



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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WASHINGTON DC 20350-1000

SECNAVINST 5430.57H
NAVINGEN
17 Dec 2019

SECNAV INSTRUCTION 5430.57H

From: Secretary of the Navy

Subj: MISSION AND FUNCTIONS OF THE NAVAL INSPECTOR GENERAL

Ref: (a) SECNAVINST 5430.7R
(b) 10 U.S.C §8014
(c) 10 U.S.C §8020
(d) 10 U.S.C §8032
(e) 10 U.S.C §8042
(f) SECNAV M-5214.1

Encl: (1) Relationships
(2) Responsibilities
(3) Acronyms
(4) Definitions

1. Purpose. To establish the mission and functions of the Naval Inspector General (NAVIG). This instruction defines the roles and authorities of the NAVIG in accordance with references (a) through (f). Enclosures (1) through (4) provide relationships, responsibilities, acronyms, and definitions, respectively.

2. Cancellation. SECNAVINST 5430.57G.

3. 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 (CMC), and all U.S. Navy (Navy), U.S. Marine Corps (USMC) installations, commands, activities, field offices, and all other organizational entities within the Department of the Navy (DON).

4. Policy. In accordance with references (a), (d) and (c), it is DON policy:

a. To inspect, investigate, or inquire into any and all matters of importance to the DON in order to maintain the highest level of public confidence. The NAVIG reports to the SECNAV and serves as the SECNAV's representative. In this capacity, the

NAVIG may inquire into and report on any matter that affects the discipline or military efficiency of the DON.

b. That the NAVIG will be an active-duty Line Officer, normally in the rank of Vice Admiral, and the Deputy Naval Inspector General (DNIG) will be a member of the Senior Executive Service (SES). The Deputy Naval Inspector General/Inspector General of the Marine Corps (DNIG/IGMC) will be a Marine Corps General Officer, and the DNIG/IGMC Deputy will be a member of the SES.

c. Pursuant to reference (a), the NAVIG is authorized to request, by name or area and level of expertise, such military and civilian personnel in the DON for temporary assignments as the NAVIG determines may be required to carry out NAVIG's mission and functions. All costs including travel and per diem for such temporary personnel will be paid by their parent bureaus, offices, or commands. Subject to applicable regulations, the Office of the Naval Inspector General (NAVINSGEN) may temporarily employ civilian consultants when necessary to accomplish the NAVIG mission.

d. That the NAVIG supports the DON's role in the National Defense Strategy, supports the Navy's strategy, advances SECNAV's priorities, and supports the CNO's vision for the Navy.

e. That all DON personnel fully assist and cooperate with all Inspector General (IG) requests, to include requests from the NAVIG Enterprise or others acting under NAVIG authority. This obligation specifically includes, but is not limited to, candidly and completely answering questions and providing relevant information, documents, records, and other evidence, consistent with constitutional, statutory, and regulatory due process protections.

5. Responsibilities. See enclosure (2).

6. Acronyms. See enclosure (3).

7. Definitions. See enclosure (4).

8. Mission. The mission of the NAVIG is to:

a. Inquire into and report upon any matter that affects the discipline or military efficiency of the DON;

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b. Make such inspections, investigations, and reports as the SECNAV or the CNO directs, or as DNIG/IGMC may be directed by the CMC.

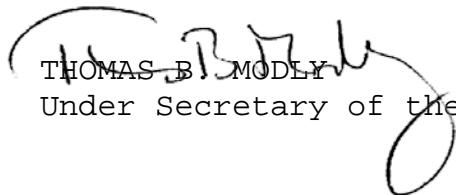
9. Functions. The NAVIG, NAVINSGEN, and the NAVIG Enterprise provide independent, objective, and professional inspections, assessments, inquiries, research and evaluation, investigations, oversight, and advice on any and all matters of importance to the DON. The NAVIG Enterprise operates without command influence, pressure, coercion, or fear of reprisal.

10. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and disposed of 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.

11. Information Management Control. The reporting requirements contained in enclosure (2), paragraphs 1u and 3f are exempt from information collection control, per reference (f), Part IV, paragraph 7n.


THOMAS B. MODLY
Under Secretary of the Navy

Distribution:

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<https://www.secnav.navy.mil/doni>.

RELATIONSHIPS

1. Department of Defense Office of Inspector General (DoD OIG). The NAVIG and DNIG/IGMC, as NAVIG's designee for USMC matters, are the primary DON liaisons to DoD OIG. With the exception of the Naval Criminal Investigative Service (NCIS), the Naval Audit Service (NAVAUDSVC), and the Assistant General Counsel Acquisition Integrity (AGC (AI)), all DON activities will coordinate contact with DoD OIG through NAVINSGEN. Accordingly, DON activities contacted directly by DoD OIG will immediately notify NAVINSGEN via the NAVIG Enterprise reporting chain to report the nature of the contact. NAVINSGEN will ensure that the DON activities provide DoD OIG with all necessary records, information, and assistance.

a. DON activities that determine requested material should not be provided to DoD OIG will present NAVINSGEN with a detailed explanation for not supporting the request. The reason for recommending withholding of information must include at least one of the following:

(1) Sensitive operational plans;

(2) Intelligence matters;

(3) Counterintelligence matters;

(4) Ongoing criminal investigations by other administrative units of the DoD, related to national security matters.

b. To avoid delays, even when an activity objects to releasing information to DoD OIG, it should immediately collect the information being requested and prepare it for transmittal. NAVINSGEN will work with the command and DoD OIG to resolve any dispute. If the matter cannot be resolved to the satisfaction of the command and DoD OIG, the NAVIG will notify the SECNAV. Any refusal to release material to DoD OIG by any DON activity, including NCIS, NAVAUDSVC, and AGC (AI), must be approved by the Secretary of Defense via the SECNAV.

2. NCIS. NCIS is responsible for investigating actual, suspected, or alleged crimes within the DON pursuant to reference (a). NCIS has primary jurisdiction for investigating fraud offenses within DON to include procurement fraud investigations, which are coordinated with the AGC (AI).

Generally, NAVINSGEN and the NAVIG Enterprise will defer to NCIS on investigations focusing on criminal activities that fall within the authority of NCIS. NCIS will defer to NAVINSGEN on investigations into effectiveness of command procedures, non-criminal personnel misconduct, and administrative compliance, as those investigations fall within the authority of the NAVIG. If NCIS and the NAVIG disagree about which organizations should handle an investigation, the matter will be referred to the SECNAV. No provision of this instruction will be construed to constitute supervision over or restriction or limitation on the authority or independence of NCIS.

3. NAVAUDSVC. NAVAUDSVC conducts internal DON audits, and the Auditor General of the Navy is responsible for the oversight, coordination and follow up of all audit matters from the U.S. Government Accountability Office, DOD OIG, other military departments' audit agencies, and external audit activities. No provision of this instruction will be construed to constitute supervision, restriction, or limitation to the authority or independence of the NAVAUDSVC.

a. Access to IG Records. To protect the confidentiality of complainant identity, access to IG Hotline records will be limited to relevant records, appropriately redacted, that are directly applicable to stated audit objectives, as determined by Auditor General of the Navy (AUDGEN) after consultation with the NAVIG. In cases of Hotline complaints referred from the DoD OIG, access to confidential Personally Identifiable Information will be granted only with DoD OIG consent.

b. The NAVAUDSVC will handle Hotline records in accordance with records retention requirements, and will possess only for such time as necessary to complete audit objectives.

4. AGC (AI). AGC (AI) is the single point of contact for all contract fraud matters within the DON. AGC (AI) manages, directs, and coordinates acquisition fraud matters throughout the DON. The NAVIG will notify AGC (AI) of any matters involving alleged acquisition fraud.

5. Office of the Chief of Naval Operations (OPNAV). NAVINSGEN will provide such support to OPNAV as required to accomplish the investigative and reporting requirements in reference (a), and such other support relating to NAVIG's mission as the CNO may request.

6. Headquarters, United States Marine Corps (HQMC). NAVINSGEN will provide support to HQMC, as required, and normally through DNIG/IGMC to accomplish the investigative and reporting requirements of reference (a).

7. Other DON Organizations Performing IG Functions. NCIS, Office of Naval Research (ONR), NAVAUDSVC, and Echelon 2 commands shall appoint, with the concurrence of the NAVIG, a full-time, dedicated IG who will bear that title and be clearly identified by the title "Inspector General" on organizational charts and elsewhere. Echelon 1 and 2 commanders may also designate command IGs, or other IG support personnel, at their subordinate commands or activities, consistent with this instruction. In addition, the NAVIG may establish a requirement for any DON command or activity to designate a command IG.

a. Echelon 1 and 2 command IGs will be either commissioned officers in the pay grade O-6 or higher, or, if a civilian, in the pay grade GS-15 or higher. Ensure at least one 1801/1810/1811 series IG or IG staff member is positioned in each command that performs core IG functions. The NAVIG may waive grade, series, and full-time IG requirements, as appropriate.

b. NCIS, ONR, NAVAUDSVC, and Echelon 2 commands are authorized to credential their chain of command personnel to perform the mission and functions of an Inspector General, within the respective command, consistent with the requirements of this instruction.

c. Command IGs will report directly to their respective Commander. Reporting to the Deputy Commander at those commands wherein all Department Heads and Special Assistants report to the Deputy Commander is authorized. The individual serving as Force/Staff Judge Advocate or Command Counsel, or attorneys assigned to those offices, may not serve as a command IG.

d. Command IGs will be Assigned Additional Duty (ADDU) to the NAVIG via their respective NAVIG Enterprise reporting chain. In this capacity, command IGs will support the NAVIG in furtherance of the missions, functions, and responsibilities described herein. NAVIG will coordinate with commanders or command IGs to resolve any conflicts.

e. A DON organization performing an IG function will refer a matter to the next higher office within the NAVIG Enterprise

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when it determines it is inappropriate to inquire into a matter due to the existence or appearance of a conflict of interest, bias, prejudice, or other circumstance that may place the independence, impartiality or efficacy of the inquiry in doubt.

(1) The NAVIG will request SECNAV to task another entity within the DON to conduct the inquiry when NAVIG determines it inappropriate for NAVINSGEN to inquire into a matter for reasons outlined above.

(2) The NAVIG will inform the SECNAV when NAVIG determines there is no appropriate entity within the DON to conduct an inquiry.

8. Access to Information and Spaces. To carry out its responsibilities, NAVIG and NAVIG Enterprise personnel will have expeditious and unrestricted access to and, when required, be given copies of all records, reports, investigations, audits, reviews, documents, papers, recommendations, or other material available to or within any DON activity. No officer, employee, or Service Member of any DON activity may deny NAVIG and NAVIG Enterprise personnel such access. With respect to classified information and spaces:

a. Personnel bearing NAVIG credentials are certified for access to classified information and will be presumed to have a "need to know" for access to information and spaces classified through SECRET. Upon verification of security clearance, they will be granted immediate unrestricted access to all information and spaces within the DON classified through SECRET.

b. The provisions under SECNAVINST 5510.30B will be followed for granting credentialed personnel access to information and spaces classified above SECRET.

c. NAVIG and NAVIG Enterprise personnel bearing NAVIG credentials marked "Intelligence Oversight/Unlimited Special Access" are certified for access to information and spaces dealing with intelligence and sensitive activities, compartmented and special access programs, and other restricted access programs in which DON participates. When performing oversight of such programs pursuant to Executive Order, they will be presumed to have a "need to know" for access to information and spaces concerning them. They will be granted unrestricted access to all such information and spaces upon complying with the DON Personnel Security Program and presenting

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a written certification from the NAVIG stating the bearer is performing an oversight function of the matter for which information is sought.

9. Access Control and Routine Searches. In the course of official business, personnel bearing IG credentials and Common Access Cards will not routinely be required to sign in or out of, or to obtain other identification for entry or access to, DON installations, commands, or ships. Personnel properly identifying themselves as representatives of the NAVIG or NAVIG Enterprise will be exempt from all routine searches of their person, briefcases, other possessions and materials used by them, their vehicles, and all occupants therein, unless warranted by force protection conditions.

10. Oaths and Testimony. The NAVIG and IG-credentialed personnel may administer oaths and take testimony in the course of official business.

RESPONSIBILITIES

1. The NAVIG shall:

- a. Exercise the functions, powers, and duties of the office.
- b. Perform all other duties the SECNAV may direct under the provisions of and consistent with references (a), (d), and (e).
- c. Perform roles and responsibilities required by other applicable laws and regulations.
- d. Establish and implement policies, processes, procedures, directives, instructions, and manuals that implement the functions and responsibilities of the NAVIG, NAVINSGEN, and the NAVIG Enterprise.
- e. Provide the SECNAV accurate and timely information and advice on risks, issues, problems, and deficiencies relating to DON programs and operations.
- f. Conduct Area Assessments.
- g. Conduct Command Inspections on Echelon 2 Commands/activities or on other echelons, as directed or deemed necessary.
- h. Provide for the NAVIG Enterprise standards on data, data collection, data environments, analytics, process impact assessments, and trend analysis.
- i. As a member of the SECNAV Senior Management Council, assist the SECNAV in providing oversight of Managers' Internal Control Program and advise the Assistant Secretary of the Navy (Financial Management and Comptroller) on matters concerning program implementation.
- j. Issue DON policies and procedures for the conduct of investigations, inspections, and other inquiries within the NAVIG Enterprise and ensure compliance therewith.
- k. Provide the SECNAV, CNO, and CMC information independent of the normal subordinate lines of authority and command where appropriate.

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l. Maintain liaison with DoD OIG, DoD Senior Intelligence Oversight Official, and other Service IGs.

m. Co-chair the Sensitive Activities Review Group with the Deputy Director of Naval Intelligence.

n. Collaborate, as appropriate, with the AUDGEN, the DNIG/IGMC, and the Director, NCIS in evaluating DON-wide risks and opportunities.

o. Exercise broad supervision, general guidance, and coordination for all DON inspections and evaluations to minimize duplication of efforts.

p. Provide leadership and recommend policies within the DON designed to promote economy, efficiency, and effectiveness in programs and operations, including the detection and prevention of fraud, waste, abuse, and mismanagement.

q. Provide such support to OPNAV/HQMC Staff as required to accomplish the investigative and reporting requirements and such other support relating to the NAVIG's mission as the CNO/CMC may request.

r. Provide guidance to the NAVIG Enterprise for the conduct of inspections and investigations, and ensure compliance with applicable standards.

s. Develop, coordinate, and provide roles, responsibilities, standardized training, and procedures for the NAVIG Enterprise.

t. Provide professional development fora (e.g., annual symposia and recurring training courses) for the NAVIG Enterprise.

u. Report to the SECNAV on all matters outlined in this instruction. Consistent with reference (b), the DNIG/IGMC is the designated official within NAVINSGEN specifically tasked to support the CMC and may communicate directly with SECNAV, as required, on USMC matters.

v. Ensure the policy expressed in this instruction is implemented within the DON and may issue further instructions, guidance, and policy to do so. The CMC will implement this instruction by appropriate directives within the Marine Corps.

- w. Coordinate administrative and internal aspects of the organization of NAVINSGEN with the UNSECNAV.
- x. Coordinate with the Office of the SECNAV (Secretariat), OPNAV and HQMC staff on items of importance.
- y. Develop policies and procedures to certify and credential IG personnel.
- z. Oversee IG investigations conducted by IG personnel.
- aa. Act as release/initial denial authority for Freedom of Information Act or Privacy Act requests concerning NAVINSGEN investigations and inspections conducted by or at the direction of NAVINSGEN, and other records relating to DoD/Navy Hotline complaints that have been referred to NAVINSGEN, unless NAVINSGEN further delegates this authority. DNIG/IGMC is delegated release/initial denial authority for DNIG/IGMC records.

2. Activity commanders with an assigned command IG shall:

- a. Direct IG appropriate inspections and investigations by their respective command IGs. Any inspections and investigations conducted by NAVIG Enterprise personnel (command IGs) will be conducted consistent with professional standards established by NAVIG.
- b. Establish IG Hotline.
- c. At a minimum, one IG will hold a security clearance equal to the highest security level in the assigned activity.
- d. Solicit feedback from the NAVIG in the performance evaluations and fitness reports of Echelon 2 command IGs, and
- e. Via chain of command, coordinate with the NAVIG any changes to their IG force structures or budgets, or assigning non-IG functions to their respective command IG personnel. If the NAVIG determines his/her staffing or budget is insufficient to perform core IG functions, the NAVIG will recommend that the UNSECNAV direct the responsible command or activity to increase resources to accomplish the NAVIG mission.

3. Command IGs shall:

- a. Provide feedback and advice to cognizant activity commanders in carrying out their missions.
- b. Establish inspections programs for their respective command and execute independent oversight of programs and command IG offices within their areas of responsibility.
- c. Support NAVIG's Intelligence/Sensitive Activities Oversight responsibilities and conduct investigations of questionable intelligence activities and related violations.
- d. Conduct investigations, including DON Hotline investigations, military whistleblower reprisal investigations, investigations in response to Congressional inquiries, and other investigations directed by the NAVIG or their Commander.
- e. Ensure all investigations are completed in accordance with DoD OIG requirements, NAVIG requirements, and other applicable standards.
- f. In addition to any other reporting requirements, immediately notify the NAVIG, via the NAVIG Enterprise reporting chain, as soon as it is known that any inquiry is likely to be of high interest to SECNAV, the CNO, the CMC, or Congress. Provide periodic status reports and final reports of such inquiries to the tasking activity Commander, with a copy to NAVIG via the NAVIG Enterprise or as otherwise directed by the NAVIG, and
- g. Complete appropriate training and certification to execute the functions described herein, as established by NAVIG certification and training standards.

4. All activity commanders shall:

- a. Ensure all personnel under their jurisdiction are informed of their right to register complaints with, or request assistance from, the NAVIG Enterprise.
- b. Ensure that persons contacting any IG are afforded protection from reprisal actions as a result of their contact with the IG.

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c. Fully assist and cooperate with all IG requests. This obligation specifically includes, but is not limited to, candidly answering questions and providing relevant information, documents, records, and other evidence, consistent with constitutional, statutory, and regulatory due process protections.

ACRONYMS

1.	ADDU	Additional Duty
2.	AGC (AI)	Assistant General Counsel Acquisition Integrity
3.	AUDGEN	Auditor General
4.	CMC	Commandant of the Marine Corps
5.	CNO	Chief of Naval Operations
6.	DNIG/IGMC	Deputy Naval Inspector General/Inspector General of the Marine Corps
7.	DoD	Department of Defense
8.	DoD OIG	Department of Defense Office of Inspector General
9.	DON	Department of the Navy
10.	FOIA	Freedom of Information Act
11.	HQMC	Headquarters, United States Marine Corps
12.	IDA	Initial Denial Authority
13.	IG	Inspector General
14.	IGMC	Office of the Marine Corps Inspector General
15.	NAVAUDSVC	Naval Audit Service
16.	NAVIG	Naval Inspector General
17.	NAVINGEN	Office of the Naval Inspector General
18.	NCIS	Naval Criminal Investigative Service
19.	OPNAV	Office of the Chief of Naval Operations
20.	SECNAV	Secretary of the Navy
21.	UNSECNAV	Under Secretary of the Navy

DEFINITIONS

1. Acquisition Fraud. Any willful means of taking or attempting to take unfair advantage of the government that occurs during the acquisition of goods or services for the DON, including but not limited to: the offer, payment, or acceptance of bribes or the offer, giving or acceptance of bribes or the offer, giving or acceptance of gratuities; making of false statements, submission of false claims, or use of false weights or measures; evasion or corruption of inspectors and other officials; deceit either by suppression of the truth or misrepresentation of a material fact; adulteration or substitution of material; falsification of records and books of account; arrangements for secret profits, kickbacks, or commissions; and conspiracy to use any of these devices. It also includes those cases of conflict of interest, criminal irregularities, and unauthorized disclosure of official information, which is, connected with acquisition and disposal matters.

2. ADDU. Part-time functional requirements to which an individual is assigned, and which is in addition to the primary duty. The duty may or may not be at the permanent duty station. Such ADDU should normally require less than 50 percent of the incumbent(s) time.

3. Area Assessments. A review of readiness, effectiveness and support to Sailors, Marines, families and Navy civilians, that cuts across command lines and functional areas in geographic regions.

4. Assessment. A type of inspection undertaken to identify risks to mission, enhance effectiveness, and provide information for decision-making.

5. Audit. Work performed in accordance with Generally Accepted Government Auditing Standards, typically performed by auditors.

6. Certification. Process by which the NAVIG verifies that an individual has the requisite training, experience, and qualifications necessary to perform core IG functions.

7. Command IG. Military officers or civilian employees assigned to serve at Navy commands or activities, who perform one or more core IG functions as their primary duty. They are designated as IGs by their echelon 1 or 2 commander, consistent

with this instruction, and they are part of the NAVIG Enterprise.

8. Commander. An individual responsible for an activity. Also known as, commanding officer, officer in charge, and director.

9. Core IG functions. IG inspections and investigations

10. Credentialing. Process by which personnel are issued identification, badges or written letters of authority that identify them as IG Enterprise personnel and permits access to perform core IG functions

11. DON organization performing IG functions. Any entity, at any level within the DON, which is tasked to perform one or more of the functions within the scope of this instruction at the organization's level.

12. Inquiry. Any fact finding process in support of an IG function.

13. Inspection. A process that evaluates, reviews, studies, or analyzes programs and activities or organizations for the purposes of identifying risks to mission, enhancing effectiveness, compliance, and providing information for decision-making.

14. Investigation. A fact-finding examination into allegations, issues, or adverse conditions to provide a sound basis for decisions and actions. IG investigations normally 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.

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

16. NAVIG Enterprise Reporting Chain. The line of communication, including direction and reporting, between DON organizations performing IG functions at different levels within the chain of command, up to and including the NAVIG.