SECNAV INSTRUCTION 5370.5C

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY HOTLINE PROGRAM

Ref: (a) SECNAVINST 5430.7R
     (b) SECNAVINST 5430.57G
     (c) DoD Instruction 7050.01 of 17 October 2017
     (d) DoD 5500.07-R, Joint Ethics Regulation Section 10-200 of 30 August 1993
     (e) 5 CFR 2635.101
     (f) SECNAVINST 5370.7D
     (g) SECNAVINST 5800.12B
     (h) SECNAVINST 5430.92C
     (i) NAVINSGEN Investigations Manual, 2016

Encl: (1) Definitions
      (2) Responsibilities

1. Purpose. In accordance with references (a) and (b), this instruction establishes the Department of the Navy (DON) Hotline Program and implements reference (c) within the DON.

2. Cancellation. SECNAVINST 5370.5B.

3. Definitions. See enclosure (1).

4. Applicability. This instruction applies to the Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps, and all U.S. Navy, U.S. Marine Corps installations, commands, activities, field offices, and all other organizational entities within the DON.

5. Policy
   
   a. The Hotline Program is designed to demand and enforce the highest ethical standards from its personnel and requires them to effectively and efficiently manage its resources.
b. The Hotline Program is designed to eliminate and prevent fraud, waste, abuse, and mismanagement by identifying problems, determining responsibility, recommending solutions, and promoting accountability.

c. References (d) and (e) require military and civilian personnel to report suspected fraud, waste, abuse, mismanagement, and ethics violations to appropriate authorities. The chain of command is the preferred means of reporting because it reinforces accountability and allows matters to be addressed at the lowest level. The Department of Defense (DoD)/DON Hotline Programs provide confidential and reliable alternatives when a complainant fears reprisal or believes the chain of command has been unresponsive. The DoD/DON Hotline Programs provide an unbiased, impartial approach to address these issues and ensure that they are properly evaluated and, when necessary, investigated and corrected by responsible authorities.

d. The Naval Inspector General (NAVIG) Enterprise will respond to and enter all contacts and complaints of fraud, waste, abuse, mismanagement, and violations of laws, rules, or regulations in a timely and impartial manner into the Office of the Naval Inspector General (NAVINSGEN) case management information system and will inquire thoroughly to determine the facts of the matter. It will recommend corrective measures pursuant to applicable laws, regulations, directives, and instructions, and will report the result of its investigations to the appropriate authorities, if warranted. Unless specifically authorized by the complainant, NAVIG Enterprise personnel will protect the confidentiality of the complainant at all stages of the hotline process, to the maximum extent practicable, except when identification is required by law, regulation or judicial order.

6. Responsibilities. See enclosure (2).

   a. The SECNAV is responsible for implementing the DoD and DON Hotline Program throughout the DON. NAVIG is responsible for managing DoD/DON Hotline Programs within DON in accordance with reference (a). The NAVIG is designated as the DoD Hotline Coordinator for DON and is responsible for managing DoD/DON Hotline Programs within DON, in accordance with reference (c) and this instruction. For purposes of direct criminal
referrals, Naval Criminal Investigative Service (NCIS) is designated as the DoD Hotline Coordinator.

b. Except for tasks specifically assigned to NAVINSGEN, the Deputy Naval Inspector General/Inspector General of the Marine Corps (DNIG/IGMC) will function as the DON Defense Hotline Coordinator for complaints involving the U.S. Marine Corps. DNIG/IGMC will promulgate specific implementation of this instruction within the Marine Corps.

c. The NAVIG and DNIG/IGMC are authorized to task any DON command or activity with conducting an inquiry or providing assistance during an inquiry. Commands or activities must treat any tasking from the NAVIG or DNIG/IGMC as a tasking from the SECNAV.

d. Shared assets throughout DON are essential in resolving hotline complaints. NAVIG Enterprise IGs may request assistance from any other DON activities when necessary to resolve hotline issues. NAVINSGEN, NCIS, Naval Audit Service, and individual commands will provide assistance, as necessary, for the timely and professional resolution of hotline cases.

7. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page: https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local Records Manager or the DRMD program office.

THOMAS B. MODLY  
Under Secretary of the Navy

DEFINITIONS

1. **Abuse.** Intentional wrongful, or improper use of government resources, position or authority.

2. **Allegation.** A statement of wrongdoing or impropriety and generally includes one or more of the following elements: who, what, when, where, how, or why. Allegations may be made against persons, processes, issues, or adverse conditions. Allegations are resolved by inquiries and result in creditable findings of substantiated or not substantiated.

3. **Fraud.** Any intentional deception designed to deprive the United States unlawfully of something of value or to secure from the United State a benefit, privilege, allowance, or consideration to which a person or entity is not entitled.

4. **Hotline.** The established means of communication by which an individual may, in confidence, report allegations of fraud, waste, abuse, mismanagement, and violations of law, rule, or regulation to the NAVIG Enterprise.

5. **Inquiry.** Any fact-finding process in support of an IG function

6. **Investigation.** A fact-finding examination into allegations, issues, or adverse conditions to provide a sound basis for decisions and actions. IG investigations address allegations of wrongdoing by individual persons. IG investigations involve the systematic collection and examination of evidence that consists of testimony, documents, and, in some cases, physical evidence.

7. **Mismanagement.** Wrongful or arbitrary and capricious actions that may have an adverse effect on the efficient accomplishment of the agency’s mission.

8. **NAVIG Enterprise.** A collaborative and transparent team focused on generating decision-quality information for the NAVIG. The Enterprise is comprised of all DON personnel that perform core IG functions embedded within DON commands and is led by the NAVIG.

9. **Waste.** The extravagant, careless, or needless expenditure of government funds, or the consumption of government property that results from deficient practices, systems, controls, or decisions.
RESPONSIBILITIES

1. NAVINSGEN will:
   a. Coordinate all DoD Hotline matters and case referrals with DoD OIG. Function as the sole liaison with DoD IG for hotline matters.

   b. Ensure hotline inquiries and investigations are conducted pursuant to applicable laws, DoD and DON regulations, policies, and professional standards.

   c. Receive contacts and conduct hotline inquiries and investigations in accordance with all applicable DoD and DON standards concerning allegations related to:

      (1) Violations of laws, rules, or regulations.

      (2) Fraud, waste, abuse of authority or mismanagement.

      (3) Military whistleblower reprisal for resolution in accordance with reference (f).

      (4) Senior official misconduct in accordance with reference (g).

      (5) Other matters of concern to the SECNAV or CNO.

   d. Task, oversee, and coordinate hotline investigations within the DON, as appropriate.

   e. Conduct quality assurance reviews of DON component hotlines to ensure compliance with this instruction with applicable NAVIG guidance.

   f. Issue guidance that specifies procedures and requirements to ensure:

      (1) All cases referred to commands are appropriately received, tracked, evaluated, and acted upon.

      (2) Identity of complainants and witnesses are protected from unauthorized disclosure.
(3) The DON Hotline Program is fully implemented throughout the NAVIG Enterprise.

(4) Matters referred for investigation are thoroughly investigated and reported back in the required format.

(5) Matters referred for information that result in substantiated allegations or corrective action are submitted to NAVINSGEN in the required format.

(6) Investigators have unrestricted access to all necessary DON records and information.

   g. Maintain online access for individuals to report matters of fraud, waste, abuse, and mismanagement or other matters of interest to DON.

   h. Forward all acquisition fraud related hotline complaints to the Acquisition Integrity Office for coordination in accordance with reference (h).

   i. Forward all hotline complaints regarding criminal matters to NCIS for appropriate action.

   j. Direct efforts and issue procedures and guidance for a fully implemented and effective DON hotline program that is in compliance with reference (c).

   k. Maintain a web-based case management information system to manage all NAVIG Enterprise hotline investigative files. All DON IG hotline contacts and investigations, except those that fall under the cognizance of DNIG/IGMC, must be entered into the designated NAVINSGEN case management information system.

2. **Echelon 1 and 2 Commanders with assigned Command IG will:**

   a. Establish their own hotline for the direct receipt of DON hotline complaints at their level, and may establish or authorize subordinate commands to establish a hotline. A hotline established pursuant to this paragraph must be considered part of the DON Hotline Program and comply with reference (c), this instruction, and all other applicable DON directives.
b. At a minimum, staff the IG office with one GS-
1801/1810/1811 series investigator to conduct hotline
investigations. Staffing must be sufficient to complete
investigations within six months of receipt of the complaint.

c. Ensure that investigators have successfully completed
the NAVINSGEN Basic Investigations Course, or equivalent DoD or
other military service IG training, prior to conducting,
reviewing, or determining any action on a hotline complaint.
This requirement may be waived by the NAVIG in appropriate
circumstances for a period not to exceed six months.

d. Ensure staff investigators maintain certification and
training requirements as prescribed by the NAVIG.

e. Ensure prompt, responsible, and impartial processing by
the Command IG of hotline matters received locally or tasked by
NAVINSGEN.

f. Ensure DoD/DON Hotline fraud, waste, and abuse hotline
posters are prominently displayed in common work areas and
official bulletin boards within the command or activity.

g. Provide sufficient resources, including funded and
staffed positions, to fulfill the responsibilities outlined in
reference (b) and in this instruction. If the NAVIG determines
the level of staffing at a command or activity identified in
reference (b) to be insufficient, the NAVIG will recommend that
the UNSECNAV direct the command or activity to increase the
staffing level.

h. Ensure the hotline complies with all applicable DoD and
DON Hotline guidance.

i. Ensure the Command IG responds to hotline complaints in
a professional, timely, and impartial manner in accordance with
this instruction, per references (c) and (i) and other
applicable guidance. Hotline investigations must be completed
within six months of receipt.

j. Ensure that subordinate activities are capable of
conducting a professional investigation before tasking them with
a hotline investigation. The Command IG must be satisfied that
the assigned investigator, by demeanor, experience and position,
is capable of conducting a professional investigation and
producing a report that satisfies the standards of timeliness, independence, completeness and accountability.

k. Ensure hotline investigators have quick and unrestricted access to all necessary, personnel, records, and information.

l. Ensure the identity of complainants and witnesses are protected from unauthorized disclosure.