



MARINE CORPS
INSPECTOR GENERAL PROGRAM
CONCEPTS AND SYSTEMS GUIDE

Inspector General of the Marine Corps
FOB 2 Navy Annex
Washington, DC 20380-1775



INSPECTOR GENERAL
OF THE MARINE CORPS

Marine Corps
Inspector General Program
Concept and System Guide

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This Guide has been approved by the IGMC

A handwritten signature in black ink, appearing to read "K. J. Lee". The signature is fluid and cursive, with the first letters of each name being capitalized and prominent.

BGen K. J. LEE

Introduction

The Marine Corps Inspector General Program Concept and System Guide

1. **Purpose:** This guide provides a brief history of the Inspector General of the Marine Corps (IGMC) and outlines the Marine Corps Inspector General Program (IGP) concept and system as it applies to the IGMC and Command Inspectors General (CIG).
2. **The IGP:** The Marine Corps Inspector General Program Concept and System Guide represents a common approach to IG work within the Marine Corps. This system provides all IGs with an established, well-defined program with clear policy guidelines and doctrinal procedures to facilitate the execution of the five IG functions: Inspections, Assistance, Investigations, Intelligence Oversight, and Teaching and Training. This system further defines the IG's role and responsibilities within Marine Corps organizations as well as the specific capabilities an IG system can bring to the command's readiness, warfighting, and mission capabilities. Although this guide addresses specific policy rules regarding the IG confidentiality, use of IG records, and other key aspects of the system that are prescriptive in nature, the doctrinal procedures contained in the companion guides on Inspections, Assistance, Investigations, and Intelligence Oversight are authoritative in nature, require judgment in application, and are non-binding. This guide represents a combination of the prescriptive aspects of the IGP and the doctrinal aspects of an IG's role and responsibilities within that system. IG policy -- the prescriptive aspects of the IG system -- appears in MCO 5430.1, Marine Corps Inspector General Program and SECNAVINST 5430.57G, Mission and Functions of the Naval Inspector General.
3. **Questions and Comments:** For questions or comments concerning this guide, please contact the Deputy Inspector General (DIG), Office of the IGMC.

The Marine Corps Inspector General Program Concept and System Guide

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Chapter 1

History of the Marine Corps Inspector General Function

1. **Purpose:** This chapter traces the origin and development of the inspector general (IG) function within the Marine Corps.
2. **History of the IG:** To fully appreciate our current Marine Corps Inspector General Program (IGP), it is important to have some knowledge of the historical growth and development of the inspector general function. The history of the IG is discussed in the following sections:

Section 1-1 – 1775 - 1820

Section 1-2 – 1821 - 1902

Section 1-3 – 1903 - 1944

Section 1-4 – 1945 - 1985

Section 1-5 – 1986 - Present

Section 1-1

1775 - 1820

1. **Purpose:** This section introduces the history of the Inspector General (IG) function during the period 1775 - 1820.
2. The Continental Congress resolved on 10 November 1775 to establish what is now the United States Marine Corps. During the Revolutionary War the Marine Corps was very small and composed mostly of Marines assigned to ships detachments. The Marines were primarily under the control of the Navy ship's captain. Major Samuel Nicholas, our first Commandant, had an austere staff and was unable to affect any centralized inspection program. By 1785 the last U. S. Navy ship was sold and along with it the last active duty Marine, Sergeant Murray, was released from service. This was the close of the Marine Corps' first historical chapter.
3. On 11 July 1798, the Marine Corps was reborn when Congress passed an act for establishing a Marine Corps. The next day William W. Burrows assumed the office as Major Commandant. Under Burrows, Headquarters Marine Corps (HQMC) only exercised minimal supervision. Actual inspecting was done by commanding officers of the various detachments.
4. On 3 March 1817, Lieutenant Colonel Commandant Franklin Wharton appointed Captain Samuel Miller as the first Adjutant and Inspector in the history of the Corps. Upon the death of Wharton then Brevet Major Miller served temporarily as acting Commandant from 2 – 15 September 1818.

Section 1-2

1821 - 1902

1. **Purpose:** This section introduces the history of the inspector general (IG) function during the period 1821 - 1902.
2. Shortly after assuming the office of Commandant, Lieutenant Colonel Commandant Archibald Henderson had to deal with a circular from the Board of Navy Commissioners noting that various complaints had been made that Marines at Navy Yards were not organized in a way as to afford proper protection of public property and ships. Henderson accepted the criticism and took action to correct the abuses:
 - a. In 1821, Henderson initiated the practice of an annual inspection of Marine Corps posts by the Commandant. There have been some lapses, due mainly to wars, and because of the chronic shortage of funds, but the institution of an annual inspection has survived to this day.
 - b. Under Henderson, the duties of the Adjutant and Inspector were codified. Included in the Adjutant and Inspector's duties were the following: Attend all parades at headquarters; inspect the arms, equipment, and military appearance of the troops at headquarters; and inspect the guards at Navy Yards upon the order of the Commandant.
3. Between 1836 and 1842, the annual inspections were interrupted as a result of the Marine Corps' participation in the Seminole Indian War. The annual inspections were resumed in 1843.
4. In 1843, Lieutenant Colonel Miller (formerly served as Adjutant and Inspector) petitioned the Secretary of the Navy, George Bancroft to establish the Office of Inspector General of Marines modeled on the Army. The Inspector General would be completely responsible for keeping the Secretary of the Navy and the Commandant posted on the condition of the Corps. Secretary Bancroft passed the matter to Brevet Brigadier General Henderson for his consideration. Henderson rejected the idea on the bases that to assign a full time inspector general to an organization as small as the Marine Corps would be "sheer waste."
5. By 1876, the Adjutant and Inspector was making an annual tour of the major Marine Corps installations and taking over more of the actual inspecting from the Commandant. During that period the principal areas the Adjutant and Inspector addressed were waste and training throughout the Corps. In 1883, the Adjutant and Inspector, Major Augustus S. Nicholson was directed to carry out the Secretary of the Navy's order to inventory and inspect all furniture being used by the Corps.
6. During Major Nicholson's tenure as Adjutant and Inspector the office adopted a uniform "Inspection Report" to insure that all assistants in the department were looking for the same things. The form was divided into the following major sections: Report of Troops (strength and disposition); Drills and Target Practice; Barracks and Quarters, Guard Houses, etc.; Police of Post, Water Supply, Kitchens, etc.; Quartermaster's Department; Medical Department; and General Remarks.

7. By 1893, the two page Inspection Report had grown to 27 pages with 26 individual topics.

Section 1-3

1903 - 1944

1. **Purpose:** This section introduces the history of the inspector general (IG) function during the period 1903 - 1944.
2. To bring uniformity to the Corps the decision was made to establish Assistant Adjutants and Inspectors in other locations.
 - a. In 1903, an office was established in San Francisco which had responsibility for the West Coast, Hawaii, and Alaska.
 - b. In 1904, a Far East office was established in Manila which had responsibility for Guam, China, and the Philippines.
3. In 1910, four Inspection districts were created: The Philippines Inspection district at Manila, the Pacific Coast district at San Francisco, the South Atlantic district at Norfolk and the North Atlantic district at Philadelphia. Under this new system, the Marine Corps worked in close cooperation with the Navy. Within the continental United States and in the territories of Hawaii and Alaska, inspections of Marine Corps stations and detachments were so scheduled by the Commandant as to coincide with inspections made by the Navy's Board of Inspection for Shore Stations.
4. In 1911, the South Atlantic and North Atlantic districts were closed and inspections for the East Coast of the United States, Guantanamo, and Panama were handled from HQMC.
5. In 1913 Navy Regulations provided that the Commandant could order the Adjutant and Inspector to conduct inspections and investigations. Recruiting was also added to the responsibilities of the Adjutant and Inspector.
6. During World War I the magnitude of the war, made compliance with the inspection program practically impossible. However, by the spring of 1918, the Adjutant and Inspector was once more conducting inspections.
7. On 1 October 1935, Major General Commandant John H. Russell decreed that future inspection of posts and all activities except reserve and recruiting would be made by an inspection board appointed by the Commandant. This order remained in effect until 1942. The turbulence of World War II disrupted the peace time inspection program.
8. In May 1943 a new Personnel Department was created by merging the old division of Personnel, the Division of Reserve, and the Division of Recruiting with the Adjutant and Inspector's Department. With the demise of the Adjutant and Inspector, someone had to shoulder the burden of inspections. The Commandant, Lieutenant General Holcomb, reasoned that since three-fourths of the Corps was assigned to the Fleet Marine Force, the best temporary solution was to create the Post of Inspector General, Fleet Marine Force as a stop-gap measure.

Section 1-4

1945 - 1985

1. **Purpose:** This section introduces the history of the inspector general (IG) function during the period 1945 - 1985.
2. On 14 August 1945, the Inspection Division headed by the Inspector General of the Marine Corps was established at HQMC. The purpose of the new agency was to assist the Commandant in improving the "administration, efficiency, and economy of the Marine Corps." The Inspector General would achieve this by making such inspections, investigations, and reports as may be directed by the Commandant; and by assisting commanders and other members and employees of the Marine Corps in the performance of their duties, supplying information when appropriate, and suggesting to them ways and means of improving conditions.
 - a. The Inspector General had to insure that at least one inspection be made during each fiscal year to all commands, posts, and stations including those under the Department of the Pacific as well as aviation facilities.
 - b. Exempt were Fleet Marine Force units beyond the continental limits of the United States and all detachments afloat.
 - c. The Inspection Division was to "unearth complaints, especially from men in confinement, investigate, and make recommendations to correct any unwholesome situation."
 - d. The eyes of the Inspector General, as far as nonappropriated funds were concerned, were the area auditors. These officers were placed at the larger posts where the handling of such funds had become a complicated and time-consuming task.
3. The duties of the Inspector General were first spelled out in the Marine Corps Manual of 1949.
4. A greater degree of responsibility was placed in the hands of wing and division commanders. In fact, an officer, usually a colonel, had been assigned the post of division Inspector since 1942. A similar billet was later created on brigade and wing special staffs.
5. By the autumn of 1952, activities of the Inspection Division had been clearly defined:
 - a. In general the office operated from HQMC, except for a section under the operational control of the Department of the Pacific.
 - b. Area auditors, field representatives of the Inspector General, would be placed as needed at the various posts and stations.
 - c. In the field of investigations, the head of a department or division at HQMC could now request for an inquiry by asking the Commandant to refer the particular

problem to the Inspection Division. All investigations were to be conducted according to the provisions of the Manual of the Office of Naval Inspector General.

6. This organizational structure remained basically in effect into the 1980's with only minimal changes. The one exception was the Area Auditors who eventually came under the control of the Fiscal Director at HQMC.

Section 1-5

1986 - Present

1. **Purpose:** This section introduces the history of the inspector general (IG) function during the period 1986 - Present.
2. The Goldwater/Nichols, Department of Defense Reorganization Act of 1986, codified in Title 10, U.S.C., brought many changes to the Inspector General Division. The Act provided for the following:
 - a. Moved the function of the military Inspector General into the Office of the Secretary of the Navy;
 - b. directed that no other office or entity within OPNAV or HQMC could be established to conduct Inspector General functions; and
 - c. directed the military Inspectors General to cooperate fully with the Department of Defense, Inspector General.
3. Department of the Navy action in response to the Act was as follows:
 - a. Published SECNAV Instruction 5430.57E which establishes the mission and 21 functions of the Office of the Naval Inspector General.
 - b. Created the Office of the Deputy Naval Inspector General for Marine Corps Matters.
 - c. Established credentialed investigators with the title Assistant Inspector General for Investigations.
4. Marine Corps action in response to the ACT was as follows:
 - a. During 1989 effected a merger of the Inspector General Division into the Office of the Naval Inspector General.
 - b. Adopted the inspector general mission and functions contained in SECNAV Instruction 5430.57E.
 - c. The Inspector General of the Marine Corps adopted the additional title as Deputy Naval Inspector General for Marine Corps Matters.
 - d. The Deputy Naval Inspector General for Marine Corps Matters reports directly to the Secretary of the Navy concerning Marine Corps Matters.
 - e. The Deputy Naval Inspector General for Marine Corps Matters provides inspector general support to the Commandant of the Marine Corps.

f. The Office of the Inspector General of the Marine Corps reorganized internally to better perform the broadened mission and functions required of the Deputy Naval Inspector General for Marine Corps Matters.

5. In 1990, the Commandant of the Marine Corps, General Alfred M. Gray, Jr., tasked the Inspector General of the Marine Corps with responsibility for looking into and reporting on readiness issues within the Marine Corps. Accordingly the Office of the Inspector General of the Marine Corps reorganized for the second time. The organizational structure finally took on its current form:

a. Inspector General and personal staff composed of the: Deputy Inspector General, Sergeant Major, Staff Assistant, and Counsel

b. Administration Support Division

c. Assistance and Investigations Division

d. Inspection Division

e. Readiness Division

f. Intelligence Oversight Division

6. Significant changes in inspector general operations subsequent to the Act include:

a. Reduction in emphasis and scale of compliance inspections – Inspections Division

b. Increased utilization of systemic inspections and fact finding visits – Readiness Division

c. Development of Fraud, Waste, Abuse, and Mismanagement programs – Assistance and Investigations Division

d. Incorporation of the intelligence oversight function

7. In 1998, the Inspector General of the Marine Corps, Assistance and Investigations Manual was first published. Modifications were published in 2004 and again in 2008.

8. In 2006, Marine Corps order 5430.1 established the Marine Corps Inspector General Program which provided the following:

a. Identified the Deputy Naval Inspector General for Marine Corps Matters as also the Inspector General of the Marine Corps.

b. Established the Inspector General of the Marine Corps as the program manager.

c. Created the special staff position of Command Inspector General in all commands commanded by a general officer.

- d. Established the mission and functions for Command Inspectors General
- e. Established the requirement for Command Inspectors General to cooperate fully with the Inspector General of the Marine Corps

Chapter 2

Inspector General Relationships

1. **Purpose:** This chapter describes Inspector General (IG) relationships internal and external to the Inspector General Program (IGP).

2. **IG Relationships:** To fully understand the IGP, it is important to understand IG relationships. IG relationships are discussed in the following sections:

Section 2-1 – Department of Defense Inspector General

Section 2-2 – Naval Inspector General

Section 2-3 – Deputy Naval Inspector General for Marine Corps Matters

Section 2-4 – Marine Corps, Command Inspectors General

Section 2-1

Department of Defense Inspector General

1. **Purpose:** This section introduces the Department of Defense Inspector General (DoDIG) and explains the DoDIGs relationship within the DoD IG hierarchy.
2. **Inspector General Act of 1978:**
 - a. The Inspector General Act of 1978 (Public Law 95-452), codified in Appendix 3, Title 5, U.S. Code, established Inspectors General (IGs) for 12 Executive Departments, Administrations, and Agencies.
 - b. In 1982 the Act was amended to include an IG for the Department of Defense (DoDIG).
 - c. All IGs established by the Act are known as “statutory” IGs. Statutory IGs are appointed by the President with the advice and consent of the Senate.
3. **Goldwater/Nichols DoD Reorganization Act of 1986:** The Goldwater/Nichols DoD Reorganization Act of 1986 (Public Law 99-433 moved the DoDIG into the Office of the Secretary of Defense (SECDEF). All personnel within the DoD are required to cooperate fully with personnel of the Office of the SECDEF.
4. **DoDIG Proponent:** The DoDIG is the DoD lead for the following:
 - a. Defense Hotline Program (DoD Instruction 7050.01)
 - b. Investigations of Allegations Against Senior Officials of the Department of Defense (DoD Directive 5505.06)
 - c. Military Whistleblower Protection (DoD Directive 7050.06)
 - d. Mental Health Evaluations of Members of the Armed Forces (DoD Directive 6490.1)

Section 2-2

Naval Inspector General

1. **Purpose:** This section introduces the Naval Inspector General (NAVINSGEN) and explains the NAVINSGEN's relationship within the DoD IG hierarchy.
2. **Military Inspector Generals:** The military IGs of the Army and Navy were both codified in Title 10, U.S.C. as early as 1958. The military IGs in the Air Force and Marine Corps were both established by service regulations. Historically, the military IGs were primarily focused on the inspection function.
3. **Goldwater/Nichols DoD Reorganization Act of 1986:** The Goldwater/Nichols DoD Reorganization Act of 1986 (Public Law 99-433 directed that the military IG function would be located within the Office of the Military Secretaries. The Act also expanded the role and functions of the military IGs.
 - a. The Office of the NAVINSGEN was reestablished within the Office of SECNAV, 10 U.S.C §§ 5014, 5020 .
 - b. The Office of SECNAV has sole responsibility within the Department of the Navy (DON) for the IG function.
 - c. The Chief of Naval Operations (CNO) and Commandant of the Marine Corps (CMC) are not authorized to duplicate the IG function within their respective Services.
 - d. The SECNAV will provide the CNO and CMC the IG support necessary to perform their duties and responsibilities.
4. **Title 10, Section 5020, NAVINSGEN:** The duties of the NAVINSGEN require that the NAVINSGEN cooperate fully with the DoDIG in connection with the performance of any duty or function by the DoDIG under the Inspector General Act of 1978 (5 App. U.S.C. 3) regarding the DON, thus expanding the role and functions of the NAVINSGEN.
5. **Mission and Functions of the NAVINSGEN:** The mission and functions of the NAVINSGEN are established in SECNAVINST 5430.57G. The NAVINSGEN is the senior investigative official in the DON and the principal advisor to the SECNAV, CNO, and CMC on all matters concerning inspections, investigations, and audit follow-up.

Section 2-3

Deputy Naval Inspector General for Marine Corps Matters

1. **Purpose:** This section introduces the Deputy Naval Inspector General for Marine Corps Matters (DNIGMC) and explains the DNIGMC's relationship within the DON IG hierarchy.
2. **Inspector General of the Marine Corps:** The Marine Corps has a long history of inspecting Marine Corps organizations. Over the years, this function evolved into the Office of the Inspector General of the Marine Corps (IGMC).
3. **Goldwater/Nichols DoD Reorganization Act of 1986:** The Goldwater/Nichols DoD Reorganization Act of 1986 (Public Law 99-433 directed that the military IG function would be located within the Office of the Military Secretaries. The Act also expanded the role and functions of the military IGs.
 - a. The IGMC was merged into the Office of the NAVINSGEN.
 - b. The Office of the NAVINSGEN was reestablished within the Office of SECNAV.
 - c. The Office of SECNAV has sole responsibility within the DON for the IG function.
 - d. The Chief of Naval Operations (CNO) and Commandant of the Marine Corps (CMC) are not authorized to duplicate the IG function within their respective Services.
 - e. The SECNAV will provide the CNO and CMC the IG support necessary to perform their duties and responsibilities.
4. **Mission and Functions of the NAVINSGEN:** The mission and functions of the NAVINSGEN are established in SECNAVINST 5430.57G.
 - a. The NAVINSGEN is the senior investigative official in the DON and the principal advisor to the SECNAV, CNO, and CMC on all matters concerning inspections, investigations, and audit follow-up.
 - b. To support CMC, SECNAV established the DNIGMC as the senior investigative official within the Marine Corps and the principal Marine Corps advisor to the CMC on all matters concerning inspections and investigations.
 - c. The DNIGMC shall direct performance of the NAVINSGEN mission and function as it applies to the Marine Corps.
 - d. The DNIGMC may communicate directly with the SECNAV concerning Marine Corps matters.
 - e. A Marine Corps Order will implement this Instruction within the Marine Corps.

Section 2-4

Marine Corps, Command Inspectors General

1. **Purpose:** This section introduces the Marine Corps, Command Inspectors General (CIGs) and explains the CIG's relationship within the Marine Corps Inspector General Program (IGP) hierarchy.
2. **Command Inspectors:** The Marine Corps has a long history of commanders detailing officers to inspect their organizations. Over the years, officers performing this function became commonly known as command inspectors.
3. **Goldwater/Nichols DoD Reorganization Act of 1986:** The Goldwater/Nichols DoD Reorganization Act of 1986 (Public Law 99-433) directed that the military IG function would be located within the Office of the Military Secretaries. The Act also expanded the role and functions of the military IGs.
4. **Mission and Functions of the NAVINSGEN:** The mission and functions of the NAVINSGEN are established in SECNAVINST 5430.57G.
 - a. To support the Commandant of the Marine Corps (CMC), the Secretary of the Navy (SECNAV) established the Deputy Naval Inspector General for Marine Corps Matters (DNIGMC) as the senior investigative official within the Marine Corps and the principal Marine Corps advisor to the CMC on all matters concerning inspections and investigations.
 - b. The DNIGMC shall direct performance of the NAVINSGEN mission and function as it applies to the Marine Corps.
 - c. The DNIGMC may communicate directly with the SECNAV concerning Marine Corps matters.
 - d. A Marine Corps Order will implement this Instruction within the Marine Corps.
5. **Marine Corps Inspector General Program:** Marine Corps Order 5430.1 established the Marine Corps Inspector General Program (IGP). MCO 5430.1 does the following:
 - a. Satisfies the Title 10 limitation of only one military IG within the DON by establishing the IGP under the DNIGMC.
 - b. Identifies the DNIGMC as the Inspector General of the Marine Corps (IGMC) for internal Marine Corps purposes.
 - c. Creates the positions of CIG within all Marine Corps organizations commanded by a general officer.
 - d. Recognizes the relationship of CIGs as working for their commanders, but acting as an extension of the IG function emanating from the Office of the SECNAV through the NAVINSGEN via the DNIGMC / IGMC.

Chapter 3

The Inspector General Program

1. **Purpose:** This chapter describes the Inspector General Program (IGP), its proponent, and functions.
2. **The IGP:** The IGP is defined by its guiding philosophy, the proponent, the overall concept, the five IG functions, and the laws and regulations bearing on the execution of those five functions. This chapter includes six sections that address all of these topics and how they cohere to form a comprehensive, interrelated IGP that can enhance the readiness and warfighting capability of Marine Corps commands. Those sections are as follows

Section 3-1 - Proponent for the IGP

Section 3-2 - The IGP Concept and Philosophy

Section 3-3 - The IGP Functions

Section 3-4 - Statutory Authorities Impacting IGP

Section 3-5 - Responsibilities

Section 3-6 - Applicable References

Section 3-1

Proponent for the IGP

1. **Purpose:** This section describes the responsibilities of the proponent for the Inspector General Program (IGP).
2. **Proponent for the IGP:** The proponent for the IGP is the Deputy Naval Inspector General for Marine Corps Matters (DNIGMC) / Inspector General of the Marine Corps (IGMC). As proponent of the IGP, the DNIGMC / IGMC is responsible for the development of IG policy within the Marine Corps in the form of Marine Corps orders and procedural guides or manuals associated with executing the IG functions. Additionally, the IGMC will recommend notional manning levels and grade structures for command inspector general (CIG) offices. In fulfilling the role as proponent for the IGP, the IGMC will normally rely upon the advice and counsel of the IGMC staff and CIG's.
3. **Responsibilities of the Proponent:** The specific responsibilities of the DNIGMC / IGMC as proponent of the Marine Corps IGP are as follows:
 - a. Develop and maintain IGP policy in the form of MCO 5430.1, Marine Corps Inspector General Program.
 - b. Develop and maintain IGP procedures for executing the IG functions. These procedures will exist in the form of guides, manuals, or handbooks.
 - c. Coordinate with the Department of Defense, IG (DoDIG) and Naval Inspector General (NAVINSGEN) staffs to ensure that Marine Corps doctrinal information remains accurate and current.
 - d. Establish training guidelines for all IG personnel within the IGP concerning the IGP and its associated policy, doctrine, and procedures.
 - e. Train IGMC and CIG personnel on the IGP as required.
 - f. Establish, budget for, and resource periodic IGP seminars.
 - g. Provide guidance and support, as required, on the conduct and curriculum of the NAVINSGEN Inspector General Course.
 - h. Coordinate directly with -- and seek the counsel of -- the DoDIG and NAVINSGEN staffs on all matters impacting the IGP and its execution within the Marine Corps.
 - i. Maintain and safeguard the integrity of the IGP.
 - j. Monitor and report to the Secretary of the Navy and Commandant of the Marine Corps on the effectiveness of the IGP.
 - k. Serve as the functional proponent and manager for IGP knowledge distribution and information systems.

I. Disseminate information, innovative ideas, and lessons learned provided by serving CIGs.

Section 3-2

The IGP Concept and Philosophy

1. **Purpose:** This section describes the Inspector General Program (IGP) guiding philosophy and concept for the system.
2. **IGP Guiding Philosophy:** The guiding philosophy behind the IGP system is to enhance the **Readiness, Warfighting, and Mission Capabilities** of the Marine Corps. 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 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 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 Marine Corps and 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 and Investigations. 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, and Marines they support. Over 230 years later, the von Steuben Model has stood the test of time.

3. Definition of IGP Personnel: IGP personnel are officers, non-commissioned officers, and civilians who are assigned to duty with the office of the IGMC or with a command Inspector general (CIG) staff. Every command with a general officer has a CIG who leads an IG office that executes the IGP system on behalf of the command and the commander. CIGs are qualified to execute the IGP system once they have undergone a certification process.

4. IGP Concept: The IGP system is defined by its five functions of Inspections, Assistance, Investigations, Intelligence Oversight, and Teaching and Training, the last of which is embedded in the first four functions. CIGs serve their commands and the Marines, Sailors, and Civilians who comprise these commands by executing the six IG functions based upon the commander's vision, intent, goals, and command philosophy.

IGP personnel adhere to strict standards of integrity, objectivity, independence, professional judgment, and confidentiality in order to remain credible and effective -- standards embraced throughout the Department of the Navy and Department of Defense IG systems. The IGP system is effective only if IGs are credible and trusted by the supported population. If an IG is not trusted or lacks credibility, then the supported population will not accept IG assistance and is less likely to provide accurate, timely information that will allow the CIG or IG staff personnel to resolve -- and possibly prevent -- problem areas within the command.

The success of the IGP system within a particular organization depends strongly upon the commander and CIG relationship. The CIG is a member of the commander's special staff and is a key player in enabling the commander to organize and employ combat-ready forces to carry out missions assigned to the command. The CIG must have direct access to the commander and remain solely under the commander's control to avoid the perception of external influence. Personnel, budget, and operational matters that affect the CIG and the IG office must also remain under the direct control of the commander for the same reasons.

The CIG is the eyes, ears, voice, and conscience of the commander. The CIG extends the commander by looking into areas that might hinder the readiness and warfighting capability of the command. The CIG 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 CIG's loyalty rests with the overall command and not just with the commander.

The CIG is the commander's confidant -- one of the individuals with whom the commander can discuss, in complete trust, any aspect of the command in either a

peacetime or wartime environment. The CIG must inform the commander of IG observations, findings, and impressions on all aspects of the command. The commander has a responsibility to learn how the IGP system can enhance the command's readiness, warfighting, and mission capability and how best to use the CIG and the commander's IG office.

CIG's have no inherent authority to inspect or investigate without the commander's knowledge and approval. All inspections and investigations must be in line with the commander's guidance, goals, and philosophy. CIGs do not require the command's authority to provide assistance or engage in teaching-and-training activities.

CIG's provide IG support to the population represented by the command and within the commander's authority. However, CIGs may assist anyone -- to include foreign nationals -- on matters of interest either to the command or to the United States.

CIGs and the members of IG offices execute the five IGP functions within the limitations of the IGP tenet of confidentiality and the restrictions and limitations placed upon the use and release of IG records. Confidentiality -- although never guaranteed -- is critical because it ensures confidence in the IGP system, safeguards identities, and minimizes the fear of reprisal. However, an IG should never guarantee confidentiality because the records belong to the Commander, and he or she may be forced to overturn confidentiality for an unforeseen reason. And, as the one who is the custodian of IG records as well as the release authority for such documents, the Commander must carefully consider using such documents (Reports of Investigations, etc.) for adverse action due to the potentially negative effect such use could have on the IGP system.

Section 3-3

The IGP Functions

1. **Purpose:** This section describes the five Inspector General Program (IGP) functions.

2. **IGP Functions and Approach:** The IGP is composed of five specific functions that each IG must be able to perform on behalf of the commander, the command, and all military members and civilians within the organization. Three of the functions -- Inspections, Intelligence Oversight, and Teaching and Training -- are proactive in nature, which means they are designed to get ahead of problems areas and resolve them before they become larger issues. Assistance and Investigations are reactive by nature and depend upon complainants bringing issues or allegations of impropriety to the IG for action or resolution. Brief descriptions of each function and the IGP approach to that function are as follows:

a. **Inspections:** The fundamental purpose of inspections is to assess, assist, and enhance the ability of a unit to prepare for and to perform its assigned mission. The unit's mission shall be the focus of the inspection. Inspections will identify root causes of problems, particularly those beyond the capability of the commander to solve. The IGP inspection program is built upon five basic principles: inspections must be purposeful, coordinated, focused on feedback, instructive, and followed up. The three basic types of inspections are General Inspections, Special Inspections, and Follow-up Inspections:

General Inspection: This type of inspection is broad in scope and normally focuses on units. General Inspections focus on all aspects of a unit or organization's activities and functions. This type of inspection tends to be compliance-oriented to determine if the unit or organization is adhering to current policies and regulations. Compliance-oriented inspections will measure the readiness of organizations and their respective functions against established standards. The basic goal of a general Inspection is to assess the unit or organization's ability to accomplish its missions.

Special Inspection: This type of inspection focuses on a single topic such as a functional area, program, problem, or issue. Special Inspections typically take a systemic approach. A systemic approach examines issues on a larger scale associated with broad programs systems and functions, normally, involving multiple commands, crosses services lines, or involves Joint operations with Marine Corps units. The scope of the problem must be narrow, and the issue should affect several units or organizations. IGs use this type of inspection to follow leads (cross-walking) and to transfer problems and issues that are beyond the command's ability to fix to a higher headquarters for correction (hand-off).

Follow-up Inspection: The Follow-up Inspection may follow either a General or Special Inspection. Follow-up Inspections look at the effectiveness of corrective actions taken since the last inspection occurred. This type of inspection is also an inspection principle that many commanders often neglect. This type of inspection closes the inspection loop and ensures that the time and resources expended in an earlier inspection were put to good measure.

IGs must safeguard inspection reports from use in adverse actions; these reports must 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 an inspection should be increased combat effectiveness and efficiency.

b. **Assistance:** The purpose of IG Assistance is to resolve quickly personal issues for Marines, Sailors, Civilians, and Family members so the individual -- the complainant -- 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 help, information, or issues but not allegations of impropriety or wrongdoing. To remedy a problem, IGs may make phone calls; ask questions of functional experts; solicit helpful information from the appropriate organization or agency; or put the complainant in contact with the person, organization, or agency that can appropriately address the complainant's problem.

c. **Investigations:** An investigation is a fact-finding examination into allegations of impropriety by an individual or an adverse condition that affects the mission capability of a command. The CIG may investigate any violation of law, policy, or ethical standards, including, but not limited to, allegations of fraud, waste, abuse and mismanagement (FWAM). The CIG is also responsible for reporting to the IGMC allegations of statutory Whistleblower Reprisal and Improper Mental Health Referrals involving military members, civilians, non-appropriated fund employees, and contractors in accordance with established law and DoD policy (see Section 3-4) and be prepared to conduct an investigation if directed by the IGMC. The CIG will also report allegations against senior officials to the IGMC. Senior official investigations are conducted by the Department of Defense IG (DoDIG) or IGMC and are never appropriate for CIG action.

An IG investigation must meet four standards -- independence, accountability, completeness, and timeliness (IACT). Although sometimes difficult, the IG must be **independent** and impartial both in fact and appearance. The CIG 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 reader should understand the content of the report and come to the same conclusion as the investigator. In support of the investigative process, the 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 an 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 an IG investigation to substantiate or not substantiate allegations. Hotline investigations originating from the Department of Defense IG (DoDIG) or IGMC are administrative in nature and follow the same standards mentioned above. As such, the CIG will investigate criminal allegations by exception only. Depending on the circumstances, CIGs may refer allegations of criminal activity to the commander or the appropriate criminal investigative service (NCIS or CID).

d. **Intelligence Oversight:** IGs provide Intelligence Oversight of Intelligence Components (ICs) within their commands. This oversight includes the monitoring and proper reporting of Intelligence Oversight (IO) programs for their assigned ICs. IGs shall

inspect to ensure that ICs have established IO programs for ensuring that intelligence activities are in compliance with IO and other applicable regulations. In particular, DoD IC personnel are required to ensure that all intelligence activities that require the collection, retention, and dissemination of information about United States persons (USPER) are done in a manner consistent with Executive Order 12333, DoDD 5240.1, DoD 5240.1-R, and any military service implementing guidance on intelligence activities.

An IO program's focus is to prevent ICs from violating existing policies on gathering information on USPER without permission and / or authorization or conducting questionable activities. Reports of questionable activity will follow Procedure 15 reporting requirements as outlined in DoD 5240.1-R. This instruction applies to all DoD organizations that have U.S. military forces, DoD civilian, and DoD contractor personnel assigned, attached, or detailed to them who perform or support intelligence activities as defined by DoD 5240.1.

IGs will have access to all materials necessary to perform their assigned IO responsibilities in accordance with their respective security clearances. The command SJA should support the IG and G-2 as necessary to ensure compliance with IO requirements. This support includes, but is not limited to, interpretation of IO directives, legal counsel during investigations of questionable intelligence activities, and assistance in training personnel. IGs conducting IO Inspections will follow the IGP Inspections procedures with a different methodology that includes reviewing the IC's mission and measuring compliance of that mission; ensuring that required reports of questionable activity are completed and submitted within **five working days** of awareness to the IGMC; and ensuring that an IO training program is in place. CIGs will conduct inspections of their intelligence components at least once every 12 to 24 months.

e. **Teaching and Training:** The IGP Teaching and Training function is an integral and embedded part of the other IGP functions of Inspections, Readiness, Assistance, Investigations, and Intelligence Oversight. IGs possess a reservoir of experience and knowledge that can assist commanders in achieving and maintaining disciplined and combat-ready units. Through their example, IGs assist commanders in setting standards of behavior and appearance and pass on lessons learned to enable others to benefit from past experience.

IGs have a responsibility to train non-IGs on how the IGP system operates and on specific standards, responsibilities, processes, and systems related to non-IG activities. The effectiveness of the IG system is, to a great extent, a function of how receptive non-IGs are to IGs. Therefore, IGs must teach leaders and their Marines, Sailors, and Civilians how IGs contribute to mission accomplishment and search for opportunities to inform them of the IGP system's purpose, functions, methods, benefits, and constraints. Failure to explain the IGP system to commanders and others may result in commanders misusing -- or simply not using -- their IGs.

While inspecting, assisting, investigating, or conducting intelligence oversight assessments, IGs contribute to improving the command by Teaching and Training others in policy and procedures. During periods of organizational change and high operational pace, Marines, Sailors, Civilians and their leaders may lack a complete understanding of required standards and procedures. Since IGs are selected based on their experience, they possess valuable knowledge, experience, and insight that many non-IGs lack. An IG's knowledge increases through training, experience as an IG, and

the extensive research that IG duties require. IGs gain a broad perspective on the command that few others attain.

IGs incorporate Teaching and Training into all aspects of their duties. When IGs notice that inspected personnel do not know standards, they explain those standards and the reason those standards were established. Additionally, IGs pass on lessons learned and good ideas or benchmarks observed during other inspections or IG activities.

Section 3-4

Statutory Authorities Impacting IGP

1. **Purpose:** This section describes the various statutory authorities that have an impact on the Inspector General Program (IGP).

2. **IGP Functions and Approach:** The following statutory authorities are relevant to -- or somehow impact -- the IGP and its execution.

a. Executive Order 12333, United States Intelligence Activities, establishes procedures governing the oversight of military service intelligence components.

b. 5a USC "The Inspector General Act of 1978," as amended, 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, culminating 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. 5 USC 2302(b) (8) provides whistleblower protection for reprisal to appropriated fund employees as previously discussed above for members of the Armed Forces and non-appropriated fund (NAF) employees.

d. 10 U.S.C. 1034, as amended , extends authority to IGs within the military departments to grant whistleblower protection for reprisal allegations presented directly to them by service members.

e. 10 USC 2409(a) provides whistleblower protection coverage to contractor employees.

f. Public Law 102-484, Section 546, 23 October 1992, establishes prohibitions of the rights of service members referred by commanding officers for mental health evaluations in reprisal against whistleblowers.

Section 3-5

Responsibilities of Key Players within the IGP

1. **Purpose:** This section describes the specific responsibilities and functions of all individuals and organizations with a major role in the Inspector General Program (IGP).
2. **Inspector General of the Marine Corps (IGMC):** The IGMC is the proponent of the Marine Corps IGP, and his specific role and responsibilities are captured in Section 3-1. The IGMC is responsible to the Secretary of the Navy for all IG issues dealing Marine Corps matters. The IGMC is also responsible for providing IG support to the Commandant of the Marine Corps (CMC).
3. **Naval Inspector General (NAVINGEN):** By law, the IGMC is imbedded within the Office of the NAVINGEN. Pursuant to SECNAVINST 5430, Mission and Functions of the Naval Inspector General, the position of Deputy Naval Inspector General for Marine Corps Matters (DNIGMC) was established. As the DNIGMC, the IGMC has the authority to provide IG functional support for the Marine Corps. The NAVINGEN provides general guidance to the DNIGMC and support as required. The NAVINGEN provides part of the funding (“Blue Dollars”) for the DNIGMC primarily in the areas of civilian pay and travel.
4. **Commandant of the Marine Corps (CMC):** The CMC provides general guidance to the IGMC. In addition, CMC provides part of the funding (“Green Dollars”) to support the IGMC primarily in the areas of military personnel, office space, augmentation support, and support for special IG contingencies.
5. **Commanders with Command Inspectors General (CIG):** Commanders with a CIG provide oversight over all IG functions within the command.
 - a. Select the officer to serve as CIG.
 - b. Provide the resources necessary for the IG office to perform the IG functions in support of the command.
 - c. Learn and understand the IGP concept and system.
 - d. Educate the CIG on how best to apply the IGP to serve the command.
 - e. Avoid assigning duties to the CIG that may interfere with their status as fair and impartial fact-finders for the command.
 - f. Rate and evaluate the CIG.
 - g. Assume ownership of all IGP records within the command.
 - h. Serve as the release authority or initial denial authority for all IGP records within the Command.

Section 3-6

Applicable References

1. **Purpose:** This section lists the references that apply directly or indirectly to the IGP.

2. **Department of Defense (DoD) Directives and Instructions:**

a. DoD Directive 1401.3, Reprisal Protection for Nonappropriated Fund Instrumentality Employees / Applicants

b. DoD Directive 2311.01E, DoD Law of War Program

c. DoD 5240.1-R, Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons

d. DoD Directive 5505.6, Investigations of Allegations Against Senior Officials of the Department of Defense

e. DoD 5500.7-R, Joint Ethics Regulations

f. DoD Directive 6490.1, Mental Health Evaluations of Members of the Armed Forces

g. DoD Instruction 6490.4, Requirements for Mental Health Evaluations of Members of the Armed Forces

h. DoD Directive 7050.06, Military Whistleblower Protection

i. DoD Instruction 7050.01, Defense Hotline Program

j. DoD Instruction 7050.8, Defense Hotline Quality Assurance Review (QAR) Program

k. IGDG 7050.6, Guide to Investigating Reprisal and Improper Referrals for Mental Health Evaluations

3. **Department of the Navy (DON) Instructions:**

a. SECNAVINST 5370.5B, DON Hotline Program

b. SECNAVINST 5370.7C, Military Whistleblower Reprisal Protection

c. SECNAVINST 5430.57G, Mission and Functions of the Naval Inspector General

d. SECNAVINST 5430.92B, Assignment of Responsibilities to Counteract Acquisition Fraud Waste and Related Improprieties Within the DON

e. SECNAVINST 5800.12B, Allegations Against Senior Official of the DON

4. Marine Corps Orders and Policy Guides: The following Marine Corps specific policy and doctrinal publications directly relate to the IGP:

- a. MCO 1700.23F, Request Mast
- b. MCO 3800.2B, Oversight of Intelligence Activities
- c. MCO 5040.6H, Marine Corps Readiness Inspections and Assessments
- d. MCO 5370.8, Marine Corps Hotline Program
- e. MCO 5430.1, Marine Corps Inspector General Program
- f. NAVMC 1700.23F, Request Mast Procedures
- g. NAVMC 5040.6H, Marine Corps Readiness Inspections and Assessments
- h. Marine Corps Inspector General Program Inspections Guide
- i. Marine Corps Inspector General Program Assistance Guide
- j. Marine Corps Inspector General Program Investigations Guide
- k. Marine Corps Inspector General Program Intelligence and Oversight Guide

5. Other Guidelines or Standards: The following documents represent Federal or other guidelines that may apply to the IGP 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)

Chapter 4

Categories of Inspectors General

1. **Purpose:** This chapter describes the categories of IGs, their assignment and certification requirements, their personal and professional standards, and their authority.

2. **Categories of Inspector General Personnel:** IG personnel fall into specific categories that denote their responsibilities and duties within an IG staff section (or office). IG duty requires hand-picked personnel to serve as IGs as well as specialized training and certification. The sections in this chapter address the various categories of IG personnel, their certification requirements, and other aspects of IG duty. Those sections are as follows:

Section 4-1 - Categories of Inspector General Personnel

Section 4-2 - Assignment of Inspector General Personnel

Section 4-3 - Training and Certification of Inspector General Personnel

Section 4-4 - Personal and Professional Standards

Section 4-5 – Inspector General Authority

Section 4-1

Categories of Inspector General Personnel

1. **Purpose:** This section describes the various categories of inspector general (IG) personnel.
2. **Categories of IG personnel:** There are five separate categories of IG personnel.
 - a. The **Command Inspector General (CIG)** is a special staff officer responsible to the commander for executing the IGP system within the command. The CIG is responsible for leading and overseeing the IG staff (or office). The CIG should also be personally capable of leading and performing all IG functions. CIGs should be commissioned officers serving in the grades of colonel, lieutenant colonel or major. The grade should be consistent with the size and complexity of the command being served.
 - b. The **Deputy Command Inspector General (DCIG)** is responsible for assisting the CIG in leading and overseeing the IG staff (or office). The DCIG should also be personally capable of leading and performing all IG functions. DCIGs should be commissioned officers serving in the grades of lieutenant colonel, major or the civilian equivalents.
 - c. **Assistant Inspectors General (AIGs)** are responsible for assisting the CIG in all functions performed within the IG staff (or office). All AIGs should be capable of leading and performing all IG functions. AIGs may be commissioned officers serving in the grades of lieutenant colonel, major, or captain; staff non-commissioned officers; or government civilian employees serving in Pay Bands 2 or 3 or GS equivalent.
 - d. **Temporary Assistant Inspectors General (TAIGs)** are personnel not permanently assigned to the CIG office who are temporarily serving as subject-matter experts or augmentees for a limited period of time or for a specified purpose. TAIGs may be used to assist (not lead) in the execution of all IG functions -- except for the Assistance function. TAIGs may be commissioned officers, staff non-commissioned officers, government civilian employees, or government contractor employees.
 - e. **Liaison Inspectors General (LIGs)** are commissioned officers appointed to this additional -- but temporary -- duty by the commander based upon a recommendation from the CIG. LIGs assist a CIG's staff section with receiving IGARs in population areas for which the CIG has responsibility but from which the CIG and his or her staff section is often geographically separated. LIGs will only provide simple assistance and will not conduct investigations, serve on IG inspection teams, or perform duties in the office of a CIG. LIGs may not administer oaths or have access to the IG Network (IGNET) or the Online Database and Inspector Network (ODIN) (see Chapter 10). CIGs (or DCIGs) 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 conflict. The 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 and will identify the CIG charged with supervising the LIG's activities.

f. **Administrative Assistants** are personnel permanently assigned to the IG office who provide administrative assistance for the IG staff. They may not lead or perform any of the IG functions. Administrative Assistants may be enlisted personnel serving in the grades of staff sergeant, sergeant, corporal, lance corporal, or government civilian employees serving in Pay Bands 1 or 2 or GS equivalent.

Section 4-2

Assignment of Inspector General Personnel

1. **Purpose:** This section describes the locations and assignments of inspector general (IG) personnel.

2. **Assignment of IG Personnel:** IGs are typically assigned to commands that are commanded by general officers.

a. Each command should have a Command Inspector General (CIG) who reports directly to the Commander. The CIG command and reporting relationship may be delegated to a deputy commander but no lower.

b. Commander's assign personnel to the IG staff (or office) based on their qualifications and suitability to serve as in an IG position.

c. Each IG staff (or office) should have a staff comprising commissioned officers, non-commissioned officers and / or government civilians. The size of an IG office should be based on mission requirements and workload factors. The suggested personnel structure for an IG office staff is:

Command Inspector General (CIG) (x1)
Deputy Command Inspector General (DCIG) (x1)
Assistant Inspector General (AIG) (1 to 3)
Administrative Assistant (x1)

d. The recommended grade structure for the CIG is:

Major General & Lieutenant General commands = colonel (civilian, Pay Band 3 or GS equivalent, by exception)

Brigadier General commands = field grade officer (civilian, Pay Band 2 or 3, or GS equivalent, by exception)

e. The command's IG staff should be of a sufficient size to execute the IGP effectively in support of the command.

f. An assignment for an IG position should ideally be for three years, but should not be for less than two years.

Section 4-3

Training and Certification of Inspector General Personnel

1. **Purpose:** This section describes the training requirements for inspector general (IG) personnel and their overall certification requirements.
2. **The IGP Certification Process:** All IG personnel must successfully complete a certification process to serve in their capacity as an IG. The phases are as follows:
 - a. **Phase One: Approval.** The command must review and approve the IG nominee and / or selectee. Once approved -- and the command confirms assignment to the IG billet -- the individual may proceed to the IG Course for training.
 - b. **Phase Two: IG Course Completion.** All IG personnel should complete an approved IG Course within 90 days to qualify as an IG. CIGs should forward to the IGMC the names of individuals requiring the IG Course to register the IG candidate in the next available course. Approved nominees / selectees who fail the IG course will normally be returned to other duties within the commands.
3. The following courses are approved for IGP certification:
 - a. The Naval Inspector General Course
 - b. The Army Inspector General Course
 - c. The Air Force Inspector General Course
 - d. The Joint Inspector General Course (highly recommended for FMF CIGs)
 - e. Federal Law Enforcement Training Center (FLETC) Inspector General Course
4. **IG Sustainment Training:** Long-serving IGs -- such as civilians serving in CIG offices -- should consider attending an IG related course every year to ensure professional currency.

Section 4-4

Personal and Professional Standards

1. **Purpose:** This section describes the personal and professional standards for all personnel serving as inspector general (IG) personnel.
2. **Personal Standards for IG Personnel:** To protect those who seek assistance from the IG and to safeguard the integrity of the IGP, individuals performing IG duties must display moral attributes and personal traits that demonstrate adherence to ethical values. IG personnel 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 IG personnel 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 IG Personnel:** The success of the IGP 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, to include a wide variety of leadership and staff positions at various echelons of command. This type of background will ensure that all IG personnel have the knowledge and skills necessary to serve effectively as an IG.
4. **Lapses in Personal and Professional Judgment:** IG personnel who display lapses in professional or ethical judgment or who, by misbehavior or failure to adhere to IG policy, may be decertified as IGs and returned to other duties by the command. The commander may also relieve IG personnel for personal or professional conduct reasons.

Section 4-5

Inspector General Authority

1. **Purpose:** This section describes the authority held by each command inspector general (CIG) and the limitations therein.

2. **Inspector General Authority:** CIGs have certain inherent authorities and limitations. CIGs' authority is derived from the IGP and the commander. Section 5-3 expands further upon the CIG's sphere of activity and jurisdiction.

a. CIGs are responsible for supervising their IG offices but have no other authority outside the IGP. Additionally, IGs should not be assigned duties outside the IGP. Section 5-4 provides further guidance regarding duties to which CIGs should not be assigned.

b. CIGs have the inherent authority to conduct Intelligence Oversight Inspections, perform Assistance, or engage in Teaching and Training. Intelligence Oversight Inspections are required by Executive Order 12333, DoDD 5240.1, and DoD 5240.1-R. The Assistance function is designed to help resolve quickly personal issues for Marines, Sailors, and Civilians. The IG Teaching and Training function is an integral and embedded part of the other IG functions of Inspections, Assistance, Investigations, and Intelligence Oversight.

c. CIGs have no inherent authority to conduct inspections, other than Intelligence Oversight, or investigations without the commander's approval. As the eyes and ears of the commander, the commander must be aware of all IG inspections and investigations since the CIG performs these functions on his or her behalf. The commander may delegate to the CIG the authority to direct inspections and investigations as long as the commander requires the CIG to keep him or her informed of all such actions.

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

4. **IG Personnel Access to Information:** IG personnel 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 IGP functions. IG personnel who are denied access to records must first attempt to resolve the problem with the local commander before elevating the matter to the commander. When elevating the matter to the commander, the CIG should include location, date, 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. IG personnel must have the proper security clearance to obtain any classified information. Personnel bearing IG credentials shall be presumed to have a "need to

know” and may gain access to classified information and spaces. IG personnel shall be granted immediate, unrestricted access to all classified information and spaces within the command up to their respective clearance levels. CIGs will ensure the member of the IG staff conducting the inquiry, inspection, or investigation has the appropriate clearance.

b. IG personnel are not authorized access to material subject to the attorney-client privilege or any other legally recognized privilege. Command-SJA and Command Counsel communications are not subject to the attorney-client privilege, however, because the attorney represents the government, not the individuals in the command. Coordinate all access issues involving potentially privileged information with the SJA or Counsel.

c. IG personnel have access to sensitive medical information but must protect that information in accordance with the Health Insurance Portability and Accountability Act (Public Law 104-191). To ensure records are properly obtained, coordinate all access issues involving sensitive medical information with the SJA or Counsel.

d. IG personnel 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 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 commander.

e. IG personnel have no inherent authority to require non-governmental civilians to provide records or other material. Consult with the SJA or Counsel in cases where non-governmental civilians may be asked to provide testimony, records, or other material.

Chapter 5

The Role of the Command Inspector General

1. **Purpose:** This chapter describes the responsibilities of all command inspectors general (CIGs), their relationships with their commanders, their sphere of activity, and prohibited activity.

2. **The Role of the CIG:** The role of the CIG is defined by the CIG's responsibilities to the commander; the command; and the Marines, Sailors, and Civilians within the command. The CIG's role is further defined by specific prohibitions on non-IG duties, as well as the CIG's sphere of activity and inherent jurisdictional responsibilities with regard to the IGP functions. The most critical aspect of the CIG's role in the command is the special relationship the CIG shares with the commander -- a relationship that affects all members of the IG office. This chapter addresses the CIGs role in the following sections:

Section 5-1 - Responsibilities of the CIG

Section 5-2 - The Commander-CIG Relationship

Section 5-3 - IGP Sphere of Activity and Jurisdiction

Section 5-4 - Duty Restrictions and Prohibited Activity

Section 5-1

Responsibilities of the CIG

1. **Purpose:** This section describes the responsibilities common to all command inspectors general (CIGs).
2. **Responsibilities of a CIG:** A CIG's responsibility is to report on the economy, efficiency, discipline, morale, safety, training, systemic issues, readiness of the command, or other areas of public concern or interest as directed by the commander. The CIG assists the commander by recommending specific measures and improvements to ensure the unit is mission ready while at all times taking into consideration the commander's and the organization's needs, goals, vision, and philosophy. The CIG should fully understand the commander's mission analysis, planning guidance, and other statements to develop an IG plan that complements the commander's vision.
3. **The CIG's Role in the Command:** The role of the CIG in a command is to serve as a fair, objective, impartial fact-finder with sufficient independence to serve the command effectively. CIGs must meet the very difficult, day-to-day challenge of remaining impartial despite their close relationship with the commander. As problem areas emerge, the CIG 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 CIG's openness and continuing feedback to the commander is critical to the success of a command. Offering advice, good ideas, or innovative techniques and lessons learned is an essential role of the CIG that must not be overlooked. CIGs are in the best position to provide an introspective view of how the command is doing and ways to improve when needed.
4. **Providing IG Support:** CIGs provide IG support to all Marines, Sailors, civilians, and contractors within the command on matters of Department of the Navy (DON) interest and readiness. If called upon, the IG may also provide wartime planning and operational support to the G-staff.
5. **Reporting Relationship to the Commander:** The CIG reports directly to the commander or the deputy commander as designated. The CIG must advise the commander on the adequate staffing of the IG office and ensure that all staff members are qualified, as specified in Section 4-1, to perform their assigned duties.
6. **CIGs and IG Records:** All IG records must be used "For Official Use Only." CIGs are responsible for safeguarding all IG-related documents and records in accordance with statute and regulation, i.e. 5 U.S.C. § 552a, Privacy Act, and 5 U.S.C. § 552, Freedom of Information Act as implemented by DoDD 5400.7, DoD 5400.7-R, DoD 5400.11-R, SECNAVINST series 5720.42, and SECNAVINST series 5211.5 and established record maintenance and release regulations and policies. The Commander or designated representative is the release authority for Command IG records and is responsible for the command's IG records.

7. The Five Functions of the IG. The IGP comprises five specific functions the CIG must be able perform as the “eyes and ears of the commander.” These functions -- Inspections, Investigations, Assistance, Intelligence Oversight, and Teaching and Training -- are executed in accordance with the rules and guidelines set forth in IGP policy, doctrine, and procedures. The first four functions are addressed separately below; however, the fifth function, the CIG’s supportive role as a teacher and trainer of command personnel at all levels, is strongly embedded in each area. The CIG has the responsibility to educate the command on the purpose and value of the IG, to ensure the IG staff receives training to enable them to perform their duties, to reinforce the principles of ethical conduct and applicable standards, and to instill the importance of good leadership -- all of which have a direct effect on the readiness and warfighting capability of the command.

To perform the five functions efficiently and effectively, the CIG should develop relationships with other CIGs at all levels. Mutual sharing of ideas among CIGs is highly encouraged to foster 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.

Although four of the five functions are distinct and separate, the CIG should develop and manage a program that ties all aspects of these functions together. As an inspector, the CIG’s job is to identify root causes of problems. A CIG who takes a proactive approach and aggressively seeks out the issues and challenges that face a unit will be confronted with fewer issues to identify and resolve.

a. Inspections. CIGs will establish a means to identify issues and problem areas to ensure operational readiness. The three types of inspections are General Inspections, Special Inspections, and Follow-on Inspections.

General Inspections are primarily compliance-oriented to measure the readiness of organizations and their respective functions against established standards.

Special Inspections normally apply a systemic approach to address larger, special-interest issues that involve multiple commands, cross services lines, or involve Joint operations with Marine Corps units.

Follow-on Inspections are derived from either General or Special Inspections.

In addition to developing a rigorous inspections program, the CIG may serve as the command’s coordination point for external inspections and / or audits conducted by the IGMC, DoDIG, the Government Accountability Office (GAO); and other Federal agencies.

b. Assistance. Assistance is an integral part of the CIG’s roles and responsibilities. Not all matters brought to the attention of the CIG require an investigation, and the Assistance function can address many of them. CIGs are responsible for providing assistance to military members and civilians who request help or need information about an issue that is not an allegation of wrongdoing or impropriety. These matters should be actively managed and resolved quickly to allow the individual to focus on the assigned mission. Through networking and problem-solving skills, CIGs can obtain the information and appropriately address the complainant’s concern. Many

of the issues brought to a CIG's attention would otherwise go unanswered and unresolved but for the well-researched, reasoned advice the CIG provides.

c. Investigations. CIGs will investigate or inquire into allegations of impropriety and those allegations that originate from the Inspector General of the Marine Corps (IGMC) Hotline program concerning matters within their purview. If a complaint does not fall within the purview of their (the CIG's) organization, the CIG is responsible for referring the complaint to the appropriate CIG or requesting assistance from the IGMC in directing the complaint to the appropriate office. Upon completing an inquiry or investigation directed by the IGMC, the CIG will submit the investigative findings to the IGMC using the IGP, Hotline Completion Report format.

The types of complaints addressed by CIGs include fraud, waste, abuse, and mismanagement (FWAM). The CIG will also refer allegations of Military Whistleblower Reprisal (DoD Directive 7050.06) and Improper Referrals for Mental Health Evaluations (DoD Directive 6490.1) to the IGMC and remain prepared to conduct an investigation if directed to do so by the IGMC.

Upon receipt of an allegation against a senior official (general officer or brigadier general select and / or SES civilians) CIGs will report the matter within two working days to the IGMC. The CIG is also responsible for reporting any allegation of suspected criminal wrongdoing or Law-of-War violations to the commander with concurrent reports to the IGMC, and NCIS. If the alleged criminal activity involves the commander or executive officer, the CIG should refer the matter to the IGMC.

d. Intelligence Oversight. The CIG is responsible for providing Intelligence Oversight of Intelligence Components within his or her command in accordance with MCO 3800.2B, Oversight of Intelligence Activities. This oversight includes the monitoring and proper reporting of Intelligence Oversight (IO) programs in the command's assigned ICs. CIGs will inspect their intelligence components every 12 to 24 months and report questionable activity within five working days of awareness. CIGs must also provide IO input to the DON (through the IGMC) for inclusion in the quarterly DON IO report.

8. Responsibility to Report Findings. The CIG is required to report investigative findings to the commander in accordance with the IGP established rules and timelines. For example, IGMC imposes a timeline of 30 days on commands for completion of a hotline report of investigation (ROI). The CIG must submit a progress report outlining the reasons for delay if unable to complete an investigation by the established due date.

The ROI must be submitted in the prescribed format and include a statement outlining the corrective actions taken by the responsible authority to address the investigative recommendations, see chapter eight, Marine Corps Inspector General Program Investigations Guide. The ROI may be used when the IGMC screens officers for adverse information for promotion boards. The CIG 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 CIG may recommend policy changes based on the results of an investigation; however, the CIG will neither concur nor non-concur with the command's final version of a policy directive or instruction to ensure the CIG's independence in such matters is not compromised if an issue concerning the established policy arises (see Section 5-4). The CIG will

monitor the implementation of all recommendations to ensure they are addressed prior to closing a case.

The CIG may be responsible for reporting results of audits and inspections to the appropriate oversight authorities upon completion of a review. CIGs should consult the IGMC for guidance regarding these reporting matters.

9. Congressional Inquiries. The CIG may be responsible for answering a Congressional Inquiry. All responses for Congressional Inquiries will be submitted to the Office of Legislative Affairs (OLA) or to OLA via the IGMC depending on the original tasking letter. Maintain a case file in the Online Database and Inspector Network (ODIN) and a paper file.

Section 5-2

The Commander - CIG Relationship

1. **Purpose:** This section describes the special relationship shared between commanders and command inspectors general (CIGs).
2. **The Commander - CIG Relationship:** The special relationship shared between the CIG and the commander represents the very foundation upon which the IGP is built. For a CIG to be effective, he or she must have the complete trust and confidence of the commander. As a member of the commander's special staff, the CIG 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.). However, CIGs must maintain a clear distinction between being an extension of the commander and his or her duty to serve as a fair, impartial, and objective fact-finder and problem solver.
3. **Deputy Commanders and the CIG:** The commander may delegate the CIG - commander relationship to the deputy. This delegated relationship with the deputy -- often done for practical reasons due to the commander's availability, etc. -- does not preclude direct communication between the CIG and commander when absolutely necessary.
4. **Extending the Commander:** CIGs -- and all IG personnel serving within the command -- extend the eyes, ears, voice, and conscience of the commander. To be effective, CIGs and the IG staff personnel must understand the commander's goals, expectations, standards, vision, operating methods, and personality. Knowing the commander allows the CIG to adapt and tailor the IGP to meet the needs of the commander.
5. **CIG Independence:** CIGs must be sufficiently independent so that those individuals providing information to CIGs or requesting IG assistance will continue to do so -- even when the individual feels the commander may be the problem. CIGs 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:** CIGs must keep their commanders advised on how best to prevent, detect, and correct fraud, waste, abuse, and mismanagement (FWAM). To facilitate this communication, the CIG must have unimpeded access to the commander. In addition, the commander has a responsibility to learn and understand the IGP concept and system and, using this knowledge, educate the CIG on how he or she expects the CIG to serve the command best.

Section 5-3

IGP Sphere of Activity and Jurisdiction

1. **Purpose:** This section describes the Inspector General Program's (IGP) sphere of activity and jurisdictional responsibilities within that sphere.

2. **IGP Sphere of Activity and Jurisdiction:** The command inspector general's (CIG's) sphere of activity may include everything for which the commander is legally responsible and over which the commander has command authority in accordance with the Marine Corps Manual. Specifically, a CIG's jurisdictional authority will be applied to his or her command headquarters; subordinate units; and / or organizations assigned, attached, or under the administrative control of the commander.

a. A CIG's sphere of activity equals a CIG's jurisdiction over issues and allegations which the CIG must resolve – even on a referral basis if the source of the issue or allegation was another Marine Corps command, military Service, DoD, or other DoD Component.

b. Although a CIG's sphere of activity is clearly defined, CIGs may still accept requests for assistance or allegations of impropriety from members of other commands.

c. In effect, CIGs work within a geographical or functional command on an area basis -- if someone needs IG assistance and is in the CIG's sphere of activity (or area), that CIG may receive the complaint or issue. However, if the issue or allegation pertains to another command or agency, the CIG must first refer the case for action to that command or agency and only work the case if the responsible command or agency agrees.

d. If a CIG case is to be referred to another command, the CIG may pre-coordinate directly with the appropriate IG office to determine jurisdiction and / or appropriateness of referral, but the official transfer or referral of the case must be documented via IG command channels for official tracking and reporting of acceptance.

e. If a jurisdictional issue arises between a command and another command, the IGMC will resolve the matter.

f. A few exceptions apply to the CIG's sphere of activity and jurisdiction. These situations are as follows:

(1) **Senior Official Allegations:** A CIG is prohibited from conducting a senior official investigation. Report the allegation to the IGMC.

(2) **Military Whistleblower Reprisal:** A CIG shall not conduct a Military Whistleblower Reprisal investigation unless directed by IGMC. Report the allegation to the IGMC.

(3) **Criminal Activities:** CIGs will report criminal allegations to the commander and the command's Staff Judge Advocate and refers them to the NCIS for action.

Section 5-4

Duty Restrictions and Prohibited Activity

1. **Purpose:** This section describes duty restrictions and prohibited activity for all inspector general personnel (IGs).
2. **Duty Restrictions and Prohibited Activity:** The restrictions in this section are intended to preclude conflicts of interest, prevent the perception of partiality or bias, and protect the integrity of the Inspector General Program (IGP). 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. Certified IGs detailed into IG positions will not:
 - (1) Be assigned to any non-IG assistance or evaluation functions. In addition, temporary assistant IGs (TAIGs) will not perform other duties while supporting an IG inspection or investigation until released by the CIG 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, duty SNCO, or duty NCO; line-of-duty investigator; casualty assistance officer, SNCO, NCO; 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; adjudicator of dependent infractions onboard military installation, magistrate over traffic court, or member of any committee or function unless directly related to IG matters.
 - b. Certified IGs detailed into IG positions should not:
 - (1) Participate in the establishment of command policy outside of the IGP functions due to the potential conflict of interest (actual or apparent) that may result if the 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 IG function, but IGs may point out inconsistencies or other areas that may need the staff's further attention.
 - (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 IGP and to minimize the requirement for IG personnel to be recused from performing their IG functions due to conflicts of interest.

(4) Serve as a member of a courts-martial panel unless the general courts-martial convening authority has no other officer within his or her convening authority who meets the peer requirements necessary to ensure fair representation on the panel. Article 25 of the Uniform Code of Military Justice allows a convening authority to select courts-martial panel members based upon age, education, training, experience, length of service, and judicial temperament. IGs are not exempt from this requirement, but must advise the convening authority that an IG should be the last choice for such duty given the potential impact on the IG's fair and impartial fact-finding status.

Chapter 6

Inspector General Confidentiality and Records

1. **Purpose:** This chapter describes inspector general (IG) confidentiality and the restrictions, limitations, protections, and uses of IG records.

2. **IG Confidentiality and Records:** Key to the effective functioning of the Inspector General Program (IGP) are confidentiality and the restrictions, limitations, protections, and uses of IG records. Although generally similar in approach, these core concepts are applied differently and uniquely by function. This chapter addresses IG confidentiality and the rules regarding IG records in the following sections:

Section 6-1 – Inspector General Confidentiality

Section 6-2 - Nature of Inspector General Records

Section 6-3 - Protection and Use of Inspector General Records

Section 6-4 – Inspector General Records Release

Section 6-1

Inspector General Confidentiality

1. **Purpose:** This section describes Inspector General (IG) confidentiality.
2. **IG Confidentiality:** Confidentiality and discretion are core concepts for inspector general personnel (IGs). As a general rule, anyone who provides information to an IG has a reasonable expectation of confidentiality. Persons who ask an IG for help; make a complaint; provide testimony, information, or evidence as part of an IGP inspection or investigation; or otherwise interact with an IG often do so because they believe the IG will safeguard their personal identity and the nature of their contact with the IG. IGs have a duty to protect an individual's confidentiality to the maximum extent possible -- particularly when the individual is given an express grant of confidentiality. While IGs should never promise or guarantee absolute or complete confidentiality, they should always attempt to maintain confidentiality as a matter of primary importance and a key to the IGP's success. The intent behind this core IG concept is to protect individual privacy, maintain confidence in the IGP, and minimize the risk of reprisal.
3. **Implied Confidentiality:** Although confidentiality and discretion are core concepts for IGs, individuals who provide information to IGs do **not** have a complete legal privilege of confidentiality. Rather, as a general matter, confidentiality is implied. For inquiries and investigations, a limited degree of confidentiality arises under the Inspector General Act of 1978 as implemented in DoD and DON regulations such as those establishing Hotline Programs (DoDD 7050.1; SECNAVINST 5370.5 series; MCO 5370.8), which require steps be taken to maximize the protection of the identities of complainants as well as witnesses. The statement (or statements) furnished by a source become part of a system of records covered by the DoD and the DON Privacy Act Programs (DoDD 5400.11-R, and SECNAVINST 5211.5 series, respectively). The IG with official custody of those agency records may promise that the IG will protect that person's identity as far as possible, but cannot not guarantee absolute or complete confidentiality because disclosure may be required for purposes as set forth in the SECNAVINST 5211.5 series, such as for disciplinary action, judicial mandate, subpoena, or criminal proceedings, that may require release of a person's identity and other personal information. Moreover, the information that 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, constitutes information gathered pursuant to an official function, and are official statements. IG information is for official use only [FOUO] and should be marked accordingly.
4. **Express Grants of Confidentiality** . For purposes of IG inquiries and investigations, if an individual specifically requests protection of his or her identity, the investigator may, **in rare cases**, provide an express grant of confidentiality to the effect that the source's identity will not be revealed to responsible authorities at the end of the investigation, to the subject during the course of disciplinary action, or in response to a Freedom of Information or Privacy Act request filed by the subject. However, because no absolute or complete grant of confidentiality can ever exist, the investigator may find it necessary to refrain from using the source's name and/or information in the report. Hence, the express grant of confidentiality should be used rarely, if at all. Investigators shall confer with their SJAs or Counsels before giving a requestor an express grant of

confidentiality to assess the advantages and disadvantages of an express grant of confidentiality.

5. Required Release: As a general rule, IGs should not disclose an individual's identity without that person's consent unless the IG determines that such disclosure is unavoidable during the course of an inspection, inquiry, or investigation. Further, when a person seeks assistance from an 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 whose specific requests for confidentiality are given express grants of confidentiality, the IG must document that fact in the case file or case notes and refrain from the use of the person's name or personal identifier in any file or record created by the IG, to include labeling of the files (use "complainant," "witness," or a similar identifier instead of the person's name).

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

Section 6-2

Nature of Inspector General Records

1. **Purpose:** This section describes and defines inspector general (IG) records.
2. **The Nature of IG Records:** The 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 should be managed, retained, and released in accordance with established policy and procedures. IG records are the property of the Department of the Navy (DON) and should be maintained in accordance with Department of Defense (DoD) and Department of the Navy (DON) policy and guidance pertaining to record use, maintenance, and release.
3. **Definition of 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 " the product(s) 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."
 - 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 and DON policy, any written or recorded IG work-product created during the course of an inquiry, investigation, or inspection, is considered a record. Examples of IG records are correspondence or documents received from a witness or a person requesting assistance. 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), tape-recorded or video-taped testimony, and working papers also constitute IG records.
 - d. The Department of Defense and Department of the Navy Freedom of Information Act Programs and Privacy Act Programs are an IG's primary source for guidance concerning use, maintenance, and release of IG records. DoD and DON have dedicated websites to access all pertinent regulations, guidance, and other documents pertinent to the FOIA and Privacy Act Programs easily:
<http://www.defenselink.mil/privacy>; <http://foia.navy.mil/>; <http://privacy.navy.mil/>
Additionally, the 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 IG Records.** Unauthorized release of IG records violates DoD confidentiality policy, Department of Defense Directive, 7050.1, Defense Hotline Program, and the 1978 Inspector General Act, which sets forth the requirements to protect the identity of sources and other sensitive information contained in an IG record. 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. IGs must protect these records from unauthorized use or release in accordance with established DoD and DON policy. The improper release or misuse of an IG record can seriously compromise the IG's effectiveness as a trusted advisor to the commander, and may expose the releaser to potential criminal liability under the Privacy Act. Although unable to promise absolute or complete confidentiality to sources, the IG is entrusted with ensuring that the identity of individuals or other sensitive information is not compromised.

Section 6-3

Protection and Use of Inspector General Records

1. **Purpose:** This section describes the protection and authorized use of inspector general (IG) records.
2. **Protections and Uses of IG Records:** Commanders are the release authority and initial denial authority for those IG records in the custody of that command, unless otherwise delegated.
 - a. Unclassified IG records will be marked "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, and SECNAVINST 5720.42 series, Freedom of Information Act Program). Classified IG records will be classified, protected, and declassified according to applicable DoD and DON guidelines for classification outlined in DoD 5200.1-R, and SECNAV M-5510.36. When declassified, IG records may merit an "FOUO" designation, if the records are sensitive and may be exempt from disclosure under the Freedom of Information Act. If sensitive, but unclassified IG correspondence that may be eligible for exemption under FOIA must leave control of the IG office at any level as required by DoD directive or some other authority, that correspondence will be given "FOUO" markings and protected accordingly. See DoD 5200.1-R, Appendix 3 for further guidance. All IGs will manage and dispose of IG records in accordance with SECNAV-M 5210.1, Navy Records Management Program; DoD 5200.1-R, Chapter 5, Information Security Program; and DoD 8910.1-M, DoD Procedures for Management of Information Requirements.
 - b. IG records may be used in the performance of official duties outside the IG system as well as in legal proceedings. Procedures for requesting IG records for these situations are outlined in Section 6-4. Consult with the SJA or Counsel for additional guidance.
 - c. IG records may be used by the commander (directing authority) or other management official as the basis for adverse action against military or civilian personnel by the commander (directing authority). Requests to use IG records for adverse action must be submitted to the commander or Deputy commander for review and SJA or Counsel consultation. When IG records are used for adverse action, the IG may release some documentary evidence and testimony, unless the information is privileged or classified. In some instances, IG opinions, conclusions, analysis, and recommendations may be evidence (consult with the SJA or Counsel).
 - d. Recipients of 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 commander or his or her designee. The transmittal request letter will stipulate this point unless directed by a competent authority within the DoD or DON. IG records will not be reproduced, attached as exhibits or enclosures, or disseminated further without the commander's or his or her designee's permission.
 - e. IG information transmitted by electronic mail should include "FOUO" in the subject line if it is official, unclassified information that may be exempt from mandatory

disclosure under FOIA.. 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 may be protected from mandatory disclosure under the Freedom of Information Act (FOIA), 5 USC §552.. Do not release outside of DON channels without prior authorization from the Command 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. The commander, or his or her designee, is the only one authorized to correct IG records. All requests to amend IG records must be in writing through the IG office of record through the CIG (if applicable) to the commander. The request must specifically explain the nature and justification behind the correction.

Section 6-4

Inspector General Records Release

1. **Purpose:** This section describes the authorities and procedures associated with the release of inspector general (IG) records.

2. **Nature of IG 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. **IG Records Release:** The commander or designee is the release and initial denial authority for all or parts of any IG records.

a. The commander may delegate IG records-release and initial denial authority to the deputy commander, chief of staff, or the CIG.

b. IGs will request IG records-release approval to the commander through the CIG.

c. The commander (or designated release authority) will release 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 IG Records for Official Duties:

a. Information related to open cases and investigations shall not be released outside IG channels, and only to other IGs as necessary.

b. The commander (or designated release authority) should consult the command's Staff Judge Advocate or Counsel prior to releasing any IG records.

c. Commanders may release records inside DON, to 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, Counsel, or CIG, the request must go through the requester's higher headquarters 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) Only copies of reports or other documents may be provided. Under no circumstances will original documents be released from IG control.

(5) Privacy information appearing in relevant records, or relevant portions thereof, requested for official purposes shall be redacted unless such information is necessary to fulfill the official purpose of the request. Legal advice of the command SJA or Counsel should be sought in deciding relevance and necessity.

(6) In order to protect witness confidentiality within the limits of regulation and law (consult the SJA or Counsel), investigative supporting documents or any portion thereof, especially interview transcripts and source-sensitive information, shall not be released outside the command, unless specifically requested and relevant. Investigative supporting documents shall not be listed as enclosures to ROIs.

d. Congressional requests for 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 IG Records for Non-Official Requests:

a. Media requests for IG records:

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

(2) IGs shall neither confirm nor deny to the news media the existence of any previous or ongoing IG inspection, inquiry, or investigations. SECNAVINST 5720.42 series (*Glomar* response).

(3) After a referral to the command's public information office, the IG shall notify that office that a request for information is forthcoming.

b. Upon receipt of any request for IG records in conjunction with civilian legal proceedings, IGs will immediately notify and consult with the command SJA or Counsel.

c. FOIA and DoD Privacy Program requests for IG records are handled by the command's FOIA/Privacy Program office and must adhere to the requirements outlined in DoDD 5400.07, DoD 5400.11-R, SECNAVINST 5720.42 series, and SECNAVINST 5211.5 series, governing the Freedom of Information Act and Privacy Act Programs within DoD and DON.

Chapter 7

Inspector General Technical Channels

1. **Purpose:** This section describes the inspector general (IG) technical-channel network.
2. **IG Technical Channels:** IG technical channels represent a mutual cooperation network where IGs may share confidential IG information -- either vertically up and down 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. IG technical channels guarantee the effective functioning and value of the Inspector General Program (IGP) to each IG's command and to the overall IGP community. Through these channels, all IGs may bring to bear the collective expertise and wisdom of all IGs in order to resolve issues, allegations, and other problem areas throughout the IGP community. The IG technical-channel system is inherently informal, and most requests for assistance are normally done by telephone, email, or facsimile. However, in rare instances when documentation of an IG's actions is necessary, IGs may request technical-channel assistance from another IG formally in writing. All command inspectors general (CIGs) should -- and are strongly encouraged to -- establish and maintain working relationships and networking channels with other CIGs as appropriate.
3. **Authority within IG Technical Channels:** The CIG's primary reporting relationship to the commander does not preclude the CIG from supporting other IGs.
 - a. **Tasking Authority:** CIGs do not work for other CIGs and may only request assistance -- not demand it. However, all CIGs are strongly encouraged to support each other when requested to do so. Only the IGMC may task CIGs to conduct an inquiry, investigation, or inspection.
 - b. **Confidentiality:** IG technical channels allow CIGs to share sensitive IG information with each other without violating an individual's confidentiality. However, CIGs should only share such information with other IGs on a need-to-know basis.
 - c. **Referrals:** CIGs may refer issues and allegations to another CIG, but the gaining CIG must agree to accept the case -- except when the IGMC refers a case as a tasking to a CIG. The IGMC will resolve all disputes between and among CIGs regarding referrals.

Chapter 8

Teaching and Training

1. **Purpose:** This chapter describes the command inspectors general (CIG's) role and responsibilities regarding the IG function of Teaching and Training.

2. **Teaching and Training as an IG Function:** Teaching and Training is embedded in the other four functions of Inspections, Assistance, Investigations, and Intelligence Oversight. CIGs are responsible to their commanders for teaching and training leaders at all levels on current standards and policies. CIGs also require training themselves in the Inspector General Program (IGP) and the philosophy and techniques associated with that system. These Teaching and Training roles and requirements appear in the following sections:

Section 8-1 - Training the Inspector General Community at Large

Section 8-2 - The Inspector General Courses

Section 8-1

Teaching and Training the Inspector General Community at Large

1. **Purpose:** This section describes the role of the CIG in Teaching and Training leaders at all levels within the command.

2. **Teaching and Training the IG Community at Large:** The Teaching and Training function is not an independent function – it is embedded in the other four IGP functions of Inspections, Assistance, Investigations, and Intelligence Oversight.

a. **Proactive Nature of the IG.** Teaching and Training is proactive in nature. CIGs should use every opportunity to make Teaching and Training points that emphasize integrity, ethics, efficiency, discipline and readiness. Every CIG must educate commanders and their staffs on the IG functions, familiarize them with the Inspector General Program (IGP), and establish a working relationship through communication and a common understanding of the IGP's role and function. Teaching and Training is equally applicable within the IGP for the purpose of ensuring CIGs are aware of the most current IG policy, doctrine, and procedures.

b. **IGs Provide and Receive Training.** CIGs have a responsibility to train non-IGs on how the IGP operates and on specific standards, responsibilities, processes, and systems related to non-IG activities. CIGs must teach leaders and their Marines, Sailors, and Civilians how IGs contribute to mission accomplishment. CIGs train others by example and appearance. The CIG possesses a reservoir of experience and knowledge to assist commanders in achieving disciplined and combat-ready units.

A CIG may also conduct more formal training for command members but is not always the primary trainer. CIGs provide information to the commander and staff members about military systems, processes, and procedures and assess the command's climate while conducting assistance, inspections, and investigations. CIGs should also pass on lessons learned to enable others to benefit from their experience.

The IGMC staff will – upon request – travel to a CIG's location to provide targeted training on IG matters. The IGMC staff will also provide IG training support packages to serving CIGs for use in training the command on the IGP system and to facilitate IG sustainment training within a particular office.

c. **Methods of Teaching and Training.** IGs incorporate Teaching and Training into all aspects of their duties by explaining standards and the reason those standards were established. IGs should pass on lessons learned, good ideas, and benchmarks observed during inspections. At every opportunity, CIGs 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 IG (such as a MEF IG's visit to a Division IG) to evaluate the quality of IG work. Such efforts should include training on IGP policy, doctrine, and procedures. Also, IGs may provide technical expertise when necessary.

d. **Effect of Teaching and Training.** The effectiveness of the IGP system is, to a great extent, a function of how receptive non-IGs are to the IGP system. At every opportunity, CIGs should incorporate Teaching and Training into all aspects of their duties by explaining standards and the reason those standards were established. In particular, CIGs should train personnel on standards and procedures during periods of organizational change and high operational pace. Failure to explain the IGP system to commanders and others may result in commanders misusing – or simply not using – their IGs.

Section 8-2

The Inspector General Courses

1. **Purpose:** This section describes the inspector general (IG) courses available to satisfy the initial certification training requirements of all inspector general personnel (IGs).
2. **Available IG Courses:** The following IG courses are approved for initial certification of Inspector General Program (IGP) personnel:
 - a. Naval Inspector General Course
 - b. Army Inspector General Course
 - c. Air Force Inspector General Course
 - d. Joint Inspector General Course (highly recommended for FMF CIGs)
 - e. The Federal Law Enforcement Training Center (FLETC) Inspector General Course
3. **Funding:** Commands are responsible for providing all funding for courses and associated travel, per diem, and lodging for their own students.
4. **The Student Audience:** The IG courses listed above are qualifying events for personnel assigned to positions in support of the IGP. Personnel assigned to IG billets will attend one of the listed qualifying IG courses. Commands should coordinate with the IGMC to obtain seat assignments for IG courses.
5. **Curriculum:** All IG course's core curricula are designed to provide a basic foundation of common IG policy, doctrine, and procedures.
6. **Graduation Requirements:** The governing authority for each IG course determines graduation requirements. Graduation requirements reflect the expertise each student must acquire to pass each IG course.
7. **Dismissal from an IG Course:** The governing authority for each IG course may dismiss a student based upon approved dismissal criteria for academic deficiency, personal conduct, or other reasons. Personnel dismissed from an IG course are not qualified to become certified IGs and upon return to their command should be assigned non-IG duties.
8. **Mobile Training Teams and Exportable Training Packages:** The IGMC has a Mobile Training Team (MTT) Program designed to provide continuing professional IG training to IGP personnel. However, the MTT does not provide basic IG certification training.

Chapter 9

The Inspector General's Role in Full Spectrum Operations

1. **Purpose:** This chapter describes the command inspectors general (CIGs) role and responsibilities in full spectrum operations.

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

Section 9-1 - The Inspector General's Role in the Operational Environment

Section 9-2 - Staff Estimates and Planning

Section 9-3 - Resources and Equipment

Section 9-4 - The Inspector General's Role in Law of War Violations

Section 9-1

The Inspector General's Role in the Operational Environment

1. **Purpose:** This section describes the role of the Inspector General (IG) in the operational environment.
2. **The IG Role in the Operational Environment:** The concept for 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 across the full spectrum of conflict from the Revolutionary War through the Global War on Terrorism (GWOT). As part of the IGP, all command inspectors general (CIGs) serve as a key element to the assessment mechanism allowing their commanders to make more informed decisions when 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. The basic IG functions do not change; the CIG will still serve the command's readiness by performing inspections, assistance, investigations, intelligence oversight, and teaching and training. However, during wartime operations, the CIG's focus shifts to high-payoff issues and topics that will improve – in the short term – the readiness and operational capabilities of the command.
 - a. All CIGs, whether in the theater of operations or in a supporting theater (CONUS and OCONUS), have a major operational mission. The 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 IG. CIGs must become involved early in the commander's planning process and understand the commander's intent, concept of the operation, and key tasks that must be accomplished.
 - b. To remain effective in the operational environment, CIGs 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 CIG to answer military personnel and leadership concerns and to evaluate effectively and efficiently the execution of the command's mission.
 - c. A CIG's ability to support the commander's operational contingency and deployment requirements will depend on prior planning and the CIG serving as an integral part of the command's mission-planning and exercise process. The CIG must ensure that the commander and coordinating staff understand and are familiar with the IG wartime role and the contributions the IG can make to the operational effort. The CIG must develop and promote this understanding in peacetime through IG participation in training exercises with the commander and staff.
 - d. The 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. CIGs will also maintain their traditional focus on the issues affecting the command and its Marines, Sailors, Civilians, and families (for example, pay issues, medical issues, etc.).

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

a. CIGs are normally deployed forward into operational theaters to provide on-site IG support to the command.

b. The personnel strength of forward-deployed IG offices normally depends upon manning allocations.

c. CIGs may request reserve augmentation for forward-deployed IG offices, but these reserve personnel requirements must be staffed through HQMC (M&RA).

d. CIGs must plan to provide IG coverage to all units within the command – even those geographically separated from the command.

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

f. CIGs will normally locate in the 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 commander.

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

4. **Resources:**

a. **Equipment.** The CIG 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 IG contingency planning. Planning considerations must include both deploying and supporting IG requirements. Reach-back communications connectivity is vital to a deployed IG's mission accomplishment.

b. **Personnel.** The CIG must conduct manpower reviews to ensure that adequate provisions are in place for workload increases to support deployed and wartime efforts.

c. **Publications.** Access to regulatory and policy standards contained in DoD, Joint Staff, COCOM, SECNAV, and Marine Corps publications is essential to performing all IG functions. CIGs 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.

5. Staff Estimates: CIGs are essential staff members in all scenarios during both peacetime and wartime operations. Accordingly, the CIG has a clear role in the staff planning process and must provide staff estimates as required (see Section 9-2). The CIG will have a clear understanding of the higher headquarters' order, the command's mission, and the commander's intent. The CIG must ensure that the commander's expectations of the IG's role and functions are addressed early in the mission-analysis process. Once the CIG understands the mission and the commander's intent, the CIG will formulate an activity plan to support deployed operations that anticipates IG actions during each phase of the operation such as mobilization, deployment, preparation for combat, and redeployment. CIGs must coordinate all IG estimates, annexes, and input in accordance with the command's staff procedures.

6. Functions:

a. Inspections. Inspections are the most direct way a CIG can influence the command's mission readiness. As units prepare for war, previously unscheduled inspections and unannounced inspections often occur. CIGs must prepare to verify organizational readiness and identify mobilization issues for resolution. CIGs may find themselves performing a mix of systemic and compliance inspections of units -- even though compliance is the standard IG approach to inspections. Either the tactical situation or the commander's need for timely feedback to make critical decisions may cause the CIG to compress the IG inspections process. CIGs must use technical channels to share the results of inspection trends and findings within and without the command.

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

c. Investigations. The 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 IGs who may also be deployed. Records release policies for IG records such as investigative reports do not change during military operations.

d. Teaching and Training. 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 IG function. As extensions of the eyes and ears of the commander, the CIG 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 IG activities. Especially important in this process is the CIG's ability to acquire and understand the changing regulatory and policy standards inherent during major operations. The CIG must know and understand information management operations and help to coordinate these requirements with the

command information resource manager, functional proponents, and IGs operating in split locations.

e. **Intelligence Oversight.** During combat operations there is increased potential for “questionable activities” associated with intelligence gathering activities. All CIGs and particularly CIGs in organizations with USMC intelligence components must remain vigilant in their oversight of intelligence activities.

7. **Law of War Violations.** IGs will receive reports of law of war violations and process them in accordance with the provisions of DoD Directive 2311.01E, DoD Law of War Program, and SECNAVINST 3300.1 series Law of Armed Conflict (Law of War) Program to Ensure Compliance by the Naval Establishment, and MCO 3300.4, Marine Corps Law of War Program. The law of war is that part of international law that regulates the conduct of armed hostilities (see Section 9-4).

8. **Exercises:** Realistic training scenarios provide an excellent tool to determine how to operate in all types of environments. As with any staff element, CIGs must participate as full-fledged members of the staff in all command-post exercises and field-training exercises. CIGs 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 IGs will include concurrent, split operations training involving the home station office in order to practice reach-back procedures and other techniques normally used during operational deployments. CIGs will routinely publish IG-related instructions in their organization’s exercise or operational plans and orders.

Section 9-2

Staff Estimates and Planning

1. **Purpose:** This section describes the Command Inspector General's (CIG's) involvement in staff estimates and operational planning.
2. **Staff Estimates and Planning:** CIGs are essential staff members during both peacetime and wartime operations.
 - a. CIG participation in the command's staff planning process is critical to the successful adaptation of the Inspector General Program (IGP) when addressing the mission and needs of the commander and command.
 - b. The CIG 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. These activity plans are normally translated into planning estimates that are included in the operations order based upon the command's prescribed format and requirements. CIGs will normally coordinate all estimates, annexes, and input to the plan through the G-3, G-5, or other designated G-staff having staff cognizance for the coordination and production of the command's operation plans and orders.
 - c. CIG involvement in the staff planning process from receipt of the mission to production of the order is continuous. CIGs must have a clear understanding of the next higher headquarters' order, the command's mission, and the commander's intent.
 - d. The CIG must address with the commander early in the planning process the commander's expectations of the IG and the IG's overall role in the operation. The CIG'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. The operational environment may dictate that CIGs compress or tailor their procedures to execute the IG functions based upon resources, conditions, time, etc. Any actions to compress or alter an 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 IG procedures requires advance planning and careful consideration from both the CIG and, if necessary, the commander.

Section 9-3

Resources and Equipment

1. **Purpose:** This section describes the resources and equipment an inspector general (IG) staff section requires when deployed forward in support of full spectrum operations.

2. **Resources and Equipment:** Command Inspectors General (CIGs) must have the personnel and equipment on hand necessary to operate forward in a deployed environment.

a. 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 IG contingency planning. CIGs should work closely with the G-6 or equivalent to ensure their communication requirements are adequately addressed.

b. The CIG 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 G-1 is necessary to ensure that IG manpower requirements are adequately addressed. Training requirements for personnel selected to serve as IGs during wartime will be the same as those specified in Section 4-4. The Command will determine the non-IG-specific training required for the area of operations.

c. Access to policy standards contained in DoD, Joint Staff, COCOM, SECNAV, and Marine Corps publications is essential to performing all five Inspector General Program (IGP) 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 U.S. Service sites; to Service and Air, Land, and Sea Application Center (ALSA) doctrine; and to the U.S. Combatant Commands.

d. CIGs 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 Command.

A sample list of deployment equipment for the 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 Marine Corps standards, IG guides, and SOPs.
- USB mini-storage devices or “pen drives” (classified and unclassified).
- Specific field gear, weapons, and clothing required for the area of operations.

Section 9-4

The Inspector General's Role in Law of War Violations

1. **Purpose:** This section describes the responsibilities of an inspector general (IG) when receiving a suspected Law of War violation.
2. **Definition of the Law of War:** The Law of War is that part of international law that regulates the conduct of armed hostilities. The Law of War 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 law.
3. **The Command Inspector General's (CIG'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. Reports made to officials other than those specified shall, nonetheless, be accepted and immediately forwarded through the recipient's chain of command.
 - b. CIGs 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; SECNAVINST 3300.1series, Law of Armed Conflict (Law of War) Program to Ensure Compliance by the Naval Establishment, MCO 3300.4, Marine Corps Law of War Program, and their command directive 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 CIG who becomes aware of a reportable incident must report the incident as soon as possible to the commander (directing authority) for action.
 - e. The CIG will also provide a concurrent report to the COCOM IG as soon as possible with an info copy to HQMC (Code JAO).
 - f. The Law of War Program requires the commander to submit an "initial report" of any reportable incident through command channels by the most expeditious means available to the COCOM commander with a copy to HQMC (Code JAO).
 - 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 IG action; criminal investigative agencies from the Services will normally conduct the investigations.

i. CIGs 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 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.

Chapter 10

Knowledge and Information Management System

1. **Purpose:** This chapter describes the Inspector General Program (IGP) knowledge and information management system.

2. **The IGP Network:** This chapter defines the requirements for a future IGP Network (IGNET) and a case- and report-management database known as the Online Database and Inspector Network (ODIN). The pending IGNET is the Naval Inspector General Hotline Tracking System (NIGHTS) which is being designed to allow IGs to reach out to one another through a confidential electronic exchange system that will facilitate the sharing of lessons learned, host sustainment training, and assist in collaborative problem resolution. The requirements for IGNET and ODIN are addressed in detail in the following sections:

Section 10-1 – Inspector General Program Network

Section 10-2 – Inspector General Program Database

Section 10-1

Inspector General Program Network

1. **Purpose:** This section outlines the conceptual requirements for an automated Inspector General Program (IGP) Network (IGNET) that supports IGP case data collection, data analysis, communications, and administrative requirements. Currently the Naval Inspector General (NAVINSGEN) is developing the Naval Inspector General Hotline Tracking System (NIGHTS) for use by the IG's within the DON.
2. **The IGP Network:** NIGHTS is intended to:
 - a. Provide the entire IGP community with password-restricted access to an information knowledge management system that allows for the posting of IGP inspection reports for sharing results, lessons learned, and other areas of emphasis that may prove relevant to CIGs in other commands.
 - b. Be centrally managed and administered by NAVINSGEN from servers located in the Navy Yard, allowing collection, consolidation, and electronic interchange of IGP case data at local sites. Included in IGNET will be a case-management database allowing IGs to input case work using a series of command and function codes.
 - c. Facilitate IGP technical-channel network communications between and among IGs by email or the World-Wide Web for FOUO sensitive, but unclassified, information and enable users to share confidential IGP information, policy and doctrine changes, and lessons learned.
 - d. Provide baseline office automation, administrative, and training software support through commercial, off-the-shelf, and Government-developed software.
3. All CIG offices will have access to NIGHTS. As the protection of sensitive IGP data processed and shared on NIGHTS will be essential to the integrity of the IGP, only authorized IGs may use the system.

Section 10-2

Inspector General Program Database

1. **Purpose:** This section describes the requirements for an Inspector General Program (IGP) case- and report-management database.

2. **The IGP Online Database and Inspector Network (ODIN) :** The IGP Network (IGNET) currently includes the ODIN.

3. **ODIN is designed to:**

a. Provide for all IGs a capability to input and manage Assistance cases and Investigations and store summaries – or complete copies – of Inspection and Intelligence Oversight reports.

b. Allow IGs to input case work using a series of commands or function codes. The commands and function codes will allow CIGs to run reports on open cases, closed cases, cases completed during a particular time period, or cases involving a particular complaint or issue (such as pay, etc.).

c. Allow IGs to input and manage investigations and support the Services' pre- and post-board screening processes.

d. Allow one IG to refer an issue or allegation to another IG in another command with the click of a button; however, the receiving IG must agree to accept the referral (the IGMC will adjudicate if necessary). Section 5-3 provides further details on a CIG's sphere of activity and jurisdiction.

4. **Authorization:** Only authorized IGs in an IG office may have access to ODIN and any other automated IG records or data.

5. **Classified Information:** Classified data will not be entered into ODIN. A classified IGNET or ODIN database will not be developed.

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