only	Assist only	Assist only	Assist only
LIG	Assist only	No	No	Assist only
Admin Assistant	Assist only	Assist only	Assist only	Assist only

**Table 2.1.1
Joint IG Duties and Functions**

Section 2.2

Assignment of Joint IGs

1. **Purpose.** This section describes the locations and assignments of Joint IGs.

2. **Assignment of Joint IGs.** Joint IGs are typically assigned to Joint Commands that are commanded by flag or general officers (or in selected instances by an O-6).

a. Joint Commands may include the following:

- (1) Combatant Commands
- (2) Joint Task Forces
- (3) Other Joint Commands (for example; Defense Commissary Agency (DeCA), etc. - specifically where an IG requirement is listed in the Joint Manning Document (JMD) for temporary organizations or a Joint Table of Distribution (JTD) for permanent organizations.)

b. Each Joint Command should have a Joint Command Inspector General (JCIG) who reports directly to the Commander. The IG directing authority and reporting relationship may be delegated to a deputy commander at the three-star level (or civilian equivalent) but no lower.

c. Each Service Inspector General whose Service nominates a JCIG or assigns a member to a Joint IG position in accordance with the Joint Table of Distribution (JTD) or Joint Manning Document (JMD for JTFs) should have the opportunity to comment on the qualifications and/or suitability of any prospective JCIG or staff member assigned to a Joint IG position.

d. Each JCIG should have a staff comprised of commissioned officers, non-commissioned officers (from two or more Services) and/or government civilians. The size of an IG office should be based on mission requirements and workload factors. The recommended minimum personnel structure for a JCIG office staff should include personnel that fulfill all Joint IG functions and related requirements associated with external engagement agency management.

Joint Command IG (x1)
Deputy Joint Command IG (x1)
Assistant IG (x3)
Administrative Assistant (x1)

e. The recommended grade structure for the JCIG is:

Four-star command = O-6 and above and civilians by exception
Three-star command = O-6 (O-5 by exception)

Two-star command and below = O-5 (O-4 by exception)

Note: Civilians may serve as COCOM or JTF JCIGs by exception only.

f. A JTF's IG staff should be sufficient enough to execute the Joint IG system in support of the command. Some JTF assignments are to be filled by the same person already occupying that billet for the Service-specific headquarters around which that JTF is built (for example, the Army's V Corps command IG will become the JCIG for that headquarters if designated as a JTF). Other IG billets must be resourced and filled through the Individual Augmentee process.

g. Assignments for COCOM-level Joint IG positions are typically for three years but not less than two years. Assignments to JTFs will vary from one to two years depending upon the JTF and mission. Field-grade officers automatically receive Joint credit (including assignments to certain JTFs) providing the billet is contained in the Joint Duty Assignment List (JDAL). Legislative requirements for Joint Duty credit are provided in Title 10, Chapter 38.

3. Multi-Component Joint IGs.

a. Joint IGs that serve at the Combatant Command and Joint Task Force (JTF) levels may come from any of three components: Active, Reserve, or National Guard.

b. Service members in Active Guard or Reserve status may serve as Joint IGs based upon manning requirements.

4. Requesting Individual Augmentation (IA).

a. Joint IG offices can receive additional IA from reserve members of the various Services as long as the Joint Table of Mobilization Document (JTMD) or Joint Table of Distribution (JTD) identifies the reserve personnel requirements.

b. Joint Command IGs (JCIGs) may request reserve IA through the Joint command's respective Service components using a verified JTMD or JTD.

c. The services will provide the requested IA using the Service's internal procedures (Joint IG certification still applies).

Section 2.3

Nomination and Requisitioning of Joint IGs

1. **Purpose.** This section describes the process of nominating and requisitioning Joint Command IGs and members of Joint IG offices.

2. **Nominating and Requisitioning Joint IGs.**

a. All personnel nominated and/or selected for either Joint Command IG (JCIG) duty or Joint IG staff duty must have a broad experience base in their respective Services. Only the JCIG in a COCOM or long-standing JTF will undergo a nomination process. The normal requisitioning process will fill all other Joint IG staff billets except for those Service IGs who become JTF IGs due to a contingency operation.

b. Joint commanders will request through their command assignment function to the Services qualified personnel to fill JCIG and Joint IG staff billets in COCOMs or long-standing JTFs. Joint commanders will hire civilian IGs in accordance with normal DoD civilian hiring procedures. Service personnel functions will determine the suitability of JCIG nominees and Joint IG staff selectees based upon criteria established in the assignment requisitioning document. The Service personnel function will then nominate personnel in the appropriate grade and with the appropriate clearances to fill the JCIG position and/or Joint IG staff billets based upon the established criteria.

c. Service nomination packages for personnel nominated to serve as a JCIG in a COCOM or a long-standing JTF will include the following:

(1) A memorandum nominating the individual for JCIG duty signed by the Service personnel representative

(2) Copies of the nominee's evaluation/fitness reports for the past five years

(3) Officer record brief or service/civilian equivalent

(4) Height and weight data in accordance with Service standards

(5) Current Service-specific physical fitness test results (pass/fail)

(6) Background screening results from the Service's IG database

d. The Service Inspectors General will have the opportunity to comment on the qualifications and suitability of any prospective JCIG nominated by the Service or selected by the command (the opportunity is extended to Service

Secretaries as well). The Service Inspectors General may also comment on the qualifications and suitability of all personnel assigned to fill Joint IG staff billets as part of the requisitioning process. At a minimum, the Service Inspectors General will screen their Service personnel nominated or requisitioned for Joint IG duty against their Service's respective IG database. The Service IG will consider the results of this IG database screening while commenting on the suitability of those individuals for Joint IG duty. Joint commanders who object to nominees and/or Joint IG staff billet selectees will coordinate directly with the Service to resolve the matter.

e. IGs who become Joint Command IGs through the activation of a JTF (or if their headquarters replaces another headquarters in a standing JTF) will remain in place based on the Service's pre-existing nomination or assignment process. The JTF IG offices will request IG augmentation for Service-specific IGs through the respective Service components.

3. Requisitioning of Joint IG Staff. All other categories of Joint IGs (Deputy JCIG, Assistant IG, and Administrative Assistant) will be assigned to Joint Commands based upon documented requirements provided to the respective Services. The appropriate Service personnel center will select the best qualified individuals based upon qualification requirements documented in the requisition (such as; appropriate security clearance).

Section 2.4

Joint IG Oath

1. **Purpose.** This section describes the purpose and content of the Joint IG oath.

2. **Purpose of the Joint IG Oath.** The Joint IG oath highlights the special relationship a JCIG and all Joint IGs within the command's IG office share with the Joint commander. The oath has no legal underpinnings and is strictly symbolic in nature. However, the oath reminds all Joint IGs of the special trust and confidence inherent in their positions. It also further signals to the members of the Joint command and those outside the Joint command that all Joint IGs are fair and impartial and will make the 'hard call' when necessary.

3. **Joint IG Oath.** Three separate oath certificates exist: one for JCIGs, DJCIGs, and Assistant IGs, one for Temporary Assistant and Liaison IGs, and one for Administrative Assistants. The text for both of these oaths is as follows:

a. **Oath for JCIGs, DJCIGs, and Assistant IGs.** "I, _____, having been assigned as a Joint Inspector General, do solemnly swear (or affirm) that I accept the special obligations and responsibilities of the position freely; that I will uphold the standards established for Joint Inspectors General; and that I will, without prejudice or partiality, discharge the duties of the office upon which I am about to enter. So help me God." (**Note:** The phrase "So help me God" will be omitted from the oath for Joint IGs who choose to affirm rather than swear.)

b. **Oath for Temporary Assistant and Liaison IGs.** "I, _____, having been assigned (for LIGs: in support of) in the office of a Joint Inspector General, do solemnly swear (or affirm) that I accept the special obligations and responsibilities of the position freely; that I will uphold the standards established for Joint Inspectors General; and that I will, without prejudice or partiality, discharge the duties of the office upon which I am about to enter. So help me God." (**Note:** The phrase "So help me God" will be omitted from the oath for Joint IGs who choose to affirm rather than swear.)

c. **Oath for Administrative Assistants.** "I, _____, having been assigned as an Administrative Assistant in the office of a Joint Inspector General, do solemnly swear (or affirm) that I accept the special obligations and responsibilities of the position freely; that I will uphold the standards established for Joint Inspectors General; and that I will, without prejudice or partiality, discharge the duties of the office upon which I am about to enter. So help me God." (**Note:** The phrase "So help me God" will be omitted from the oath for Administrative Assistants who choose to affirm rather than swear.)

4. **Administering the Oath.** The Joint commander or deputy commander will be responsible for administering the oath to the JCIG, and must sign and date

the oath certificate. If possible, the Joint commander should administer the oath to all members of the Joint IG office. If the Joint commander is unable to administer the oath to all IGs in the Joint IG office, the JCIG will administer the oath and sign and date the oath certificate. In the JCIG's absence, the DJCIG may administer the oath.

JCIGs, DJCIGs, and AIGs may administer the oath to TAIGs. However, contractors will not take the Joint IG oath in any form. If contractors are used as TAIGs, then their contracts will indicate their responsibilities in handling FOUO Joint IG information and maintaining confidentiality.

5. Oath Certificates. Newly assigned Joint IGs and Administrative Assistants will receive their oath certificates upon graduation from the Joint IG Course. The certificate will bear the signatures of the IG, DoD, and applicable person. A blank space will be available on the bottom of the certificate for the Joint commander's (or JCIG's) signature. Since TAIGs and LIGs are not required to attend the Joint IG Course, the JCIG may request oath certificates directly from the school's registrar. The absence of an oath certificate does not preclude the Joint commander or JCIG from administering the oath to a Joint IG or TAIG; the oath can be administered at any time and documented with a memorandum pending arrival of the actual oath certificates.

6. JTF IGs and Joint IG Oath. Command IGs, who become JCIGs by virtue of their headquarters' designation as a JTF, will receive and execute the Joint IG oath following graduation from the Joint IG Course, even if that IG has already executed a Service-specific IG oath. The same principle applies to all members of the Joint IG office and other IGs from other Services requested to augment that office. If attending the Joint IG Course is not feasible for the JTF's JCIG or members of the JTF IG office due to mission constraints, then the JTF commander and/or JTF IG may administer the oaths and request certificates at a later date. Taking the Joint IG oath is not mandatory and will not preclude Service IGs who convert temporarily to JTFs from serving as Joint IGs.

Chapter 3

Role of the Joint IG

1. **Purpose.** This chapter describes the responsibilities of all Joint IGs, their relationships with their Joint commanders, their spheres of activity, and prohibited activities.
2. **Role of the Joint IG.** The IG's responsibilities to the commander; the command; and the Soldier, Sailors, Airmen, Marines, Coast Guard, and Civilians within the command define the role of the Joint IG. Specific prohibitions on non-IG duties as well as the IG's sphere of activity and inherent jurisdictional responsibilities with regard to the Joint IG functions further define the IG's role. The most critical aspect of the IG's role in the command is the special relationship the JCIG shares with the Joint commander, a relationship that affects and includes all members of the Joint IG office. This chapter addresses the IG's role in the following sections:

Section 3.1 Commander and IG Relationship

Section 3.2 Joint IG Authority

Section 3.3 Personal and Professional Standards for Joint IG

Section 3.4 Joint IG Sphere of Activity and Jurisdiction

Section 3.5 Duty Restrictions and Prohibited Activity

Section 3.1

Commander and IG Relationship

1. **Purpose.** This section describes the shared relationship between the Joint commanders and the Joint IGs.
2. **Commander and IG Relationship.** The relationship between the Joint IG and the Joint commander represents the very foundation upon which the Joint IG system is built. For a Joint IG to be effective, he/she must have the complete trust and confidence of the Joint commander. As a member of the Joint commander's personal staff, the Joint IG must become the commander's confidant, one of the individuals with whom the commander can discuss, with complete trust, any aspect of the command under any conditions (peace, war, etc.). Joint IGs must maintain a clear distinction between being an extension of the Joint commander and his/her sworn duty to serve as a fair, impartial, and objective fact-finder and problem solver.
3. **Deputy Commanders and the Joint IG.** In cases involving four-star-level Combatant Commands or JTFs, the commander may delegate the Joint IG-commander relationship to the deputy commander, but only if that deputy commander is a three-star flag officer or civilian equivalent and no lower. This delegated relationship with the deputy, often done for practical reasons due to the four-star commander's availability, does not preclude direct communication between the Joint IG and four-star commander when necessary.
4. **Extending the Joint Commander.** All Joint IGs serving within the command; extend the eyes, ears, voice, and conscience of the commander. To be effective, Joint IGs and the IG staff members must understand the commander's goals, expectations, standards, vision, operating methods, and personality. The commander allows the Joint IG to adapt and tailor the Joint IG system to meet the needs of both the command and the commander.
5. **Joint IG Independence.** Joint IGs must be independent so that individuals providing information to Joint IGs or requesting Joint IG assistance will continue to do so, even when they feel that the commander may be the problem. Joint IGs and their offices must remain under the command and control of the commander to avoid any possibility or perception of external influences on the office's personnel, budget, and operations.
6. **Communication.** Joint IGs must keep their commanders advised on how best to prevent, detect, and correct fraud, waste, abuse, and mismanagement. To facilitate this communication, the Joint IG must have unimpeded access to the commander. The commander also has a responsibility to learn and understand the Joint IG concept and system and, using this knowledge, advise the Joint IG on how he/she expects the Joint IG to best serve the command.

7. Responsibilities of a Joint IG. The Joint IG's responsibility is to report on the economy, efficiency, discipline, morale, safety, training, and readiness of the command, or other areas of public concern, or interest as directed by the commander. The IG assists the commander by recommending specific measures and improvements in order to ensure the unit is mission ready. At all times it must also take into consideration the commander's and the organization's needs, goals, vision, and philosophy. The Joint IG should fully understand the commander's mission analysis, planning guidance, and other statements to develop an IG program that complements the commander's vision.

8. Joint IG's Role in the Command. The role of the IG in a command is to be as a fair, objective, impartial fact-finder with sufficient independence to serve the command effectively. Joint IGs must meet the very difficult, day-to-day challenges of remaining impartial despite their close relationship with the commander. As problem areas emerge, the Joint IG must keep the commander apprised of the need for change or a new direction to resolve issues expeditiously. Based on their review of command matters, and interaction with members and activities within the command, the Joint IG's openness and continuing feedback to the commander is essential to the success of a command. Offering advice, good ideas, or innovative techniques and lessons learned is an essential role of the IG. IGs are always in the best position to provide an introspective view of how the command is performing and of the ways to improve the command when needed.

9. Providing IG Support. Joint IGs provide IG support to all Service members, civilians, and contractors within the command on matters of U.S. military interest and readiness. In addition, Joint IGs also act upon items of U.S. military interest received from foreign nationals. This is to ensure those matters are properly and promptly addressed. When called upon, the IG may also provide wartime planning and operational support to the Joint staff.

10. Reporting Relationship to the Commander. The Joint IG reports directly to the commander or the deputy commander by exception. The deputy commander in these situations must be in the rank of a three-star military officer or civilian equivalent. The Joint IG must advise the commander on the adequate staffing of the IG office and ensure that all staff members are qualified to perform their assigned duties. Submit all personnel requirements to the appropriate member of the chain of command; and, if applicable, the COCOM IG and Joint Staff.

Section 3.2

Joint IG Authority

1. **Purpose.** This section describes the authority held by each Joint IG and the limitations therein.

2. **Joint IG Authority.** Joint IGs have certain inherent authorities and limitations. Joint IGs' authority is derived from that of the commander.

a. **Joint Command IGs.** Joint Command IGs (JCIGs) are responsible for supervising their Joint IG offices but have no other authority outside the Joint IG system. Additionally, Joint IGs should not be assigned duties outside the Joint IG system.

b. **Intelligence Oversight Programs.** Joint IGs have the inherent authority to conduct Intelligence Oversight Program Inspections. Executive Order 12333, DoDD 5240.01, and DoD 5240.1-R require Intelligence Oversight Program Inspections.

c. **Joint Commander Approval.** Joint IGs have no inherent authority to conduct inspections, other than Intelligence Oversight Program, or investigations (except for investigative inquiries) without the commander's approval. As the eyes and ears of the commander, the Joint IG must ensure the commander is aware of all Joint IG inspections and investigations since the Joint IG performs these functions on his or her behalf.

3. **Joint IGs and Policy Formulation.** Joint IGs do not have the authority to develop or implement policy, except for policy relating to IG matters or internal IG standard operating procedures (SOPs). Joint IGs may write clear, concise policy with respect to the IG function in order to ensure well-coordinated and efficient IG operations throughout the Joint command and its subordinate Joint units. Joint IGs may also develop internal SOPs to address normal, day-to-day Joint IG operations at all levels.

4. **Joint IG Access to Information.** Joint IGs shall be given expeditious and unrestricted access to, and copies of, all records, reports, investigations, audits, reviews, documents, papers, recommendations, or other materials (including normally protected data) for the purpose of executing the Joint IG functions. Joint IGs who are denied access to records must first attempt to resolve the problem with the local commander before elevating the matter to the Joint commander. When elevating the matter to the Joint commander, the Joint IG should include location, date, and command; scope of inquiry, inspection, or investigation; who denied access; who verified the denial and approved the denial; and the reason access was denied.

a. **Security Clearances.** Joint IGs must have the proper security clearance to obtain any classified information. Personnel bearing Joint IG credentials shall be presumed to have a “need to know” and may gain access to classified information and spaces. Joint IGs shall be granted immediate, unrestricted access to all classified information and spaces within the Joint Command up to their respective clearance levels. JCIGs will ensure the member of the Joint IG staff conducting the inquiry, inspection, or investigation has the appropriate clearance.

b. **Privileged Information.** Joint IGs are not authorized access to material subject to the attorney-client privilege or any other privilege recognized by the Federal Rules of Evidence. Command-Staff Judge Advocate (SJA) communications are not privileged, however. Coordinate all access issues involving potentially privileged information with the SJA.

c. **Medical Information.** Joint IGs have access to sensitive medical information but must protect that information in accordance with the Health Insurance Portability and Accountability Act (HIPAA - Public Law 104-191). As required under the Social Security Act, 42 USC 1320a-7c (a) (5), nothing in this Regulation shall be construed to diminish the authority of any statutory IG, including such authority as provided in the IG Act of 1978, as amended.

Violations of HIPAA by any person are punishable by civil money penalties of up to \$100 for each violation. In addition, a wrongful use or disclosure of protected information is subject to criminal penalties of up to \$50,000 fine and one year imprisonment. Offenses committed under false pretenses or for commercial purposes carry more severe penalties.

A person who believes the military health system is not complying with the applicable requirements of HIPAA may file a complaint with the Department of Health and Human Services.

To ensure records are properly obtained, coordinate all access issues involving sensitive medical information with the SJA.

d. **Sufficient Justification.** Joint IGs must present sufficient justification (normally in the form of a directive and / or credentials) to the record holder in order to obtain sensitive records. The Joint commander or his or her designated representative should sign the credentials. Credentials may be in the form of a letter, badge, or other document indicating the individual’s identity and authority to conduct inspections and investigations as directed by the Joint commander or other DoD guidance.

e. **Non-Federal Civilians.** Joint IGs have no inherent authority to require non-federal civilians to provide records or other material. Consult with the SJA in

cases where the Joint IG may ask non-federal civilians to provide testimony, records, or other material.

Section 3.3

Personal and Professional Standards for Joint IGs

1. **Purpose.** This section describes the personal and professional standards for all personnel serving as Joint IGs.
2. **Personal Standards for Joint IGs:** To protect those who seek assistance from the IG and to safeguard the integrity of the Joint IG System, individuals performing IG duties must display moral attributes and personal traits that demonstrate adherence to ethical values. Joint IGs have access to sensitive and confidential information and hold positions of public trust that require objectivity and independence. As the “eyes and ears” of the commander, they must be alert for, and inform the commander of, matters that are indicative of systemic, morale, or other problems that impede efficiency and mission effectiveness. But, in order to be effective in this role, all Joint IGs must recognize that their personal examples and behavior bear greater scrutiny within the command, which places them in the proverbial "glass house."
3. **Professional Standards for Joint IGs.** The success of the Joint IG system depends upon quality officers, non-commissioned officers, and civilians who exhibit a pattern of outstanding performance and demonstrated potential for future service. Likewise, they must have a broad experience base in their respective Services, to include having served in a wide variety of leadership and staff positions at various echelons of command. This type of background will ensure that all Joint IGs have the knowledge and skills necessary to work effectively in the Joint environment.
4. **Lapses in Personal and Professional Judgment.** Joint IGs who display lapses in professional or ethical judgment or who, by misbehavior or failure to adhere to Joint IG policy, may be decertified as Joint IGs and returned to the appropriate Service for reassignment or command action as necessary. Commanders may relieve Joint IGs for personal or professional conduct reasons, but only the IG, DoD, can decertify that individual as a Joint IG.

Section 3.4

Joint IG Sphere of Activity and Jurisdiction

1. **Purpose.** This section describes the Joint IG's sphere of activity and jurisdictional responsibilities within that sphere.

2. **Joint IG Sphere of Activity and Jurisdiction.** The Joint IG's sphere of activity may include everything for which the Joint commander is legally responsible and over which the commander has command authority in accordance with the Unified Command Plan. Specifically, a Joint IG's jurisdictional authority will be applied to his or her command headquarters; subordinate Joint units; and/or organizations assigned, attached, or under the administrative control of the commander.

a. **Activity Equals Jurisdiction.** A Joint IG's sphere of activity equals a Joint IG's jurisdiction over issues and allegations for which the Joint IG must resolve, even on a referral basis if the source of the issue or allegation was another Service, Joint IG office, DoD, or other DoD Agency.

b. **Requests.** Although a Joint IG's sphere of activity is clearly defined, Joint IGs may still accept requests for assistance or allegations of impropriety from members of other commands. Joint IGs work within a geographical or functional command on an area basis. Joint IGs may receive complaints or issues from someone who needs IG assistance and is in the Joint IG's sphere of activity (or area). However, if the issue or allegation pertains to another command or agency, the Joint IG must first refer the case for action to that command or agency or work the case if the responsible command or agency agrees.

c. **Referrals.** If the Joint IG refers a Joint IG case to a Service, DoD, or other Agency IG and/or vice-versa (to include those Joint activities with existing inter-service activities, support agreements, memoranda of agreements, or memoranda of understanding), the Joint IG may re-coordinate directly with the appropriate IG office to determine jurisdiction and/or appropriateness of referral, but the Joint IG must document the official transfer or referral of the case via IG command channels for official tracking and reporting of acceptance. COCOM IGs will coordinate through Joint Staff IG and they will coordinate with DoD IG and other agencies as appropriate.

d. **Resolution of Issues.** If a jurisdictional issue arises between a Joint command and another command, agency, and/or Service, the DoD IG will resolve the matter. If the jurisdictional issue is between COCOM IGs and/or Service IGs then Joint Staff IG will resolve the matter.

e. **Exceptions.** A few exceptions apply to the Joint IG's sphere of activity and jurisdiction, and the Joint IG must report these matters immediately to DoD IG or other DoD agencies to determine investigative authority or oversight. These situations are as follows:

(1) **Senior Official Allegations.** A Joint IG is prohibited from conducting a senior official investigation until the Joint IG has reported the allegations to the DoD IG and only if DoD IG has given explicit authority to the Joint IG to proceed.

(2) **Defense Intelligence Agency Command Employees.** Joint IGs must report allegations involving COCOM J-2 DoD civilian personnel to DIA IG and investigate those allegations in accordance with COCOM/DIA standing MOUs. The DIA IG and COCOM IGs will collaborate on these investigations as necessary. All other reporting requirements apply in accordance with existing CJCSI, DoD, and Federal guidance. The investigating IG will provide a copy of an issued report involving COCOM J-2 civilian personnel to the appropriate COCOM or DIA IG.

(3) **Criminal Activities.** Joint IGs will report criminal allegations to the Joint commander and the command's Staff Judge Advocate. These allegations will also be referred to DoD IG, the applicable DoD agency, or the respective Service's criminal investigative authorities for action. Report allegations involving COCOM J-2 civilian personnel, J-2 contracts, and J-2 funding to the Defense Intelligence Agency (DIA) IG and any investigations must occur in accordance with COCOM/DIA standing MOUs. COCOM and DIA IGs will coordinate investigations of COCOM J-2 civilian personnel, J-2 contracts, and J-2 funding. The investigating IG will provide a copy of an issued report involving COCOM J-2 civilian personnel, J-2 contracts, or J-2 funding to the appropriate COCOM or DIA IG.

Section 3.5

Duty Restrictions and Prohibited Activity

1. **Purpose.** This section describes duty restrictions and prohibited activity for all Joint IGs.

2. **Duty Restrictions and Prohibited Activity.** The restrictions in this section are intended to preclude conflicts of interest, prevent the perception of partiality, and protect the integrity of the Joint IG System. Joint IGs are never off record; do not establish command policy; do not recommend adverse personnel action; and do not do anything that may jeopardize the distinction between serving as an extension of the commander and as a fair and impartial fact-finder within their respective spheres of activity.

a. **Duty Restrictions.** Certified Joint IGs detailed into Joint IG positions will not:

(1) Be assigned to any non-IG assistance or evaluation functions. In addition, TAIGs will not perform other duties while supporting an IG inspection or investigation until released by the Joint IG or Directing Authority.

(2) Be appointed as investigating officers under UCMJ, Article 32 and Article 138, or any other regulation providing for the appointment of investigating officers or members of administrative separation boards.

(3) Be assigned duties that may subsequently disqualify them from making or assisting in impartial inquiries or investigations within their sphere of activity. Examples include staff duty officer, NCO/PO, or SNCO/CPO; line-of-duty investigator; casualty assistance officer, NCO/PO, or SNCO/CPO; member of an interior guard force; member of a contracting awards board; member of a civilian awards board; member of a local awards board, promotion board, or command board; management control coordinator; member of a funeral detail; or member of any committee or function unless directly related to IG matters.

b. **Prohibited Activity.** Certified Joint IGs detailed into Joint IG positions should not:

(1) Participate in the establishment of command policy outside of the IG function due to the potential conflict of interest (actual or apparent) that may result if the Joint IG must later inspect or investigate against that same policy.

(2) Concur or non-concur in the staffing process for command policy outside of the Joint IG system, but Joint IGs may point out inconsistencies

or other areas that may need the staff's further attention. The IG's reply should be "noted."

(3) Associate with individuals or organizations that may cause a reasonable person to question the impartiality or objectivity of the IG. Examples are IG investigators associating with interested parties to an investigation; IG inspectors associating with interested parties of an inspection; and IG personnel associating with personnel who have requested IG assistance. The purpose of this restriction is to protect the Joint IG system and to minimize the requirement for IG personnel to be recused from performing their IG functions due to conflicts of interest.

Chapter 4

Joint IG Confidentiality and Records

1. **Purpose.** This chapter describes the Joint IG tenet of confidentiality and the restrictions, limitations, protections, and uses of Joint IG records.

2. **Joint IG.** Two core principles of the Joint IG system are the Joint IG tenet of confidentiality and the restrictions, limitations, protections, and uses of Joint IG records. The principles represent the left and right limits, or guideposts, within which the Joint IG executes the four functions of Inspections, Assistance, Investigations, and Teaching and Training. Although generally similar in approach, these core concepts are applied differently and uniquely by function. This chapter addresses Joint IG confidentiality and the rules regarding Joint IG records in the following sections:

Section 4.1 Joint IG Tenet of Confidentiality

Section 4.2 Nature of Joint IG Records

Section 4.3 Protection and Use of Joint IG Records

Section 4.4 Joint IG Records Release

Section 4.5 Reporting Requirements to the Services

Section 4.1

Joint IG Tenet of Confidentiality

1. **Purpose.** This section describes the Joint IG tenet of confidentiality.
2. **Joint IG Tenet of Confidentiality.** Confidentiality and discretion are core concepts for Joint IGs. As a general rule, anyone who provides information to the Joint IG has a reasonable expectation of confidentiality. Individuals that ask a Joint IG for help; make a complaint; provide testimony, information, or evidence as part of a Joint IG inspection or investigation; or otherwise interact with a Joint IG often do so because they believe the Joint IG will safeguard their personal identity and the nature of their contact. The Joint IG has a duty to protect an individual's confidentiality to the maximum extent possible, particularly when the individual specifically requests confidentiality. While Joint IGs should never promise or guarantee confidentiality, they should always attempt to maintain confidentiality as a matter of primary importance and a key to the Joint IG system's success. The intent behind this core Joint IG tenet is to protect individual privacy, maintain confidence in the Joint IG system, and minimize the risk of reprisal. Figure 4.1.1 graphically depicts the tenet of confidentiality and its relationship to the IG functions.

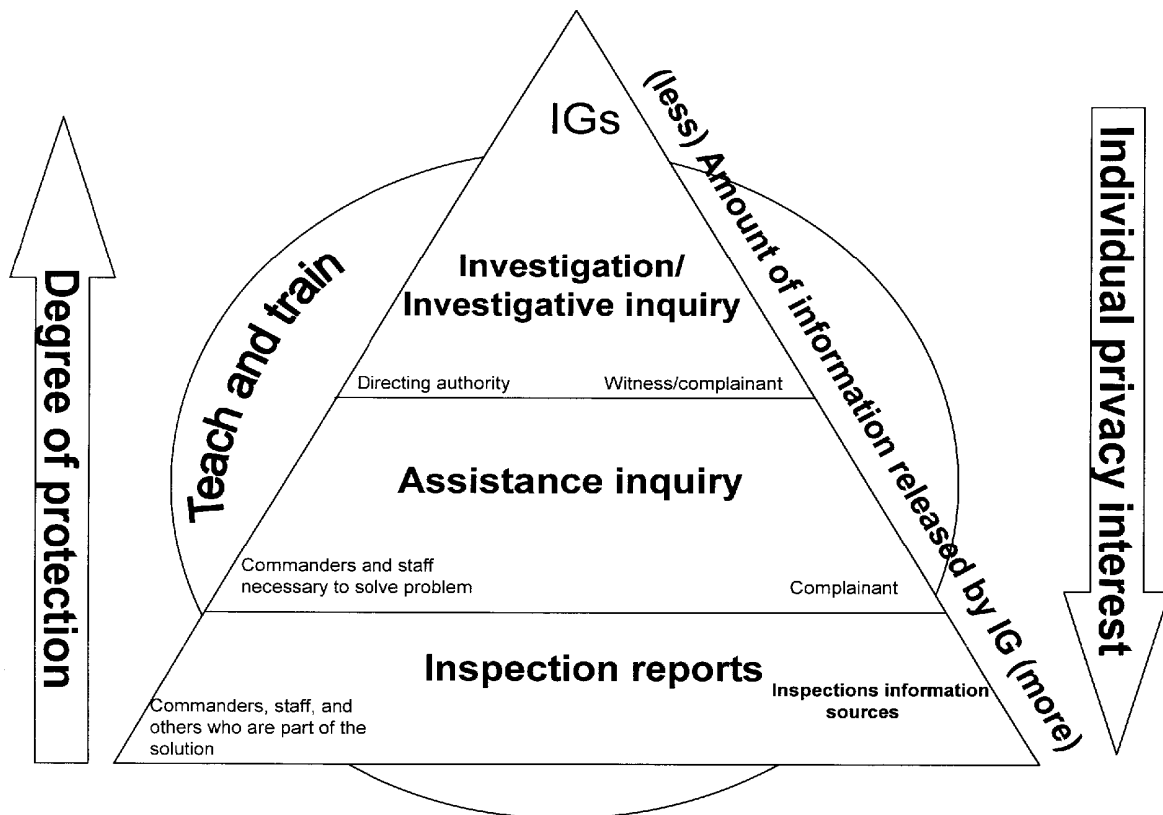


Figure 4.1.1
Triangle of Confidentiality

3. Privileges and Protections of Confidentiality. Although confidentiality and discretion are core concepts for Joint IGs, individuals who provide information to Joint IGs do not have a complete legal privilege of confidentiality. Rather, confidentiality results from the special relationship the IG has with the commander, the deliberative process, protection in both the Freedom of Information Act (FOIA) and the Privacy Act, 5 USC 2302 (Civilian Whistleblower Protection), 10 USC 1587 (Non-Appropriated Fund Whistleblower Protection), and as a necessary incident to the protections of the Military Whistleblower Protection Act (10 USC 1034). Individuals providing information to a Joint IG do not have to request confidentiality but will automatically receive such protection and consideration. The information that Joint IGs gather such as testimony, the contents of certain conversations with persons seeking IG assistance, or information offered when participating in an IG sensing session represent official, non-public Government information. As official, non-public Government information, Joint IG information is for official use only (FOUO).

4. Specific Requests for Confidentiality. When an individual specifically requests protection of his or her identity, and the statement (or statements) furnished by the individual is filed in an exempt system of records covered by the DoD Privacy Program (see DoDD 5400.11-R), the Joint IG may protect, inasmuch as he or she can personally control the information, that person's personal information and identity. Joint IGs may not guarantee confidentiality since the Commander, who owns all Joint IG records, may release a person's identity and other personal information due to a courts-martial proceeding, non-judicial punishment, civilian criminal proceeding, Privacy Act provision, or FOIA release. Likewise, any commander or other competent authority may require the release of a person's identity and other personal information if required by subpoena or another official request for information. Some provisions of the Privacy Act make release of confidential Joint IG information unavoidable (such as subpoenas), even though the Joint IG and the commander may disapprove.

5. Required Release. As a general rule, Joint IGs should not disclose an individual's identity without that person's consent unless the Joint IG determines that such disclosure is unavoidable during the course of an inspection, inquiry, or investigation. When a person seeks assistance from a Joint IG, the IG must often reveal the person's identity to resolve the matter. The IG will inform the person of that necessity and document that fact in the IG case file or case notes. For those individuals who specifically request confidentiality, the Joint IG must also document that fact in the case file or case notes while minimizing the use of the person's name in any file or record created by the Joint IG, to include labeling of the files (use "complainant", "witness", or a similar identifier instead of the person's name).

6. Responsibility to Report Findings. The Joint IG is required to report investigative findings to the military Services in accordance with each Service's established rules and timelines. For example, DoD IG imposes a timeline of 90

days on Services for completion of a report of investigation (ROI). The Joint IG must submit a progress report outlining the reasons for delay if unable to complete an investigation by the established due date.

The Joint IG must submit the ROI in the prescribed format and include a statement outlining the corrective actions taken by the responsible authority to address the investigative recommendations. Service IGs may use the ROI when screening military officers for adverse information for promotion boards. The Joint IG will include recommended actions in the report to correct deficiencies identified during the execution of the investigation but will not recommend disciplinary or adverse action. The Joint IG may recommend policy changes based on the results of an investigation. The Joint IG will monitor the implementation of all recommendations to ensure that the command addresses them prior to closing a case.

The Joint IG may be responsible for reporting results of audits and inspections to the appropriate oversight authorities upon completion of a review. Joints IGs should consult the COCOM IG or Joint Commander (as applicable) for guidance regarding these reporting matters.

7. Release to Joint Commanders and Other Joint IGs. Joint IGs may reveal a person's personal information to the Joint/COCOM commander (or deputy commander if so designated) but to no one else unless specifically authorized to do so by the Joint/COCOM commander (unless the individual is leveling an allegation against that commander). Joint IGs may also disclose personal information from complainants or interviewees to other Joint IGs on a need-to-know basis as part of the Joint IG technical-channel system to help resolve issues and allegations. Joint IGs should always consult with the Joint command's SJA on all matters concerning IG confidentiality and conditions for release of personal information.

8. Congressional Inquiries. The Joint IG may be responsible for answering a Congressional Inquiry. DoD Instruction 5400.4 outlines the policy and procedures governing the furnishing of information, both classified and unclassified, to the Congress. The Joint IG normally receives Congressional Inquiries via the Joint/COCOM Office of Legislative Affairs (OLA). In some cases, the Joint IG may receive a Congressional Inquiry directly; in these cases, the Joint IG should always inform the Joint/COCOM OLA of the receipt of a Congressional Inquiry. As a matter of professional courtesy, the COCOM IG should also be informed of the receipt of a Congressional Inquiry.

Upon completion of fact-finding and development of the Joint IG response to the Congressional Inquiry, the report should be routed to the Joint/COCOM OLA regardless of Service branch investigated. The Joint/COCOM OLA will coordinate responses to Congressional Inquiries through the Assistant Secretary of Defense (Legislative Affairs) in accordance with DoD Directive 5142.1.

Section 4.2

Nature of Joint IG Records

1. **Purpose.** This section describes and defines Joint IG records.
2. **Nature of Joint IG Records.** The Joint IG collects many documents and gathers information during the course of an inquiry, investigation, or inspection to create a record or file. These records are for official use only, and Joint IGs should manage, retain, and release them in accordance with established policy and procedures. Joint IG records are the property of the applicable Joint/COCOM Commander, and Joint IGs should maintain them in accordance with DoD policy and guidance pertaining to records use, maintenance, and release.

All IG records must be used "For Official Use Only." Joint IGs are responsible for safeguarding all IG-related documents and records in accordance with statutory guidance (e.g., 5 USC § 552a, Privacy Act, and 5 USC § 552, Freedom of Information Act) and established record maintenance and release policies. The Joint/Combatant Commander or designated representative is the release authority for Joint IG records and is responsible for the command's -- and all subordinate Joint command's -- IG records.

3. **Definition of Joint IG Records.** DoD's definition of a record is stated below:

- a. DoD 5400.7-R, "Department of Defense Freedom of Information Act Program," defines a record as "[t]he products of data compilation, such as all books, papers, maps, and photographs, machine readable materials, inclusive of those in electronic form or format, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law in connection with the transaction of public business and in Department of Defense, possession and control at the time the FOIA request is made."

- b. Similarly, DoD 5400.11-R, "Department of Defense Privacy Program," outlines the requirements to maintain records in a system of records and defines a record as "[a]ny item, collection, or grouping of information, whatever the storage media (paper, electronic, etc.), about an individual that is maintained by a DoD Component, including, but not limited to, an individual's education, financial transactions, medical history, criminal or employment history, and that contains his or her name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print, or a photograph."

- c. As defined in DoD policy, any written or recorded Joint IG work-product created during the course of an inquiry, investigation, or inspection is considered

a record. Examples of Joint IG records are correspondence or documents received from a witness or a person requesting assistance. Joint IG reports of investigation or inspection, case notes and files included in any electronic database or medium (disks, CDs, DVDs), individual case notes (handwritten or otherwise), digital/ tape-recorded or video-taped testimony, and working papers also constitute Joint IG records.

d. DoD 5400.7-R and DoD 5400.11-R should be a Joint IG's primary source for guidance concerning use, maintenance, and release of Joint IG records. Each military service's implementing instructions and regulations pertaining to records also serve as a guide; therefore, the Joint IG should be very familiar with both DoD and the specific military service guidance when an issue related to record handling emerges. Additionally, the Joint IG should seek legal counsel's advice prior to release or dissemination of IG records to avoid compromising confidential or protected information.

4. Sensitive Nature of Joint IG Records. Unauthorized release of IG records violates DoD confidentiality policy; DoD Instruction, 7050.1, "Defense Hotline Program;" and Section 7 of the "Inspector General Act of 1978," which sets forth the requirements to protect the identity of sources and other sensitive information contained in an IG record. Joint IG records are protected documents that may contain sensitive information such as the identity of a complainant who has requested confidentiality, the name of an individual alleged to have committed a wrongdoing, or information pertaining to a witness. Joint IGs must protect these records from unauthorized use or release in accordance with established DoD policy. The improper release or misuse of an IG record can seriously compromise the Joint IG's effectiveness as a trusted advisor to the Joint commander. Although unable to promise complete confidentiality to sources, the Joint IG is entrusted with ensuring the identity of individuals or other sensitive information is not compromised.

5. Investigation Records Retention. Investigative records including Reports of Investigation and Investigative Inquiries, correspondence, notes, attachments and working papers will be maintained in accordance with DoDD 5015.02, "DoD Records Management Program," and for COCOM IGs - CJCSI 5760.01A, "Records Management Policy for the Joint Staff and Combatant Commands," CJCSM 5760.01 Vol II, "Joint Staff and Combatant Command Records Management Manual: Volume II—Disposition Schedule," and other local and service component policy.

The following information is provided to assist Joint IGs in their investigative records management program. If the Joint IG is unsure of the possible congressional, media, or public interest involved in a particular case file or record, they should consult their SJA.

Some general guidelines and examples include:

a. Investigative records with significant media or public interest, effect on policy and procedures, or with high visibility litigation should be kept permanently.

b. Investigative records with information or allegations not related to a specific allegation, anonymous or vague not warranting an investigation, or those referred to other activities or agencies should be retained for five years, then destroyed.

c. Other investigative case files, excluding those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others should be maintained for 10 years, then destroyed.

NOTE: Records retention standards apply to both hardcopy and electronic form.

6. Amendment of Records. An individual may request the amendment of any record contained in a system of records pertaining to him/her unless the system of record has been exempted specifically from the amendment procedures per DoD 5400.11-R, "Department of Defense Privacy Program." Normally, amendments under this Regulation are limited to correcting factual matters and not matters of official judgment, such as performance ratings, promotion potential, and job performance.

A request for amendment must include:

- a. A description of the item or items to be amended;
- b. The specific reason for the amendment;
- c. The type of amendment action sought (deletion, correction or addition);
- d. Copies of available documentary evidence supporting the request.

The burden of proof is on the applicant to adequately support his/her request.

The amendment process is not intended to permit the alteration of records presented in the course of judicial or quasi-judicial proceedings. Any amendments or changes to these records are typically made through the specific procedures established for the amendment of such records.

Nothing in the amendment process is intended or designed to permit a collateral attack upon what has already been the subject of a judicial or quasi-judicial determination. However, while the individual may not attack the accuracy of the judicial or quasi-judicial determination under DoD 5400.11-R, he/she may challenge the accuracy of the recording of that action.

If the decision is made to grant all or part of the request for amendment, amend the record accordingly and notify the requester.

If the request for amendment is denied in whole or in part, promptly advise the individual, in writing, of the decision, to include:

- a. The specific reason and authority for not amending;
- b. Notification that he/she may seek further independent review of the decision by the Head of the DoD component or his/her designee;
- c. The procedures for appealing the decision citing the position and address of the official to whom the appeal shall be addressed, and;
- d. Where he/she can receive assistance in filing the appeal.

DoD components have established procedures to ensure the prompt, complete, and independent review of each amendment denial upon appeal by the individual.

Joint IGs should check with local SJAs when dealing with requests for amending IG records.

Section 4.3

Protection and Use of Joint IG Records

1. **Purpose.** This section describes the protection and authorized use of Joint IG records.

2. **Protections and Uses of Joint IG Records.** The applicable Joint/COCOM commanders own all Joint IG records (including JTF IG records) within their command and are the release authority and initial denial authority for those records unless otherwise delegated.

a. Joint IGs will mark unclassified Joint IG records “For Official Use Only (FOUO)” centered at the bottom of each page to indicate that the record contains information that may be exempt from mandatory release under FOIA (see DoDD 5400.07, “Freedom of Information Act Program”). Classified Joint IG records will be classified, protected, and declassified according to applicable DoD guidelines for classification outlined in DoD 5200.1-R. When declassified, Joint IG records may merit an “FOUO” designation. If Joint IG correspondence must leave control of the Joint IG office at any level as required by DoD directive or some other authority, that correspondence will be given “FOUO” markings and protected accordingly.

b. Joint IG records may be used in the performance of official duties outside the Joint IG system as well as in legal proceedings. Consult with the SJA for additional guidance.

c. The Joint commander (Directing Authority) or other management official may use Joint IG records as the basis for adverse action against military or civilian personnel. Requests to use Joint IG records for adverse action must be submitted to the commander or Deputy commander (through the COCOM IG if submitted by a JTF IG) for review and SJA consultation. When Joint IG records are used for adverse action, the Joint IG may release some documentary evidence and testimony unless the information is privileged or classified. In some instances, Joint IG opinions, conclusions, analysis, and recommendations may be evidence (consult with the SJA).

d. Recipients of Joint IG records will not incorporate those records, or any portions thereof, into a non-IG record or system of records without the written approval of the Joint/COCOM commander or his or her designee. The transmittal request letter will stipulate this point unless directed by a competent authority within the DoD. Joint IG records will not be reproduced, attached as exhibits or enclosures, or disseminated further without the Joint/COCOM commander’s or his or her designee’s permission.

e. Joint IG information transmitted by electronic mail should include "FOUO" in the subject line. Joint IGs who transmit IG information via e-mail must place the following cautionary statement under each message: **INSPECTOR GENERAL SENSITIVE INFORMATION: The information contained in this e-mail and any accompanying attachments may contain Inspector General sensitive information, which is protected from mandatory disclosure under the Freedom of Information Act (FOIA), 5 USC §552. Dissemination is prohibited except as authorized under DoDD 5106.04. Do not release outside of DoD channels without prior authorization from the _____ Inspector General. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is prohibited. If you received this e-mail in error, please notify us immediately by return e-mail.**

f. Joint IGs will maintain IG records involving reserve or National Guard personnel on Title 10 status as Federal records. Reports involving members of the National Guard in Title 32 status will be forwarded to the appropriate State IG office for information purposes.

Section 4.4

Joint IG Records Release

1. **Purpose.** This section describes the authorities and procedures associated with the release of Joint IG records.
2. **Nature of Inspector General Records.** IG records are privileged documents and contain sensitive information and advice. Unauthorized use or release of IG records can seriously compromise IG effectiveness as a trusted adviser to the commander and may breach IG confidentiality.
3. **Joint IG Records Release.** The Joint/Combatant Commander or designee is the release and initial denial authority for all or parts of any Joint IG records.
 - a. The Joint/COCOM commander may delegate IG records-release and initial denial authority to the Deputy commander, Chief of Staff, or the Joint/COCOM IG.
 - b. Requests for Joint IG records-release approval will go to the Joint/COCOM commander through the Joint/COCOM IG.
 - c. The Joint/COCOM commander (or designated release authority) will release Joint IG records in accordance with DoD Directive 5400.07, "DoD Freedom of Information Act (FOIA) Program," and DoD 5400.11-R, "DoD Privacy Program."
4. **Procedures for Release of Joint IG Records for Official Duties.** Joint IG records will only be disclosed inside DoD, to Congress, to Federal or State agencies, to local law enforcement agencies, and other agencies requiring access as determined by the conditions summarized below.
 - a. Joint IGs will not release information related to open cases and investigations outside Joint IG channels and only to other Joint IGs as necessary.
 - b. The Joint/COCOM commander (or designated release authority) should consult the command's Staff Judge Advocate prior to releasing any IG records.
 - c. Joint/COCOM Commanders may release records inside DoD, to Congress, to Federal or State agencies, to local law enforcement agencies, and other agencies requiring access to the records in the performance of their official duties based on requests in accordance with the following guidelines:
 - (1) The request must be in writing on official letterhead by someone with the authority to sign the request.

(2) If requested by other than a commander, deputy commander, command SJA, Defense Agency IG, or Joint IG, the request must go through the higher headquarters of the requester's Service to determine appropriateness of the request.

(3) The requester must identify the specific records requested by date and type, the reason for the request, and how the records will be used.

(4) The Joint IG may only provide copies of reports or other documents. Under no circumstances will Joint IGs release original documents from Joint IG control.

(5) Joint IGs do not need to redact reports and underlying documentation for attribution when provided for official use and the appropriate system of records notice permits dissemination.

(6) ROIs released outside the command will not normally include interview transcripts or source-sensitive information in order to protect witness confidentiality within the limits of regulation or law (consult the SJA first).

d. Congressional requests for Joint IG documents must be in writing and forwarded to the IG office through the command's Congressional liaison office (or equivalent thereof).

5. Procedures for Release of Joint IG Records for Non-Official Requests.

a. Media requests for Joint IG records:

(1) Joint IGs will not provide Joint IG records to members of the media; instead, the Joint IG office will refer the request (and all other such requests) to the Joint command's public information office (or equivalent thereof).

(2) Joint IGs will neither confirm nor deny to the news media the existence of any previous or ongoing IG inspection, inquiry, or investigation.

(3) After a referral to the command's public information office, the Joint IG will call that office and state that a request for information is forthcoming.

b. Joint IGs will immediately consult the command SJA regarding any requests for IG records in conjunction with civilian legal proceedings.

c. The Joint command's FOIA /Privacy Program office handles FOIA and DoD Privacy Program requests for Joint IG records and must adhere to the requirements outlined in DoDD 5400.07, "DoD Freedom of Information Act (FOIA) Program," and DoD 5400.11-R, "DoD Privacy Program."

Section 4.5

Reporting Requirements to the Services

1. **Purpose.** This section outlines a Joint IG's reporting requirements to the Services.

2. **Joint IG Reporting Requirements.** Joint IGs will notify the respective military Service IG of the initiation of -- and provide a copy of the final report for -- investigations dealing with members of their Service who are identified as subjects or suspects in accordance with Service requirements. JTF IGs will forward these reports to the Service IGs through the applicable COCOM IG office.
 - a. Joint IGs must promptly report allegations made against senior officials to the DoD IG by confidential means within **five work days** in accordance with DoDD 5505.06. As facts and evidence are gathered in an investigative inquiry, continually evaluate whether the new allegations or issues are appropriate for continued involvement. As an example, if senior-official allegations are developed during an investigative inquiry or investigation, notify the DoD IG. When in doubt, call the DoD IG for guidance. If the senior official is the IG's boss, there could be concerns about confidentiality and the possible damage that could occur to the relationship between the IG and the commander. Make the DoD IG aware of these concerns. During the initial report the DoD IG will take every reasonable step to protect the relationship between the IG and the commander. ***Do not do any preliminary analysis into allegations against senior officials.***
 - (1) Inform the commander of the general nature of the allegations against other senior officials in the command. Should an IG receive an allegation against his/her general/flag officer commander, contact the DoD IG for guidance prior to informing the commander. Past experience has shown that IGs who have attempted to "protect" their bosses by informing them of the allegations and/or conducting their own "preliminary analysis" or "preliminary inquiry" have actually exposed the commander and themselves to allegations of reprisal and regulatory violations. The best method of protecting the boss is to immediately report the allegation in accordance with DoDD 5505.06. The DoD IG will provide information and/or guidance on what, if anything, to tell the boss.
 - (2) If the DoD IG is conducting an investigation within the IG's own command, the agency will normally inform the commander. The DoD IG may not inform the IG of the investigation, specific allegations or status unless the DoD IG deems that they have a need to know.
 - b. The Service IG or Defense Agency IG will initiate investigative actions involving senior officials in accordance with DoD Directive 5505.06. COCOM IGs

or subordinate Joint IGs (such as; JTF IGs) will not initiate investigative action unless directed by the IG, DoD.

c. COCOM IGs will provide a Quarterly Intelligence Oversight Report to the Joint Staff IG with information copies to the relevant Service component IGs as required.

d. COCOM IGs will forward Intelligence Oversight reports of questionable activity (in accordance with Procedure 15) to the Joint Staff IG in accordance with DoD 5240.1-R, "Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons;" DoD Directive 5148.11, "Assistant to the Secretary of Defense for Intelligence Oversight;" and CJCSI 5901.01B, "Joint Staff IG Responsibilities, Procedures, and Oversight Functions." Joint IGs will follow DoD policies for forwarding these reports without involving the Joint Staff IG.

e. Joint and COCOM IGs will maintain working relationships with the Service IGs for information-sharing and referral purposes. These Service-specific relationships do not preclude Joint and COCOM IGs from supporting IGs in other DoD agencies; the Federal government; the Joint Staff; or OIG, DoD.

f. The COCOM IG will notify the JS Deputy IG (via the COCOM Commander if applicable) if the nature of an allegation is likely to receive any media or public interest. Other Joint IGs will report to the appropriate commanders as per local instructions/policies.

g. Joint IGs must adhere to Service reporting requirements for allegations or investigations involving other than senior officials. All such reports must go through the COCOM IG (if applicable) prior to reporting the allegation and/or investigations to the Service IG. The Service reporting requirements are as follows:

(1) Army: Joint IGs will report investigations or inquiries into allegations against officers in the grades of O-4 and O-5 and NCOs in the grades of E-8 and E-9 in the ranks of MSG, 1SG, SGM, CSM to DAIG Assistance Division (SAIG-AC) within two days after receipt. Copies of all ROIs (even those not substantiated) will be sent to SAIG-AC. Joint IGs will report investigations or inquiries into allegations against O-6s and above through the COCOM IG (if applicable) to DAIG Investigations Division (SAIG-IN) within two days after receipt. Joint IGs will send copies of all ROIs (even those not substantiated) to SAIG-IN.

(2) Air Force: Joint IGs will report investigations or inquiries into allegations against officers in the grades of colonel, colonel select, or GM 15/YA-03 within 10 days through the COCOM IG (if applicable) to SAF/IGQ. Joint IGs will send copies of all ROIs (even those not substantiated) to SAF/IGQ.

(3) Marine Corps: The USMC requires initial notification to Commandant of the Marine Corps (CMC) Judge Advocate Division Military Law Branch (JAM) when Marine Corps officers are involved in an incident of misconduct (civilian or military) that is under criminal investigation, command investigation, or preliminary inquiry under R.C.M. 303, Manual for Courts Martial (MCM), 2008, or if the incident or allegation may generate media interest. JCIGs will report through the COCOM IG (if applicable) to CMC (JAM), Report Symbol MC-1621-04, by electronic mail, facsimile (DSN 225-8350; commercial 703-695-8350), or telephone (DSN 224-4250/1740; commercial 703-614-4250/1740). If made telephonically, the Joint IG must follow up the report with either electronic mail or facsimile within one work day. The report will be made by:

- The staff judge advocate, senior judge advocate assigned, or other designated representative within the command.
- The commanding officer or officer-in-charge where no judge advocate is assigned to the organization or when the officer is not under the command of a Marine officer exercising courts-martial jurisdiction (OEGCMJ). Paragraph 402, Chapter 4, Marine Corps Legal Admin Manual applies.

(4) Navy: Any commander, commanding officer, supervisor, or IG office must report to the Naval Inspector General within two work days of receipt (received in the form of a Hotline complaint) allegations against a retired, reserve, military officer in (or selected for) grades O-7 select or above; current or former civilians in Senior Level or Scientific and Professional positions; current or former members of the Senior Executive Service; and current or former Department of the Navy civilian presidential appointees . Report allegations against Commanding Officers in the pay grade of O-6 to the Naval Inspector General (NAVINSGEN). Forward to the NAVINSGEN's Hotline or Special Inquiries Division Directors all reports of allegations of wrongdoing against all active and reserve officers in the pay grades of O-2 through O-6, active Chief Warrant Officers 3 and 4, and enlisted personnel who serve in Joint organizations. Once the investigation is completed, Joint IGs must forward the results of the investigation, whether substantiated or not substantiated, to NAVINSGEN and include a report of corrective action.

Chapter 5

Joint IG Technical Channels

1. **Purpose.** This section describes the Joint IG technical-channel network.
2. **Joint IG Technical Channels.** Joint IG technical channels represent a mutual cooperation network where Joint IGs may share confidential Joint IG information, either vertically up the chain or horizontally across command lines, for the purposes of requesting assistance with an inquiry, investigation, or inspection; promulgating lessons learned; and sharing new ideas, techniques, and approaches. Joint IG technical channels guarantee the effective functioning and value of the Joint IG system to each Joint IG's command and to the overall Joint community. Through these channels, all Joint IGs may bring to bear the collective expertise and wisdom of all Joint IGs in order to resolve issues, allegations, and other problem areas throughout the Joint community. The Joint IG technical-channel system is inherently informal, and most requests for assistance normally occur by telephone, email, or facsimile. However, in rare instances when documentation of an IG's actions is necessary, Joint IGs may request technical-channel assistance from another Joint IG formally in writing. All Joint IGs should, and are strongly encouraged to, establish and maintain working relationships and networking channels with other Joint, military, Defense, and Federal IGs as appropriate.
3. **Authority within Joint IG Technical Channels.** The Joint IG's primary reporting relationship to the Joint commander does not preclude the Joint IG from supporting other IGs, including the IG, DoD; the Joint Staff IG; Service IGs; DoD agency IGs; or other Federal IGs.
 - a. **Tasking Authority.** IGs do not work for other IGs and may only request assistance, not demand it. However, all IGs are strongly encouraged to support each other when requested to do so. Only the IG, DoD; the Joint Staff IG (for Hotline cases only); and COCOM IGs may task other IGs to conduct an inquiry, investigation, or inspection. For COCOM IGs, that tasking authority only resides in the vertical chain or command and not horizontally across COCOM lines.
 - b. **Confidentiality.** Joint IG technical channels allow Joint IGs to share sensitive Joint IG information with each other without violating an individual's confidentiality. However, Joint IGs should only share such information with other Joint IGs on a need-to-know basis.
 - c. **Referrals.** Joint IGs may refer issues and allegations to another Joint IG or Service IG, but the gaining IG must agree to accept the case, except when the IG, DoD; Joint Staff IG; or COCOM IG refers the case as a tasking to a subordinate Joint command. COCOM IGs cannot officially task Service

component IGs; however, they may coordinate directly with the Service components as appropriate and follow up with an official referral request to the Service IGs. The Joint Staff IG will resolve all disputes between and among COCOM IGs and the Service IGs regarding referrals. IG, DoD, will resolve all disputes concerning referrals to or from Joint IGs that involve OIG DoD or another Defense Agency IG.

Chapter 6

Teaching and Training

1. **Purpose.** This chapter describes the Joint IG's role and responsibilities regarding the IG function of Teaching and Training.
2. **Teaching and Training as a Joint IG Function.** Teaching and Training is embedded in the other three functions of Inspections, Assistance, and Investigations. Joint IGs are responsible to their commanders for teaching and training leaders at all levels on current standards and policies. Joint IGs also require training themselves in the Joint IG system and the philosophy and techniques associated with that system. These Teaching and Training roles and requirements appear in the following sections:

Section 6.1 Training and Certification of Joint IGs

Section 6.2 DoD Joint IG Course

Section 6.3 Training the Joint Community at Large

Section 6.4 Joint IG and Security Cooperation

Section 6.1

Training and Certification of Joint IGs

1. **Purpose.** This section describes the training requirements for Joint IGs and their overall certification requirements.

2. **The Joint IG Certification Process.** All Joint IGs must successfully complete a four-phased certification process to serve in their capacity as IGs at Combatant Commands, Sub-Unified Commands, Joint Task Forces, or other Joint commands. The four phases are as follows:

a. **Phase One: Nomination and/or requisitioning of a Joint IG.** Only JCIGs undergo a nomination process as part of this phase. Other Joint IGs are requisitioned from the Services. Service Inspectors General (and their Service Secretaries) have the right to comment on the qualifications and suitability of the nominee and/or requisitioned selectee prior to final Joint command approval.

b. **Phase Two: Approval of the Joint IG.** The Joint/COCOM commander must review and approve the JCIG nominee and/or selectee. Once approved, and the command confirms assignment to the Joint IG billet, the individual may proceed to the Joint IG Course for training.

c. **Phase Three: DoD Joint IG Course completion.** All IGs serving in Combatant Commands, Sub-Unified Commands, long-standing Joint Task Forces, or other Joint commands must complete the Joint IG Course within 120 days to qualify as a Joint IG. Command approval of the JCIG nominee or IG selectee is required prior to registration in the course. Each command should forward the approval to the DoD Joint IG Course faculty and simultaneously register the Joint IG candidate in the next available class. The course faculty will maintain a certification database, and serve as the office of record, for approved nominees and selectees and Joint IG graduates. Approved nominees/selectees who fail the course will return to their respective Joint commands but not as certified Joint IGs.

d. **Phase Four: Joint IG oath.** Joint IG certification is complete when the Joint IG swears or affirms the oath at the gaining Joint command.

3. **Certification of Contingency Joint Task Force IGs.** Service headquarters assigned as JTFs for specific periods of time will normally have IGs already assigned to them. These IGs will be certified and/or qualified based upon their Service's specific requirements. That Service-specific IG qualification will stand in place of Joint IG certification, but the JTF commander should attempt to send at least the JTF command IG to the next available Joint IG Course if feasible. A Mobile Training Team (MTT) from the Joint IG Course can travel to the JTF to train the JTF IG office on the Joint IG system as required. The preferred

approach would be to certify all members of the JTF IG office (including other Service IG augmentees) via the Joint IG certification process. If not feasible to train all or some members of the JTF office, the JTF IG will contact the Joint IG Course faculty at the earliest opportunity to request copies of all Joint IG policy and procedural guides.

4. Predictive Joint IG Training. Contingency JTF IGs are good examples of IGs who may face challenges achieving Joint IG certification. The certification process clearly supports assignments to standing Joint commands, but those Joint commands created for contingency operations (such as JTFs) may not have the time to certify their IGs. Therefore, using historical precedent and traditional command relationships between the Services and the Combatant Commands, the Services should attempt to certify via the Joint IG certification process (phases three and four only) those Service-specific IGs who are in headquarters most likely to become Joint commands for contingency purposes. Examples include Army division and corps headquarters, Service component commands organized under the Combatant Commands, Marine Expeditionary Forces and other like units, etc. IGs in these particular units may register directly with the DoD Joint IG Course to attend on a space-available basis and with the caveat that they are pre-certifying as Joint IGs due to the likelihood of their command's headquarters being designated as a JTF; Joint Force Land, Air, or Sea Component; etc. This predictive approach does not exclude the possibility of a MTT from the Joint IG Course traveling to a soon-to-be Joint command to certify the IG office in the Joint IG system.

5. Joint IG Sustainment Training. Long-serving Joint IGs, such as civilians serving in Command IG offices, should consider attending the DoD Joint IG Course every fourth year of Joint IG service to ensure currency with up-to-date Joint IG policies and procedures. Although four years is the recommended guideline, serving Joint IGs may return to the course at anytime on a space-available basis as requested. The Joint IG must provide a justification for attending when registering for the course.

Section 6.2

DoD Joint IG Course

- 1. Purpose.** This section describes the DoD Joint IG Course and the training requirements of all Joint IGs.
- 2. DoD Joint IG Course.** DoD Joint IG Course is a three-week resident course designed to serve as the core qualifying event for Joint IG certification. Graduates of the Joint IG Course are fully qualified to assume IG duties in a COCOM, Sub-Unified Command, JTF, or other Joint IG office immediately upon graduation.
- 3. Funding.** The IG, DoD, provides all funding for the course except travel, per diem, and lodging.
- 4. Student Audience.** The DoD Joint IG Course is a qualifying event for Joint IGs serving in the COCOMs, Sub-Unified Commands, JTFs, or other Joint commands. Joint IGs assigned to billets in these commands will attend the course as a result of the nomination and requisitioning process. Priority for seating will go to IGs from the COCOMs, Sub-Unified Commands, JTFs, other Joint commands, the Services, and OIG DoD. IGs from other Defense Agencies and the Federal Government may attend on a space-available basis.
- 5. Curriculum.** The DoD Joint IG Course's core curriculum will be based upon existing Joint IG policy, doctrine, and procedures with applicable Terminal Learning Objectives (TLOs) and Enabling Learning Objectives (ELOs) derived from the IG, DoD-approved Joint IG critical task list. The curriculum will include both Knowledge- and Application-based ELOs designed to teach the policy and procedural aspects of the Joint IG system through hands-on practical exercises. The course's published Academic Program will serve as the base document for the development and execution of the course curriculum.
- 6. Graduation Requirements.** The IG, DoD, determines graduation requirements for the DoD Joint IG Course and communicates those requirements through the Defense Council on Integrity and Efficiency (DCIE) (the course's governing board) through the secretary (the course Assistant Dean) to the Chairman of the Academic Board (Dean of Instruction). The graduation requirements will reflect the expertise each student must acquire to qualify as a Joint IG. The IG, DoD, will provide routine updates on the course to the DCIE as required.
- 7. Staff and Faculty Requirements.** The Service IGs may provide uniformed instructor faculty based upon agreements with OIG DoD. The IG, DoD, will serve as the hiring authority for all civilian staff and faculty members. Instructors should

be former Joint and/or Service IGs with at least two years experience performing the IG function for which that person is assigned to teach.

8. Policy and Procedures. The staff and faculty of the DoD Joint IG Course are responsible for updating, revising, and maintaining all Joint IG policy and procedures (in the form of guides). All changes to Joint IG policy and procedures will occur in close coordination with the IG, DoD; the Joint Staff IG; the COCOM IGs; and other Joint activities, as applicable. All adjustments or changes to policy and procedures will result in immediate curriculum changes by the staff and faculty to ensure that the Joint IG Course remains current.

9. Dismissal from the DoD Joint IG Course. The Assistant Dean of the DoD Joint IG Course may recommend to the Dismissal Board dismissal of a student based upon DoD IG-approved dismissal criteria for academic deficiency, personal conduct, or other reasons. The DoD IG has the final say in all dismissal proceedings.

10. Mobile Training Teams (MTT) and Exportable Training Packages. The DoD Joint IG Course faculty will have a Mobile Training Team (MTT) Program as part of the course's Academic Program. The primary purpose of an MTT will be to train JTF IG offices on site that have short-fused mobilization and deployment timelines. The MTT will be authorized to train and certify a JTF IG office on site. MTTs will also be available upon request to train commanders on the Joint IG system and for other Joint IG-related training requirements as necessary. In addition, the Joint IG Course will make available via Web site exportable training packages so that newly designated JTF IGs on extremely short timelines may, in the absence of an MTT, learn the rudiments of the Joint IG system and the procedures for executing each of the Joint IG functions.

Section 6.3

Teaching and Training the Joint Community at Large

1. **Purpose.** This section describes the role of the Joint IG in Teaching and Training leaders at all levels within the Joint command.
2. **Teaching and Training the Joint IG Community at Large.** The Teaching and Training function is an independent function, and it is embedded in the Joint IG functions of Inspections, Assistance, and Investigations.

a. **Proactive Nature of the IG.** The Joint IG functions of Inspections, Assistance, and Investigations have both reactive and proactive elements, but the most proactive IG function is Teach and Train. Inspections are inherently proactive; they show the IG and commander taking positive steps to check systems and organizations. An IG may recommend Inspection topics to the Joint commander as a way to gather information that would help the commander address emerging problem areas before they become serious. Assistance and Investigations, although clearly reactive, support a proactive Inspections approach by providing trends that will help to focus the commander's and IG's inspections efforts. But the most proactive function is Teaching and Training. Well-trained and informed leaders and troops will address and resolve problems at the lowest levels and prevent those problems from adversely affecting the readiness, warfighting, and mission capabilities of the Joint command. Joint IGs should use every opportunity to make Teaching and Training points that emphasize integrity, ethics, efficiency, discipline, and readiness. In addition, every Joint IG must educate commanders and their staffs on the Joint IG system in order to establish a good working relationship through communication and a common understanding of the IG's role and function.

b. **Joint IGs Provide and Receive Training.** Joint IGs have a responsibility to train non-IGs on how the Joint IG system operates and on specific standards, responsibilities, processes, and systems related to non-IG activities. Joint IGs must teach leaders and their Soldiers, Sailors, Airmen, Marines, Coast Guard, and Civilians how IGs contribute to mission accomplishment. Joint IGs train others by example and appearance; they possess a reservoir of experience and knowledge that can assist commanders in achieving disciplined and combat-ready units.

A Joint IG may also conduct more formal training for command members but is not always the primary trainer. Joint IGs provide information to the commander and staff members about military systems, processes, and procedures and assess the command's climate while assisting, inspecting, and investigating. Joint IGs should also pass on lessons learned to enable others to benefit from their experience.

The staff and faculty of the DoD Joint IG Course will, upon request, travel to a Joint IG's location to provide targeted training on IG matters. The Joint IG Course staff and faculty will also provide IG training support packages to serving Joints IGs for use in training the Joint command on the Joint IG system and to facilitate Joint IG sustainment training within a particular office.

c. Methods of Teaching and Training. Joint IGs incorporate Teaching and Training into all aspects of their duties by explaining standards and the reason those standards were established. Joints IGs should pass on lessons learned, good ideas, and benchmarks observed during inspections. At every opportunity, Joint IGs should gather personnel to discuss the most-often violated standards and rules (e.g., use of a rental car while on TDY or misuse of a government computer during work hours) to help personnel make better decisions. Fewer investigations result from an informed command. Another good opportunity to incorporate Teaching and Training is while visiting a subordinate Joint IG (such as a COCOM IG's visit to a JTF IG) to evaluate the quality of IG work. Such efforts should include training on Joint IG policy, doctrine, and procedures. Joint IGs may provide technical expertise when necessary.

d. Teaching and Training on the Joint IG System. Teaching and Training allows IGs to get ahead of problems by communicating standards. But the effectiveness of the Joint IG system is, to a great extent, a function of how receptive non-IGs are to the system. Failure to explain the Joint IG system to Joint commanders and others may result in commanders misusing, or simply not using, their IGs.

Section 6.4

Joint IG and Security Cooperation

1. **Purpose.** This section describes Joint IG outreach to other nations as an extension of the Joint IG Teaching and Training function.
2. **IG and Security Cooperation.** Theater Security Cooperation (TSC) is a key task for combatant commands. It can range from financing major military systems to allocating seats for training in U.S. military courses to participation in Joint and combined exercises. In all cases, the intent is to improve regional security and the ability of friends and allies to partner with the U.S. and alliance organizations when required. The IG's TSC role could be termed IG Outreach as it serves to demonstrate the value of IG systems and to assist nations in building or improving their own systems. IG Outreach payoffs are significant:
 - a. Improved capacity of foreign militaries to set and meet readiness standards.
 - b. Purposeful, command-supported, anti-corruption efforts.
 - c. Hotlines to provide members a way to report fraud, waste, abuse, and mismanagement.
 - d. Transparency in the use of funds and resources.
 - e. Confidence that units will perform to standard in combined operations.
3. **Funding.** Depending on the event, funding can come from the IG budget, 'mil-to-mil' funds, budgets of the participating units, or from a combination of sources. Regardless of the source of funds, extensive coordination is necessary to maximize the training per dollar spent.
4. **Focusing the Outreach Effort.** From a regional perspective, the IG Outreach aim should be on "up-and-coming" nations who are in the process of joining international organizations such as NATO, EU, or ASEAN. To get the most out of limited resources, the COCOM IG should develop a matrix that lists all countries within the area of responsibility (AOR) and shows the status of their IG system. Once this data becomes available, the IG can work with other directorates in the COCOM to develop criteria to help prioritize the matrix. This prioritization can then serve as the IG's roadmap for IG Outreach over a multi-year period.
5. **Target Audience.** IG Outreach events may be held within individual countries or regionally with countries having similar needs. In countries lacking an IG system, IG Outreach should focus on military or ministry of defense (MoD)

personnel who can influence decisions to establish an IG system. If the country has an IG system but seeks to improve it, the outreach effect should target decision-makers who can authorize the changes and then IGs who would work under the revised system. As an example, some foreign IGs do not execute inspections, leaving this function to legacy “inspection directorates.” Adding the inspection function into the IG system would first require support from either the Minister or Chief of Defense. After getting this support, IG Outreach could assist the foreign IGs in developing inspection methods. Co-hosting IG Outreach events with a third country with a relatively advanced IG system and a strong relationship with the target country will reinforce the IG message and help build a regional IG network.

6. Coordination. A successful outreach event requires coordination with multiple organizations over whom the IG may have little or no control. These organizations might include the COCOM's various staff directorates, in-country U.S. security assistance offices (SAOs), IGs from the target country's National Guard State Partner, and IGs from other U.S. agencies such as the U.S. Agency for International Development (USAID). IG Outreach contacts with the local military or MoD should occur through the security assistance office to keep that office informed and because the SAO will already have good contacts in the country. Joint IGs should develop talking points for their commanders to discuss the value of IG systems with partner nations' MoDs. The resulting public buy-in will aid Joint IGs with the mission of IG outreach by creating a more receptive environment.

7. Outreach Event Content. Outreach events vary depending on the status of the country's IG systems and on the audience. Events may range from "What is an IG, and why you need one?" to in-depth discussions on the “how to” of Assistance and Investigations. Designing a successful event starts with understanding the country's IG needs. In most cases, the SAO will be the critical organization in developing this understanding. The IG should staff all event plans with the SAO and query the SAO for feedback on topics, event duration, and audience composition. Much of the material needed during an IG Outreach event is readily available from U.S. IG schools, and the challenge in IG Outreach is to ensure the depth and scope of the event matches the country's (and audience's) needs and capacity to absorb.

8. Desired End Result. Two centuries after establishing an IG system, the U.S. armed forces clearly benefit from the oversight provided by healthy IG systems, and this fact is IG Outreach's basic message. The goal for IG Outreach is to work toward development of trusted and functioning IG systems in all the countries of a command's AOR.

9. Teaming. The “State Partnership Program” (SPP) pairs State National Guard units with the military forces of foreign nations. Teaming with SPP IGs allows the COCOM IG to serve as matchmaker between the SPP IG and his or her counterparts in the foreign military services, setting up what can become a long-

term relationship and allowing the COCOM IG to shift Outreach efforts to other nations. The SPP IG can exploit further IG Outreach opportunities in coordination with other SPP events. Thank-you notes and other correspondence from the COCOM Commander to the state Adjutant General and to the nation's Minister of Defense help reinforce the SPP relationship and assist the SPP IG in competing for funding on SPP events.

10. Considerations.

a. **Schedules.** Holiday schedules vary greatly by country, and some societies shut down completely at certain times of the year. The SAO and embassy country team can give guidance on when and where to hold events.

b. **Building relationships with foreign IGs.** "Drinking tea" is an important step in building cordial and cooperative relationships in many countries.

c. **Build on successes.** Start with an Outreach event to a single country and then aim for a regional event, possibly using the first country as a co-host. As word spreads, countries will begin asking for help.

d. **Multi-country events.** A regional event allows participants to create informal IG networks, exchange best practices, and reinforce the importance of an IG. These events also help establish a group identity among IGs that can pay off later during combined operations.

e. **Not just IGs.** Some countries use the term "ombudsman" to describe their assistance or complaint-resolution system. A country without an "IG system" may in fact have a robust inspection directorate and ombudsman system, both good targets for Outreach events.

f. **One size does not fit all.** Law or culture may make it impossible for a foreign IG to carry out Investigations or other IG functions. Outreach planners need to know these limitations when planning events.

g. **Translations.** Translating Outreach slides takes time; and, as a rule of thumb, the event planner should provide all materials to the translator 45 days before the event. In most cases, briefers will speak English, and the audience will listen to a simultaneous translation. This method means that presentations will take one-half to two-thirds longer than normal.

Chapter 7

Joint IG Role in Full Spectrum Operations

1. **Purpose.** This chapter describes the Joint IG's role and responsibilities in full spectrum operations.

2. **Joint IG Role in Full Spectrum Operations.** Joint IGs are critical to providing warfighting and readiness enhancements to the Joint command whether in peace or in war. During wartime operations across the full spectrum of conflict, Joint IGs must tailor the Joint IG system to continue to provide that same capability to the command despite time, resource, and other constraints so the Joint command can effectively resolve, through victory, the mission or contingency operation. The Joint IG's role in full spectrum operations is addressed in detail in the following sections:

Section 7.1 Joint IG Role in the Operational Environment

Section 7.2 Joint IG's Role in Law of War Violations

Section 7.1

Joint IG Role in the Operational Environment

1. **Purpose.** This section describes the role of the Joint IG in the operational environment.
2. **Joint Operating Environment.** Combatant Commanders are assigned missions and tasks based on their geographic areas of responsibility or on their functional capabilities. The Joint Strategic Capabilities Plan (JSCP) provides guidance to the Combatant Commanders and the Services to accomplish missions and tasks based on current military capabilities. The JSCP provides a coherent framework for capabilities-based military tasks assigned by the National Command Authorities (NCA), treaty obligations, or other documents supporting the Unified Command Plan (UCP).

The Combatant Commander normally operates at the strategic level of war, applying the military element of power, in coordination with the other elements of national power, to achieve the desired military end state within the strategic end state as determined by national security or strategic military objectives and guidance. A theater of operations commander (e.g., unified commander, sub-unified commander, or CJTF), however, operates more often at the operational level of war, applying military power in the designated theater of operations toward the strategic military objectives assigned by the geographic Combatant Commander or national command authorities.

Figure 7.1.1 provides a systems view of the Joint environment where a matrix-type environment ensues. Services, Supplies, Equipment, Training, Organization, and Administration are fed into Joint systems such as Personnel, Intelligence, Operations, Logistics, and Operational Planning. The COCOM and JTF commanders work within the guidelines and parameters of Joint policy and guidance.

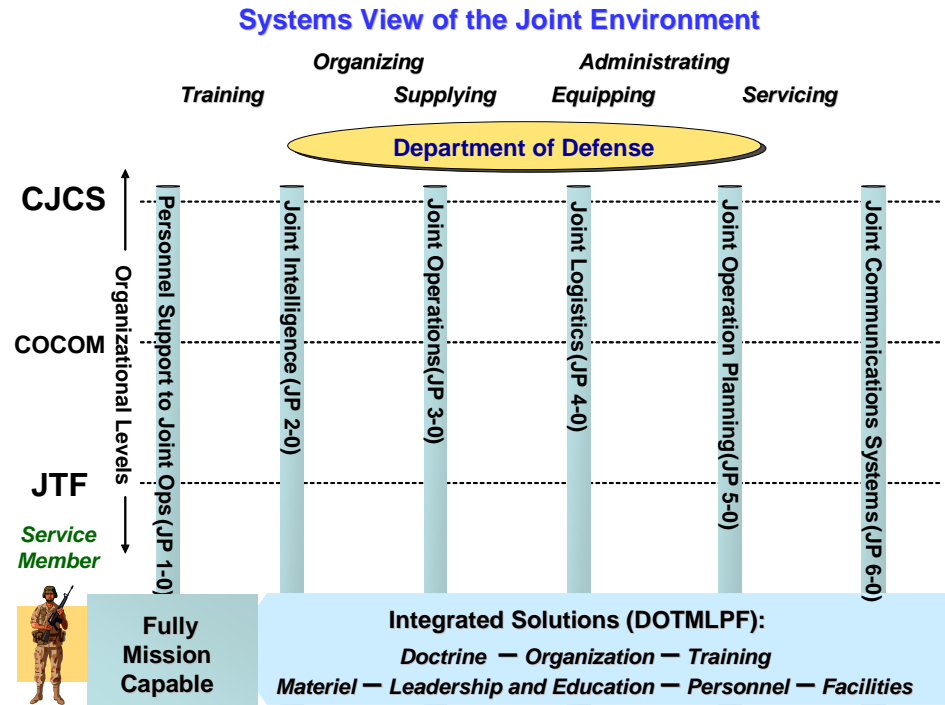


Figure 7.1.1
Systems View of the Joint Environment

3. Joint IG Role in the Operational Environment. The concept of a military IG was born during conflict and made its earliest contributions to the Continental Army through training and maintaining readiness. Since its inception, military IGs have played a key role in a full spectrum of conflicts ranging from the Revolutionary War to the Global War on Terrorism (GWOT). As part of the Joint IG System, all Joint IGs serve as key assessment mechanisms which allow their commanders to make informed decisions on planning, preparing, and executing military operations. When the command is deployed or operating as a split command in more than one location for either war or peacetime engagement operations, IGs have the same role as they do in peacetime, extending the eyes, ears, voice, and conscience of the commander. Basic IG functions do not change; the Joint IG will still enhance the command's readiness by performing inspections, intelligence oversight, assistance, investigations, and teaching and training. However, during wartime operations, the Joint IG's focus shifts to high-payoff issues and topics that will improve, in the short term, the readiness and operational capabilities of the Joint command.

a. Major Operational Mission. All Joint IGs, whether in the theater of operations or in a supporting theater (CONUS and OCONUS), have a major operational mission. The Joint IG role in military operations is not static. The command's mission and the phase of the war at the time dictate the specific role of the Joint IG. Joint IGs must become involved in the commander's planning

process early in order to understand the commander's intent, concept of the operation, and key tasks that must be accomplished.

b. **Commander's Intent.** To remain effective in the operational environment, Joint IGs must have an in-depth understanding and appreciation of the mission, commander's intent, operational concept, key tasks, resources, and courses of action as well as changes to the plan and situation. This knowledge prepares the IG to answer military personnel and leader concerns. It also prepares them for evaluating effectively and efficiently the execution of the command's mission. However, the Joint IG's larger role is to understand how the Joint environment operates in order to determine where systemic issues impact mission readiness. Once the root cause has been determined, the Joint IG will make recommendations to resolve the issue. Recommendations come in many forms and range from policy change/review from the higher echelon proponent of the policy to enhanced training within the command or component.

c. **Contingency and Deployment Requirements.** A Joint IG's ability to support the commander's operational contingency and deployment requirements depends on prior planning and its involvement in the command's mission-planning and exercise process. The Joint IG must ensure that the Joint commander and coordinating staff understand and are familiar with the Joint IG wartime role and the contributions the Joint IG can make to the operational effort. The Joint IG must develop and promote this understanding in peacetime through Joint IG participation in training exercises with the commander and staff.

d. **Planning for Flexibility.** The Joint IG operational planning effort must incorporate flexibility, include provisions for full-service operations (the ability to perform all IG functions), and be oriented toward contingency operations in a developing theater. Planning will consider mobilization, deployment, sustainment, combat or peacetime military engagement, redeployment, reintegration, and reconstitution as applicable.

e. **Focus on Issues.** Joint IGs will also maintain their traditional focus on the issues affecting the command and its Soldiers, Sailors, Airmen, Marines, Coast Guard, Civilians, and families (for example, pay issues, medical issues, etc.).

4. **Organization.** The organization of the Joint IG office will vary depending upon the status and location (that is, CONUS-based or forward deployed). Joint IGs must consider both deployed and stay-behind capabilities in people and equipment.

a. **Forward Deployed.** Joint IGs are normally deployed forward into operational theaters to provide on-site Joint IG support to the command.

b. **Personnel Strength.** The personnel strength of forward-deployed Joint IG offices normally depends upon manning allocations in the JTD for permanent

manpower, JTMD for augmentation manpower, and JTMD for Reserve manpower.

c. **Augmentation.** Joint IGs may request reserve augmentation for forward-deployed Joint IG offices, but these reserve personnel requirements must be reflected in the JTMD / JTD.

d. **Coverage.** Joint IGs must plan to provide Joint IG coverage to all units within the command, even those geographically separated from the command.

e. **Techniques.** Techniques for Joint IG coverage to geographically dispersed units include reach-back capabilities, periodic or scheduled visits, or the temporary relocation of portions of the Joint IG office to a particular area (split operations).

f. **Location.** Joint IGs will normally locate in the Joint command's rear command post but will move wherever circumstances allow them to provide the best IG support and remain the eyes, ears, voice, and conscience of the Joint commander.

g. **Communications.** Joint IGs must establish communications connectivity and technical-channel relationships with other forward-deployed Joint IGs and subordinate IGs as soon as practicable.

5. **Resources.** Joint IGs must have the personnel and equipment on hand necessary to operate forward in a deployed environment. Planning ahead of deployed contingency operations is critical. Planning considerations must include both deploying and supporting IG requirements especially since reach-back communications connectivity is vital to the deployed IG's mission accomplishment. Electronic data hardware and software considerations, as well as supporting communications requirements, are also a part of Joint IG contingency planning. Joint IGs should work closely with the J-6 to ensure their communication requirements are adequately addressed.

a. **Equipment.** The Joint IG must conduct a periodic review of equipment authorization documents to ensure that adequate deployment equipment is available such as tactical vehicles, tents, camouflage netting, field telephones, tactical computers, radios, and so on. Electronic data hardware and software considerations, as well as supporting communications requirements, are a part of Joint IG contingency planning. Planning considerations must include both deploying and supporting Joint IG requirements. Reach-back communications connectivity is vital to a deployed Joint IG's mission accomplishment.

Joint IGs must conduct periodic reviews of equipment authorization documents to ensure that adequate deployment equipment is available such as tactical vehicles, tents, camouflage netting, field telephones, tactical computers,

radios, etc. These reviews must also ensure that on-hand equipment remains up to date and is compatible both inside and outside the Joint command.

A sample list of deployment equipment for the Joint IG is as follows:

- Vehicles with secure radio communications.
- Tactical phones (STE secure telephones).
- SIPR and NIPR connections.
- Secret and unclassified laptop computers with Internet access, compatible software, and printers.
- Scanner or Digital Sender.
- Basic load of office supplies with plenty of highlighters, paper, media storage, etc.
- Dry-erase or butcher boards with markers.
- CD-ROMs loaded with policy documents, common Service standards, Joint IG guides, and SOPs.
- Specific field gear, weapons, and clothing required for the area of operations.

b. **Personnel.** The Joint IG must conduct manpower reviews to ensure that adequate provisions are in place for workload increases to support deployed and wartime efforts. The JCIG must conduct manpower reviews to ensure that adequate provisions are in place for workload increases to support deployed and wartime efforts. Close coordination with the J-1 is necessary to ensure that IG manpower requirements are adequately addressed. Training requirements for personnel selected to serve as Joint IGs during wartime will be the same. The Combatant Command will determine the non-IG-specific training required for the area of operations.

c. **Publications.** Access to regulatory and policy standards contained in DoD, Joint Staff, Service, and COCOM publications is essential to performing all Joint IG functions. Joint IGs must include this requirement in deployment and contingency planning. Some hard-copy documents will be necessary, but access to publications through electronic connectivity (such as the Internet) or the use of electronic-based systems (such as CD-ROMs) is an important consideration. Access to policy standards contained in DoD, Joint Staff, and Service publications is essential to performing all five Joint IG functions. Some hard-copy documents will be necessary, but access to publications through electronic connectivity (such as the Internet) or the use of electronic-based systems (such as CD-ROMs) is an important consideration. The Joint Doctrine, Education, and Training Electronic Information System (JDEIS) Portal (<https://jdeis.js.mil>) is the entry point for all unlimited distribution Joint Publications (JPs), the Department of Defense (DoD) Dictionary, and links from doctrine to related Universal Joint Task List (UJTL) tasks. It also provides links to all to U.S. Service sites; to Service and Air, Land, and Sea Application Center (ALSA) doctrine; and to the U.S. Combatant Commands.

6. Staff Estimates and Planning. Joint IGs are essential staff members in all scenarios during both peacetime and wartime operations. Accordingly, the Joint IG has a clear role in the staff planning process and must provide staff estimates as required.

a. Participation. Joint IG participation in the command's staff planning process is critical to the successful adaptation of the Joint IG system when addressing the mission and needs of the commander and command.

b. Activity Plan. The Joint IG must formulate an activity plan to support deployed operations that anticipates and responds to IG actions during each phase of the operation such as mobilization, deployment, preparation for combat, and redeployment. Joint IGs normally translate these activity plans into planning estimates for inclusion in the Joint operations order based upon the command's prescribed format and requirements. Joint IGs will normally coordinate all estimates, annexes, and input to the plan through the J-directorate that normally has staff coordination responsibility for the IG.

c. IG Involvement. Joint IG involvement in the staff planning process from receipt of the mission to production of the order is continuous. Joint IGs must have a clear understanding of the next higher headquarters' order, the Joint command's mission, and the Joint commander's intent.

d. Commander's Expectations. The JCIG must address with the Joint commander early in the planning process the commander's expectations of the IG and the IG's overall role in the operation. The Joint IG's plan should be based upon the commander's mission and intent and must anticipate actions at all phases of the operation in sufficient detail to facilitate effective IG planning.

e. Compressing the Process. The operational environment may dictate that Joint IGs compress or tailor their procedures to execute the IG functions based upon resources, conditions, time, etc. Any actions to compress or alter a Joint IG process must not place the IG's findings at risk of possible invalidation due to needless 'shortcuts' and other ill-conceived time-saving measures. Compressing Joint IG procedures requires advance planning and careful consideration from both the JCIG and, if necessary, the Joint commander.

7. Functions.

a. Inspections. Inspections are the most direct way a Joint IG can influence the command's mission readiness. As units prepare for war, previously unscheduled inspections often occur. If directed by the Joint Commander, Joint IGs must prepare to verify organizational readiness and identify mobilization issues for resolution. Joint IGs may find themselves performing a mix of systemic and compliance inspections of units, even though systemic is the standard Joint

IG approach to inspections. Either the tactical situation or the commander's need for timely feedback to make critical decisions may cause the Joint IG to compress the IG inspections process. Intelligence Oversight falls within the larger umbrella of inspections and is critical to ensuring that intelligence components are complying with existing laws and policies. Joint IGs must use technical channels to share the results of inspection trends and findings within and without the command.

b. **Assistance.** Both deployed and supporting Joint IGs can expect increases in requests for information and assistance. Historically, assistance cases have represented the majority of the deployed Joint IG workload. A thorough analysis of each phase of the operational spectrum will provide insights into the nature of the requests that Joint IGs can expect. Joint IG technical channels and increased flexibility are essential to responsive support to commanders, troops, and other interested parties.

c. **Investigations.** The Joint IG investigations function during military operations differs little from peacetime investigations. Investigations conducted while deployed are more difficult to complete because of the limited access to the commander, time and distance factors, and a generally greater reliance upon technical-channel support from other Joint IGs who may also be deployed. Records release policies for Joint IG records such as investigative reports do not change during military operations.

d. **Teaching and Training.** Joint IGs have traditionally been the bridge that spans the gap of experience. The time-sensitive need for teaching and training military personnel at all levels on fundamental tasks essential to mission success is an inherent Joint IG function. As an extension of the eyes and ears of the commander, the Joint IG will view the Teaching and Training function as a key factor in a unit's ultimate success and therefore plan its inclusion as a fundamental portion of all other Joint IG activities. Especially important in this process is the Joint IG's ability to acquire and understand the changing regulatory and policy standards inherent during major operations. The Joint IG must know and understand information management operations and help to coordinate these requirements with the command information resource manager, functional proponents, and Joint IGs operating in split locations.

8. **Exercises.** Realistic training scenarios provide an excellent tool to determine how to operate in all types of environments. As with any staff element, Joint IGs must participate as full-fledged members of the staff in all command-post exercises and field-training exercises. Joint IGs will not perform non-IG duties during training exercises that would detract from their wartime mission or compromise their ability to remain fair and impartial. During these exercises Joint IGs will include concurrent, split-operations training involving the home station Joint office in order to practice reach-back procedures and other techniques normally used during operational deployments. Joint IGs will routinely publish

Joint IG-related instructions in their organization's exercise or operational plans and orders.

Section 7.2

Joint IG's Role in Law of War Violations

1. **Purpose.** This section describes the responsibilities of the Joint IG when receiving a suspected Law of War violation.
2. **Definition of the Law of War.** Law of War is that part of international law that regulates the conduct of armed hostilities. It encompasses all international law for the conduct of hostilities binding on the U.S. or its individual citizens, including treaties and international agreements, to which the U.S. is a party and applicable customary international law.
3. **Joint IG's Role in Law of War Violations.**
 - a. Reports of Law of War violations are normally made via the chain of command. Such reports may also be made through other channels such as the military police, a judge advocate, or IG. Joint IGs will accept and immediately forward through the recipient's chain of command all reports made to officials other than those specified.
 - b. Joint IGs who receive reports of Law of War violations will process them in accordance with the provisions of DoDD 2311.01E, "Law of War Program;" CJCSI 5810.01C, "Implementation of the DoD Law of War Program;" and their COCOM directives on this subject.
 - c. A reportable incident is a possible, suspected, or alleged violation of the Law of War for which there is credible information or conduct during military operations other than war that would constitute a violation of the Law of War if it occurred during an armed conflict.
 - d. A Joint IG who becomes aware of a reportable incident must report the incident as soon as possible to the Joint commander (Directing Authority) for action.
 - e. The Joint IG will also provide a concurrent report to the COCOM IG (if a JTF IG is sending the report) as soon as possible.
 - f. The Law of War Program requires the Joint commander to submit an "initial report" of any reportable incident through command channels by the most expeditious means available to the COCOM commander.
 - g. The COCOM commander must provide a report to the Secretary of the Army, who is DoD's executive agent for Law of War violations, and investigate in coordination with the Services where appropriate.

h. Law of War violations are inherently criminal and therefore normally not appropriate for Joint IG action; criminal investigative agencies from the Services will normally conduct the investigations.

i. Joint IGs, who receive alleged Law of War violations, whether committed by or against U.S. or enemy personnel, will conduct IG fact-finding only when appropriately directed by the Joint commander or other competent authority. Care must be taken to avoid any interference with an ongoing or pending criminal investigation into the matter.

j. The IG should coordinate closely with the command's legal advisor in determining a recommended course of action to investigate and resolve allegations containing a Law of War violation.

Appendix A

Glossary

PART I. ABBREVIATIONS AND ACRONYMS

AIG	Assistant Inspector General
ALSA	Air, Land and Sea Application Center
ASEAN	Association of Southeast Asian Nations
AOR	Area of Responsibility
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CJCSM	Chairman of the Joint Chiefs of Staff Manual
CMC	Commandant of the Marine Corps or Command Master Chief (Navy)
CONUS	Continental United States
CPO	Chief Petty Officer (Navy)
CSM	Command Sergeant Major (Army)
CW-3, 4, 5	Chief Warrant Officer (Army, Navy, USMC and Coast Guard)
DAIG	Department of Army Inspector General
DCIE	Defense Counsel on Integrity and Efficiency
DeCA	Defense Commissary Agency
DIGITS	Defense Intelligence Agency
DJIG	Deployed Inspector General Information Tracking System
DoDD	Deputy Joint Command Inspector General
DoDI	Department of Defense Directive
DOTMLPF	Department of Defense Instruction Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, Facilities
DTM	Directive-Type Memorandum
EU	European Union
FOIA	Freedom of Information Act
FOUO	For Official Use Only
GAO	Government Accountability Office
GWOT	Global War on Terrorism
HIPAA	Health Insurance Portability and Accountability Act
IA	Individual Augmentation
IACT	Independence, accountability, completeness and timeliness
IG	Inspector General
IG, DoD	Inspector General, Department of Defense

IO	Intelligence Oversight
JACTS	Joint Automated Case Tracking System
JAM	Judge Advocate Division Military Law Branch (USMC)
JCIG	Joint Command Inspector General
J-1	Manpower and personnel of a Joint Staff
J-2	Intelligence Directorate of a Joint Staff; Intelligence Staff Section
J-3	Operations Directorate of a Joint Staff; Operations Staff section
J-4	Logistics Directorate of a Joint Staff; Logistics Staff section
J-5	Plans Directorate of a Joint Staff
J-6	Communications System Directorate of a Joint Staff
J-7	Engineering staff; Operational Plans & Interoperability Directorate of a Joint Staff
J-8	Joint Staff; Force Structure, Resource & Assessment Directorate of a Joint Staff
J-9	Civil-Military Operations Directorate of a Joint Staff
JDAL	Joint Duty Assignment List
JDEIS	Joint Doctrine Education and Training Electronic Information System
JIGAP	Joint Inspector General Action Process
Joint IGAR	Joint Inspector General Action Request
JMD	Joint Manning Document
JSCP	Joint Strategic Capabilities Plan
JSIG	Joint Staff IG
JTD	Joint Table of Distribution
JTF	Joint Task Force
JTMD	Joint Table of Mobilization Document
LIG	Liaison Inspector General
MCM	Manual for Courts Martial
MHE	Mental Health Evaluations
MoD	Ministry of Defense
MOU	Memorandum of Understanding
MRI	Military Reprisal Investigation
MSG	Master Sergeant (Army)
MTT	Mobile Training Team
NATO	North Atlantic Treaty Organization
NCA	National Command Authorities
NCO	Non-commissioned officer
NGB	National Guard Bureau
NIPR	Non-classified Internet Protocol Router
OCONUS	Outside Continental United States
Ool	Office of Inquiry

OoR	Office of Record
OTIG	Office of The Inspector General
PO	Petty Officer (Navy)
ROI	Report of Investigation
ROII	Report of Investigation Inquiry
SAF/IGQ	Secretary of the Air Force/ Inspector General
SAIG-AC	Office symbol used for OTIG and USAIGA
SAIG-IN	Office symbol used for OTIG and USAIGA
SAO	Security Assistance Office
SAV	Site Assistance Visit
SGM	Sergeant Major (Army)
SIPR	Secure Internet Protocol Router
SJA	Staff Judge Advocate
SNCO	Staff Non-commissioned officer
SOI	Senior Official Investigation
SOP	Standard operating procedures
SPP	State Partnership Program
TAIG	Temporary Assistant Inspector General
TDY	Temporary Duty
TIG	The Inspector General
TSC	Theater Security Cooperation
USAIGA	US Army Inspector General Agency
UCMJ	Uniform Code of Military Justice
UCP	Unified Command Plan
UJTL	Universal Joint Task List
USAID	U.S. Agency for International Development
U.S.C.	United States Code

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this Manual.

AIG. Personal staff officers, commissioned warrant officers or staff non-commissioned officers/chief petty officers who are responsible for assisting the Joint Command and Deputy Joint Command Inspectors General in all functions performed within the Joint IG office or staff.

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. The IG refines allegations based upon evidence gathered during the course of an investigation or inquiry. The findings resulting from an inquiry or investigation are expressed as follows:

substantiated allegation. An allegation in which the preponderance of credible evidence leads to a conclusion that a violation of a law, regulation, or accepted standard occurred.

not substantiated allegation. An allegation in which the preponderance of credible evidence leads to a conclusion that a violation of a law, regulation, or other accepted standard did not occur.

assistance. The process of receiving, inquiring into, recording, and responding to complaints or requests either brought directly to the Joint IG or referred to the Joint IG 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.

command products. The term is a generic reference to the reports generated by command investigations or inquiries.

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.

DJCIIG. Personal staff officer responsible for assisting the Joint Command IG in leading and overseeing the Joint IG staff or office.

Directing Authority. Any DoD official who has the authority to direct the conduct of an IG investigation or inspection is a directing authority. Within the Joint communities, the Directing Authorities are the Secretary of Defense (SECDEF); the Director Joint Staff/Joint Staff IG; Combatant Commanders; and Joint Commanders. Joint Commanders who are authorized IGs on their staffs may direct IG investigations and inspections within their commands. The SECDEF, Director of the Joint Staff, Joint Staff IG and COCOM Commanders may direct IG investigations and inspections within subordinate commands as necessary. Joint Command Inspectors General may direct inspections and investigational inquiries but only the Commander has the authority to direct an investigation.

IG records. Any written or recorded Joint IG work product created during the course of an inquiry, investigation or inspection to include; documents, case notes, files, electronic files, digital/tape recordings, video recordings, photos and working papers.

inspections. A process that evaluates, reviews, studies, and/or analyzes the programs and activities of a Department/Agency for the purposes of providing information to managers for decision making; making recommendations for improvements to programs, policies, or procedures; and identifying where administrative action may be necessary. The term “inspector” is used generically to refer to the individual conducting such work.

Investigating Officer. A Joint IG assigned the responsibility to conduct an IG investigation.

investigation. An investigation is a 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. IG investigations normally address allegations of wrongdoing by an individual and are authorized by written directives. IG investigations involve the systematic collection and examination of evidence that consists of testimony; documents; and, in some cases, physical evidence. Joint IGs report the results using the Report of Investigation (ROI) format addressed in the Joint IG Investigations Guide.

IG investigations are characterized by:

An investigation directive issued by the commander providing written authority to examine the issues or allegations in question.

A process providing a road map of how to proceed. These steps standardize procedures, protect individual rights, ensure proper command notifications, and protect the confidentiality of individuals and the IG system.

A format for documenting the results in the form of a Report of Investigation (ROI).

investigative inquiry. An investigative inquiry is an informal fact-finding process to gather information needed to address allegations of impropriety against an individual that can accomplish the same objectives as an IG investigation. Joint IGs normally use this investigative process when the involvement of the directing authority is not foreseen. However, this fact does not preclude directing authorities from directing an investigative inquiry. Joint Command IGs typically direct the investigative inquiry and provide recommendations to their commanders or to subordinate commanders as appropriate.

IGs conduct investigative inquiries to gather information needed to respond to a request for assistance or resolve allegations or issues concerning alleged misconduct on the part of an individual(s). An IG investigative inquiry may be necessary when investigative techniques are appropriate but circumstances do not warrant an IG investigation. An investigative inquiry has no requirement for a written directive from the commander. You may employ investigation techniques (for example, sworn and recorded testimony) when conducting investigative inquiries. These techniques enhance the thoroughness of the fact-finding process. Joint IGs report the results using the Report of Investigative Inquiry (ROI) format addressed in Chapter 9 of this guide.

Investigation versus Investigative Inquiry

- Investigations are more formal and require a directive from the commander
- Investigative Inquiries are informal and do not require a directive
- Both are thorough
- Both are fair and impartial
- Both support a decision
- Both are properly documented
- Investigation recommendations – a Joint IG makes recommendations to the Directing Authority if requested
- Investigative Inquiry recommendations – a Joint IG may make recommendations to subordinate commanders and / or the Directing Authority

Joint IGs frequently conduct investigative inquiries in response to allegations of impropriety. They conduct investigations less frequently. Both forms of fact-finding have the common characteristics of fairness, impartiality, confidentiality, and thoroughness.

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.

JCIG. A personal staff officer responsible to the commander for executing the Joint IG system within the command.

JIGAP. Refers to the seven-step process used to resolve issues and allegations.

Joint IGAR. 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 may record this information on JS Form 157, Joint Inspector General Action Request or the appropriate local form.

Joint IG. Joint IGs are officers, non-commissioned officers, and civilians from the Army, Navy, Marines and Coast Guard who are assigned to duty as an IG in a Joint command, base, activity or Combatant Command (Joint Task Force and other unique Joint organizations).

LIG. Commissioned officers appointed to this additional, but temporary duty, by the Joint commander based upon a recommendation by the JCIG.

Ool. 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 Ool must gather all pertinent information and submit the completed case to the office of record for final disposition.

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.

preponderance. Defined as superiority of weight when evaluating evidence in an investigation. The weight of the evidence is not determined by the number of witnesses or volume of the exhibits but by considering all the evidence and evaluating such factors as the witness's demeanor, opportunity for knowledge, information possessed, ability to recall and relate events and other indications of veracity.

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.

referral memorandum. A memorandum used by Joint Staff or COCOM IGs to refer Joint IGARs to field IGs.

ROI/ROII. Report of Investigation or Inquiry is a written report used by IGs to address allegations, issues, or adverse conditions to provide the Directing Authority a sound basis for decisions. The Directing Authority approves the ROI.

resolution process. The process by which Joint IGs resolve Joint Inspector General Action Requests (Joint IGARs).

request for assistance. Matters presented to IGs by individuals who are seeking information, advice, or assistance.

requester. A person who asks for IG help in resolving an issue.

senior official. Defined in DoDD 5505.6.

status. The component of which a person is a part of for pay purposes (such as; Active Duty, Guard / Reserve, retired, etc.).

systemic issue. A failure of an established process to function as designed; does not entail an allegation of impropriety against an individual.

TAIG. Personnel not permanently assigned to the JCIG office but are temporarily serving as subject matter experts (SME) or augmentees for a limited period of time or for a specified purpose.

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.

Appendix B

References

1. **Purpose:** This section lists the references that apply directly or indirectly to the Joint IG Concept and System Guide.
2. **Department of Defense (DoD) Directives and Instructions:** The following DoD policy documents apply to the Joint IG system:
 - a. DoD Directive 1401.03, "DoD Nonappropriated Fund Instrumentality (NAFI) Employee Whistleblower Protection"
 - b. DoD Directive 2311.01E, "DoD Law of War Program"
 - c. DoD Directive 5100.3, "Support of the Headquarters of Combatant and Subordinate Joint Commands"
 - d. DoD Directive 5106.04, "Combatant Command Inspectors General"
 - e. DoD Instruction 5106.05, "Combatant Command Inspectors General -- Implementing Procedures"
 - f. DoD 5240.1-R, "Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons"
 - g. DoD Directive 5505.6, "Investigations of Allegations Against Senior Officials of the Department of Defense"
 - h. DoD Directive 6490.1, "Mental Health Evaluations of Members of the Armed Forces"
 - i. DoD Instruction 6490.4, "Requirements for Mental Health Evaluations of Members of the Armed Forces"
 - j. DoD Directive 7050.06, "Military Whistleblower Protection"
 - k. DoD Directive 5015.2, "Department of Defense Records Management Program"
 - l. DoD Instruction 7050.2, "Access to Records and Information by the Inspector General, Department of Defense"
 - m. DoD 5400.11-R, "Department of Defense Privacy Program Regulation"
 - n. DoD 6025.18-R, "DoD Health Privacy Regulation"
 - o. DoD 5015.2-STD, "Design Criteria Standard for Electronic Records Management Software Applications"

p. DoD 5025.1-M, "DoD Directives System Procedures"

3. Joint Staff Policy and Doctrinal Publications: The following Joint Staff policy and doctrinal publications apply to the Joint IG system:

a. Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 5901.01B, "Joint Staff Inspector General Responsibilities, Procedures, and Oversight Functions"

b. CJCSI 5760.01A, "Records Management Policy for the Joint Staff and Combatant Commands Volumes 1 & 2"

c. Joint Staff Manual 5711.01D, "Joint Staff Correspondence Preparation"

d. Joint Publication 1-0, "Personnel Support to Joint Operations"

e. Joint Publication 3-33, "Joint Task Force Headquarters"

4. Service Policy and Doctrinal Publications: The following Service-specific policy and doctrinal publications provide insight into the rules and doctrine that will assist Joint IGs in the conduct of their duties:

a. Army:

(1) Army Regulation 20-1, "Inspector General Activities and Procedures"

(2) Army Regulation 1-201, "Army Inspection Policy"

b. Navy:

(1) SECNAV Instruction 5430.57G, "Mission and Functions of the Naval Inspector General"

(2) SECNAV Instruction 5800.12B, "Investigations of Allegations Against Senior Officials of the Department of the Navy"

(3) Department of Navy M-5210.1, "Records Management Manual"

c. U.S. Marine Corps:

(1) Marine Corps Order (MCO) 5430.1, "Marine Corps Inspector General Program"

d. U.S. Air Force:

(1) Air Force Instruction 90-201, "Inspector General Activities"

(2) Air Force Instruction 90-301, "Inspector General Complaints Resolution"

5. Other Guidelines or Standards: The following documents represent Federal or other guidelines that apply to the Joint IG system:

a. "Quality Standards for Federal Offices of Inspectors General," President's Council on Integrity and Efficiency

b. "Quality Standards for Inspections," President's Council on Integrity and Efficiency

c. "Quality Standards for Investigations," President's Council on Integrity and Efficiency

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