A4

Department of Defense

INSTRUCTION

NUMBER 7050.7

December 14, 1998

IG, DoD

SUBJECT: Defense Hotline Procedures

References: (a) DoD Directive 7050.1, "Defense Hotline Program," January 4, 1999
(b) Quality Standards for Investigations, September 1997, President's Council on Integrity and Efficiency
(c) DoD Instruction 7050.8, "Defense Hotline Quality Assurance Review (QAR) Program," December 14, 1998

1. PURPOSE

This Instruction implements policy, assigns responsibilities and prescribes procedures under reference (a) for the operation of the Defense Hotline Program.

2. APPLICABILITY AND SCOPE

This Instruction applies to The Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Inspector General of the Department of Defense (IG, DoD), the Uniformed Services University of the Health Sciences, the Defense Agencies including nonappropriated fund activities, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

3. DEFINITIONS

Terms used in this Instruction are defined in enclosure 1.

4. POLICY

It is DoD policy to identify fraud, waste and mismanagement in DoD programs and operations. To strengthen and focus Departmental efforts in support of the policy, the Defense Hotline was established to enable and encourage personnel to report instances of fraud, waste and mismanagement without fear of reprisal or disclosure of identity.

5. RESPONSIBILITIES

5.1. The Inspector General of the Department of Defense shall:

5.1.1. Manage the Defense Hotline Program.

5.1.2. Comply with the standards for investigations set forth in Quality Standards for Investigations (reference (b)).

5.1.3. Provide guidance to the DoD Components for resolving Defense Hotline referrals.

5.1.4. Provide oversight and followup of completed Defense Hotline referrals through DoD Directive 7050.8 (reference (c)).

5.2. The Heads of the DoD Components shall comply with the procedures outlined in this Instruction.

6. PROCEDURES

6.1. The Defense Hotline Program staff shall:

6.1.1. Obtain from the complainant the specific information necessary to ascertain referral to the appropriate DoD Component for action or information.

6.1.2. Document pertinent information of allegations received by telephone, mail, Internet, or other means of communication that appear to merit examination.

6.1.3. Assign a case control number for tracking Defense Hotline referrals.

6.1.4. Prepare a Hotline Memorandum to the appropriate organization for each complaint referred, indicating whether the referral is for action or information, and any additional information relative to the complaint.

6.1.5. Refer items preliminarily determined to be sensitive, controversial, or inappropriate for referral to the DoD Component to the appropriate office within the IG, DoD, for further evaluation. This includes allegations against General or Flag Officers, members of the Senior Executive Service, military whistleblower reprisals, improper referrals for mental health evaluations, nonappropriated fund employee reprisals, and Defense contractor employee reprisals.

6.1.6. Review and analyze all interim and final inquiry reports to ensure all aspects of the complaint were addressed fully, inquiries were conducted properly, and that appropriate corrective measures were taken based on the stated findings and conclusions.

6.1.7. Notify the designated DoD Component Coordinator of discrepancies noted in individual reports or apparent deficiencies in the related inquiry, so the DoD Component may review and, if necessary, reconduct an inquiry of the complaint and submit a revised or corrected closing report.

6.1.8. Conduct periodic oversight of the Defense and the DoD Component hotline programs to verify that complaints are processed properly and that files contain adequate documentation to support the Hotline Completion Report findings and conclusions.

6.1.9. Followup on completed Defense Hotline referrals to determine if appropriate corrective action was taken.

6.2. The DoD Components shall:

6.2.1. Designate a Defense Hotline Coordinator.

6.2.2. Establish procedures to ensure the prompt receipt, processing, controlling, examining, and reporting of all allegations referred through the Defense Hotline/DoD Component hotline.

6.2.3. Examine Defense Hotline "Information" referrals to determine if an inquiry is warranted.

6.2.4. Ensure necessary controls are in place to provide maximum protection for the identity of all hotline users.

6.2.5. Ensure that individuals who initiate a complaint or provide information

to a hotline within the Department of Defense understand they are not required to discuss their complaint or related information with anyone other than the investigator.

6.2.6. Prepare a Defense Hotline Completion Report, using the format in enclosure 2, and submit through the DoD Component Defense Hotline Coordinator within 90 days (180 days for criminal investigations) from the date the complaint was transmitted by the Defense Hotline.

6.2.7. When necessary, requests for extensions shall be in writing to the Defense Hotline stating the reason for the delay and the anticipated completion date.

6.2.8. Ensure each Defense Hotline case file contains documentation that supports the findings and conclusions contained in the Defense Hotline Completion Report. This includes the Defense Hotline referral; the Defense Hotline Completion Report; actions taken by the examining official to determine the findings, including complete identity of all witnesses, the date and information related during interviews, specific details and locations of all documents reviewed during the examination; and any other actions the DoD Component took as a result of the inquiry.

6.2.9. Completed Defense Hotline case files shall be retained for at least two years after the inquiry is closed by the Defense Hotline. Similar retention times are recommended for the DoD Component hotline case files.

7. EFFECTIVE DATE

This Instruction is effective immediately.

Eleanor Hill
Inspector General

Enclosures - 2

E1. Definitions

E2. Defense Hotline Completion Report

E1. ENCLOSURE 1

DEFINITIONS

E.1.1. Inquiry. "Inquiry" shall be used interchangeably with the term audit, investigation, inspection, examination, or other type of review when used to describe the fact-finding process in response to a Defense Hotline referral.

E.1.2. Action Referral. Defense Hotline allegations referred to the DoD Component for action are allegations that can be resolved by the DoD Component, may be an indication of a systemic problem within the Component, or have been determined through the Defense Hotline review process as requiring DoD Component attention. In response to an action referral, the DoD Component shall conduct an inquiry and provide a Defense Hotline Completion Report to the Defense Hotline.

E.1.3. Information Referral. Complaints or disagreements that do not require intervention by the DoD Component, but should be brought to the Component's attention are referred for information. These referrals do not require a Defense Hotline Completion Report unless the DoD Component decides to conduct an inquiry that results in corrective action.

E2. ENCLOSURE 2

DEFENSE HOTLINE COMPLETION REPORT AS OF (APPLICABLE DATE)
(This format is recommended for documenting the results of the inquiry)

E.2.1.1. Name of Official Conducting Inquiry:

E.2.1.2. Rank and/or Grade of Official:

E.2.1.3. Duty Position and Telephone Number:

E.2.1.4. Organization:

E.2.1.5. Hotline Control Number:

E.2.1.6. Scope of Inquiry, Findings, Conclusions and Recommendations:

E.2.1.6.1. Scope of Inquiry. State the allegations, identify the organization and location, person or persons against whom the allegation was made, the scope, nature and manner of the inquiry conducted, documents reviewed, witnesses interviewed, and whether inquiries or interviews were conducted by telephone or in person.

E.2.1.6.2. Findings. State the findings as they relate to each allegation. Provide a list of documents and/or evidence collected to support the findings and their locations. The identity of interviewees need not be reflected in the report, but should be documented in the official file of the Agency conducting the inquiry.

E.2.1.6.3. Conclusions and Recommendations. For each allegation, state the analysis of the findings and the conclusions made by the official conducting the inquiry. Conclusions must state the results, that is, whether the allegations were Substantiated, Partially Substantiated, Not Substantiated, or Unfounded. This section also should include comments as to the adequacy of existing policy or regulations, noted weaknesses in systems of internal controls, and any recommended corrective actions.

E2.1.7. Cite Criminal or Regulatory Violations Substantiated.

E2.1.8. Disposition. For inquiries involving economy and efficiency, report management actions taken. For inquiries involving criminal or other unlawful acts,

include the results of criminal prosecutions, providing details of all charges and sentences imposed. Include the results of administrative sanctions, reprimands, value of property or money recovered, or other such actions taken to prevent recurrence.

E2.1.9. Specify Security Classification of Information. Each organization must determine and state, when applicable, the security classification of information included in the report that might jeopardize national defense or otherwise compromise security if the contents were disclosed to unauthorized sources.

E2.1.10. Indicate the Location of Field Working Papers and Files.