



DCMA Instruction 936

Inspector General: DCMA Hotline Program

Office of Primary Responsibility

Office of Internal Audit and Inspector General

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Approved by:

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Purpose: This issuance, in accordance with the authority in DoD Directive (DoDD) 5105.64, DoDD 5106.04, DoD Instruction (DoDI) 7050.01, and DCMA-INST 906:

- Established policy and assigns responsibilities for DCMA employees and leadership

SUMMARY OF CHANGES

This Instruction is being incorporated. Agency users and stakeholders should read this Instruction in its entirety. The following identifies the most notable changes:

- Incorporates and cancels DCMA-PTM 17-002, “DCMA Hotline Program”
- Adds information on the receipt of Requests for Assistance from the DCMA Insider Threat Program

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This DCMA Instruction (DCMA-INST) applies to all DCMA employees unless higher-level regulations, policy, guidance, or agreements take precedence.

1.2. POLICY. In accordance with DoD Directive (DoDD) 5105.64, DoDD 5106.04, DoD Instruction (DoDI) 7050.01, and DCMA-INST 906, it is DCMA policy that:

a. DCMA employees will support readiness and promote efficiency, economy, and effectiveness in DCMA programs and operations through the detection and prevention of fraud, waste, abuse, sexual harassment, sexual assault, and mismanagement.

b. DCMA leadership will encourage DCMA personnel to report suspected fraud, waste, abuse, sexual harassment, sexual assault, and mismanagement, without fear of reprisal.

c. DCMA must provide leadership and coordination, as set forth in DoDI 7050.01, to ensure the proper receipt and evaluation of allegations of fraud, waste, abuse, sexual harassment, sexual assault, and mismanagement, and that appropriate actions are taken as a result of any inquiries.

d. DCMA leadership will encourage the use of hotlines for reporting instances of fraud, waste, abuse, sexual harassment, sexual assault, and mismanagement in DCMA operations. DCMA leadership will endorse proactive oversight through a follow-up system that ensures the high program standards described in the Council of the Inspectors General on Integrity and Efficiency (CIGIE) Standards and DoDI 7050.01 are followed.

e. DCMA employees must report contract/procurement fraud to the Contract Integrity Center (CIC) Fraud Counsel or through the DCMA FraudNET eTOOL via DCMA 360.

f. When applicable, the DCMA Hotline must comply with the Quality Standards for Hotlines described in Section 4 of DoDI 7050.01, "DoD Hotline Program," which were developed from the CIGIE Standards and Government Auditing Standards.

g. Execute this instruction in a safe, efficient, effective, and ethical manner.

SECTION 2: RESPONSIBILITIES

2.1. INSPECTOR GENERAL, OFFICE OF INTERNAL AUDIT AND INSPECTOR GENERAL (OIA & IG). The Inspector General, OIA & IG will:

- a. Act as the principal advisor for DCMA on all matters relating to the detection and prevention of fraud, waste, abuse, sexual harassment, sexual assault, general administrative and potential criminal issues and concerns.
- b. Operate the DCMA Hotline and direct cases through the OIA & IG, ensuring that inquiries resulting from allegations are conducted in accordance with applicable laws, DoD regulations, policies, and standards for investigations.
- c. Issue implementing instructions specifying: quality standards for the DCMA Hotline; procedures to ensure appropriate evaluation and action on all allegations of fraud, waste, abuse, and mismanagement; and methods to ensure appropriate protection of the identity of sources requesting anonymity or confidentiality. The DCMA Inspector General will also ensure all allegations regarding contract/procurement fraud are sent to the DCMA CIC for disposition.
- d. Provide oversight and follow-up to ensure that reported allegations are appropriately evaluated, acted upon, and that findings and conclusions of any inquiry are fully documented.
- e. Maintain an active DCMA Hotline publicity campaign using official notices, posters, telephone directories, and other media to encourage employees to identify and report fraud, waste, abuse, sexual harassment, sexual assault and mismanagement.
- f. Participate in the DoD Hotline Working Group.
- g. Establish procedures necessary to ensure that the collection, maintenance, use, and dissemination of DCMA Hotline case file information is consistent with the requirements of DoDI 7050.01.

2.2. DCMA HOTLINE COORDINATOR. The DCMA Hotline Coordinator will:

- a. Serve as the principal advisor to the OIA & IG Director and DCMA Director on all matters relating to the detection and prevention of fraud, waste, abuse, sexual harassment, sexual assault, and mismanagement of DCMA personnel, programs and operations.
- b. Provide education and training to DCMA employees.
- c. Notify the DCMA Director, OIA & IG Inspector General, General Counsel, Labor and Employee Relations, and Director of Security regarding substantiated allegations, upon conclusion of investigations.

d. Prepare a Report of Investigation or Investigative Inquiry and provide the required documents. OIA & IG is responsible for maintaining information concerning action taken in connection with substantiated allegations identified in the report.

e. Accept action and information referrals from the Department of Defense Inspector General (DoDIG) Hotline, and ensure action referrals are completed and Hotline Completion Reports (HCR) are submitted in a timely manner.

f. Accept Requests for Assistance (RFA) from the DCMA Insider Threat Program and ensure an Investigator's Activity Report (IAR) is submitted in a timely manner.

2.3. DCMA OFFICE OF GENERAL COUNSEL (GC). The DCMA GC will provide legal advice during the lifecycle of investigations and, when requested by the DCMA OIA-IG, GC will conduct a legal sufficiency review upon completion of an substantiated investigation.

a. The GC headquarters staff attorneys will:

(1) Coordinate with directorate, Region, and CMO counsel on matters related to investigations and disposition of misconduct.

b. Directorate, Region, and CMO counsel will, in consultation with GC headquarters staff attorneys:

(1) Provide legal advice to DCMA Investigators during the lifecycle of an investigation.

(2) Conduct legal reviews of investigations of DCMA employee misconduct.

c. Legal Review. Typically, local counsel will review the report of investigation and in coordination with headquarters GC, render a written opinion of legal sufficiency. However, counsel conducting the post-investigation legal sufficiency review should be an attorney other than the legal advisor to the investigating officer. Counsel shall make the following determinations and findings:

(1) Whether the investigation is legally sufficient and was conducted in accordance with appropriate direction and applicable regulatory guidance.

(2) Whether additional evidence or supporting documentation is required.

(3) Whether the conclusions and findings are supported by the evidence contained within the report.

(4) Whether the recommendations are supported by the evidence and the conclusions and findings of the Investigator.

SECTION 3: PROCEDURES

3.1. INSPECTOR GENERAL, OIA & IG. The DCMA Inspector General, OIA & IG will:

- a. Establish procedures to ensure the prompt receipt, processing, controlling, examining, independent and objective reviewing, and reporting of all allegations referred for action through the DCMA Hotline.
- b. Examine DCMA Hotline information referrals to determine if an inquiry is warranted.
- c. Refer any contract/procurement fraud related information received by the Hotline to the CIC.
- d. Refer any Safety and Occupational Health related information received by the Hotline to the Safety Center.
- e. Ensure necessary controls are in place to provide maximum protection for the identity of all Hotline users.
- f. Ensure completed Hotline case files are retained in accordance with DoDD 5015.2.

3.2. DCMA HOTLINE COORDINATOR OR DESIGNATED REPRESENTATIVE. The DCMA Hotline Coordinator or Designated Representative will:

- a. Obtain from the complainant, specific information necessary to determine referral to the appropriate personnel for action or information.
- b. Document pertinent information of allegations meriting examination received by telephone, mail, internet, or other means of communication.
- c. Assign a case control number for tracking Hotline referrals.
- d. Refer items preliminarily determined to be sensitive, controversial, or inappropriate for direct referral to the appropriate Component for further evaluation. This includes contract/procurement fraud allegations as referenced above, members of the Senior Executive Services, military whistleblower reprisals, and civilian appropriated fund employee reprisals.
- e. Review and analyze all interim and final inquiry reports to ensure all aspects of the complaint were addressed fully, inquiries were conducted properly, and appropriate corrective measures were taken based on the stated finding and conclusions.
- f. Follow-up on completed DCMA Hotline referrals to determine if appropriate corrective action was taken.

g. Ensure individuals who initiate a complaint or provide information to the Hotline understand they are not required to discuss their complaint or related information with anyone other than the investigator.

h. Complete the HCR, when applicable, to the DoDIG within the timeframe outlined in DoDI 7050.01. When necessary, request extensions with a written justification stating the reason for the delay and anticipated completion date.

i. Ensure each DoDIG Hotline referral case file contains documentation that supports the findings and conclusions contained in the HCR. This includes a description of the actions taken by the examining official to determine the findings, the complete identity of all witnesses, date of and information relayed during interviews, specific details, the location of all documents reviewed during the examination, and a description of any other actions the Component took as a result of the inquiry. Notification will be made to the DoDIG Hotline as soon as possible when actions taken were in response to a DoDIG Hotline Priority 1 referral, which requires a response within 1 workday.

j. Ensure not to disclose the identity of the employee without the consent of the employee, unless DCMA OIA & IG determines such disclosure is necessary during the course of the investigation the employee will be notified of the disclosure.

k. Remain free, both in fact and appearance, from possible conflicts of interest and maintain independence so that decisions used in prioritizing, processing, investigating, reviewing and reporting on hotline complaints will be impartial and will be viewed as legitimate by knowledgeable third parties.

l. Categorize complaint processing priorities as referenced in DoDI 7050.01.

3.3. FILING A DCMA HOTLINE COMPLAINT.

a. **WHO MAY FILE A COMPLAINT.** The DCMA Hotline accepts complaints and information from all sources, including third parties.

b. **WHAT TO REPORT.** Information on specific matters that should be reported to the DCMA Hotline is located online on the instruction resource page.

c. **HOW TO FILE A COMPLAINT.** Complaints may be filed by phone, by mail/commercial delivery service, or online.

(1) DCMA Hotline can be reached at the following telephone numbers: (toll-free) 1-844-551-2067, (commercial) 804-734-0322, or DSN 312-687-0322.

(2) Mailed correspondence should be address to the DCMA Hotline, Office of Internal Audit and Inspector General, 3901 A Avenue, Building 10500, Fort Lee, VA 23801.

(3) Online reports can be made at <http://www.dcma.mil/hotline/>.

d. **MATTERS NOT APPROPRIATE FOR THE DCMA HOTLINE.** Some matters are not appropriate for the DCMA Hotline. Information on matters that are not appropriate for the DCMA Hotline is available on the instruction resource page.

(1) DCMA Hotline does not accept complaints that have no connection to the DCMA.

(2) To avoid duplication, the DCMA Hotline generally does not accept complaints for which other channels to address the matter have been established by law, rule, or regulation.

(3) Equal Employment Opportunity (EEO) complaints must be reported to the DCMA EEO Office within 45 days from the date of the alleged incident. The EEO Complaints Line can be located on the resource page.

e. **COMPLAINANT ACCESS TO THE HOTLINE AND LIMITING ACCESS.**

(1) Complainants may:

(a) File a complaint without going through their supervisory chain.

(b) File a complaint without fear of reprisal.

(c) Withhold consent to disclose their identity outside the DCMA Hotline. However, the DCMA Director or OIA & IG Director may:

1. Dismiss the complaint if disclosing the complainant's identity is required to take further action on the complaint.

2. Disclose the complainant's identity as described in DoDI 7050.01.

(d) File a complaint on behalf of another individual as a third-party complainant.

(e) Request withdrawing their complaint in writing; however, the DCMA Hotline may still act on the complaint.

(2) The DCMA Director or DCMA Inspector General may dismiss a complaint or limit a complainant's access to the DCMA Hotline under one or more of the following conditions:

(a) If the complaint is not filed in a timely manner and inquiry would not be a prudent use of government resources.

(b) If the complainant does not respond to requests for information necessary to investigate the complainant's allegations.

(c) False or misleading statements or concealment of a material fact from the DCMA Hotline.

(d) Absent new evidence, the DCMA Hotline does not reinvestigate matters previously investigated.

(e) The DCMA Hotline will not investigate allegations that fail to allege facts that, if true, would constitute a violation of a standard, whether defined by law, rule, or regulation.

(f) The complainant uses harassing, vulgar, or threatening language when communicating with the DCMA Hotline, unless the gravity of the matter outweighs the abusive behavior.

(g) Complaint is not logical or easily understood.

GLOSSARY

ACRONYMS.

CIC	Contract Integrity Center
CIGIE	The Council of Inspectors General on Integrity and Efficiency
DCMA-INST	DCMA Instruction
DCMA-OIA & IG	DCMA Office of Internal Audit and Inspector General
DoDD	DoD Directive
DoDI	DoD Instruction
EEO	Equal Employment Opportunity
GC	DCMA Office of General Counsel
HCR	Hotline Completion Reports
RFA	Request for Assistance

REFERENCES

- Council of the Inspectors General on Integrity and Efficiency, “Quality Standards for Investigations”, November 15, 2011.”
- DCMA Instruction 906, “Fraud, Waste and Abuse,” October 29, 2014
- DoD Directive 5105.64, “Defense Contract Management Agency (DCMA),” January 10, 2013
- DoD Directive 5106.04, “Defense Inspectors General,” May 22, 2014
- DoD Instruction 5015.2, “DoD Records Management Program,” February 24, 2015
- DoD Instruction 7050.01, “Defense Hotline Program,” October 17, 2017 (as amended)