



IGMC SYMPOSIUM

ASSISTANCE & INVESTIGATIONS

Read Ahead

Attachments

1. Read and Initial 17-01
2. Command Action Letter Template
3. Command Info Letter Template
4. IG Action Letter Template
5. IG Info Letter Template
6. Referral Response Letter
7. Read and Initial 17-02
8. Read and Initial 17-03
9. Subject Notification Letter Template
10. Witness Interview Script
11. Subject Interview Script
12. Hotline Completion Report Template
13. Legal Sufficiency Review Letter Template
14. IGMC Complaint Analysis Worksheet



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:
5000
IGA
7 Apr 17

READ AND INITIAL 17-01

From: Inspector General of the Marine Corps
To: All Command Inspectors General

Subj: INSPECTOR GENERAL OF THE MARINE CORPS TASKING PROCEDURES

Ref: (a) Marine Corps Inspector General Program Assistance Guide

Encl: (1) IGMC Tasking Chart
(2) Command Inspector General Referral Response Letter
(3) Hotline Completion Report Template
(4) Legal Sufficiency Review Template

1. Situation: Periodically, the Inspector General of the Marine Corps (IGMC) will release updates or changes to the current policy to ensure you have the latest IGMC guidance. These Read and Initial (R&I) policy memoranda will be included in subsequent revisions of the IGMC orders or policy documents as appropriate.

2. Cancellation: READ AND INITIAL 01-15

3. After a recent request for review of the IGMC tasking policy, IGMC provides the following update on how future tasking from IGMC will occur. Tasking is broken up into four categories. After the initial complaint receipt and analysis, IGMC will assign the case to a Command Inspector General (CIG) via a Command Information Referral, Command Action Referral, Inspector General (IG) Information Referral, or IG Action Referral in accordance with Enclosure (1).

a. Command Information Referral: The Command Information Referral is used to inform the CIG about complaints that warrant command attention. Examples of matters warranting command attention are found in reference (a). The CIG will determine if the Command was aware of the issue(s) listed in the complaint and report what actions were taken to address the complaint. If a Command Information Referral requires an investigation, the investigation will be directed under the authorities of the Commander of the unit; not the CIG. The CIG will provide IGMC with a Referral Response Letter (Encl 2) identifying the actions taken. The Referral Response Letter shall contain at a minimum: a summary of the complaint; actions taken by the Command; and the disposition of those actions. The Referral Response Letter must

also provide confirmation that any required actions (Discrimination and Sexual Harassment-Hazing Report, Officer Disciplinary Notebook, etc.) are accurately documented. The Referral Response Letter and the supporting documentation (i.e. Command Investigation) shall be loaded into Case Management System (CMS). Within CMS, the Command Information Referral will be considered an Assistance case. Allegations shall not be recorded in CMS, and the case will be maintained in accordance with the established document retention guidelines for Assistance cases.

b. Command Action Referral: A Command Action Referral will be assigned to a CIG when there is a command issue, as described in paragraph 3.a. and has originated from the Department of Defense Inspector General (DoDIG) as an "Action Referral." The content of the Command Action Referral is the same as the Command Information Referral, with one exception. The Command Action Referral requires a Hotline Completion Report (HCR) (Encl 3). Within CMS, the Command Action Referral is considered an Assistance case. Allegations shall not be recorded in CMS, and the case will be maintained in accordance with the established document retention guidelines for Assistance cases.

c. Inspector General Information Referral: An IG Information Referral tasks the CIG to analyze and address the issue(s) that are not specifically directed to be handled by a command. An IG Information Referral contains non-command matters or matters of Fraud, Waste, Abuse of Authority, or Mismanagement (FWA/M) that do not contain enough information to frame an allegation. These are IG matters that should be examined by the CIG or the CG's/Commander's designated representative, assigned to the CIG for the purpose of conducting the inquiry. If the complaint contains a mix of command and IG issues, the matters will be identified separately, by category (Command Information or IG Information), and both addressed as part of the response to the IG Information Referral. If IGMC has specific questions that must be answered to respond to the complaint, these questions will be contained in the IG Information Referral. As with the Command Information Referral, an IG Information Referral also requires a Referral Response Letter to document a summary of the complaint, actions taken by the CIG, and the disposition of those actions. The Referral Response Letter and the supporting documentation (i.e., Command Investigation) shall be loaded into CMS. Within CMS, the IG Information Referral will be considered an Assistance case. Allegations will not be recorded in CMS and the case will be maintained in accordance with the established document retention guidelines for assistance cases. If the CIG determines that an IG investigation is warranted, then it will be handled in accordance with paragraph 3.d.

d. Inspector General Action Referral: An IG Action Referral tasks the CIG to investigate allegations of FWA/M. IGMC will provide the allegations that shall be investigated to the CIG. An HCR is required in response to this referral (Encl 3). The HCR and its enclosures shall be loaded into CMS. Within CMS, the IG Action Referral will be

considered an Investigation case. Allegations shall be recorded in CMS and the case will be maintained in accordance with the established document retention guidelines for investigations.

4. Legal action: A Legal Sufficiency Review (LSR) is required to be completed by the Staff Judge Advocate (SJA) or Counsel for an inquiry that results in an IG Investigation in accordance with paragraph 3.d. (Encl 4). A concurrence statement by the SJA or Counsel is required for inquiries from either an IG Information or IG Action Referral that do not result in an IG investigation i.e. no investigative merit.

5. Command action: CIG approval/concurrence is required on all Referral Response Letters and HCRs. Command endorsements are required for all IG investigations

6. Response Times: Using the 1/3 - 2/3 rule, IGMC is holding to a total of 90 days from receipt of complaint to complete closure (by IGMC). 30 total days for IGMC and 60 total days for lower echelon commands.

7. IGMC no longer uses Special Interest letters (SPLINTs) as a means of tasking. The only accepted response to one of the aforementioned tasking methods is an Referral Response Letter for the Information Referrals or an HCR for the Action Referrals.

8. If the Investigating Officer or the CIG discover an emergent allegation, the CIG will consult with the IGMC Action Officer to adjust the scope of the investigation via an IG Action Referral.

9. The point of contact at IGMC related to this matter is LtCol Sutherland at (703)604-4515.



C. E. EDWARDS
Director
Assistance and Investigations
Division

Inspector General of the Marine Corps Tasking Chart



	Command Info	Command Action	IG Info	IG Action
Content	Command Issues & other forms of redress*	Command Issues & other forms of redress* Tasked from DoDIG as Action Referrals	Issues of FWA&MMgt	Allegations of FWA&MMgt or Action Referral from DoD
Report	Referral Response Letter	HCR	Referral Response Letter	HCR
Findings	UF / F	UF / F	Issues: UF / F	Investigation = NS / S Issues: UF / F (if mixed)
Legal Action	None	None	Inquiry = Concurrence otherwise None	Inquiry = Concurrence Investigation = LSR
Command Action	None	None	None	Command Endorsement
Timeline	60 Days	60 Days	60 Days	60 Days



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:

5000
IGA
3 Aug 17

From: Inspector General of the Marine Corps
To: Commanding General, _____,
Unit Address
(Attn: Command Inspector General)

Subj: COMMAND ACTION: IGMC CASE #_____

Ref: (a) MCO 5430.1
(b) Marine Corps Inspector General Program Assistance
Guide, August 2009
(c) Marine Corps Inspector General Program Investigations
Guide, August 2009
(d) Inspector General of the Marine Corps Read and
Initial 17-01

Encl: (1) DoDIG Hotline Complaint #_____

1. IAW the references, the enclosure is forwarded to your command for action. The information contained in Encl. 1 warrants command attention. Investigative merit determination lies with the Commander that has cognizance over the matter(s) identified in Enclosure 1.

2. Ensure that the subordinate command is aware of the following issues and provide a response IAW ref (d).

- a. Issue #1
- b. Issue #2

3. The Complainant does/does not desire to remain confidential.

4. If at any time there is an emergent allegation of Fraud, Waste, Abuse of Authority, or Mismanagement, contact IGMC. Emergent allegation(s) should be addressed IAW Refs (c) and (d).

5. Regardless of the action taken by the Command, within 60 calendar days from the date of this letter, submit a Hotline

Subj: COMMAND ACTION: IGMC CASE #_____

Completion Report (HCR) to the IGMC that contains a summary of the complaint, actions taken by the command, and the disposition of those actions. Include the Preliminary Inquiry or Command Investigation as an enclosure to the HCR and upload both documents to the Case Management System.

6. The point of contact for inquiries related to this matter is [Rank I. M. Marine] at [email@usmc.mil] or (703)604-4526.

C. E. EDWARDS
By direction



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:

5000
IGA
3 Aug 17

From: Inspector General of the Marine Corps
To: Commanding General, _____,
Unit Address
(Attn: Command Inspector General)

Subj: COMMAND INFORMATION: IGMC CASE #_____

Ref: (a) MCO 5430.1
(b) Marine Corps Inspector General Program Assistance
Guide, August 2009
(c) Marine Corps Inspector General Program Investigations
Guide, August 2009
(d) Inspector General of the Marine Corps Read and
Initial 17-01

Encl: (1) Hotline Complaint #_____

1. IAW the references, the enclosure is forwarded to your command for information. The information contained in Encl. 1 warrants command attention. Investigative merit determination lies with the Commander that has cognizance over the matter(s) identified in Enclosure 1.

2. Ensure that the subordinate command is aware of the following issues and provide a response IAW ref (d).

- a. Issue #1
- b. Issue #2

3. The Complainant does/does not desire to remain confidential.

4. If at any time there is an emergent allegation of Fraud, Waste, Abuse of Authority, or Mismanagement, contact IGMC. Emergent allegation(s) should be addressed IAW Refs (c) and (d).

5. Regardless of the action taken by the Command, within 60 calendar days from the date of this letter, submit a Referral

FOR OFFICIAL USE ONLY

Subj: COMMAND INFORMATION: IGMC CASE #_____

Response Letter to the IGMC that contains a summary of the complaint, actions taken by the command, and the disposition of those actions. Include the Preliminary Inquiry or Command Investigation as an enclosure to the Referral Response Letter and upload both documents to the Case Management System.

6. The point of contact for inquiries related to this matter is [Rank I. M. Marine] at [email@usmc.mil] or (703)604-4526.

C. E. EDWARDS
By direction



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:

5041
IGA
3 Aug 17

From: Inspector General of the Marine Corps
To: Commanding General, _____,
Unit Address
(Attn: Command Inspector General)

Subj: IG ACTION: IGMC CASE #_____

Ref: (a) MCO 5430.1
(b) Marine Corps Inspector General Program Investigations
Guide, August 2009
(c) Inspector General of the Marine Corps Read and
Initial 17-01

Encl: (1) Hotline Complaint #_____

1. In accordance with the references, the enclosure is forwarded as a matter under your cognizance. At a minimum, the following allegation(s) must be investigated: WHO did WHAT in violation of WHAT ORDER, RULE OR REGULATION, WHEN.

OR...if more than one allegation, label the paragraphs a., b., etc.

a. Allegation #1: WHO did WHAT in violation of WHAT ORDER, RULE OR REGULATION, WHEN

b. Allegation #2:

2. If the matter is referred to the Naval Criminal Investigative Service (NCIS) or the Criminal Investigative Division (CID), advise IGMC of the NCIS/CID case control number and continue to monitor until closure. Upon closure, obtain a copy of the investigation and forward to IGMC.

3. Provide any final disposition(s) from any administrative, judicial, nonjudicial, or other corrective action(s) taken against the Subject of this investigation.

FOR OFFICIAL USE ONLY

Subj: IG ACTION: IGMC CASE #_____

4. Within 60 calendar days of this letter, provide IGMC with the completed investigation in the form of a Hotline Completion Report, along with the Legal Sufficiency Review and the Command Endorsement expressing concurrence with the investigating officer's determination.

5. The point of contact for inquiries related to this matter is [Rank I. M. Marine] at (703)604-4526.

C. E. EDWARDS
By direction



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:

5000
IGA
3 Aug 17

From: Inspector General of the Marine Corps
To: Commanding General, _____,
Unit Address
(Attn: Command Inspector General)

Subj: IG INFORMATION: IGMC CASE #_____

Ref: (a) MCO 5430.1
(b) Marine Corps Inspector General Program Assistance
Guide, August 2009
(c) Marine Corps Inspector General Program Investigations
Guide, August 2009
(d) Inspector General of the Marine Corps Read and
Initial 17-01

Encl: (1) Hotline Complaint #_____

1. IAW the references, the enclosure is assigned to your command as a matter under your cognizance and any action deemed appropriate. Investigative merit determination lies with the Directing Authority that has cognizance over the matter(s) identified in Enclosure 1.

2. IAW ref (d), address the following issues of Fraud, Waste, Abuse of Authority or Mismanagement (FWA/M). Any non-IG appropriate issues have already been referred to the appropriate agency and documented accordingly in the Case Management System (CMS).

a. Issue or Question #1

b. Issue or Question #2

3. The Complainant does/does not desire to remain confidential.

4. If at any time there is an emergent allegation of Fraud, Waste, Abuse of Authority, or Mismanagement, contact IGMC. Emergent allegation(s) should be addressed IAW Refs (c) and (d).

FOR OFFICIAL USE ONLY

Subj: IG INFORMATION: IGMC CASE #_____

Conversations with the Subject of this complaint shall not be conducted until the Subject has been notified IAW the references.

5. Within 60 calendar days from the date of this letter, submit a Referral Response Letter to the IGMC with a summary of the complaint, issues identified by the Complainant, actions taken by the Command Inspector General and the command, and the disposition of those actions. Include the supporting documents (Inquiry or Command Investigation) as an enclosure to the Referral Response Letter and upload the documents to CMS.

6. The point of contact for inquiries related to this matter is [Rank I. M. Marine] at [email@usmc.mil] or (703)604-4526.

C. E. EDWARDS
By direction



YOUR COMMAND'S LETTERHEAD HERE

IN REPLY REFER TO:

IGA
5000
3 Aug 17

From: Command Inspector General, **Your Command**
To: Inspector General of the Marine Corps
(Attn: Director, Assistance and Investigations)

Subj: REFERRAL RESPONSE FOR **DODIG CASE# 20150000-00000-CASE-00**
/IGMC Case# 00000

Ref: (a) MCO 5430.1
(b) MCO 5370.8
(c) IGMC Read and Initial 17-01

Encl: (1) **[REDACTED]**

1. Purpose. This letter responds to the subject Inspector General of the Marine Corps (IGMC) Case Referral dated **DD Month YYYY**. Analysis of the matter **(s)** identified in the original complaint **was/were** conducted by this office. The Command Inspector General (CIG), **Command** forwarded it to **Command** as a matter under their cognizance.

2. **Summary of Complaint**.

3. **Actions Taken**.

a.

b.

4. Recommendation. The Command Inspector General, **Command** has reviewed the enclosure(s) and **find/s it/them** to be independent and complete and conducted in accordance with the references. Recommend that IGMC accept the enclosed response and close the case with no further action.

5. The point of contact for inquiries related to this matter is **Rank FI. MI. Last Name** at **(XXX) XXX-XXXX**.

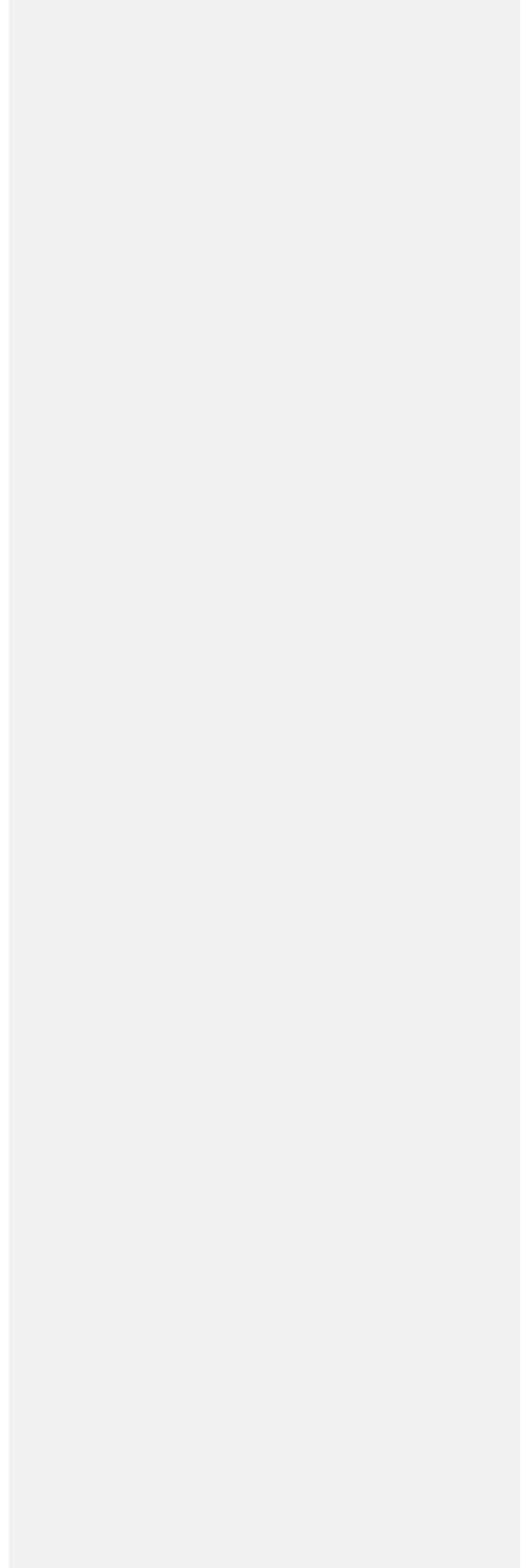
Commented [MJS1]: • Only include the DoDIG Case # if it is a DoDIG Action Tasker
• Only include "IGMC" if IGMC was the Directing Authority or it was a DoDIG tasker.
Replace IGMC with CMS if the case originated with the CIG.

Commented [MJS2]: In the summary of the complaint include the 5 Ws at a minimum.

Commented [MJS3]: This section shall contain at a minimum: actions taken by the Command; and the disposition of those actions. It must also provide, where applicable, confirmation that any required actions (Discrimination and Sexual Harassment-Hazing Report, Officer Disciplinary Notebook, etc.) are appropriately documented.

Enclosure (2)

THE CIG'S SIGNATURE BLOCK





DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:
5000
IGA
1 May 17

READ AND INITIAL NO. 17-02

From: Inspector General of the Marine Corps
To: All Command Inspectors General

Subj: REQUEST MAST AND THE USE OF THE CASE MANAGEMENT SYSTEM

Ref: MCO 5040.6H

1. Situation: Periodically, the Inspector General of the Marine Corps (IGMC) will release updates or changes to the current policy to ensure you have the latest IGMC guidance. These Read and Initial (R&I) policy memoranda will be included in subsequent revisions of the IGMC orders or policy documents as appropriate.

2. After a review of the IGMC policy allowing Command Inspectors General (CIG) to place Request Mast applications into the Case Management System (CMS), the IGMC has determined that this policy is not in keeping with the intent of the Request Mast Order.

3. Effective immediately, Request Masts as a standalone entry will no longer be allowed to be placed in CMS. For those Request Masts that are currently in CMS, the following procedures apply:

a. Remove the Request Mast documents from CMS and store those documents locally in accordance with NAVMC 1700.23F Chap 2, Par 7.

b. "Zero out" all fields in CMS for those standalone Request Mast cases.

c. Replace the Complainant's and Subject's name to Anonymous

d. Place one case note stating that "This Request Mast has been removed from CMS and stored locally IAW NAVMC 1700.23F Chap 2, Par 7. Contact the Unit Request Mast Coordinator for further information."

4. Because we are not able to delete cases outright, the intent is that the only thing remaining in CMS will be a case number that does not associate to anything other than a case note saying that this case number used to be a Request Mast. No details of the "who" or "what"

should be left in CMS. Do not reuse case numbers from previously used Request Mast CMS entries.

5. This policy does not apply to those Request Mast documents that are supporting documents to an IG Assistance Case or IG Investigation.

6. If there are any problems with removing documents from CMS, contact IGMC Hotline Administrator for assistance.

A handwritten signature in cursive script that reads "C E Edwards". The letters are dark and the ink appears to be on a light-colored paper.

C. E. EDWARDS
Director
Assistance and Investigations
Division



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:
5000
IGA
20 Jul 17

READ AND INITIAL NO. 17-03

From: Inspector General of the Marine Corps
To: All Command Inspectors General

Subj: INVESTIGATIVE PROCESS: NOTIFICATION AND INTERVIEW PROCEDURES

Ref: MCO 5430.1

Encl: (1) Subject Notification Letter Template
(2) Witness Interview Script
(3) Subject Interview Script

1. Situation: Periodically, the Inspector General of the Marine Corps (IGMC) will release updates or changes to the current policy to ensure you have the latest IGMC guidance. These Read and Initial (R&I) policy memoranda will be included in subsequent revisions of the IGMC orders or policy documents as appropriate.

2. IGMC provides the following guidance when interacting with a witness or a subject of an Inspector General (IG) Investigation.

3. If the Investigating Officer (IO) talks to the Subject of a complaint regarding an IG matter of Fraud, Waste, Abuse of Authority, or Mismanagement (FWA/M) then you shall conduct an IG investigation. The Subject's due process rights must be protected. To best accomplish this, the individual shall be made aware when s/he is the Subject of an IG investigation. This is completed through proper Subject notification and rights advisement. If the IO talks to the Subject of a complaint without advising them of their rights, it is presumed that the person only believes they are a witness.

4. In the same way that an allegation cannot be substantiated from the results of a Preliminary Inquiry, an allegation also cannot be substantiated from statements garnered from an improperly advised Subject.

5. If it is the belief that the Subject is the only person with the information needed to answer the complaint, then contact your lawyer ahead of time and draft up an allegation to make sure the Subject of the complaint understands that s/he is now the Subject of an IG

investigation.

6. If the IO talked to the Subject without a properly framed and legally approved allegation, then immediately stop the inquiry and contact your lawyer. The following must occur prior to proceeding with the IG Investigation:

- a. Frame an allegation (approved by the lawyer).
- b. Formally notify the Subject. Inform the Subject that what they previously said was not covered under a rights advisement.
- c. Formally notify the Subject's commander.
- d. Allow the Subject to review, modify, submit a new statement/interview, or retract any previous statements given prior to the formal notification.

7. Upon completion of the IG Investigation, the IO shall:

- a. Write a Hotline Completion Report.
- b. Obtain a Legal Sufficiency Review.
- c. Obtain a Command Endorsement.

8. People talking to an IG should be confident that the IG will always advise them if they are a Subject. This ensures that IGs maintain absolute objectivity, fairness, transparency and removes any perception of bias when inquiring into IG matters.

9. Effective immediately, Enclosures (1) through (3) shall be used when notifying a Subject or conducting witness and subject interviews.

C E Edwards

C. E. EDWARDS
Director
Assistance and Investigations
Division



DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
701 S COURTHOUSE ROAD
ARLINGTON, VA 22204

IN REPLY REFER TO:

IGA
5041
3 Aug 17

From: [Inspector General of the Marine Corps/Command Inspector General]
To: [Subject]
Subj: SUBJECT NOTIFICATION, INSPECTOR GENERAL OF THE MARINE CORPS CASE #[]

1. This is a courtesy notification. In accordance with Department of Defense Inspector General (DoDIG) and Secretary of the Navy (SECNAV) regulations, this office is required to investigate the following allegation(s):

a. Allegation #1: [Subject] [Did what], in violation of [Law, Rule or Regulation] on [Date or Time Frame].

b. Allegation #2: Same as for #1

2. You are a Subject in this investigation. It will be necessary to interview you regarding this matter. The investigator will give you an opportunity to respond to the allegation(s).

3. Although the allegation(s) against you is/are non-criminal, the following rights are provided:

a. You do not have to answer any question that may tend to incriminate you. You are required to discuss the conduct of others and produce records as requested by the Investigating Officer.

b. Any statements you make, may be used as evidence against you in a trial by court-martial.

c. You have the right to consult with legal counsel prior to any questioning. This legal counsel may be a civilian lawyer retained by you at your own expense, a military lawyer appointed to act as your counsel without cost to you, or both.

Commented [MJS1]: If this is a MWR allegation use the standard MWR allegation

Commented [MJS2]: If there is only one allegation then do not number them a. b. etc

Commented [DPB3]: For civilians, consult your area Counsel to ensure appropriate rights advisements are given.

Subj: SUBJECT NOTIFICATION, INSPECTOR GENERAL OF THE MARINE
CORPS CASE #[]

d. You have the right to have such retained civilian lawyer or appointed military lawyer present during this interview, however, your attorney may not participate.

4. To protect the confidentiality of IG investigations and the rights, privacy, and reputations of all people involved in them, you are not to discuss or reveal matters under investigation with anyone, except your attorney, if you choose to consult one. Please inform the Investigator if anyone asks you about the case or the testimony that you provide. Please inform them that the [IGMC/Inspector General] has told you not to discuss the matter. This does not apply to, or restrict your right to contact an Inspector General or a member of Congress. This applies to others present during this notification.

5. An investigator will contact you to make necessary arrangements. The point of contact at [Command] for inquiries related to this matter is [Investigator's Name, Phone and email address].

[IG/CIG SIGNATURE]

Copy to:

[Subject's Command (Attn: CIG)]

Subj: SUBJECT NOTIFICATION, INSPECTOR GENERAL OF THE MARINE
CORPS CASE # [REDACTED]

First Endorsement:

The Subject was personally notified at _____ (time) on
_____ (date).

Notification completed by: _____

Second Endorsement:

The Subject's Commander was personally notified at _____ (time)
on _____ (date).

Notification completed by: _____

WITNESS INTERVIEW SCRIPT

READ-IN (Read the following verbatim. Do not use your own words)

1. We are investigators with the **IGMC/Inspector General's Office** (Display credentials and provide business card).
2. We are conducting an administrative investigation (not a criminal investigation); we are impartial fact finders and the information you provide may be included in our report of investigation.
 - a. Testimony taken by an IG and reports based on the testimony may be used for official purposes. Access is normally restricted to persons who clearly need the information to perform their official duties.
 - b. In some cases, disclosure to other persons may be required by law or regulation, or may be directed by proper authority.
3. You are not the Subject of this investigation.
4. We will be recording this interview. You are not authorized to record any portions of this interview.
5. This interview will be sworn and everything you tell us is for the record (we are never off the record –even when the recorder is turned off).
6. Under the Freedom of Information Act, anyone can request a copy of the final report. In accordance with the Privacy Act of 1974, all names and identifying information will be redacted from the final report. If you request a copy of the report, all names and identifying information of other people will be redacted, but your information will remain.
7. Official government records can be used for other purposes such corrective action (courts-martial, etc.)
8. At no time will we discuss classified information during this interview. If there is a need to discuss classified information, we can make suitable arrangements to do so at another time.
9. Before we continue, I want to remind you of the importance of presenting truthful testimony. It is a violation of Federal law to knowingly make a false statement under oath.
 - a. **For active duty/reserve personnel subject to UCMJ:** Any person subject to the UCMJ who, with intent to deceive, signs any false record, return, regulation, order, or other official

document, knowing the same to be false, or makes any other false official statement knowing to be false, may be subject to action under the provisions of UCMJ, Article 107.

Do you understand?

- b. **For civilian/personnel not subject to UCMJ:** Under the provisions of 18 United States Code, Section 1001, whoever in any matter within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals, or covers up by a trick, scheme, or device, a material fact; or makes any false, fictitious, or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined not more than \$10,000 or imprisoned for not more than five years, or both. Additionally, any person who willfully and contrary to his/her oath testifies falsely while under oath may be punished for perjury under the provisions of Title 18, U.S.C., Section 1621.

Do you understand?

10. Describe the process (foundation questions/ chance to make a statement/ follow-up questions/ read out)
11. Do you have any questions before we begin?

TURN ON THE RECORDER

12. The time is _____. This recorded interview is being conducted on (date), at (location; if telephonic, state both locations). Persons present are the witness (name); the investigating officer(s) _____;

13. You are a Witness in this case and you are not under investigation.

14. Please raise your right hand so I may administer the oath.

Do you swear (or affirm) that the testimony you are about to give shall be the truth, the whole truth and nothing but the truth so help you God?

15. Prior to going on the record today...

- a. I told you about the provisions of the Freedom of Information Act and Privacy Act.
- b. I reminded you of the importance of presenting truthful testimony and that it is a violation of Federal law to knowingly make a false statement under oath.

- c. Did you understand the provisions as I explained them to you?
- d. I mentioned that this interview would be recorded, could you acknowledge that you know the recorder is on and that you are not using any kind of recording device.

16. This investigation has been directed by _____.

17. Please state your (as applicable):

- a. Name: _____
- b. Rank: _____
- c. Status: (Active/Reserve/Retired)
- d. Grade/Position: _____
- e. Organization: _____

QUESTIONING

Foundation questions:

Free Narrative:

Do you wish to make an additional statement before we begin with our questions?

Be prepared to manage expectations

Direct Examination:

As required – depending on the depth and detail of free narrative

Who – What – When – Where – Why – How

Cross Examination:

As required – cross examination could be deferred until a follow-on interview

READ-OUT

18. Do you have anything else related to this investigation that you wish to present?

19. Who else do you think we should talk to, and why?

20. To protect the confidentiality of IG investigations and the rights, privacy, and reputations of all people involved in them, you are not to discuss or reveal matters under investigation with anyone,

except your attorney, if you choose to consult one. Please inform me if anyone asks you about the case or the testimony that you provided today. Please inform them that the **IGMC/Inspector General** has told you not to discuss the matter. This does not apply to or restrict your right to contact an IG or member of Congress. Do you understand?

NOTE: Others present should also be advised against disclosing information.

21. Do you have any questions? If you remember anything else that you believe may be relevant to the investigation, please contact me.

22. The time is _____, and the interview is concluded. Thank you for your time and cooperation.

NOTE: If, at any time, the investigator feels that the witness has said something incriminating, making him or her a Subject, stop the interview. You will need to frame allegations with your lawyer. The follow-on interview will then be conducted using the Subject Script.

SUBJECT INTERVIEW SCRIPT

READ-IN (Read the following verbatim. Do not use your own words)

1. We are investigators with the **IGMC/ Inspector General's Office** (Display credentials and provide business card).
2. We are conducting an administrative investigation (not a criminal investigation); we are impartial fact finders and the information you provide may be included in our report of investigation.
 - a. Testimony taken by an IG and reports based on the testimony may be used for official purposes. Access is normally restricted to persons who clearly need the information to perform their official duties.
 - b. In some cases, disclosure to other persons may be required by law or regulation, or may be directed by proper authority.
3. We have information that may be unfavorable to you. We are required to give you the opportunity to comment on these matters, however, you do not have to answer any question that may tend to incriminate you.
4. We will be recording this interview. You are not authorized to record any portions of this interview.
5. This interview will be sworn and everything you tell us is for the record (we are never off the record –even when the recorder is turned off).
6. Under the Freedom of Information Act, anyone can request a copy of the final report. In accordance with the Privacy Act of 1974, all names and identifying information will be redacted from the final report. If you request a copy of the report, all names and identifying information of other people will be redacted, but your information will remain.
7. Official government records can be used for other purposes such corrective action (courts-martial, etc.)
8. At no time will we discuss classified information during this interview. If there is a need to discuss classified information, we can make suitable arrangements to do so at another time.
9. Before we continue, I want to remind you of the importance of presenting truthful testimony. It is a violation of Federal law to knowingly make a false statement under oath.

a. **For active duty/reserve personnel subject to UCMJ:** Any person subject to the UCMJ who, with intent to deceive, signs any false record, return, regulation, order, or other official document, knowing the same to be false, or makes any other false official statement knowing it to be false, may be subject to action under the provisions of UCMJ, Article 107. Do you understand?

b. **For civilian/personnel not subject to UCMJ:** Under the provisions of 18 United States Code, Section 1001, whoever in any matter within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals, or covers up by a trick, scheme, or device, a material fact; or makes any false, fictitious, or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined not more than \$10,000 or imprisoned for not more than five years, or both. Additionally, any person who willfully and contrary to his/her oath testifies falsely while under oath may be punished for perjury under the provisions of Title 18, U.S.C., Section 1621. Do you understand?

10. Describe the process (foundation questions/ chance to make a statement/ follow-up questions/ read out)

11. Do you have any questions before we begin?

TURN ON THE RECORDER

12. The time is _____. This recorded interview is being conducted on (date), at (location; if telephonic, state both locations). Persons present are the witness (name); the investigating officer(s)

13. You are a Subject in this case and you are under investigation.

14. Please raise your right hand so I may administer the oath.

Do you swear (or affirm) that the testimony you are about to give shall be the truth, the whole truth and nothing but the truth so help you God?

15. Prior to going on the record today...

a. I told you about the provisions of the Freedom of Information Act and Privacy Act.

- b. I reminded you of the importance of presenting truthful testimony and that it is a violation of Federal law to knowingly make a false statement under oath.
- c. Did you understand the provisions as I explained them to you?
- d. I mentioned that this interview would be recorded, could you acknowledge that you know the recorder is on and that you are not using any kind of recording device.

16. This investigation has been directed by _____ concerning allegations that (from Subject notification letter): _____ *Read allegations verbatim from the notification letter* _____.

17. Please state your (as applicable):

- a. Name: _____
- b. Rank: _____
- c. Status: (Active/Reserve/Retired)
- d. Grade/Position: _____
- e. Organization: _____

18. Rights Advisement (Should be read in all cases):

- a. You have the right to remain silent; any statements you make may be used as evidence against you in a trial by court-martial. You do not have to answer any question that may tend to incriminate you. You are required to discuss the conduct of others and produce records as I request.
- b. You have the right to consult with legal counsel prior to any questioning. This legal counsel may be a civilian lawyer retained by you at your own expenses, a military lawyer appointed to act as your counsel without cost to you, or both. You have the right to have such retained civilian lawyer and/or appointed military lawyer present during this interview, however, your attorney may not participate.
- c. Do you certify and acknowledge that you fully understand the rights as I have just read them to you?

19. Waiver of rights: Ask, Do you:

- a. Desire to waive your right to remain silent?
- b. Desire to make a statement?

Commented [DPB1]: For civilians, consult your area Counsel to ensure appropriate rights advisements are given.

- c. Desire to consult with either a civilian lawyer retained by you or a military lawyer appointed as your counsel without cost to you prior to questioning?
- d. Desire to have such a lawyer present with you during this interview?

20. Ask the Subject to please state the following for the record: This acknowledgement and waiver of rights is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me.

QUESTIONING

Foundation questions:

Free Narrative:

Do you wish to make an additional statement before we begin with our questions?

Be prepared to manage expectations

Direct Examination:

As required – depending on the depth and detail of free narrative

Who – What – When – Where – Why – How

Cross Examination:

As required – cross examination could be deferred until a follow-on interview

READ-OUT

21. Do you have anything else related to this investigation that you wish to present

22. Who else do you think we should talk to, and why?

23. To protect the confidentiality of IG investigations and the rights, privacy, and reputations of all people involved in them, you are not to discuss or reveal matters under investigation with anyone, except your attorney, if you choose to consult one. Please inform me if anyone asks you about the case or the testimony that you provided today. Please inform them that the **IGMC/Inspector General** has told you not to discuss the matter. This does not apply to or restrict your right to contact an IG or member of Congress. Do you understand?

NOTE: Others present should also be advised against disclosing information.

24. Do you have any questions? If you remember anything else that you believe may be relevant to the investigation, please contact me.

25. The time is _____, and the interview is concluded. Thank you for your time and cooperation.



YOUR COMMAND'S LETTERHEAD HERE

Commented [MJS1]: All highlighted/bold/italicized areas need input

IGA
SSIC
DATE

Commented [M2]: 5000 for Assistance and 5041 for Investigations

From: **Investigating Officer**
To: **Directing Authority**
(Attn: **Action Officer's name**)
Via: **(If Applicable)**

Subj: HOTLINE COMPLETION REPORT FOR **DODIG CASE# 20150000-00000-CASE-00 /CMS Case# 12345**

Commented [MJS3]:
•Only include the DoDIG Case # if it is a DoDIG Action Tasker

Ref: (a) MCO 5430.1A
(b) MCO 5370.8
(c) **List all of the standards used in the HCR (not just the substantiated ones)**

Commented [MJS4]: Include a list of all the applicable directives that were used to write this report.

Encl: (1) Original Complaint, DTD DD MMM YYYY
(2) **Second enclosure used**

Commented [MJS5]: Provide a list of relevant documents used to support the findings of fact (FOF) contained in this investigation/ inquiry. When these enclosures include witness statements/ testimonies, it should be annotated how these statements/testimonies were obtained (i.e., personal interview, phone call, questionnaire, and etc.). [Note: These enclosures should not be physically forwarded with the report, but should be identified at this point in the report.]

1. **Scope** of Inquiry.
 - a. **Origin and Summary of the complaint.**
 - b. Subject(s) Name, Rank, Organization and **date notified** .
 - c. List of relevant **witnesses**.

Commented [MJS6]: Explain what was investigated, the nature and manner of the investigation/inquiry was conducted, the authority for the investigation/inquiry, and any limitations (constraints/restraints).

Commented [MJS7]: Include who you received the complaint from, when you received it and how you received it (email, referral etc.). In the summary of the complaint include the 5 Ws at a minimum.

2. **Allegations or Issues.**

Commented [MJS8]: Date notified is only required if an investigation was conducted.

Allegation 1. WHO, DID WHAT, IN VIOLATION OF WHAT, WHEN
Example: LtCol Marine misused subordinates' time in violation of DoD 5500.07-R, Joint Ethics Regulations (JER), 5 CFR § 2635.705 from February through May 2020.

Commented [MJS9]: List of relevant witnesses interviewed including rank and organization and how the interviews were conducted (in person, phone, etc.).

OR...

Commented [MJS10]: Identify the allegations/issues: There can be a combination of Allegations and Issues. Just be sure to separate them accordingly

a. **There was no alleged violation of a rule, standard or order, however, the following issue was raised:**

Enclosure (3)

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(1) Issue 1. The Complainant alleges that... [Insert the issue identified in your analysis here].

(2) Issue 2.

3. Facts, Analysis, and Findings:

a. Allegation 1/Issue 1: Restate the allegation or issue

(1) Findings of Facts.

(a) Findings of Facts (FOF) that follow should pertain to this particular allegation. Every finding must be supported by documentary or other evidence and listed as an enclosure. (Encl XX)

(b)...

(2) Analysis.

(a) Describe how the Findings of Fact support (or do not support) the conclusions contained in the "Finding" paragraph.

(b) Reference the "chapter & verse" of Standard. Incorporate the elements of the standard in question. Compare the "criteria" (elements of the standard) to the "conduct" (actions).

(3) Finding. Restate the allegation(s) or issue(s) exactly as listed in paragraph 2. above. Put the finding at the end of each allegation. Example: LtCol Marine *misused subordinates' time in violation of DoD 5500.07-R, Joint Ethics Regulations (JER), 5 CFR § 2635.705 from February through May 2020. **SUBSTANTIATED.***

b. Allegation 2/Issue 2:

4. Criminal or Regulatory Standards.

a. List the standards that were used in the report that the subject violated. Example: None, or JFTR SECTION 23, PARAGRAPH

5. Corrective Action. Include the results of punitive or administrative actions, reprimands, value of property recovered, regulatory/procedural changes or other such actions taken to

Commented [MJS11]: Each allegation or issue gets its own Facts, Analysis, and Findings section.

Commented [MJS12]: This helps the reader compartmentalize each allegation or issue and their corresponding facts

Commented [MJS13]: Each Fact needs to reference an enclosure

Commented [MJS14]: Tip: Do not use terms like "believes" or speak in the first person. It implies opinion.

Commented [MJS15]: Each allegation or issue must have a finding. Acceptable findings are Substantiated, or Not Substantiated. Founded and Unfounded are only used with issues.

Commented [M16]: Finding shall be typed in all caps and bolded.

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preclude recurrence. This report should not contain recommendations of what to do to the Subject(s); just what was done. Report if the command made an Officer Disciplinary Notebook entry for officers IAW MCO P5800.16A Ch 7 or if the command notified the Department of the Navy Central Adjudication Facility IAW SECNAV M-5510.30. If corrective action is not available at the time the report is completed include Note: "To be provided" with an estimated time of submission and submit a HCR update when the information becomes available. The case will remain open in CMS until this is complete. Corrective action may be included as part of the Command Endorsement.

6. Recommendations.

a. Approve the report and close the case.

b. Include comments as to the adequacy of existing policy or regulations, noted weaknesses in systems of internal controls, systemic problems and any recommended corrective actions. Never recommend adverse actions.

7. Other Matters. During the course of investigations, investigators will often uncover situations that while not pertinent to the allegations, require the commander's attention. These situations may be systemic problems that require correction by a staff section or may require an inspection by the IG office. Identify additional allegations discovered during the course of this inquiry that will be handled by a separate investigation. Document these situations in separate paragraphs; one for each issue.

8. Security Classification. Specify security classification of information; usually UNCLASSIFIED//FOUO

9. Location of Report. *THE PHYSICAL LOCATION OF YOUR PAPER RECORDS.* Example: Assistance and Investigations Division, Office of the Inspector General of the Marine Corps.

10. Investigating Officer Information.

a. First and Last Name,

b. Rank (Military or Civil Service Grade)

c. IO Billet

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- d. Organization
- e. Email address
- f. Telephone Number

g. Investigator's Endorsement. I certify that I complied with the Quality Standards for Investigative Activities IAW DoD Instruction 7050.01.

YOUR SIGNATURE BLOCK

Name of the Command Inspector General
Command Inspector General
Command

_____ Approved
_____ Disapproved

Commented [MJS17]: Classification in the Header and Footer should reflect the actual classification.

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YOUR COMMAND'S LETTERHEAD HERE

IN REPLY REFER TO:
SJA or CL
SSIC
3 Aug 17

MEMORANDUM

From: **Lawyer's name goes here**
To: **Commander's name goes here**

Subj: LEGAL SUFFICIENCY REVIEW FOR **DODIG CASE# 20170000-0000-CASE-00 / CMS CASE# 00000**

Ref: (a) MCO 5430.1
(b) MCO 5370.8
(c) **LIST ALL OF THE STANDARDS THAT WERE USED IN THE REPORT (NOT JUST THE SUBSTANTIATED ONES)**

Encl: (1) Hotline Completion Report with supporting documents

1. I have reviewed enclosure (1) and find it legally sufficient. The investigation was done in accordance with references (a) and (b).

2. In the course of my review, I read the Hotline Completion Report (HCR), pertinent supporting documents, and references. The allegation **(s)** against the Subject **(s)** state **(s) (a)** violation **(s)** of law, regulation, policy, or procedure, reference **(s) () and/through ()**. The allegation **(s) has/have** been fully investigated and addressed in the HCR. The HCR includes testimony of the involved parties and copies of applicable documents. The findings of fact are supported by the evidence and the analysis identifies and applies the regulation **(s)** to those findings of fact. The preponderance of the evidence demonstrates that the Subject **(s) did OR did not** violate reference **(s) () and/through ()**, as set forth in the HCR.

3. Accordingly, the conclusion that the allegation is **Substantiated OR Not Substantiated** is legally sufficient.

OR FOR MULTIPLE ALLEGATIONS...

Enclosure (4)

Commented [M1]: Writing Tips:
• There should be no new or additional information introduced in the LSR.
• Except for rare circumstances (coordinated with Counsel, IGMC), there should not be conflicting information in the LSR and the HCR. These issues should be reconciled in the HCR prior to the LSR becoming part of the official record.

Commented [M2]:
• Only include the DoDIG Case # if it is a DoDIG Action Tasker
• Highlighted/underlined text require input or an either/or selection.

Commented [MJS3]: Identify which references the Subject violated and which ones s/he did not

Subj: LEGAL SUFFICIENCY REVIEW FOR **DODIG CASE# 20170000-00000-CASE-00 / CMS CASE# 00000**

3. Accordingly, the conclusion that **XX** allegation**(s) is/are** Substantiated and **XX** allegation**(s) is/are** Not Substantiated is legally sufficient.

LAWYER'S SIGNATURE BLOCK

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IGMC Complaint Analysis Worksheet



CASE #: _____

1. Date Complaint Rec'd: _____

2. Anonymous(Yes/No): _____

Confidentiality Requested: _____

3. Complainant Information:

#1

#2

#3

Name:	_____	_____	_____
Rank/Grade:	_____	_____	_____
Status:	_____	_____	_____
Command/Organization:	_____	_____	_____
Prior Case(s):	_____	_____	_____

4. Subject Information:

#1

#2

#3

Name:	_____	_____	_____
Rank/Grade:	_____	_____	_____
Status:	_____	_____	_____
Command/Organization:	_____	_____	_____
Prior Case(s):	_____	_____	_____

5. Issue(s) / Allegation (s):

6. Analysis:

7. DoD IG Tasking Method (if applicable): _____

8. Recommended Course of Action: _____ / _____

9. Recommended Correspondence: _____ / _____

10. Analysis By: _____ Date Analysis Completed: _____

11. Investigator Assignment: _____ (Primary) _____ (Secondary)

12. Approval: _____ (Deputy) _____ (Director)

Status	COAs	Correspondence	Anonymous / Confidentiality	Grade
Active Duty	Transfer	MFR to Close	Yes	Pvt
Reserve	Assistance	ACK_END	No	PFC
Retired	Refer	Refer		LCpl
Separated	Decline	3rd Party ACK_END		Cpl
IRR	Inquiry	Cmd Info		Sgt
Gov't Employee - AF (GS)	Investigation	Cmd Action		SSgt
Gov't Employee - NAFI		IG Info		GySgt
Civilian		IG Action		MSGt
Contractor				1stSgt
Unknown				MGySgt
				SgtMaj
				2nd Lt
DoD IG Tasking				1st Lt
				Capt
N/A				
Action Referral				Maj
Information Referral				LtCol
				Col
				BGen
				MajGen
				LtGen