**Inspectors General Checklist**

|  |  |  |  |
| --- | --- | --- | --- |
| **ASSISTANCE AND HOTLINE PROGRAM (5370)** | | | |
| This checklist applies to all Command Inspectors General who are required to maintain a Hotline in accordance with MCO 5430.1A and MCO 5370.8A. | | | |
|  | | | |
| **Functional Area Sponsor**:  IGA | | **Name of Command** |
| **Subject Matter Expert**:  Mr. W. T. Anderson | | **Date** |
| (DSN) 312-664-4516/4516 (COML) 703-604-4516 | | **Inspector** |
| **Revised**: 7 September 2023 | | **Final Assessment**  **Discrepancies: Findings:** |
| **Overall Comments:** Place Here | | | |
| Subsection 1 – INSPECTOR GENERAL ADMINISTRATION | | | |
| 0101 | Has the Commander designated a Command Inspector General (CIG) with responsibilities and duties in accordance with those outlined in the reference?  Reference: MCO 5430.1A, par 4a(2)(e)1-3 | | |
| Result | Comments | | |
| 0102 | Are the proper CIG organizational structure and command relationships established within the command?  Reference: DoD Directive 5106.04, par 3d; SECNAVINST 5430.57H, Enclosure (1), par 7 and par 7c; MCO 5430.1A, par 4a(3)(b) | | |
| Result | Comments | | |
| 0103 | Do Inspector General (IG) personnel have expeditious unrestricted access to spaces and all records, reports, investigations, audits, reviews, documents, papers, recommendations, or other material available to or within any activity under the authority of the Commanding General that the CIG supports.  Reference: SECNAVINST 5430.57H, Enclosure (1), par 8 | | |
| Result | Comments | | |
| 0104 | Does the CIG have a local command Hotline Program that is readily accessible to persons that want to contact the command?  Reference: MCO 5370.8A, par 4a(2)(a)2 | | |
| Result | Comments | | |
| 0105 | Are IG personnel assigned to duties that interfere or conflict with their ability to provide unbiased monitoring, inspections, investigations, and oversight of the command’s personnel or activities?” If so, is there a waiver from IGMC?  Reference: MCO 5430.1A, par 4a(3)(b)3 | | |
| Result | Comments | | |
| Subsection 2 – INSPECTOR GENERAL PROCESS | | | |
| 0201 | Does the CIG inform the command Staff Judge Advocate (SJA) regarding officers suspected of possible misconduct or substandard performance of duty for inclusion on the Officer Disciplinary Notebook (ODN)?  Reference: MCO 5430.1A par 4a(3)(c)19; MCO 5800.16, Volume 15 par 010403 | | |
| Result | Comments | | |
| 0202 | Do records indicate that the CIG completed all inquiries and investigations per minimum quality standards?  Reference: DoDI 7050.01, Section 8; MCO 5370.8A, par 4c(4)(a) | | |
| Result | Comments | | |
| Subsection 3 – HOTLINE ADMINISTRATION | | | |
| 0301 | Do records indicate CIG personnel opened a case file in the database of record upon receipt of all IG contacts? (Exceptions are complaints about  Senior Officials or IG personnel)  Reference: MCO 5370.8A, par 4b(3)(c) | | |
| Result | Comments | | |
| 0302 | Do records indicate CIG personnel entered Subject(s), Complainant, and Witnesses or Subject Matter Experts (SMEs) (if applicable) into IGCAM with identifying information? At minimum, identifying information for subject(s) must include an EDIPI, name, rank (grade if civilian), unit/organization, work phone and work email address. At minimum, identifying information for the complainant is name (unless anonymous) and all contact information. At minimum, identifying information for witnesses or subject matter experts is name, contact information, and all information provided by the complainant.  Reference: MCO 5370.8A, par 4b(3)(c)1; MCO 5370.8A, encl (3), par 3a; Procedural Update 1-21. | | |
| Result | Comments | | |
| 0303 | Do records indicate CIG personnel entered a case summary in the  database of record upon receipt of a complaint?  Reference: MCO 5370.8A, par 4b(3)(c)1 | | |
| Result | Comments | | |
| 0304 | Did CIG personnel assign the appropriate case sub-type for all complaints processed in IGCAM?  Reference: Procedural Update 2-21 | | |
| Result | Comments | | |
| 0305 | Are Hotline complaints resolved within 90 days or have appropriate case notes documenting the reason for the delay or approved extensions?  Reference: MCO 5370.8A, par 4b(3)(d) | | |
| Result | Comments | | |
| 0306 | Do the case files contain sufficient documentation that supports the  findings and conclusions contained in the Hotline Completion Report  (HCR)?  Reference: DoDI 7050.01, par 8.2c(9) | | |
| Result | Comments | | |
| 0307 | Are paper case files correctly prepared and labeled?  Reference: MCO 5210.11F, enclosure (1), chapter 3, par 3c | | |
| Result | Comments | | |
| 0308 | Do IG personnel have access controls established which provide  maximum confidentiality for all case persons (complainants, subjects,  witnesses, etc.)?  Reference: DoDI 7050.01, par 4.2; SECNAVINST 5370.5C, Enclosure  (2), par 2l; MCO 5370.8A, par 4b(3)(h)2 | | |
| Result | Comments | | |
| 0309 | Are reports kept in a secure and properly marked location?    Reference: SECNAVINST 5370.5C, par 7a; MCO 5210.11F, enclosure  (1), chapter 3, par 4 and 5a; MCO 5370.8A, par 5a | | |
| Result | Comments | | |
| 0310 | Do IG personnel ensure that only those personnel with a need to know  are granted access to IG records, reports, and other documents?  Reference: MCO 5370.8A, par 5a | | |
| Result | Comments | | |
| 0311 | Do IG personnel have a process for controlling and documenting the  release of IG records?  Reference: MCO 5430.1A, par 4a(3)(b)5 | | |
| Result | Comments | | |
| 0312 | Are the command's assistance and investigative case records of a  routine nature (electronic and or paper) and all supporting documentation  retained for 10 years after the cutoff date (31 December of the calendar  year the case was closed), then destroyed?  Reference: MCO 5370.8A, par 5c | | |
| Result | Comments | | |
| 0313 | Are the command's investigative case records of historical significance  (electronic and or paper) and all supporting documentation retained for 10  years after the cutoff date (31 December of the calendar year the case  was closed), then transferred to the Naval History and Heritage  Command (NHHC) or the Washington National Records Center for  permanent retention?  \* NOTE: Investigations of historical significance are those that attract  great public, congressional, or judicial attention; cause substantive  changes in Marine Corps policies or procedures; involve as subjects of  the investigation: political appointees serving in the Department of the  Navy or officers in the grade of O-9 in command and O-10.  Reference: MCO 5370.8A, par 5b | | |
| Result | Comments | | |
| 0314 | Do referral response letters to Command Information Referrals contain  the required information and supporting documentation outlined in the  reference?  Reference: MCO 5370.8A, enclosure (3), par 2a(3) | | |
| Result | Comments | | |
| Subsection 4 – INSPECTOR GENERAL REFERRALS | | | |
| 0401 | Did the CIG prepare a Hotline Completion Reports (HCRs) for all Command and IG Action Referrals?  Reference: MCO 5370.8A, enclosure (3), par 2b(1) and 2c(6) | | |
| Result | Comments | | |
| 0402 | Did the CIG include all supporting documentation with the HCR for all  Command Action Referrals?  Reference: MCO 5370.8A, enclosure (3), par 2b(2) | | |
| Result | Comments | | |
| 0403 | Do records indicate CIG personnel recorded all allegations in the database of record?  \*NOTE: Allegations are REQUIRED for Command Action Referrals received from IGMC. This is a major change from past guidance.    Reference: MCO 5370.8A, enclosure (3), par 2c | | |
| Result | Comments | | |
| 0404 | Did the CIG conduct an investigation for all IG Action Referrals?  Reference: MCO 5370.8A, enclosure (3), par 2c | | |
| Result | Comments | | |
| 0405 | Did the CIG contact IGMC when emerging allegations occurred during an  investigation for all IG Action Referrals?  Reference: MCO 5370.8A, enclosure (3), par 2c(3) | | |
| Result | Comments | | |
| 0406 | Did the CIG notify the subject(s) of IG investigations, in writing, they were  under IG investigation for all IG Investigations? NOTE: Coordination  with other independent, authorized investigations involving the subject  should occur prior to initiating the IG investigation.  Reference: MCO 5370.8A, enclosure (3), par 2c(5); MCO 5430.1A, par  4a(4)(h) | | |
| Result | Comments | | |
| 0407 | Are Hotline Completion Reports (HCRs) in the correct format?  Reference: DoDI 7050.01, Section 6; MCO 5370.8A, par 4c(4)(a); MCO  5370.8A, enclosure (3), par 2b(2) | | |
| Result | Comments | | |
| 0408 | Do records indicate all CIG HCRs received a proper Legal Sufficiency  Review (LSR)?    Reference: MCO 5370.8A, enclosure (3), par 2c(7) | | |
| Result | Comments | | |
| 0409 | Do records indicate all CIG Investigations received proper command  approval (i.e. command endorsement)?  Reference: MCO 5370.8A, enclosure (3), par 3c | | |
| Result | Comments | | |
| 0410 | Did the CIG correctly enter information in the database of record for IG  Information Referrals?  \*NOTE: Allegations are ONLY recorded when an IG Information Referral  results in an IG investigation.  Reference: MCO 5370.8A, par 4b(3)(g); MCO 5370.8A, enclosure (3),  par 2d and 3a | | |
| Result | Comments | | |
| 0411 | Did the CIG properly notify IGMC when additional allegations or subjects  were identified during an inquiry or investigation in response to an IG  Action or Information Referral?  Reference: MCO 5370.8A, enclosure (3), par 2c(3) and 2d(2) | | |
| Result | Comments | | |
| 0412 | Did all referral response letters and HCRs contain CIG approval or  concurrence?  Reference: MCO 5370.8A, enclosure, (3) par 3b | | |
| Result | Comments | | |
| 0413 | Did the CIG send the applicable closure correspondence; END OC, END CMD, and END SUBJ, when closing the case?  Reference: MCO 5370.8A, par 4a(2)(e) and 4c(4)(b)3; IGMC Procedural  Update 01-19 | | |
| Result | Comments | | |
| Subsection 5 – SPECIAL CATEGORIES | | | |
| 0501 | Do records indicate CIG personnel referred non-IG appropriate matters  (Special Category Hotline complaints) to the appropriate agency,  including complaints of a criminal nature (felonies), Equal Opportunity,  Hazing, etc.?  Reference: MCO 5370.8A, par 4b(3)(a) and 4b(3)(f) | | |
| Result | Comments | | |
| 0502 | Do records indicate CIG personnel reported all complaints against Senior  Officials to the IGMC Organizational Mailbox within one business day of receipt?  (Complaints received via the IGCAM Hotline App were transferred  directly to IGMC via the Hotline App Transfer function.)  Reference: MCO 5370.8A, par 4b(3)(b) | | |
| Result | Comments | | |
| 0503 | Do records indicate CIG personnel reported all complaints of Military  Whistleblower Reprisal (Special Category Hotline complaints) to the  IGMC Organizational Mailbox within one business day of receipt?  Reference: MCO 5370.8A, par 4b(3)(b) | | |
| Result | Comments | | |
| 0504 | Did the CIG open a case in the database of record within one business day of receipt and properly prepare a Reprisal Notification Worksheet for all complaints of Military Whistleblower Reprisal?  Reference: MCO 5370.8A, par 4b(3)(b)2 and 4b(3)(c) | | |
| Result | Comments | | |