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HEADQUARTERS UNITED STATES MARINE CORPS
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MARINE CORPS ORDER 5430.1A

From: Commandant of the Marine Corps
To: Distribution List

Subj: MARINE CORPS INSPECTOR GENERAL PROGRAM

Ref: See enclosure (1)

Encl: (1) References
(2) Inspectors General Duty Restrictions and Prohibited Activities
(3) Inspector General of the Marine Corps Terms of Reference

1. Situation. This Order implements revised policy and assigns responsibilities that govern the Marine Corps Inspector General Program (IGP) in accordance with references (a) through (z).

2. Cancellation. MCO 5430.1.

3. Mission. This Order revises the Marine Corps IGP, refines the positions and duties of Command Inspectors General (CIG), and identifies their corresponding functions and responsibilities.

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent

(a) Inspector General (IG) personnel will promote Marine Corps institutional effectiveness, efficiency, discipline, morale, economy, ethics integrity and combat readiness. This shall be accomplished through impartial and independent inspections, assessments, inquiries, investigations, teaching, and training of the highest levels of war fighting and mission capabilities throughout the Marine Corps.

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(b) The Marine Corps demands and enforces the highest ethical standards from its members, fairly and efficiently manages its resources and people, and exercises a fiduciary responsibility over taxpayers' dollars. It is Marine Corps policy to encourage the identification of problems in these areas and to swiftly correct them. Candid and unbiased internal analysis of the management, operation, and administration of the Marine Corps is essential to achieve this objective.

(c) All inquiries into matters affecting the effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness of the Marine Corps shall be conducted in an independent and professional manner, without command influence, pressure, or fear of retaliation from any level within the Marine Corps. All non-frivolous, credible complaints of fraud, waste, abuse of authority, and mismanagement reported to IG personnel shall be thoroughly and impartially examined and reported. All Marine Corps personnel will have access to fair and impartial IGs and shall report incidents of fraud, waste, abuse, and mismanagement.

(2) Concept of Operations

(a) The Deputy Naval Inspector General (NAVINSGEN) for Marine Corps Matters (DNIGMC)/Inspector General of the Marine Corps (IGMC) was created by reference (a) under the authority of references (b) and (c). The DNIGMC/IGMC is located within the Office of the NAVINSGEN and is organized to provide IG functional support to the Secretary of the Navy (SECNAV) and the Commandant of the Marine Corps (CMC).

(b) Reference (d) requires Headquarters Marine Corps (HQMC), acting under the authority, direction, and control of the SECNAV, to investigate and report upon the efficiency of the Marine Corps and its preparation to support military operations executed by combatant commanders. References (a) and (e) grant the authority for the Marine Corps to establish centralized direction for IG functions, processes, and procedures. This is commonly referred to as the "IG Authorities".

(c) Reference (f) states, "The sphere of interest of the IGMC is broad, with particular emphasis on all matters affecting overall readiness." With this in mind, the Marine Corps IGP is established to promote standardization of the IG mission, functions, processes, and procedures throughout the Marine Corps.

(d) The Marine Corps IGP is composed of the IGMC, CIG, and their respective staff. CIG functional responsibilities, as outlined below, shall be the primary responsibilities of CIG personnel.

(e) CIGs are directly responsible to, and limited by, their commander's scope of authority. A CIG is a functional extension of the IGMC, serving a vital, supporting role in the Marine Corps IGP. The relationship between the IGMC and CIGs allows direct and expeditious processing of IG-related tasks between the two entities. The following defines CIG functions by command type.

1. Installation Commanding Officers (O-6 level) should have a CIG who executes Assistance, Investigation, and Teach and Train functions. Installations that do not have a CIG assigned will be serviced by their Regional Installation Commander's CIG. In addition, installation CIGs may provide functional area oversight within the scope of their commander's authority; however, all installations shall be formally inspected under their respective regional Commanding General's Inspection Program (CGIP).

2. Commanding Generals of Marine Expeditionary Forces, Wings, Divisions, Logistics Groups, and Regional Installation Commanders shall have a CIG who, in addition to Assistance, Investigation, and Teach and Train functions, shall also execute his/her respective CGIP. A Commanding General's CGIP must extend to all commands for which the Commanding General serves as the General Court-Martial Convening Authority (GCMCA). Marine Expeditionary Brigades will be addressed on a case-by-case basis.

3. Marine Forces (MARFOR) Commanders should have a CIG who executes Assistance, Investigation, and Teach and Train functions. In coordination with the IGMC, a CIG at the MARFOR level may execute a formal Inspection Program of a subordinate command not covered by another CGIP. The IGMC retains the exclusive authority to inspect any command that maintains a CGIP.

(3) Tasks

(a) Inspector General of the Marine Corps (IGMC)

1. Serve as the Marine Corps IGP Manager.

2. Provide oversight procedures for the Marine Corps IGP, to include establishing objectives for coordinating and monitoring inspection programs.

3. Establish manning guidelines for Marine Corps IG offices.

4. Establish training standards and provide Marine Corps IG-specific training to all Marine Corps IG personnel. Maintain statistics of all CIG personnel training.

5. Coordinate credentialing and certification for IGMC personnel.

6. Ensure the policy expressed in this Order is implemented within the Marine Corps by initiating and conducting, or directing the conduct of, such inquiries as the IGMC deems appropriate, with particular emphasis on those matters relating to effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness.

7. On behalf of the SECNAV and the CMC, conduct inspections, surveys and evaluations, make assessments and recommendations concerning all Deputy Commandant, MARFOR, and USMC programs that could have an impact on readiness or quality of life, in accordance with reference (g).

8. Conduct command inspections, functional area assessments, trend analyses, and make appropriate evaluations, reports, and recommendations. Assess whether subordinate CIGs, units, and the Functional Areas (FAs) they manage are within Marine Corps standards and regulations.

9. Serve as the sole authority within the Marine Corps to assess the Marine Corps Inspection, Hotline, and Intelligence Oversight Programs.

10. Develop and promulgate other implementing orders, instructions, and policy documents required to support the overall effective management and oversight of the Marine Corps IGP; including the Command Inspection Program, IGMC Readiness Assessment Program, Request Mast Program and Marine Corps Hotline Program.

11. Initiate and conduct investigations into any Marine Corps matter about which complaints are made, as directed by Department of Defense (DoD), SECNAV or NAVINSGEN, or as otherwise deemed appropriate by the IGMC.

12. Coordinate the efforts of organizations engaged in evaluating effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness to minimize duplication and reduce the number of inspections imposed on any unit or activity. Whenever possible, coordinate and complement the efforts of the IGP with other organizations to reduce the overall impact of inspections and evaluations upon commanders.

13. Serve as the Marine Corps Hotline Program Coordinator and Whistleblower Protection Act Manager as set forth in references (e), (h), (i), and (j), excluding all acquisition fraud, which is managed by the Department of the Navy (DON), Office of the General Counsel, Assistant General Counsel (Acquisition Integrity).

14. Inspect, investigate, or inquire into matters of importance concerning fraud, waste, inefficiency, and related improprieties throughout the Marine Corps, excluding those matters under the responsibility of the Assistant General Counsel (Acquisition Integrity).

15. Per reference (j), the Naval IG and IGMC have overall responsibility for ensuring DON retaliation investigations are completed in compliance with all applicable regulations. As such, IGMC is the only organization within the Marine Corps authorized to investigate complaints alleging Military Whistleblower Reprisals in accordance with references (i) and (j).

16. Receive and investigate complaints made against Senior Marine Corps Officials, in accordance with references (k) and (l). Per reference (k), the IGMC is the component designated official for all investigative matters involving Marine Corps Senior Officials.

17. Act, if required, as the release/initial denial authority for Freedom of Information Act (FOIA) or Privacy Act requests concerning IGMC investigations and other records relating to DoD/Marine Corps complaints that have been referred to IGMC.

18. Coordinate the release of IG reports, records, and related documents maintained by Marine Corps sources to the Government Accountability Office, Defense Audit Service, and Department of Defense IG (DoD IG). Coordinate the release of IGMC directed IG reports, records, and related documents maintained by Marine Corps sources to federal, state,

and local governmental agencies or offices outside of the Marine Corps.

19. Cooperate fully with the DoD IG during performance of its duties or functions under the Inspector General Act of 1978 regarding the Marine Corps.

20. Coordinate and cooperate with the IG of the Joint Chiefs of Staff (JCS) on matters of concern to the JCS and the Unified Combatant Commanders.

21. Provide for the inspection of Marine Corps intelligence oversight programs, non-intelligence, counterintelligence, and sensitive activities, to ensure Marine Corps compliance with applicable Executive Orders and make reports as required, in accordance with references (m), (n), (o), (p), (s), (x), (z) and (aa).

22. Screen IG databases for all officers who have substantiated allegations or open cases against them for the purposes of Promotion, Professional Military Education board selections, Command Screening and Slating, and Retirement, in accordance with reference (q).

23. Screen IG databases for adverse information pertaining to suitability of personnel nominated for IG positions.

24. Act as the Marine Corps action officer for Congressional inquiries concerning matters under the purview of IGMC.

(b) Commanding Officers, Commanding Generals, and MARFOR Commanders

1. Select an officer/civilian of the appropriate grade to serve as the CIG. It is preferred that the assigned individual have a minimum of at least 18 months remaining on their current orders. Identify all IG personnel to IGMC for adverse material screening prior to billet assignment. The CIG shall be a separate full-time position and shall not be filled on a part-time basis or by an officer assigned to another position. Exceptions to policy must be requested in writing to IGMC for approval.

2. Provide administrative and support personnel, subject matter experts for CGIP inspections, and other

necessary resources, to their IG office and staff to accomplish assigned missions.

3. Avoid assigning duties to IG Personnel that will interfere or conflict with their ability to provide unbiased monitoring, inspections, investigations, and oversight of the command's personnel or activities, per references (a) and (e). Refer to enclosure (1) for amplifying instruction on Inspectors General duty restrictions and prohibited activities. Assignment to other duties shall be the exception.

4. Commanding Generals and Regional Installation Commanders shall establish a CGIP that inspects all commands over which they have GCMCA every other fiscal year, in accordance with reference (r). Exception to this policy must be submitted in writing to IGMC for approval.

5. As the Directing Authority (DA), serve as the release For Official Use Only (FOUO) authority/initial denial authority for all CIG records. The Commander or Commanding Officer may delegate the FOUO IG records release authority/initial denial authority to the Deputy Commander/ Executive Officer, Chief of Staff, or the CIG. The FOUO release of IG documents is a separate and distinct purpose and process from the FOIA document release.

6. Be knowledgeable of IG concepts and assist the IG office to best serve the command.

(c) Command Inspector General (CIG) Functions and Responsibilities

1. Be responsible to the commander for executing the IGP within the command.

2. Perform IG Assistance, Inspection, Investigation, and Teach and Train functions, as directed by the commander. Make inquiries or readiness assessments into any matter within the scope of their commander's authority with particular emphasis on readiness, including, but not limited to: effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness. Refer to table 1 for CIG functional responsibilities by command type.

Table 1: Command Inspector General (CIG) functional responsibilities by command type.

Command Types	CIG Functional Responsibilities			
	Assistance	Inspection	Investigation	Teach/Train
Installation Commanding Officers (O-6 level COs at bases and stations)	X	*1	X	X
Commanding Generals and Regional Installation Commanders (I MEF, 1stMarDiv, MCI-West, etc.)	X	X	X	X
MARFOR Commanders (MARFORPAC, MARFORCOM MARFOREUR/AF, etc.)	X	*2	X	X
<p>Note 1: Installation CIG may provide functional area oversight within the scope of their commander's authority; however, all installations shall be formally inspected under their respective regional CGIP.</p> <p>Note 2: A CIG at the MARFOR level shall execute an Inspection Program for any subordinate command not covered by another CGIP.</p>				

3. Be responsible for leading and overseeing the CIG staff.

4. Serve as fair, impartial, and objective fact-finders and problem solvers; must be sufficiently independent so that there is no impediment for personnel requesting IG assistance.

5. Report on the state of effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness throughout the command in support of the commander's intent.

6. Serve as the principal advisor to the commander on all inspection results, identified trends, and IG investigation matters. Report directly to either the commander or to the deputy commander. This IG command and reporting relationship may not be further delegated, in accordance with reference (a).

7. Establish a Hotline Program for the direct receipt of complaints. All Hotline Programs established pursuant to this order shall be considered part of the IG network; shall be subject to oversight, monitoring, and review

by IGMC; and shall adhere to the requirements set forth in references (e), (h), (i), (j), and this Order.

8. Serve as an official to whom, as an alternative to the normal chain of command channels, Marines, Sailors, and civilian personnel may lodge complaints and provide facts without fear of retaliation concerning: violations of law, rules, or regulations; fraud, waste, abuse of authority, mismanagement, or other misconduct; and other matters that reasonably can be expected to be of interest to the CMC, IGMC, or commander, in order to ensure appropriate inquiry and management action.

9. Conduct command inspections, functional area assessments, and make appropriate evaluations and recommendations concerning the command.

10. Conduct analysis of information obtained through inspections, inquiries, investigations, or readiness assessments to identify areas of weakness within a command that relate to matters of effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness and provide appropriate recommendations for improvement. Forward trend analyses and best practices to the IGMC for distribution and sharing across force.

11. Establish objectives for, coordinate, and monitor inspection programs in conjunction with appropriate commanders or supervisory authorities.

12. Coordinate the efforts of organizations engaged in the periodic evaluation effectiveness, efficiency, discipline, morale, economy, ethics, integrity, and readiness in order to minimize duplication and reduce the number of necessary inspections imposed on any unit or activity.

13. Initiate and conduct investigations into any matter within the command as directed by the IGMC, the commander, or as otherwise deemed appropriate by the CIG. Seek legal counsel from an attorney authorized to practice in the applicable area of law, as delineated in references (s) and (t).

14. Cooperate fully with the IGMC as required by references (a) and (e).

15. Where applicable, conduct inspections of Intelligence oversight programs and non-intelligence (sensitive activities) with subject matter experts with appropriate

clearances to ensure Marine Corps compliance with applicable Executive Orders and make reports as required.

16. Act as the command action officer, if required, for Congressional inquiries concerning matters under the purview of the commander.

17. Ensure adequate training and qualification of CIG personnel.

18. Report directly to IGMC within one business day of the receipt of a complaint against a Senior Official or a complaint alleging Military Whistleblower Reprisal and any other complaints of retaliatory behavior, including but not limited to retaliation, restriction, ostracism and maltreatment.

19. Notify the command's Staff Judge Advocate of all alleged officer misconduct or substandard performance of duty for potential entry into the Officer Disciplinary Notebook. For alleged Navy Officer misconduct (or officers from any other service), in addition to notifying the command Staff Judge Advocate, contact IGMC for processing.

(4) Coordinating Instructions

(a) Commands that rate a CIG shall have a staff structure so that they can accomplish their mission, and the IG functions and requirements, as outlined in this Order.

(b) There should be a mix of Marines on active orders and civilians serving in the IG offices. The rank structure or grades for IG personnel should be consistent with the size and complexity of the served command.

(c) All Marine Corps IG personnel shall respond to any request or inquiry by IGMC as if made by the SECNAV, per reference (e).

(d) IGs shall refrain from participating in duties that will interfere or conflict with their ability to provide unbiased monitoring, inspections, investigations, and oversight of the command's personnel or activities, per references (a) and (e). Refer to enclosure (1) for amplifying instruction on Inspectors General duty restrictions and prohibited activities.

(e) All IG personnel are responsible for compliance with this order, IGMC policy documents, and other implementing instructions that support the Marine Corps IGP. CIGs may also

promulgate local implementing instructions, as necessary, to effectively support the Marine Corps IGP.

(f) The IGMC is authorized to task any inspection or investigative organization within the Marine Corps to provide support as may be required to assist the IGMC in the performance of its mission and functions, to include the support of augments within the Headquarters Marine Corps Staff. Costs associated with such support shall be provided by the IGMC. Funding requirements for augmentees under this paragraph will be estimated and requested from Deputy Commandant for Program and Resources through the annual Program Objective Memorandum process by the IGMC.

(g) When a Marine Corps organization performing IG functions determines it 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 or impartiality of the inquiry in doubt, it shall refer the matter to the next higher office in the chain of command with a CIG.

(h) This Order shall not interfere with other independent, authorized investigations, such as courts of inquiry or investigations under the authority of the Uniform Code of Military Justice (UCMJ) or the Manual of the Judge Advocate General, and criminal investigations conducted by the Naval Criminal Investigative Service (NCIS), or other Military Criminal Investigative Organizations.

(i) The IGMC will act as the Marine Corps liaison with DoD IG, and NAVINSGEN on all Hotline issues. CIGs shall make all inquiries concerning DoD IG or NAVINSGEN referred Hotline investigations through the IGMC and will keep the IGMC informed of any contact from the DoD IG or NAVINSGEN.

(j) In addition to any other reporting requirements, all Marine Corps organizations performing IG functions shall immediately advise IGMC, through the IG Chain, prior to initiating any inquiry reasonably deemed likely to be of interest to Congress, the SECNAV, or the CMC. They shall provide periodic status reports and reports of the final disposition of such inquiries to IGMC.

(k) Except for the special categories of Senior Officials and Military Whistleblower Reprisal/Retaliation, there are no investigative restraints placed on qualified IG investigators as to whom or what IG matters they are able to

investigate. Any limitations placed on an IG investigator remove the investigator's independence and objectivity and are not in keeping with the intent of the IGP.

(l) Amplifying guidance for the execution of this Order is contained in the IGMC orders for Inspections, Readiness Assessments, Request Mast, Hotline and Marine Corps and DON Intelligence Oversight Programs. These orders are binding for all personnel conducting IG activities. The IGMC is authorized to add, delete, or modify these orders as necessary. The IGMC may waive any administrative or procedural requirements as required. Request for waivers to policies outlined in this order must be submitted in writing to IGMC.

(m) Enclosure (3) contains IGMC terms of reference applicable to the Marine Corps IGP.

5. Administration and Logistics

a. Reports and Inspector General (IG) Records. The IGMC is the confidential agent of the SECNAV and CMC for obtaining uninhibited self-analysis and self-criticism of the internal management, operation, and administration of the Marine Corps. Therefore, IGMC reports are internal memoranda and constitute information that is not releasable outside of the Marine Corps and DON, except with the specific approval of the IGMC. All requests from sources outside the original distribution for IGMC reports, extracts therefrom, or related correspondence shall be referred to the IGMC for coordination and release. Classifications and restrictions on the disclosure or use of IG reports shall be strictly enforced. All IG personnel are responsible for ensuring the protection of IG records. All working papers and documents shall be maintained in accordance with reference (v).

b. Training Requirements

(1) IG personnel should attend one of the following: the DoD IG's Joint Inspector General Certification Course, courses offered by the Association of Inspectors General, courses offered by the Federal Law Enforcement Training Center, or courses offered by the Council of the Inspectors General on Integrity and Efficiency.

(2) IG personnel shall attend the training outlined below. Once completed, IG personnel will be considered as having met the requirements to lead/perform the IG functions and responsibilities outlined in this Order. IG personnel not

trained IAW with this Order may only assist in the performance of IG functions and responsibilities.

(a) New IG personnel must conduct IGMC training at the first available opportunity. Command IG personnel must notify IGMC when training is required.

(b) Attend an IGMC Mobile Training Team IG Course at the first available opportunity, but not later than six months after joining the CIG office.

(3) In order for IG personnel to remain qualified, they shall remain current with the training requirements outlined below.

(a) Annually, either the CIG or their Deputy must attend the IGMC Symposium. Both the CIG and Deputy must attend an IGMC Symposium at least once within a two year period.

(b) Annually, all IG personnel must receive at least one hour of ethics training lead by an Ethics Counselor or through other approved ethics training materials.

(c) Biennially, all IG personnel must attend one of the IGMC's Mobile Training Team IG Course.

c. Credentials

(1) IGMC personnel accredited by the NAVINSGEN to conduct inspections and investigations are authorized to carry NAVINSGEN credentials endorsed by the SECNAV.

(2) IG personnel assigned to a CIG office may be issued locally produced and funded credentials signed by their Commander, Commanding General, or Commanding Officer. Commanders may establish additional requirements for credentialing within their commands. Such credentials will limit the authority of the bearer to that command only.

(3) IG Credentials shall not be issued, or be considered valid, unless IG personnel are current in the training as outlined in paragraph 5. b.

d. Access to Information and Spaces. IGMC personnel properly identifying themselves as IGMC representatives in the course of official business shall have expeditious and unrestricted access to Marine Corps installations, commands, or U. S. Navy ships, and when required, be given copies of all

requested documentation or reports within any Marine Corps activity. No officer, employee, or Service member of any Marine Corps activity may deny assigned IGMC personnel such access. Access to classified material shall be handled IAW references (a), (m), and (n).

e. Records Management. Records created as a result of this Order shall be managed according to National Archives and Records Administration approved dispositions per references (u) and (v) to ensure proper maintenance, use, accessibility, and preservation, regardless of format or medium. Refer to reference (w) for Marine Corps records management policy and procedures.

f. Privacy Act. Any misuse or unauthorized disclosure of Personally Identifiable Information (PII) may result in both civil and criminal penalties. The DON recognizes that the privacy of an individual is a personal and fundamental right that shall be respected and protected. The DON's need to collect, use, maintain, or disseminate PII about individuals for the purpose of discharging its statutory responsibilities will be balanced against the individual's right to be protected against an unwarranted invasion of privacy. All collection, use, maintenance, or dissemination of PII will be in accordance with the Privacy Act of 1974, as amended, reference (x) and implemented by reference (y).

6. Command and Signal


a. Command. This Order is applicable to the Marine Corps Total Force.

(1) The IGMC shall provide DoD IG, SECNAV, NAVINSGEN, and CMC information independent of the normal subordinate lines of authority and command concerning Marine Corps matters. As such, the IGMC may conduct the necessary IG actions directly with the first (or lowest) Commander, Commanding General, or Commanding Officer with a CIG in the chain of command.

(2) As set forth in references (a) and (e), the CIG, regardless of rank, shall report directly to the Commander, Commanding General, or the Commanding Officer as applicable. Reporting to the Deputy Commander or Executive Officer at those commands where all Department Heads and Special Staff Officers report to the Deputy Commander or Executive Officer is authorized. Additionally, reporting to the Chief of Staff in

lieu of a Deputy Commander or Executive Officer is authorized at those commands that do not have a Deputy Commander or Executive Officer, and all Department Heads and Special Staff Officers report to the Chief of Staff. The Staff Judge Advocate or Regional Counsel may not serve as the IG at any level of command, as this creates an inherent conflict of interest as set forth in reference (a).

b. Signal. This Order is effective upon the date signed.



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References

- (a) SECNAVINST 5430.57G
- (b) 10 U.S.C. § 5014
- (c) 10 U.S.C. § 5020
- (d) 10 U.S.C. § 5042(b) (2)
- (e) SECNAVINST 5370.5B
- (f) Marine Corps Manual W/CH 1-3
- (g) SECNAVINST 5040.3A
- (h) DoD Directive 7050.01, "DoD Hotline Program," October 17, 2017
- (i) DoD Directive 7050.06, "Military Whistleblower Protection," April, 17 2015
- (j) SECNAVINST 5370.7D
- (k) SECNAVINST 5800.12B
- (l) DoD Directive 5505.06, "Investigations of Allegations Against Senior DoD Officials," June 6, 2013
- (m) SECNAVINST 3820.3E
- (n) SECNAVINST 5000.34F
- (o) DoD Manual 5240.01, "Procedures Governing the Conduct of DoD Intelligence Activities", August 8, 2016
- (p) DoD Directive 5240.1-R, "Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons", December 1982
- (q) MCO 5800.16
- (r) MCO 5040.6H
- (s) SECNAVINST 5430.25E
- (t) SECNAVINST 5430.27D
- (u) SECNAV Notice 5210
- (v) SECNAV M-5210.1
- (w) MCO 5210.11F
- (x) 5 U.S.C. 552a
- (y) SECNAVINST 5211.5E
- (z) SECNAVINST 5430.7R
- (aa) MCO 3800.2B

Inspectors General Duty Restrictions and Prohibited Activity

1. The restrictions in this enclosure are intended to preclude conflicts of interest, prevent the perception of partiality or bias, and protect the integrity of the IGP. IGs are never off record; do not establish command policy (outside of IG policy); do not recommend adverse personnel action or other administrative/disciplinary action; and do not do anything that may jeopardize the distinction between serving as an extension of the commander and as a fair and impartial fact-finder within their respective spheres of activity.

a. Personnel detailed into IG positions shall not:

(1) Be assigned to any non-IG assistance or evaluation functions. In addition, temporary assistant IGs (TAIGs) will not perform other duties while supporting an IG inspection or investigation, until released by the CIG or DA.

(2) Be appointed as investigating officers under UCMJ, Article 32 and Article 138, or any other regulation providing for the appointment of investigating officers or members of administrative separation boards.

(3) Be assigned duties that may subsequently disqualify them from making or assisting in impartial inspections, inquiries, or investigations within their sphere of activity. Examples include, but are not limited to: adjudicator of dependent infractions onboard military installation, magistrate over traffic court, Casualty Assistance Calls Officer (CACO), staff duty officer, duty Senior Non-Commissioned Officer (SNCO), or duty Non-Commissioned Officer (NCO). Assignment of additional duties of this type, outside of the IG authorities and principles, may incur a significant risk to the commander. It may lead to a lack of confidence in the Command's IGP and result in a negative impact on the command's readiness.

(4) Participate in the establishment of command policy outside of the IG function due to the potential conflict of interest (actual or apparent) that may result if the IG must later inspect or investigate that same policy. CIGs may, however, review command policy for IG equities/impact and note inconsistencies in policy that may need further staff attention.

b. Personnel detailed into IG positions should not:

(1) Serve on boards: administrative separation boards, awards boards, promotion boards, or contracting award boards, unless no other officer meets the peer requirements necessary to ensure fair representation on the board. Regarding service on a court-martial panel, Article 25 of the UCMJ allows a convening authority to select courts-martial panel members based upon age, education, training, experience, length of service, and judicial temperament. CIGs are not exempt from this requirement, but should advise the convening authority that an IG should be the last choice for such duty, given the potential impact on the CIG's fair and impartial fact-finding status.

(2) Associate with individuals or organizations that may cause a reasonable person to question the impartiality or objectivity of the IG. Examples include: IG investigators associating with interested parties to an investigation, interested parties of an inspection, and personnel who have requested IG assistance. The purpose of this restriction is to protect the IGP, and to minimize the requirement for IG personnel to be recused from performing their IG functions due to conflicts of interest.

Inspector General of the Marine Corps Terms of Reference

The following is a list of definitions to the commonly used IG terms. This will serve as the master, all-inclusive repository of terms. Terms referenced here that are not cited in this order will be cited in the follow-on orders.

- Abuse of Authority. An arbitrary or capricious exercise of power by a federal official or employee that adversely affects the rights of any person, or that results in personal gain, or advantage to himself/herself or to preferred other persons.
- Accusation. A charge of wrongdoing; imputation of guilt or blame.
- Administrative Assistants. Personnel permanently assigned to the IG office that provide administrative assistance for the IG staff. They may not lead or perform any of the IG functions. Administrative Assistants may be enlisted personnel (Lance Corporal to Staff Sergeant) or equivalent grade government civilian employees.
- Allegation. A formal statement of wrongdoing by an individual. A framed allegation is formulated by an IG and contains four essential elements: who committed the alleged violation; what alleged violation was committed; what law, regulation, procedure, or policy was violated; and when the alleged violation occurred (if known). Allegations are either Substantiated or Not Substantiated.
 - Substantiated: An allegation in which a preponderance of the credible evidence leads to a conclusion that a violation of a law, rule, or regulation did occur.
 - Not Substantiated: An allegation in which a preponderance of the credible evidence leads to a conclusion that a violation of a law, rule, or regulation did not occur.
- Area Visit. An evaluation conducted within a specific geographic location that focuses on specific functions within the Marine Corps.

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- Assist Visit. An unofficial evaluation requested by a unit or directed by a senior commander. The results shall be used exclusively for the purpose of training unit personnel. The results are provided only to the commander of the inspected unit, or the senior commander requesting the visit.
- Assessment. Actions that test the efficiency of a program or functional area via review of the standards and/or orders to determine if it achieved the intended results.
- Assistance. The process of receiving, inquiring into, recording, and responding to complaints or requests for help either brought directly to the IG or referred to the IG by another agency.
- Audit. An official examination or verification by an audit organization of an organization's programs, operations, or financial records.
- Commanding General's Inspection Program (CGIP). An inspection program established by a Commanding General or Regional Installations Commander that is managed by his/her Command Inspector General to promote the effectiveness, efficiency, economy, and readiness of subordinate commands. The CGIP assures command readiness in support of the Marine Corps Command Inspection Program within the overarching Marine Corps IGP.
- Command Inspection. An evaluation of an entire command's effectiveness, efficiency, and integrity through the analysis of standards or compliance with directives. A command inspection may be required by law or through the exercise of command responsibilities. Command inspections should be measured against known and established standards. Only the IGMC and CIG shall conduct command inspections on behalf of the Commandant of the Marine Corps and respective Commanding Generals and Regional Installation Commanders.
- Command Inspector General (CIG). Officers or Civilian equivalents who are assigned as the primary individual responsible to execute the IG program within their respective commands. They are directly responsible to and limited by their commander's scope of authority. CIGs are a functional extension of the IGMC serving an important role in the Marine Corps IGP. The relationship between

IGMC and CIG allows direct and expeditious processing of IG related tasks between the two entities.

- Comparative Analysis Method. The modality of assessment the IGMC uses during a Comprehensive Command Inspection (CCI) to determine the thoroughness and effectiveness of a CGIP. IGMC Inspectors inspect one or more subordinate units recently inspected under a CGIP. Then the results of the CGIP and the IGMC are analyzed for consistency, accuracy, and detail.
- Complaint. An expression of dissatisfaction or discontent with a person, process, or system.
- Complaint Analysis. The initial review of assertions and evidence, including the determination whether an issue or complaint is credible, IG appropriate, and relevant and warrants further action. The complaint analysis is completed prior to proceeding to any type of inquiry/investigation.
- Complainant. A person who presents complaints, allegations, grievances, or requests for assistance to an IG.
- Compliant. Meeting or in accordance with rules or standards. Sufficient evidence exists validating a standard or answering a question set forth within a Functional Area Checklist (FAC). The IGMC and supporting CIGs will assess whether Functional Areas managed by subordinate units are compliant or not.
- Comprehensive Command Inspection (CCI). Under the CCI, the IGMC, through the Inspections Division, conducts a comprehensive command inspection of all major commands that are required to execute a CGIP. A CCI will typically be completed every third or fourth fiscal year (36-48 months) if feasible. A CCI will include assessments of the Headquarters Staff and an assessment of the CGIP by re-inspecting one or more randomly selected subordinate commands.
- Conclusion. The outcome or the result of the investigation.

- Confidentiality. The act of protecting a complainant's or witness's identity, and any information that may lead to the identification of the complainant or witness, to the extent possible under applicable law and regulation.
- Corrective Action. An action taken by an inspected command to correct an identified finding or discrepancy.
- Corrective Action Report. A formal command response following a Command Inspection wherein the command addresses how they corrected, or plan to correct, findings, and ineffective functional areas (FA).
- Credible. Something that is more than likely to be true based on experience, knowledge, training, and appearance of honesty and forthrightness. The test of credibility is purely subjective.
- Critical or Required Evaluations (CoRE) Programs. FA and programs with federal mandates or Commandant of the Marine Corps (CMC) and/or IGMC direction to be assessed within Marine Corps commands. The IGMC publishes a CoRE list of FAs to serve as the focus of IGMC and CGIP inspections. The CoRE FAs shall be inspected to the maximum extent possible within all commands regardless of size, mission, or location. The IGMC also publishes an additional list for aviation commands, which delineates their Additional Inspections Required.
- Decline. The action taken when a case lacks sufficient evidence to warrant further investigative action.
- Deputy Command Inspector General (DCIG). Responsible for assisting the CIG in leading and overseeing the CIG staff. The DCIG should also be personally capable of leading and performing all CIG functions.
- Directed Inspection. An unscheduled inspection directed by a Commander, Commanding General, or Commanding Officer that is usually narrow in focus and seeks specific insight.
- Directing Authority (DA). An Official who has the authority to direct an IG investigation or an IG Inspection. This is normally the Commander, Commanding General, or Commanding Officer, unless cognizance over the issue resides with another office or organization. It may

be delegated to the deputy commander/Executive Officer, the Chief of Staff or the CIG. The DA is the Commander whose IG office first received the original complaint. There can only be one DA per complaint/case.

- Discrepancy. A minor deviation in compliance with guidance, direction, or standards. Discrepancies require minimal corrective actions and normally are within the purview of the functional area manager to implement independently and quickly.
- Dismiss. The action taken when a case goes to investigation, but is resolved prior to final adjudication.
- Effective. The grade used to assess a functional area or program when, sufficient evidence exists to compel an expert in the functional area to believe the program existed in the past, is effective and compliant now, and is reasonably assured to be so in the future. Effective programs may exist with a degree of findings and discrepancies.
- Finding. A substantial problem, major deviation, or a systemic pattern of non-compliance from directives or standards. Findings often require corrective guidance from a unit's commander, and are often beyond the authority and purview of a functional area manager to correct independently and may incur a significant risk to the commander. Findings could:
 - Be a failure to comply with higher headquarters policies and procedures.
 - Negatively impact the command's readiness.
 - Be issues of health, morale, or welfare of the unit's Marines, Sailors, and families.
 - Lead to fraud, waste, abuse of authority, or mismanagement.
- Follow-up Action. Any effort to validate a functional area's corrected actions to assure effectiveness.

- Fraud. Intentional perversion of truth in order to induce another to part with something of value or to surrender a legal right or an act of deceiving or misrepresenting.
- Frivolous. A complaint that fails to allege facts that, if true, would constitute a violation of a standard whether defined by statute, regulation, or custom of service.
- Functional Area (FA). A HQMC directorate program conveyed through a Marine Corps Order or NAVMC Directive.
- Functional Area Assessment. An evaluation of the effectiveness, efficiency, and integrity of a functional area through the analysis of standards or compliance with directives.
- Functional Area Checklist (FAC). A written set of questions or conditions for specific functional area or program that:
 - Provide the minimum general requirements for routine operations.
 - Provide guidelines for internal evaluations.
 - Provide standardized criteria for formal assessments and inspections.
- Functional Area Checklist (FAC) Repository. The IGMC website provides the central listing of all current, relevant, and supportable FAC.
- Functional Area Sponsor. A HQMC manager who is responsible for and advocates on behalf of a functional area. The sponsor is also responsible for the Marine Corps Order and checklist.
- Functional Area Sponsor Training (FAST). Annual training that is provided by the IGMC to functional area sponsors to validate and calibrate their FAC that reside in the FAC repository.
- Hotline. A formal method of receiving Inspector General complaints, queries, or disclosures of wrongdoing. Hotlines are typically automated (e.g., electronic, telephonic, etc.) with 24-hour accessibility.

- Inspector General (IG) Inquiry. Any type of review used to ascertain the facts in response to a complaint. These include: audits, examinations, and inspections.
- Inspector General (IG) Investigation. A formal fact-finding examination by an IG into allegations of Fraud, Waste, Abuse of Authority, or Mismanagement to provide the DA a sound basis for decisions and actions.
- Inspector General (IG) Network. A communication mechanism and technical chain of command comprised of all Marine Corps personnel who perform an IG function as part of their regular or recurring duties at any level. Naval Audit Service (NAVAUDSVC) and NCIS personnel conducting inquiries in support of a DOD or Marine Corps Hotline inquiry are members of the IG Network for the limited purpose and duration of that inquiry. In addition to NAVAUDSVC and NCIS personnel supporting a specific inquiry, the IG Network also includes any other Marine Corps personnel who are tasked to support an inquiry on a one-time basis. These other Marine Corps personnel are part of the IG Network only during the course of that specific task.
- Inspector General (IG) Personnel. An all-encompassing term that refers to anyone permanently assigned to an IG office.
- Inspector General (IG) Records. Any written or recorded IG work product created during the course of an inquiry, investigation, or inspection to include: documents, case notes, files, electronic files, digital/tape recordings, video recordings, photos and working papers. Those documents contained in the IG system of records but were created by other organizations are not considered IG records for the purposes of records release or initial denial authority. Requests for release or denial should be made to the originating organization.
- Inspector General of the Marine Corps (IGMC) Inspections Team. An IGMC inspections team led by the IGMC, Director of Inspections and Lead inspector (typically a Marine Corps Colonel and Chief Warrant Officer-5), reinforced with senior Marines (Staff Sergeant and above) and DoD civilians who are experienced advocates and subject matter experts from their respective HQMC directorates.

- Independent Command Inspection (ICI). Under the ICI, the IGMC, through the Inspections Division, conducts a mission focused command inspection of commands not included under a CGIP. These independent commands have IGs in their chain of command and the only oversight is provided by the IGMC. An ICI will typically be completed every other fiscal year (24 months) if feasible. A CCI will include assessments CoRE and mission-orientated FA.
- Ineffective. The grade used to assess a functional area or program wherein, sufficient evidence exists compelling an expert to believe the program is seriously ineffective, exists in name only, or does not exist.
- Initial Denial Authority. An official who has been granted authority by the head of a DoD service Component to withhold records requested under the FOIA for one or more of the nine categories of records exempt from mandatory disclosure. Initial denial authorities can also confirm that no records were located in response to a request.
- Inspection. A thorough evaluation of an entire command using any means or methodology. Inspections may include special visits, functional area assessments, technical assessments, and one-time directed inspections. Inspections may be required by law for the exercise of command responsibilities. Only the IGMC and CIGs may inspect commands, higher headquarters staffs, and conduct functional area assessments and follow-up actions.
- Inspection Final Report. A comprehensive written report detailing the assessments of FA, the command climate, general observations, and suggestions for the inspected command. Functional area assessments shall include clear concise actions needed to correcting ineffective FAs and effective FAs with findings.
- Investigating Officer. A person that has been assigned the responsibility to conduct an IG inquiry or IG investigation utilizing the IG authorities.
- Investigative Merit. The determination that a complaint meets the threshold to be investigated. This determination is made after a thorough complaint analysis occurs and considers the credibility of the information provided and

whether, if the allegation were to be proven true, there would be a violation of a law, rule, or regulation.

- Investigative Plan. A written outline used to prepare for the conduct of an IG Inquiry. It outlines the objectives and formulates a strategy of how facts and information will be obtained.
- Issue. An issue is a complaint, request for information, or request for assistance to the IG that does not state a violation of a law, rule, or regulation. Additionally, it does not identify a "who" by name as the violator of a violation of a law, rule, or regulation. An issue is either Founded or Unfounded.
 - Founded: Has merit and requires resolution.
 - Unfounded: Does not have merit and requires no action. It does require a case note/memorandum justifying why no action was taken.
- Known and Established Standards. Enforceable standards derived from Congress, DoD Instructions, SECNAV Instructions, Directives, Marine Corps Orders, or other applicable Service orders.
- Marine Corps Organization Performing Inspector General (IG) Functions. Any entity, at any level within the Marine Corps that is tasked to perform one or more of the functions within the scope of MCO 5403.1A.
- Military Whistleblower. A member of the Armed Forces, who makes, or prepares to make, a protected communication and is protected by whistleblower statutes.
- Misconduct. An assertion of wrongdoing or impropriety made that, if proven, would constitute:
 - A violation of law, rule or regulation (e.g., a violation of the the UCMJ, the DoD Joint Ethics Regulation and other Federal, DoD, or Service regulations)
 - Fraud, Waste, Abuse of Authority, or Mismanagement

- A substantial and specific danger to the public health and safety
 - Any other conduct that could reasonably be expected to be of significant concern to the Secretary of Defense, SECNAV, the CNO, the CMC, the IG DoD, the Naval IG, or the DNIGMC/IGMC, including, but not limited to threats to homeland security or national security; leaks of classified information; trafficking in persons; or reprisal against whistleblowers.
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- Mismanagement (gross). A management action or inaction that creates a substantial risk of significant adverse impact on the agency's ability to accomplish its mission. The matter must be significant and more than *de minimis* wrongdoing or simple negligence. It does not include management decisions that are merely debatable among reasonable people.
 - Mission Capable. When a command possesses and effectively manages the requisite skills, equipment, and personnel to accomplish all assigned tasks, functions, and missions.
 - Non-Compliant. Not meeting or not in accordance with rules or standards. Sufficient evidence exists invalidating a standard or failing to answer a question satisfactorily as set forth within a Functional Area Checklist (FAC). The IGMC and supporting CIGs will assess whether Functional Areas managed by subordinate units are compliant or not.
 - Non-Mission Capable. When a command fails to possess and effectively manage the requisite skills, equipment, and personnel to accomplish all assigned tasks, functions, and missions.
 - Office of Inquiry (OoI). If another IG office refers a complaint to a vertical lower-echelon IG office for information or action but retains office of record (OoR) status, the IG office acting on the complaint becomes the OoI. The OoI must gather all pertinent information and submit the completed case to the OoR for final disposition.
 - Office of Record (OoR). Normally this is the IG office that receives the complaint. The OoR must ensure that all issues are addressed and all IG responsibilities were

fulfilled to include records management. The OoR is synonymous with DA.

- Personnel Action. Any action taken on a Service member that affects, or has the potential to affect, that Service member's current position or career. Such actions include but are not limited to, a promotion; a written disciplinary or corrective action; a transfer or reassignment; a performance evaluation; a decision on pay, benefits, awards, or training; referral for mental health evaluations under DODD 6490.04; and any other significant change in duties or responsibilities inconsistent with the Service member's position/grade.
- Preponderance of the Evidence. The greater weight of evidence (>51%) supports the findings and conclusion.
- Protected Communication. The following table describes when a communication is protected.

Type of Communication:	Conditions on Protection:	When made to:
Any communication	Must be a lawful communication	<ul style="list-style-type: none"> • A member of Congress or • An IG
Any communication in which a Service member communicates information that he or she reasonably believes evidences: <ul style="list-style-type: none"> • A violation of law or regulation, including a law or regulation prohibiting rape, sexual assault, or other sexual misconduct in violations of section 920 through 920c of Reference (c) (articles 120 through 120c of the UCMJ), sexual harassment or unlawful discrimination; 	A communication will not lose its protected status because: <ul style="list-style-type: none"> • The communication was made to a person who participated in the activity that the Service member complained of; • The communication revealed information that had been previously disclosed; • Of the Service member's motive 	<ul style="list-style-type: none"> • A member of Congress; • An IG; • A member of a DoD audit, inspection, investigation, or law enforcement organization; • Any person or organization in the chain of command; • A court-martial proceeding; or • Any other person or organization designated pursuant to regulations or other established

<ul style="list-style-type: none"> • Gross mismanagement, a gross waste of funds or other resources, an abuse of authority, or a substantial and specific danger to public health or safety; or • A threat by another Service member or employee of the Federal Government that indicates a determination or intent to kill or cause serious bodily injury to Service members or civilians or damage to military, federal, or civilian property. • Testimony, or otherwise participating in or assisting in an investigation or proceeding related to a communication as described above; or • Filing, or causing to be filed, participating in, or otherwise assisting in a military whistleblower reprisal action. 	<p>for making the communication;</p> <ul style="list-style-type: none"> • The communication was not in writing; • The communication was made while the Service member was off duty; or • The communication was made during the normal course of the Service member's duties. 	<p>administrative procedures to receive such communications.</p>
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- Readiness Assessment. Those actions dealing with conducting evaluations to validate the preparedness status of subordinate organizations based on their mission, structure, equipment, or other areas of importance.
- Refer. The act of recommending either the complaint or the Complainant be directed to another, more appropriate venue,

organization, agency, or a vertical, lower-echelon IG office for resolution.

- Re-inspection. An additional inspection required to determine whether a command found "Non-Mission Capable" corrected their deficiencies.
- Reprisal. Taking, (or threatening to take) an unfavorable personnel action or withholding (or threatening to withhold) a favorable personnel action from a military member for making or preparing to make a Protected Communication.
- Responsible Management Official (RMO). An individual who has the authority to take an unfavorable personnel action, or withhold a favorable personnel action, or have the potential to affect a military member's career. This includes individuals who take the action; influence or recommend the action be taken or withheld; sign correspondence regarding the action, or approve, review, or endorse the action. Anyone who initiated, took, recommended, threatened, or influenced a personnel action.
- Restriction. Preventing or attempting to prevent a service member from making or preparing to make a lawful communication to a member of Congress and/or Inspector General.
- Review. The evaluation of organizational processes and procedures in view of standing orders, policies, documentation, and other evidence with the purpose of reporting on the efficiency of a program, or more clearly defining an issue.
- Root Cause Analysis. Determining the underlying reason for failure. Inspectors should conduct root cause analysis during inspections or assessments to learn and report why non-compliance exists.
- Root Cause Analysis Model. The intellectual guide employed by inspectors in determining the reasons why something is happening or failing to happen. The model structures an analytical process for inspectors to determine what went right or wrong by posing a series of questions in a particular form or sequence.

- Senior Officials. Active duty, retired, or reserve military officers in, or selected for, the grade of brigadier general (O-7) and above; current or former members of the Senior Executive Service (SES); other current and former DoD civilian employees whose positions are deemed equivalent to that of a member of the Senior Executive Service; and current and former Presidential Appointees. Examples include: Senior Intelligence Executive Service, Senior Leader, Senior Intelligence Professional, Senior Technical (ST), or Non-Appropriated Fund Level Six (NF-6).
- Short-Notice Inspections. A command shall receive notification approximately one to two weeks prior to it being inspected. This minimizes unproductive preparation and provides commanders an accurate assessment of routine operations. Inspection schedules shall be safeguarded and unpublished. To the maximum degree possible, an inspection should not affect the normal command operations. A command's operational schedule should be honored when scheduling a short-notice inspection.
- Special Assessment. An evaluation a specific issue or concern across multiple commands or down through a single chain of command. While these are often executed by the IGMC, they may also be directed by a commander within the scope of his authority.
- Special Interest Brief. The SPIN Brief consists of the high priority concerns of Congressional, DoD, SECNAV, and the CMC. This brief is required during every IGMC inspection. CGIPs may include a SPIN Brief highlighting the concerns of their respective Commanding General.
- Standard of Proof. The standard of proof applicable to IG investigations is "a preponderance of the evidence," which means that the IG Investigating Officer is satisfied that the greater weight of credible evidence, (\geq 51%) supports the finding(s) and conclusion(s).
- Subject. The person(s) against whom accusations of non-criminal wrongdoing have been made and whose conduct is the focus of an investigation.
- Supporting Documents. Any written, recorded, or electronic media information gathered or produced by an IG used to

derive findings of fact, analysis, and conclusions contained in the report.

- Survey. The process of gathering information, without detailed verification, on an entity or function being investigated or inspected, for the purpose of identifying problem areas warranting additional review or to obtain information for use in planning and accomplishing an investigation or inspection.
- Technical Assessment. An evaluation related to a specific FA within a command. Technical assessments are usually required by a service order, not by federal law. These specialized assessments are often conducted by designated teams from a higher headquarters staff to include HQMC. The results of a technical assessment reflect only the specified FA, not the overall command.
- Temporary Assistant Inspectors General (TAIGs). Any member of the armed services, or DoD civilian, detailed in writing, who is authorized to act as a temporary IG. The TAIG is limited in scope to the specifics of the authorization detailing them as an IG. TAIGs are not permanently assigned to the CIG office and temporarily serve as subject-matter experts or augmentees for a limited period or for a specified purpose. They may be used to assist (not lead) in the execution of all IG functions -- except for the Assistance function.
- Transfer. The action taken after complaint analysis determines that another IG, or a service IG, is better suited to resolve the matters presented. This action is done only between IGs.
- Unit Inspection Coordinator (UIC). The Unit Inspection Coordinator is the foundation of a command self-assessment program. The UIC shall assure all functional area managers are aware of their responsibilities. The UIC ensure all applicable FA are managed and facilitates peer to peer or near peer reviews. During a command inspection, the UIC serves as the conduit and liaison with the inspection team.
- Waste of Funds (Gross). An expenditure that is significantly out of proportion to the benefit reasonably expected to accrue to the government.