



## DoDEA ADMINISTRATIVE INSTRUCTION 7050.01

### DoDEA HOTLINE PROGRAM

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**Originating Division:** Investigations and Internal Review

**Effective:** May 16, 2019

**Releasability:** Cleared for public release. Available on the DoDEA Policy Webpage.

**Approved by:** Thomas M. Brady, Director

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**Purpose:** This Issuance establishes policy, implements procedures, and assigns responsibilities for the Department of Defense Education Activity (DoDEA) Hotline Program, pursuant to DoD Instruction 7050.01. The DoDEA Hotline Program provides a confidential, reliable means for individuals to report fraud; waste; abuse; mismanagement; violations of law, rule, or regulation; and/or classified information leaks involving the DoD and/or DoDEA.

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## SECTION 1: GENERAL ISSUANCE INFORMATION

**1.1. APPLICABILITY.** This Issuance applies to the DoDEA Headquarters Organization, the DoDEA Americas Region, the DoDEA Europe Region, the DoDEA Pacific Region, and to include all schools under the DoDEA authority, and when applicable, volunteers, students, support personnel, student teachers, contractors, and sponsors/parents.

**1.2. POLICY.** It is DoDEA policy that:

a. Efficiency, economy, and effectiveness are supported and promoted through the detection and prevention of fraud, waste, abuse, mismanagement, violations of law, rule, or regulation, and/or classified information leaks and that anonymous reporting be permissible for the protection of employees.

b. Any forms of retaliation against employees for lawfully contacting or making disclosures of suspected fraud, waste, abuse, mismanagement, and other matters of concern to their respective chain of command or the appropriate authorized investigating office are not tolerated.

c. DoDEA Investigations and Internal Review Division (I&IR) is the authorized investigating office that oversees and maintains the DoDEA Hotline Program.

**1.3. INFORMATION COLLECTION.** This Issuance may result in the collection of information due to its policy and procedures. Any collection of information must follow all applicable Federal, DoD, and DoDEA regulations, policies, and guidance.

## SECTION 2: RESPONSIBILITIES

### 2.1. DODEA DIRECTOR. The DoDEA Director:

- a. Establishes and ensures the DoDEA Hotline Program and this Issuance, are fully implemented and in compliance with the DoD Hotline Program including, but not limited to, the quality standards for hotlines in Section 4 of DoD Instruction 7050.01.
- b. Designates, in writing, the DoDEA DoD Hotline Coordinator.
- c. Ensures DoDEA employees, students, and legal guardians are informed of their rights and have access to the DoDEA Hotline.
- d. Ensures DoDEA employees abide by this Issuance.

### 2.2. DODEA HEADQUARTER CHIEF OF STAFF. The DoDEA Headquarter Chief of Staff:

- a. Monitors compliance with this Issuance and the requirements of DoD Instruction 7050.01.
- b. Avoids assigning duties to the DoDEA I&IR Chief and staff that may interfere (or may create a conflict of interest) with the duties, responsibilities, and functions assigned in this Issuance.

### 2.3. DODEA INVESTIGATIONS AND INTERNAL REVIEW DIVISION CHIEF. The DoDEA I&IR Chief:

- a. Serves as the principal advisor to the DoDEA Director on all matters related to the prevention, detection, and elimination of fraud, waste, abuse, and mismanagement in DoDEA programs and operations. Keeps the DoDEA Director and DoDEA Chief of Staff fully and currently informed of fraud, abuses, and deficiencies related to the administration of DoDEA programs and operations.
- b. Establishes written procedures, as necessary, for the DoDEA Hotline Program and monitor adherence to this Issuance and the policies and standards established by the DoD.
- c. Ensures hotline employees are trained and knowledgeable about the DoDEA mission and programs, and have attended Inspector General (IG) training courses to provide them with the knowledge, skills, and abilities to adhere to this Issuance and the quality standards for hotlines and hotline inquiries listed in Sections 4 and 8 of DoD Instruction 7050.01.
- d. Recommends non-disciplinary corrective actions, to the DoDEA Director for approval, based on investigative inquiry or investigative evidentiary findings. Tasks appropriate DoDEA employees with approved recommendations and report on the progress made in implementing corrective actions to the DoDEA Director.

e. Encourages DoDEA employees to report suspected fraud; waste; abuse; mismanagement; violations of law, rule, or regulation; and/or classified information leaks involving DoD and/or DoDEA employees without fear of reprisal.

f. Cooperates fully with external reviews of the DoDEA I&IR and its activities including, but not limited to, all quality assurance reviews of the DoD Hotline Program conducted by the Department of Defense Office of Inspector General (DoD OIG).

**2.4. DODEA DOD HOTLINE COORDINATOR.** The DoDEA DoD Hotline Coordinator:

a. Serves as the liaison between the DoD OIG and DoDEA and supports the DoD Hotline by being the single point of contact for DoD OIG on DoDEA-related Inspector General matters, in accordance with DoD Directive 5106.04 and DoD Instruction 7050.01.

b. Receives and examines all DoD Hotline action and information referrals and determine appropriate courses of action. Provide feedback to the DoD Hotline per referral priority (i.e., emergency, expedited, prompt, and routine) as defined in DoD Instruction 7050.01.

c. Coordinates with the DoDEA I&IR Chief to task applicable DoDEA employees to complete necessary actions related to DoD Hotline referrals. Tracks all case status and ensure comprehensive and accurate DoD Hotline Completion Reports are submitted to DoD OIG per case suspense dates, or ensure requests to extend the suspense are submitted to DoD OIG, in writing, and include the reason for the delay and estimated completion date.

d. Maintains a public awareness campaign ensuring current DoD Hotline posters, prepared by the DoD OIG, are displayed in common work areas.

e. Coordinates with the DoDEA I&IR Chief and DoD OIG on external quality assurance reviews related to the DoDEA Hotline Program or the DoDEA I&IR Division.

**2.5. DODEA GENERAL COUNSEL.** DoDEA General Counsel shall ensure legal guidance is provided to DoDEA Hotline investigators, throughout the inquiry and/or investigative process, to include timely legal sufficiency reviews of all reports of investigation and/or inquiry (if applicable) prior to submittal to the DoDEA Director for approval.

**2.6. DODEA REGION DIRECTORS OF STUDENT EXCELLENCE/REGION CHIEFS OF STAFF, DISTRICT AND COMMUNITY SUPERINTENDENTS, AND DODEA HEADQUARTERS DIVISION CHIEFS.** DoDEA Region Directors of Student Excellence and Region Chiefs of Staff, District and Community Superintendents and DoDEA Headquarters Division Chiefs:

a. Receive and respond to the DoDEA I&IR on referred complaints and other issues. Referrals may impose management response requirements such as suspense dates, formatting, and evaluation expectations including addressing specific questions necessary to determine the appropriate finding of the allegation or issue.

b. Cooperate fully with DoDEA Hotline investigators through ongoing inquiries or investigations.

c. Cooperate with and/or implement any approved recommendations resulting from an investigative inquiry or investigative evidentiary findings.

**2.7. DODEA EMPLOYEES.** All DoDEA employees:

a. Abide by this Issuance.

b. Promptly report fraud; waste; abuse; mismanagement; violations of law, rule, or regulation; and/or classified information leaks involving the DoD and/or DoDEA.

c. Cooperate with the DoD OIG and DoDEA I&IR Division and provide accurate, timely, and complete responses to any inquiries or requests. Federal employees are required to answer questions related to official duties and provide information obtained in the course of employment. Failure to cooperate may constitute a basis for disciplinary action, up to and including removal, and DoDEA employees failing to cooperate shall be so informed of the potential consequences.

d. Cooperate with and/or implement any approved recommendations resulting from an investigative inquiry or investigative evidentiary findings.

## SECTION 3: HOTLINE GENERAL ADMINISTRATION

**3.1. DODEA HOTLINE.** The DoDEA Hotline is a resource for receiving and responding to the DoD OIG referred complaints (or other outside agencies) and to matters submitted directly by DoDEA employees or from other sources. The DoDEA Hotline Program will comply with DoD Instruction 7050.01 including, but not limited to, the quality standards for hotlines in Sections 4 and 8 of DoD Instruction 7050.01, as well as U.S. Government Accountability Office's GAO-12-331G, "Government Auditing Standards," and the Council of the Inspectors General on Integrity and Efficiency's "Quality Standards for Investigations," when applicable.

a. The DoDEA Hotline will be operated and maintained by DoDEA I&IR.

b. Complainant may access information on filing unclassified hotline complaints and/or file a complaint via one of the following methods:

(1) Walk-in at DoDEA I&IR offices located at DoDEA Headquarters in Alexandria, Virginia; Region Offices at Torii Station, Okinawa, Japan, or Sembach, Germany.

(2) Telephone at 571-372-7410.

(3) DoDEA I&IR website located at <https://www.dodea.edu/Offices/IIR/index.cfm>.

(4) DoDEA I&IR Division email at HQ.OI-IR@dodea.edu.

(5) Regular mail at:

DoDEA I&IR Division  
4800 Mark Center Drive, Suite 04E12  
Alexandria, Virginia, 22311

(6) Referral from an outside agency.

c. Complainants who want to report issues containing classified information should contact the DoDEA Hotline telephone number and inform the hotline operator that a classified complaint intake is requested. **No classified information will be relayed over the non-secured hotline telephone line.** DoDEA I&IR will make appropriate accommodations for receiving the complaint and inform the complainant of the arrangements.

d. Anyone may make a complaint to the DoDEA Hotline without fear of reprisal. Any of the following, but not limited to, issues should be reported to DoDEA I&IR:

(1) Bribes, kickbacks, acceptance of gratuities.

(2) Conflicts of interest(s).

(3) Executive Order 13160 appeals.

- (4) Ethics violations.
- (5) Fraud.
- (6) Gifts (improper receiving or giving).
- (7) Mismanagement.
- (8) Misuse of U.S. Government property, position, and public office.
- (9) Misuse of official time.
- (10) Procurement issues.
- (11) Purchase card and travel card abuse.
- (12) Safety and public health concerns.
- (13) Systemic problems (across DoDEA).
- (14) Time and attendance violations.
- (15) Waste.

e. DoDEA I&IR employees will evaluate the complaint and determine an appropriate course(s) of action to include the priority of the complaint (if not already predetermined by the DoD OIG). Probable courses of action are:

(1) Assist: Assistance is an informal fact-finding process used to address or respond to a complaint involving a request for help, information, or issues, but the matter does not fall within DoDEA I&IR's purview. For example, DoDEA I&IR employees may assist the complainant by soliciting helpful information from appropriate sources and providing the complainant with contact information for the individual, organization, or agency that can properly address the complainant's issue.

(2) Refer: When matters do not fall within DoDEA I&IR's purview, or could/should more appropriately be handled by the chain of command or another division within DoDEA, or an outside agency, DoDEA I&IR may refer the issue to the applicable party/organization (versus redirecting the complainant as an assist). DoDEA I&IR may track, review, and analyze required management responses, within DoDEA, to referred issues to ensure all aspects of the complaint were address fully and appropriate corrective action was taken based on the stated findings and approved recommendations.

(3) Inquire and/or Investigate: The DoDEA I&IR will inquire into and/or investigate matters that fall under the DoDEA I&IR's purview, for which other avenues of redress are not available, and the allegation identifies impropriety (i.e., violation of a standard). All DoD OIG Hotline action referrals require either an investigative inquiry or full investigation and findings (i.e., substantiated or not substantiated) must be reported to DoD OIG using the DoD Hotline



Completion Report (HCR) format. All DoD OIG Hotline information referrals will be reviewed to determine whether an investigative inquiry or full investigation is warranted. An HCR, submitted to DoD OIG, is not required unless an investigative inquiry/investigation is conducted and results in a substantiated allegation.

(4) Dismiss: Allegations that are duplicates to previously received issues and do not provide additional information to justify further inquiry; do not allege wrongdoing; are untimely, without merit, or cannot be referred will be dismissed. Depending on the nature of the complaint, I&IR may choose to assist the complainant with issues that do not allege wrongdoing versus dismiss the complaint.

f. DoDEA I&IR will promptly report any allegation(s) of fraud to the Defense Criminal Investigative Service, as outlined in DoD Instruction 5505.02.

g. DoDEA I&IR will report any allegations of misconduct against a senior official to the DoD OIG within five (5) workdays of the complaint's receipt. Investigations against senior officials will not be directed or initiated without first reporting the allegations to, and coordinating with, DoD OIG, in accordance with DoD Directive 5505.06.

h. DoDEA I&IR will promptly report any allegation of whistleblower reprisal to DoD OIG, in accordance with DoD Instruction 7050.01.

i. Additional information as to who can file a DoDEA Hotline complaint, how to file a complaint, and what issues are appropriate for referral to the DoDEA I&IR are located on the DoDEA I&IR website located at <https://www.dodea.edu/Offices/IIR/complaints.cfm>.

**3.2. UNRESTRICTED ACCESS.** Per DoD Instruction 7050.01, DoDEA Hotline investigators, when necessary to carry out their responsibilities under this Issuance, shall have expeditious and unrestricted access to information and DoDEA records including, but not limited to, reports, investigations, audits, reviews, documents, papers, recommendations, or other material available within DoDEA.

**3.3. PROTECTING THE IDENTITY OF HOTLINE SOURCES.** All DoDEA Hotline employees have a duty to protect the personal identity of, and information provided by, individuals participating in a hotline process from unauthorized disclosure. DoDEA Hotline employees will maintain confidentiality as they execute DoDEA Hotline Program duties and responsibilities unless disclosing the identity of an individual is required, per the parameters as described in DoD Instruction 7050.01.

**3.4. INDEPENDENCE.** DoDEA Hotline employees, to include the DoDEA I&IR Chief, must remain free in both fact and appearance from possible conflicts of interest. Whenever possible, DoDEA Hotline positions will not be combined with others in DoDEA, and DoDEA Hotline employees will not be assigned additional duties that would interfere with their responsibility to be fair and impartial fact-finders. DoDEA Hotline offices will be located in areas where those

making reports of suspected fraud, waste, abuse, and mismanagement will not be conspicuous when entering the DoDEA Hotline receiving area.

**3.5. ORGANIZATION.** DoDEA Headquarters, as well as each DoDEA region, will have an aligned DoDEA I&IR investigator who works in close capacity with, if not within, the geographical location. All DoDEA I&IR investigators may receive DoDEA Hotline issues, but the central location for all DoDEA Hotline complaint intake is DoDEA I&IR at DoDEA Headquarters in Alexandria, Virginia.

**3.6. FILE RETENTION, DOCUMENTATION, AND RELEASING AUTHORITY.** The DoDEA I&IR documents and retains all DoDEA Hotline issues via the DoDEA Case Management System for ten (10) years after the case closure date, as identified in the DoDEA Case Management System.

a. DoDEA Hotline records are unclassified and “For Official Use Only.” Only those individuals with a direct official need-to-know, as determined by DoDEA I&IR may have access to or be informed of DoDEA Hotline cases. Official use requests must be submitted in writing (e.g., email) and sent to the DoDEA I&R mail at HQ.OI-IR@dodea.edu or regular mail at DoDEA I&R Division, 4800 Mark Center Drive, Suite 04E12, Alexandria, Virginia, 22311. In addition to the specific records requested, the requester must provide his or her name, title, organization, and official contact information. Any release of DoDEA Hotline information, without the approval or acknowledgement of DoDEA I&IR, may be considered an unauthorized disclosure.

b. The DoDEA Hotline does not respond to requests for information from the public, to include complainants. All requests for DoDEA records made pursuant to Sections 552 and 552a of the Title 5, United States Code (also known and referred to as the “Freedom of Information Act (FOIA)” and the “Privacy Act of 1974, as amended” respectively) are submitted to the DoDEA FOIA Requester Service Center. Interested parties may go to the DoDEA website at <https://www.dodea.edu/Offices/ExecutiveServices/foia.cfm> for information on how to submit such a request for DoDEA records.

## GLOSSARY

### G.1. ACRONYMS.

DoD OIG	Department of Defense Office of Inspector General
FOIA	Freedom of Information Act
HCR	Hotline Completion Report
I&IR	Investigations and Internal Review Division
IG	Inspector General

**G.2. DEFINITIONS.** Unless otherwise noted, these terms and their definitions are for the purpose of this Issuance.

**abuse.** Intentional wrongful, or improper use of U.S. Government resources, position, or authority.

**allegation.** A statement of wrongdoing or impropriety and generally includes one (1) or more of the following elements: who, what, when, where, how, or why. Allegations may be made against persons or processes. Allegations are resolved by inquiries/investigations and result in findings of substantiated or not substantiated.

**case.** Cases are opened in response to complaints that the hotline has determined require further inquiry.

**complaint.** An expression of dissatisfaction, resentment, discontent, or grief.

**complainant.** A person who submits a complaint, allegation, or other request for assistance to I&IR.

**For Official Use Only.** A protective marking to be applied to unclassified information when disclosure to the public of that particular record, or portion thereof, would reasonably be expected to cause a foreseeable harm to an interest protected by one or more provisions of the “Freedom of Information Act (FOIA).” This includes information that qualifies for protection pursuant to the provisions of the “Privacy Act of 1974, as amended.”

**fraud.** Any intentional deception designed to deprive the U.S. unlawfully of something of value or to secure from the U.S. a benefit, privilege, allowance, or consideration to which he or she is not entitled.

**investigation.** A formal, directed examination or review used to ascertain facts and determine if an allegation is substantiated or not substantiated.

**investigative inquiry.** An informal examination or review used to ascertain facts and determine whether a full investigation is warranted.

**mismanagement.** Wrongful or arbitrary and capricious actions that may have an adverse effect on the efficient accomplishment of the Activity's mission.

**need-to-know.** The determination made by an authorized holder of information that a prospective recipient requires access to specific information in order to perform or assist in a lawful and authorized governmental function (i.e., access is required for the performance of official duties).

**senior official.** A current or former member of the Senior Executive Service. A current or former DoD civilian whose position is deemed equivalent to that of a member of the Senior Executive Service (e.g., Defense Intelligence Senior Executive Service, Senior Level employee, and non-appropriated fund senior executive). A current or former Presidential appointee. An active duty, retired, Reserve, or National Guard military officer in grades O-7 and above, and an officer selected for promotion to O-7 whose name is on the O-7 promotion board report forwarded to the Military Department Secretary.

**waste.** The extravagant, careless, or needless expenditure of U.S. Government funds, or the consumption of U.S. Government property that results from deficient practices, systems, controls, or decisions.

## **REFERENCES**

- Council of the Inspectors General on Integrity and Efficiency Standard, “Quality Standards for Investigations,” November 15, 2011
- DoD Directive 5106.04, “Defense Inspectors General,” May 22, 2014
- DoD Directive 5505.06, “Investigations of Allegations Against Senior DoD Officials,” June 6, 2013
- DoD Instruction 5505.02, “Criminal Investigations of Fraud Offenses,” August 29, 2013, as amended
- DoD Instruction 7050.01, “DoD Hotline Program,” October 17, 2017
- Executive Order 13160, “Nondiscrimination on the Basis of Race, Sex, Color, National Origin, Disability, Religion, Age, Sexual Orientation, and Status as a Parent in Federally Conducted Education and Training Programs,” June 23, 2000
- United States Code, Title 5, Section 552 (also known as the “Freedom of Information Act (FOIA), as amended”)
- United States Code, Title 5, Section 552a (also known as the “Privacy Act of 1974, as amended”)
- United States Government Accountability Office GAO-12-331G, “Government Auditing Standards,” December 15, 2011

## APPENDIX

### APPENDIX 1: INTERNAL CONTROLS EVALUATION CHECKLIST

The purpose of this Internal Controls Evaluation Checklist is to assist users managing the DoDEA Hotline Program in assessing key internal controls. It is not intended to represent all internal controls. The following internal controls must be evaluated annually.

#	CHECKLIST ITEM	YES/NO
1	Does the I&IR maintain the DoDEA Hotline Program?	
2	Have written procedures been established for the DoDEA Hotline Program and are they current?	
3	Are all methods for receiving hotline complaints (i.e., email, telephone, etc.) current and functioning?	
4	Are DoDEA employees, students, and legal guardians informed of their rights and have access to the DoDEA Hotline?	
5	Is a DoDEA DoD Hotline Coordinator designated in writing?	
6	Does the DoDEA DoD Hotline Coordinator work with the DoDEA I&IR Chief to meet necessary actions related to DoD Hotline action and information referrals and external quality assurance reviews?	
7	Are DoDEA Hotline employees trained and knowledgeable about the DoDEA mission and programs and have they attended IG training courses?	
8	Do the DoDEA Hotline employees have expeditious and unrestricted access to any DoDEA and employment related files and/or documents in the possession of the Activity as directly related to their "need-to-know"?	
9	Are all DoDEA Hotline issue documents retained via the DoDEA Case Management System for ten (10) years after case closure?	

Comments: