

of allegations include The White House, Members of Congress, the GAO Hotline, Office of Management and Budget (OMB), other executive agency hotlines, DoD staff activities, and individuals communicating directly with the IG, DoD.

(b) Necessary controls shall be established to provide maximum protection for the identity of users of the Defense Hotline. Individuals shall be ensured that they can report instances of fraud and mismanagement without fear of reprisal or unauthorized disclosure of identity, as provided in Pub. L. 95-452 and DoD Instruction 7050.3.<sup>2</sup> However, individuals reporting alleged fraud and mismanagement should be encouraged to identify themselves to the Defense Hotline so that the Defense Hotline staff can recontact the source if additional information is needed.

(c) All substantive allegations received by the Defense Hotline shall be examined. The examination shall normally be conducted by disinterested and qualified auditors, inspectors, or investigators. When necessary, DoD Components may use individuals or groups with other professional or technical skills to assist in conducting examinations under the direct supervision of the responsible audit, inspection, or investigative officials.

(d) The procedures used must ensure that due professional care and organizational independence are observed, and that examinations are impartial and objective. Allegations must be examined by officials independent of the specific unit, office, staff element, op-

eration, etc., in which the complaint is alleged to have occurred.

(e) DoD Components shall encourage personnel to register complaints and grievances through appropriate management and grievance channels, and submit suggestions for management improvements through the proper DoD Incentive Awards Program. There shall be no requirement for any individual who makes complaints or provides information to the IG, DoD, Defense Hotline representatives to discuss such complaints or information with the individual's supervisor or the head of the activity. DoD Components shall encourage the reporting of suspected fraud and mismanagement to the Defense Hotline either through the toll-free 800-424-9098 commercial, FTS 202-693-5080, or AUTOVON 223-5080 telephone system or by mail to the Defense Hotline, The Pentagon, Washington, DC 20301-1900.

#### **§ 98.7 Information requirements.**

The reporting requirements in § 98.5 are exempt from formal approval and licensing under subsection VII.F. of enclosure 3 to DoD Directive 5000.19.<sup>3</sup>

#### **§ 98.8 Effective date and implementation.**

This part is effective March 20, 1987. The Military Departments shall forward two copies of implementing documents to the Inspector General, Department of Defense, within 60 days. This part is the implementing guidance for all other DoD Components.

<sup>2</sup>See footnote 1 to § 98.5(c)(4).

<sup>3</sup>See footnote 1 to § 98.5(c)(4).

(<sup>1</sup> One of the listed "CAVEATS" to be placed on each allegation.)

APPENDIX A- INSPECTOR GENERAL, DEPARTMENT OF DEFENSE,  
DEFENSE HOTLINE :  
RECORD OF CALL

DATE:

CONTROL NUMBER:

ALLEGATION:

\*\*\*\*\*

REFER FOR INDEPENDENT REVIEW BY: (Tracking and Response Required)

\*\*\*\*\*

SUMMARY OF ALLEGATION<sup>1</sup>

\*\*\*\*\*

NOTICE: The caller has requested confidentiality. However, the information contained herein may tend to identify him or her if revealed to those involved. Therefore, the details of this information shall not be made available to unauthorized personnel. If partial release of information is required to assist in the investigation, every effort shall be made to protect the source's identity in keeping with the Secretary of Defense Memorandum, June 5, 1981, and Public Law 95-452.

NOTICE: The caller has chosen to remain anonymous. However, the information contained herein may tend to identify him or her if revealed to those involved. Therefore, the details of this information shall not be made available to unauthorized personnel. If partial release of information is required to assist in the investigation, every effort shall be made to protect the source's identity in keeping with the Secretary of Defense Memorandum, June 5, 1981, and Public Law 95-452.

NOTICE: The identity of the complainant has not been deleted from the document in order to facilitate resolution of the matter. However, discretion must be exercised in the use or release of the source's identity to minimize the possibility of retaliatory action against the individual in keeping with the Secretary of Defense Memorandum, June 5, 1981, and Public Law 95-452.

<sup>1</sup> See the caveats on the next page.

CONTROL NUMBER: \*\*\*\*\*  
 DEPARTMENT OF DEFENSE, INSPECTOR GENERAL,  
 DEFENSE HOTLINE :  
 RECORD OF CALL

DATE OF CALL: \*\*\*\*\* TIME OF CALL: \*\*\*\*\*

CALLER'S NAME: \*\*\*\*\*

CALLER'S POSITION: (Civil Service Grade, Military Rank, or Civilian Title) \*\*\*\*\*

CALLER'S ADDRESS: (Specify Home or Business) \*\*\*\*\*

CALLER'S TELEPHONE NUMBER: ( ) ( ) ( )  
 (Specify Home or Business: AUTOMON, FTS, Commercial) \*\*\*\*\*

DOES CALLER DESIRE CONFIDENTIALITY? (YES OR NO): \_\_\_\_\_

IS CALLER WILLING TO BE INTERVIEWED? (YES OR NO): \_\_\_\_\_

WHAT OTHER ACTION HAS THE CALLER TAKEN REGARDING THIS MATTER? (Indicate to whom, date, and results, if any) \*\*\*\*\*

\*\*\*\*\*

REFER FOR INFORMATION TO: \*\*\*\*\*

NOTE: Review of this material revealed that it lacks sufficient detail or significant subject matter to warrant formal inquiry. Therefore, ACTION IS NOT REQUIRED. The case is forwarded as a matter of possible interest to the activity involved; if action is taken which substantiates the allegation, the results should be provided.

\*\*\*\*\*

SUMMARY OF ALLEGATION \*\*\*\*\*

\*\*\*\*\*

HOTLINE WRITER'S COMMENTS: \*\*\*\*\*

\*\*\*\*\*

HOTLINE REPRESENTATIVE (Surname): SUPERVISOR'S APPROVAL (Surname): TYPIST (initials): \*\*\*\*\*

(<sup>1</sup> One of the listed "CAVEATS" to be placed on each allegation.)

APPENDIX B- INSPECTOR GENERAL, DEPARTMENT OF DEFENSE,

DEFENSE HOTLINE ;

DECISION MEMORANDUM

CONTROL NUMBER:

DATE:

REFER FOR INDEPENDENT REVIEW BY: (agency) (tracking and response required)<sup>1</sup>

COMMENTS

NOTICE: The caller has requested confidentiality. However, the information contained herein may tend to identify him or her if revealed to those involved. Therefore, the details of this information shall not be made available to unauthorized personnel. If partial release of information is required to assist in the investigation, every effort shall be made to protect the source's identity in keeping with the Secretary of Defense Memorandum, June 5, 1981, and Public Law 95-452.

NOTICE: The caller has chosen to remain anonymous. However, the information contained herein may tend to identify him or her if revealed to those involved. Therefore, the details of this information shall not be made available to unauthorized personnel. If partial release of information is required to assist in the investigation, every effort shall be made to protect the source's identity in keeping with the Secretary of Defense Memorandum, June 5, 1981, and Public Law 95-452.

NOTICE: The identity of the complainant has not been deleted from the document in order to facilitate resolution of the matter. However, discretion must be exercised in the use or release of the source's identity to minimize the possibility of retaliatory action against the individual in keeping with the Secretary of Defense Memorandum, June 5, 1981, and Public Law 95-452.

<sup>1</sup> See the caveats on the next page.

DEPARTMENT OF DEFENSE, INSPECTOR GENERAL,  
DEFENSE HOTLINE :  
DECISION MEMORANDUM

APPENDIX C- DEFENSE HOTLINE PROGRESS REPORT  
AS OF: (APPLICABLE DATE)

CONTROL NUMBER: \*\*\*\*\* DATE: \*\*\*\*\*

REFER FOR INFORMATION TO: (agency)

NOTE: Review of this material revealed that it lacks sufficient detail or significant subject matter to warrant a formal inquiry. Therefore, ACTION IS NOT REQUIRED. The case is forwarded as a matter of possible interest to the activity involved; if action is taken and the allegation is substantiated, the results should be provided.

COMMENTS

1. Applicable DoD Component:
2. Hotline Control Number:
3. Date Referral Initially Received:
4. Status:
  - a. Name of organization conducting examination.
  - b. Type of examination being conducted.
  - c. Results of examination to date (summary).
  - d. Reason for delay in completing the examination.
5. Expected Date of Completion.
6. Action Agency Point of Contact (POC):
  - a. Name of POC.
  - b. Duty telephone number.

APPENDIX D--DEFENSE HOTLINE COMPLETION REPORT

AS OF (APPLICABLE DATE)

allegation are interviewed, the fact shall be reflected in the report. The specific identity and location of pertinent documents reviewed during the course of the examination shall be recorded and reflected in the report. Procurement history data shall be reflected in those complaints of spare parts excessive price increases.

1. Name of Official Conducting the Audit, Inspection, or Investigation:

2. Rank and/or Grade of Official:

3. Duty Position and Contact Telephone Number of Official:

4. Organization of Official:

5. Hotline Control Number:

6. Scope of Examination, Conclusions, and Recommendations:

a. Identify the allegations, applicable organization and location, person or persons against whom the allegation was made, dollar significance of actual or estimated loss or waste of resources.

b. Indicate the scope, nature, and manner of the examination conducted (documents reviewed, witnesses interviewed, evidence collected, and persons interrogated). The report shall reflect whether inquiries or interviews were conducted by telephone or in person. The identity of the interviewee need not be reflected in the report; however, this information shall be documented in the official field file of the examining agency. If individuals cited in the

c. Report findings and conclusions of the examining official. This paragraph may include program reviews made, comments as to the adequacy of existing policy or regulation, system weaknesses noted, and similar comments.

7. Cite Criminal or Regulatory Violation or Violations Substantiated.

8. Disposition--for examinations involving economies and efficiencies, report management actions taken in the final report. For examinations 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 preclude recurrence.

9. Specify security classification of information. Each examining 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.

10. Indicate the location of Field Working Papers and Files.