



DEPARTMENT OF THE NAVY  
CHIEF OF NAVAL EDUCATION AND TRAINING  
250 DALLAS ST  
PENSACOLA FLORIDA 32508-5220

CH-1 of 7 Mar 97  
CH-2 of 11 Mar 98

CNETINST 5370.2B  
Code OOG2

FEB 09 1996

CNET INSTRUCTION 5370.2B

Subj: NAVAL EDUCATION AND TRAINING COMMAND (NAVEDTRACOM)  
HOTLINE PROGRAM

Ref: (a) SECNAVINST 5370.5A  
(b) SECNAVINST 5430.92A  
(c) NAVINSGEN Investigations Manual  
(d) Guide to Military Reprisal Investigations

Encl: (1) Format for Defense/Navy Hotline Completion Report

1. Purpose. To implement the provisions of references (a) and (b) by establishing policies and procedures for the management, coordination, and operation of the Navy and Department of Defense (DoD) Hotline programs within the NAVEDTRACOM. This is a complete revision and should be read in its entirety.

2. Cancellation. CNETINST 5370.2A and CNETINST 5430.2

3. Applicability. Provisions of this directive are applicable to all Department of the Navy civilian employees, active duty military personnel (both Regular and Reserve), special government employees, and personnel of nonappropriated fund instrumentalities within the NAVEDTRACOM.

4. Background

a. Reference (a) provides information on the DoD and Navy Hotline programs. Reference (b) provides information regarding the DoN policy to eliminate fraud, waste, and related improprieties from the DoN. This instruction amplifies references (a) and (b) and assigns responsibilities for implementing these programs within the NAVEDTRACOM.

b. The Chief of Naval Education and Training (CNET) is committed to an active, aggressive program directed toward the elimination of fraud, waste, and mismanagement within the NAVEDTRACOM. All echelons of command shall actively support this program through positive command attention and strict adherence to applicable directives.

c. Audit, inspection, and investigative components within the NAVEDTRACOM will execute their assigned responsibilities to detect, deter, and eliminate fraud, waste, inefficiency, and related improprieties occurring within the DoN.

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5. Policy

a. General

(1) The policy of the DoN is to manage effectively all resources entrusted to its care. All personnel shall be vigilant to the possibility of illegal or improper acts and shall report such illegal or improper acts to proper authorities. Reference (b) defines "proper authority" as "...the immediate superior of the person submitting the report, his or her commander or commanding officer, the immediate supervisor of his or her commander or commanding officer if either are apparently implicated, an appropriate inspector general, or an agent of the Naval Criminal Investigative Service (NCIS)."

(2) Hotline complaints referred to CNET will be investigated by CNET staff personnel or referred to subordinate Immediate Superiors in Command (ISICs) for investigation and reporting at CNET's discretion. In those instances where CNET staff personnel conduct the investigation, feedback will be provided to the appropriate ISIC.

(3) Reference (c) sets forth guidelines for the conduct of investigations. All NAVEDTRACOM activities shall use this manual as a guide for hotline investigations conducted under this program.

(4) Reference (d) sets forth procedures for the conduct of investigations of alleged reprisal and whistleblowing. All NAVEDTRACOM activities shall use reference (d) as a guide when conducting reprisal investigations.

b. Investigative Standards

(1) Timeliness. Investigations shall be completed expeditiously. CNET will assign a due date for receipt of the completion report; normally, the response time is 30 days. When an investigator is assigned, the hotline is to be their primary duty until the investigation is complete and properly reported. When some form of action is recommended in the completion report, a report of completed action will be submitted to be received at CNET not later than 15 calendar days after the completion report is forwarded to CNET. The activity or individual tasked with the investigation shall ensure established due dates are met. Should valid circumstances preclude meeting the assigned due date, an extension may be requested. Requests for extension must be submitted in writing and contain the following:

(a) Status of Investigation (Provide the results of investigation to date (summary))

(b) Reason for delay in completing investigation or submitting completion report

- CNET
- (c) Expected date completion report will be provided to
  - (d) Other comments as appropriate
  - (e) Signature of the activity head or principle assistant

(2) Independence. Perceptions generated by the handling of hotline investigations greatly influence the success of the program. All allegations shall be examined by officials outside and independent of the operation in which the complaint allegedly occurred. Functional commanders referring complaints to subordinates for investigation of their own commands must ensure objectivity and impartiality are maintained throughout the investigative process. Individuals and organizations assigned to perform an investigation must be free, in fact and appearance, from any impairment of objectivity and impartiality. The investigator must meet basic selection criteria, e.g., sufficient seniority, maturity, professional experience, and independence in the matter under inquiry, as if appointed for a JAGMAN investigation. The assistance of others with special professional or technical skills may be utilized when warranted.

(3) Completeness. Hotline completion reports must be thorough and address all relevant aspects of the investigation. The report must be logically organized, accurate, clear and concise. It must not raise unanswered questions nor leave matters open to question or misinterpretation. If additional allegations or discoveries, whether related to the original allegation or not, surface during the investigation, they shall be addressed in the hotline completion report. Systemic weaknesses or management problems disclosed during the investigation must be reported. Enclosure (1) provides the format to be used for hotline completion reports.

(4) Accountability. Commanders, commanding officers, and supervisors have the duty to hold subordinates accountable for their actions and correct systemic faults. The investigation must provide them with the information necessary to exercise that responsibility effectively. If the investigation proves (or gives the perception) of wrongdoing, the completion report should contain recommendations to be considered by the deciding official.

(5) Confidentiality. Informants under the Hotline Program are assured confidentiality to the greatest degree possible to encourage full disclosure of information without fear of reprisal. Normally, hotline users are encouraged to identify themselves so that additional facts can be obtained if necessary and provide feedback of the results of the investigation. In order to protect to the maximum extent possible the identity of hotline complainants who have been granted confidentiality, CNET shall be the point of contact when such identity is required by the investigator

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assigned. In those instances where the source is disclosed, the identity shall be protected to the utmost of the investigator's capabilities.

c. Additional Provisions

(1) All cover letters forwarding hotline completion reports will be signed by the head of the activity. A statement of concurrence/nonconcurrence with the conclusions and recommendations of the investigating official will be included in the cover letter.

(2) All correspondence related to hotline complaints will be considered "FOR OFFICIAL USE ONLY" and appropriate safeguards should be adhered to. Reports should be sent to CNET in double sealed envelopes with proper markings for attention and eyes only of the CNET Inspector General.

(3) All working papers and files resulting from the inquiry into the hotline complaint will be retained by the originating activity. As stated in SECNAVINST 5212.5C, Naval Inspector General (NAVINGEN) investigations must be maintained permanently, although they may be sent to archives for storage. Files should be retained by the activity for 3 years after completion of an investigation, then sent to a federal records center.

(4) Commands shall provide the widest dissemination of the hotline program information within their areas of responsibility. To assist in this effort, the following hotline numbers and addresses are provided:

(a) CNET - During working hours (0730-1630 CST)

922-4838 DSN  
(850) 452-4838 Commercial

922-3477 DSN  
(850) 452-3477 Commercial (Answering Machine)  
(Collect calls are not accepted)

Chief of Naval Education and Training  
Inspector General (Code OOG)  
CNET  
250 Dallas St.  
Pensacola, FL 32508-5220

(b) Navy Hotline

1-800-522-3451 Toll Free  
(202) 433-6743 Washington Area  
288-6743 DSN

The Naval Inspector General  
ATTN: Navy Hotline  
901 M Street, S.E.  
Washington, DC 20374-5006

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(c) DOD Hotline

1-800-424-9098	Toll Free
693-5080	Washington Area
223-5080	DSN

Defense Hotline  
The Pentagon  
Washington, DC 20301-1900

(5) DoD and Navy hotline posters will be displayed in command spaces for the information of military and civilian personnel. DoD hotline posters may be obtained by contacting CNET (Code OOG). Navy hotline posters may be obtained through the Naval Inventory Control Point, Philadelphia. Posters are packaged in quantities of five and should be ordered in sufficient numbers to ensure ample supply for all areas of responsibility. The following forms and stock numbers shall be used when ordering the posters: OPNAV Form 5040/4, 0107-LF-050-4040 (8-1/2" x 11" adhesive backed).

6. Action

## a. CNET Inspector General shall:

(1) Maintain overall cognizance of the Navy and DoD Hotline Programs within NAVEDTRACOM.

~~(2) Inspect echelon 3 commands for compliance with this instruction in conjunction with the Naval Command Inspection Program.~~

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<sup>2</sup>  
~~(3)~~ Inspect, investigate, or inquire into reported matters of fraud, waste, and related improprieties within NAVEDTRACOM.

<sup>3</sup>  
~~(4)~~ Monitor status of significant cases of fraud, waste, and related improprieties reported within NAVEDTRACOM and coordinate with external agencies as appropriate.

b. Commanders, commanding officers, and officers in charge shall:

(1) Comply with the requirements of this program.

(2) Initiate prompt and aggressive inquiries into all reports of illegal or improper acts.

(3) Stress the positive aspects of stewardship, and faith and trust of the American citizens in military and civilian government employees.

(4) Set a personal example in regard to responsibility, accountability, and conduct, and insist on similar examples of those placed in positions of responsibility.

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(5) Make optimum use of internal communication tools and face-to-face discussions, e.g., Captain's Calls, Plan of the Week, and Plan of the Day, to reinforce personal commitment to eliminating fraud, waste, and related improprieties.

(6) Establish and use Command Evaluation and Management Control Programs in areas most susceptible to fraud, waste, and related improprieties.

(7) Utilize the NCIS to conduct investigations into potential criminal offenses.

(8) Ensure swift and appropriate corrective action, administrative and/or disciplinary, is taken in cases where wrong doing has been substantiated.

(9) Inspect subordinate activities for compliance with this instruction in conjunction with the Naval Command Inspection Program.

(10) Report all cases of suspected misconduct involving O5s, GS/GM-13s, or above to CNET.

7. Reports. Reports referred to in this instruction are exempt from reports control by SECNAVINST 5214.2B.



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FORMAT FOR  
DEFENSE/NAVY HOTLINE COMPLETION REPORT  
AS OF ( \_\_\_\_\_ )

1. Name of Official Conducting the Audit, Inspection, or Investigation: NOTE: INVESTIGATOR MUST BE FREE IN FACT AND APPEARANCE FROM ALL IMPAIRMENTS TO INDEPENDENCE SO THAT JUDGMENTS, CONCLUSIONS, AND RECOMMENDATIONS WILL IN FACT BE IMPARTIAL.
2. Rank/Grade of Official: NOTE: SENIORITY OF THE INVESTIGATOR IS IMPORTANT. DO NOT PERMIT THE INVESTIGATOR TO BE OUTRANKED BY THE SUBJECT OF THE INVESTIGATION.
3. Duty Position/Contact Telephone Number of Official:
4. Organization of Official:
5. Hotline Control Number:
6. Scope of Examination, Conclusions, Recommendations, and Disposition:

a. Identify the allegations, applicable organization, and location. Identify person(s) against whom the allegations were made. Identify the dollar significance of actual or estimated loss or waste of resources, if applicable. NOTE: PROPERLY STATING THE ALLEGATION IS KEY TO ENSURING THE INVESTIGATION IS PROPERLY CONDUCTED AND CONCLUSIONS ARE PROPERLY DRAWN WHETHER THE ALLEGATIONS ARE SUBSTANTIATED OR NOT SUBSTANTIATED. IN DRAFTING THE ALLEGATIONS, THE COMPLAINANT'S WORDS USUALLY CANNOT BE USED DIRECTLY; RATHER, THEY MUST BE INTERPRETED OR CRAFTED IN THE FOLLOWING FORMAT: "WHO IMPROPERLY DID WHAT IN VIOLATION OF WHAT LAW, RULE, OR REGULATION." IF THE COMPLAINANT IS KNOWN, THE ALLEGATION SHOULD BE PROVIDED TO THEM (BY FAX, PHONE, OR OTHER MEANS) FOR CONCURRENCE.

\*\*\* PROTECT THE ANONYMITY OF THE COMPLAINANT \*\*\*

b. Indicate the scope, nature, and manner of the investigation conducted:

- What documents were reviewed?
- What witnesses were interviewed? By telephone? In person? Were all key witnesses interviewed?
  - Was witness testimony sworn/unsworn?
  - Are witness statements signed?
  - Are you protecting witnesses and statements from compromise?
- Witness/interviewee identify need not appear in the report. It must be maintained in the field file.

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- What evidence was collected?
  - Is evidence being protected from compromise?
  - Are all reasonable leads and all pertinent documents examined? Comment in report.
  - Is the investigator documenting progress by memos for the record?
- Were suspects told they were suspects and interrogated, under oath?
  - Were suspects given their "rights?"
  - Ask your Legal Department to assist you in providing a suspect with "rights."
- If possible, the person(s) cited in the allegations must be interviewed. The report must note that these person(s) were/were not interviewed.
- If possible, the complainant(s) must be interviewed, and the report must note that complainant(s) were/were not interviewed.
- In procurement cases, where prices are in question for equipment/materials or spare parts, procurement history data must be reflected in the report. Be alert for instances of product substitution.
- The specific identity and detailed location of pertinent documents reviewed during the investigation shall be recorded and reflected in the report. NOTE: THESE FILES ARE REQUIRED TO BE MAINTAINED FOR 2 YEARS AFTER THE CASE IS CLOSED. EACH FILE IS TO BE MARKED "SENSITIVE IG FILE - CASE NO. \_\_\_\_\_; RETAIN UNTIL \_\_\_\_\_" (2 YEARS FROM CLOSING OF CASE - FOR SIMPLICITY, 3 YEARS FROM COMPLETION OF INVESTIGATION).

c. Report the findings and conclusions of the investigating official. This paragraph should include the following, as applicable:

- Program reviews made.
- Comments on the adequacy of existing policy/regulation.
- System weaknesses noted.
- Recommendations of the investigating official:
  - Command action required.
  - Changes to programs, systems, regulations, procedures, etc.
- Opinions of the investigating official are welcome but must be identified as opinions.
- The report should answer the question, "Who improperly did what in violation of what law, regulation, rule, etc.?"
- Each allegation must be addressed, charge by charge, and substantiated or not substantiated, charge by charge, based on a preponderance of evidence. Accountability should be addressed for each charge substantiated.

7. Criminal or Regulatory Violation(s) Substantiated: Each allegation must be properly stated. It must be formatted as: "Who improperly did What in violation of What Law, Rule, or Regulation?" Then, each allegation is substantiated or not substantiated based upon fulfilling all the specifics of each allegation.

8. Disposition: (Generally, all substantiated allegations should have accountability assessed.)

a. For investigations involving economies and efficiencies, report management actions taken.

b. For investigations involving criminal or other unlawful acts or violation of regulations, provide results of prosecutions, administrative sanctions, reprimands, and sentences imposed.

c. For procurement actions, or actions involving wrongful disbursements of money or property, report on the value of the assets recovered, recoupment actions underway, and actions taken to preclude recurrence.

9. Security Classification of Information: Each investigating organization must determine 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. As a minimum, the report should be handled as FOR OFFICIAL USE ONLY.

10. Location of Field Working Papers and Files:

a. Case files must be retained for 2 years from date of closure by the originating authority (i.e., CNET, NAVINSGEN, DOD, etc.) (see paragraph 6b).

b. Identify name of command and office within that command where files are maintained.