



# UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES



## SUBJECT: UNIVERSITY INSPECTOR GENERAL FUNCTION

### Instruction 5105

(UIG)

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#### ABSTRACT

This USU Instruction details the mission, organization and management, responsibilities and functions, relationships and authorities of the University Inspector General in accordance with the Uniformed Services University Instruction 5105.45a, Department of Defense Directive number 5106.01b, and the Inspector General Act of 1978c.

- A. **Purpose.** This Instruction establishes the authority and responsibilities of the Uniformed Services University Inspector General, under the authority invested in the University President by the Assistant Secretary of Defense for Health Affairs and is prescribed in accordance with DoD Directive 5106.01b and the Inspector General Act of 1978c.
- B. **References.** See *Enclosure 1*.
- C. **Applicability.** The provisions of this Instruction apply to all USU departments and activities.
- D. **Mission.** The Uniformed Services University Inspector General (USU IG) was established by the University President to conduct and supervise impartial and factual investigations, evaluations, audits and inspections relating to the programs and operations of the University.
- E. **Organization and Management.** The USU IG is an independent and objective organizational component.
  - 1. The USU IG shall be appointed by and report directly to the University President. The IG will serve in a critically sensitive billet and maintain a secret clearance.
  - 2. A Deputy Inspector General (DIG) may also be appointed at the discretion of the University President. The DIG shall serve as Acting IG when the IG is otherwise unable to perform the functions and duties of the office.

**F. Responsibilities and Functions.** The IG shall:

1. Serve as a principal advisor to the University President on all investigative and audit matters and for matters relating to the prevention and detection of fraud, waste, or other abuses in the programs and operations of the University.
2. Provide recommendations and advice when applicable on the direction of investigations, evaluations, audits, and inspections, relating to fraud, waste, abuse, program effectiveness, and other relevant areas within the University.
3. When requested by the University President, one of the University's senior executives, or in response to an external request for assistance, the IG shall investigate fraud, waste, or other abuses uncovered as a result of contract or internal investigations, evaluations, audits and inspections.
4. Operate the USU Hotline (<http://www.usuhs.edu/oac/landing.html>) and direct its implementation within University components, ensuring that inquiries generated by allegations are conducted in accordance with applicable laws, DoD regulations, and policies. Receive and investigate, in accordance with the Inspector General Act of 1978c and DoDI 7050.01g complaints or information concerning:
  - a. Alleged violations of laws, rules, or regulations.
  - b. Mismanagement, gross waste of funds, or abuse of authority.
  - c. A substantial and specific danger to students, staff, faculty, or the public health and safety, while on the University campus.
  - d. Sexual Harassment/Assault, an ethics breach, or hostile work environment.
5. Maintain a whistleblower protection program in the University that encourages personnel to report fraud, waste, and abuse to appropriate authorities; provide mechanisms for addressing complaints of reprisal; and recommend remedies for whistleblowers who encounter reprisal consistent with applicable laws, regulations, and policies.
  - a. Receive and investigate complaints of reprisal made by a student, faculty or staff in a manner generally in accordance with the Inspector General Act of 1978c and 5 USC Sections 1221 and 2302.
  - b. Provide oversight, as appropriate, on investigations conducted by University components into allegations of reprisal.
  - c. Receive and investigate complaints of reprisal for making disclosures protected by statute, 10 USC, Chapter 47d, Sections 1034, 1587, and 2409, and as implemented by DoDD 7050.06-1.

6. Coordinate the activities of external IG Offices when it involves the University. When auditors, investigators, evaluators, or inspectors from DoD components, non-DoD Federal agencies, or contracted companies are afforded access to University documents, the University IG will coordinate, support and monitor their activities.
7. Establish guidelines for determining when non-Federal auditors/investigators may be used to ensure the appropriate use of, and compliance with, applicable auditing standards.
8. Establish policy and procedures for follow-up on the applicable findings and recommendations of the GAO, the University IG, and other DoD internal audit organizations, consistent with DoDD 7650.3i.
9. Monitor and give particular regard to the activities of any internal audit, investigation, evaluation, and inspection being conducted at the University, with a view toward avoiding duplication and ensuring effective coverage, coordination, and cooperation. This shall not limit or restrict the responsibilities and function of the University IG.
10. Organize, direct, and manage the Office of the Inspector General (OIG) and all its assigned resources.
11. Serve as the proponent for the University IG system to include:
  - a. Developing, coordinating, conducting, and providing training and certification as appropriate, regarding Deputy IG duties, responsibilities, and functions.
  - b. Responding to requests for investigation, pursuant to Title 5, USC Section 1213, relating to allegations of violations of law, gross mismanagement, and certain other matters, in accordance with DoDD 5500.19k.
  - c. Performing all other duties as the University President may direct, consistent with DoDI 5105.45a and other applicable laws and regulations.
12. Monitor and coordinate the work of non-Federal examiners relating to audits, investigations, evaluations, and inspections of University programs, missions, functions, and internal reviews, in accordance with the Inspector General Act of 1978c and Title 31, USC, Chapter 75f.

#### **G. Relationships.**

1. In the performance of assigned responsibilities and functions, the University IG shall:
  - a. Report to, and be under, the general supervision of the University President. The University President shall not prevent or prohibit the USU IG from initiating, carrying out, or completing any investigation, evaluation, inspection, or audit, except as specified in the Inspector General Act of 1978c, Section 8(b).

b. Coordinate actions, as appropriate, with other University components and, unless precluded by the nature of the matter, notify the heads of the components concerned before conducting investigations, evaluations, audits or inspections of matters normally under the jurisdiction of the heads of the components.

c. Report expeditiously to the USU Office of the General Counsel whenever the USU IG has reasonable grounds to believe there has been a violation of Federal criminal law.

d. Report expeditiously any suspected or alleged violations of DoDD 5106.01b Chapter 47 to the Brigade Commander responsible for military personnel assigned to USU.

2. Nothing in this Instruction shall be construed as limiting the authority and/or operational control of the authority of each respective component of the University.

**H. Authorities.** Pursuant to, or in addition to, the authorities provided in the Inspector General Act of 1978c, the USU IG is delegated authority to:

1. Access all records (electronic or otherwise), reports, investigations, audits, reviews, documents, recommendations, or other informational material available to any USU component.

a. Except as specifically denied in writing by the University President, pursuant to the authority contained in the Inspector General Act of 1978c Section 8, subparagraph 6.a.(1), no officer, employee, or Service member of any USU component may deny the USU IG, or officials assigned by the USU IG, access to information, or obstruct an investigation, evaluation, audit or inspection.

b. USU IG officials shall possess the appropriate security clearance and access authorization when classified information is requested.

2. Communicate directly with personnel of other University components on matters related to the Inspector General Act of 1978c and this Instruction. To the extent practicable, and consistent with the responsibilities and functions of the University IG investigation process, the head of the department concerned should be kept informed of such direct communications.

3. Having executed prior coordination with the Office of the University President, request assistance, as needed, from other audit, investigative, evaluation, or inspection units of the DoD components. In such cases, and when appropriate, assistance shall be requested in coordination with head of the component concerned.

4. Request information or assistance from any Federal, state, or local governmental agency, or unit thereof.

5. Obtain sworn statements from individuals on matters that the USU IG considers appropriate for investigation, pursuant to the Inspector General Act of 1978<sup>c</sup>, with regard for the rights and witness protections established by law.

**I. Effective Date.** This Instruction is effective immediately.

A handwritten signature in black ink, appearing to read "Rw Thomas".

Richard W. Thomas, MD, DDS  
President

Enclosure:

1. References
2. USU IG Complaint Form 5105

## REFERENCES

- (a) DoD Instruction 5105.45, "Uniformed Services University of the Health Sciences," December 26, 2013
- (b) DoD Directive 5106.01, "Inspector General of the Department of Defense (DoDIG)," April 20, 2012
- (c) Inspector General Act of 1978, as amended, title 5, United States Code, Appendix
- (d) Title 10, United States Code, chapter 47, section 113, 141, 1034, 1585a, 1587, and 2409
- (e) Title 5, United States Code, sections 1213, 1221, 2302, and 3345-3349-1
- (f) Title 31, United States Code, chapter 75 (also known as "The Single Audit Act of 1984," as amended)
- (g) DoD Instruction 7050.01, "Defense Hotline Program," December 17, 2007
- (h) DoD Directive 3020.04, "Order of Succession Pursuant to Executive Order 13533 and the Federal Vacancies Reform Act of 1998," August 25, 2010
- (i) DoD Directive 7650.3, "Follow-up on General Accounting Office (GAO), DoD Inspector General (DoD IG), and Internal Audit Reports," June 3, 2004
- (j) DoD Instruction 8320.02, "Sharing Data, Information, and Information Technology (IT) Services in the Department of Defense," August 5, 2013
- (k) DoD Directive 5500.19, "Cooperation with the United States Office of Special Counsel (OSC)," May 24, 2004
- (l) DoD Directive 7050.06, "Military Whistleblower Protection," July 23, 2007
- (m) DoD Directive 1401.03, "DoD Nonappropriated Fund Instrumentality (NAFI) Employee Whistleblower Protection," June 13, 2014

# USU Inspector General Complaint Form

## PART 1: GENERAL INFORMATION

1. Inspector General Act of 1978, as amended.
2. DOD Directive 5106.01, "Inspector General of the Department of Defense", April 20, 2012.
3. DOD Directive 7050.1, "Defense Hotline Program," December 17, 2007.
4. DOD Instruction 7050.7, "Defense Hotline Procedures," December 14, 1998.

This form applies but is not limited to the following:

- a. Sexual Abuse.
- b. Hostile Work Environment.
- c. Harassment.
- d. Prevention and detection of fraud, waste, or other abuses in University programs, research or routine operations.

### Contact Information:

Stephen Henske, Inspector General  
[Stephen.henske@usuhs.edu](mailto:Stephen.henske@usuhs.edu)  
 301-295-3681

**Privacy Warning:** We cannot guarantee your complete privacy when you use this form because complaints transmitted via the internet cannot be completely protected from unauthorized attempts to access information.

**False Official Statement Warning:** Use of this form constitutes a request for an official investigation of a person you assert has engaged in wrongful conduct. It is a crime to knowingly make a false fictitious or fraudulent statement or representation of material fact to induce government action. Knowing omission of a material fact also is a crime (18 USC 1001).

## PART 2: DETAILS OF YOUR ALLEGATION

1. Subject(s) - Who performed the wrongdoing? (All boxes in this form have been restricted to visible area only for information input.)

a. Subject #1:

Last Name  First Name  MI

Subject #1 Duty Station/Place of Employment/ Business

b. What did Subject #1 do or fail to do that was wrong? Briefly describe the alleged wrongdoing. Also, please attach any documents that support your complaint.

# USU Inspector General Complaint Form

c. What rule, regulation or law do you think Subject #1 violated?

2. Subject #2:

Last Name

First Name

MI

Subject #2 Duty Station/Place of Employment/Business

a. What did Subject #2 do or fail to do that was wrong? Briefly describe the alleged wrong doing. Also, please attach any documents that support your complaint.

b. What rule, regulation, or law do you think Subject #2 violated?

3. If there are more than two subjects, use this area to provide the same information for each subject. (Full Name & Duty Station/Place of Employment and (2) and (3) Above) (Remember space is limited to visible Area.)

# USU Inspector General Complaint Form

## 4. Witness(es):

Last Name	First Name	MI	Duty Station Place of Employment	E-Mail

5. **When** did the incident occur? Be as specific as possible about the dates.

6. **Where** did the incident occur? What location or command, etc.

7. **Why** do you think the incident took place?

8. How have you tried to resolve the problem?

# USU Inspector General Complaint Form

9. Have you contacted your chain of command? ☐ YES ☐ NO

If yes, please identify the command or agency and provide the status of this matter.

10. Have you contacted another Inspector General? ☐ YES ☐ NO

If yes, please identify the IG office and provide the current status of this matter.

11. Have you tried to resolve your complaint using an established process such as informal Resolution, EO/EEO or legal system? ☐ YES ☐ NO

If yes, please identify the agency or office and provide the current statues of the matter.

12. What do you want the IG to do?

13. Additional information you wish to provide.

# USU Inspector General Complaint Form

14. May we contact you?

☐

Yes, contact me for more information. I have provided my contact information below.

☐

No, I wish to remain anonymous and have not provided you with contact information.

☐

Yes, but I want my identity to remain confidential.

15. Your Contact Information:

Last Name

First Name

MI

Office Telephone (Area Code and number):

Email Address:

Duty Station/Place of Employment/Department:

Submission Date:

Signature: