



## DEPARTMENT OF THE NAVY

NAVAL TRAINING CENTER

2601 PAUL JONES ST

GREAT LAKES, ILLINOIS 60088-5000

NTCGLAKESINST 5354.3B

EOA

28 Feb 00

### NTC GREAT LAKES (SIMPLEX) INSTRUCTION 5354.3B

Subj: COMMAND MANAGED EQUAL OPPORTUNITY (CMEO)

Ref: (a) SECNAVINST 5300.26C  
(b) OPNAVINST 5354.1D  
(c) OPNAVINST 5370.2B  
(d) NTCGLAKESINST 5354.1F  
(e) NAVPERS 15620

Encl: (1) NTC Complaint/Grievance Procedures  
(2) EO/SH Formal Complaint Form (NAVPERS 5354/2)

1. Purpose. To provide Command Managed Equal Opportunity (CMEO) program policy and guidance and promulgate procedures for the prompt reporting and timely resolution of informal and formal grievances/complaints submitted by Naval Training Center (NTC) military personnel.

2. Cancellation. NTCGLAKESINST 5354.3A referenced policies from instructions which have been cancelled. This instruction has been substantially revised, and should be reviewed in its entirety.

3. Background. Reference (a) issues DON policy on sexual harassment. Reference (b) provides guidance and policy for the Navy Equal Opportunity (EO) program. Reference (c) sets forth the policy of the Chief of Naval Operations (CNO) on fraternization in the Navy. Reference (d) provides specific guidance in the implementation of this policy at NTC. Reference (e) is the pamphlet, "Resolving Conflict following the Light of Personal Behavior," that describes in detail the informal resolution system for resolving conflicts at the lowest possible level.

4. Discussion. Each service member has the right to present any legitimate grievance without fear of intimidation, reprisal or harassment and to be educated on command procedures for submitting a grievance or appealing a decision. Reprisal can include but is not limited to: reduction in fitness/evaluation marks, inequity in watchstanding duties, or increased workload/watchstanding assignments. The severest forms of reprisal are not recommending personnel for advancement, retention, or specialized programs. Additionally, all service members are entitled to military legal assistance in submitting formal complaints. Furthermore, each member has the right to communicate with the Chief of Staff for Operations (COS OPS), and to obtain feedback from the COS OPS on the resolution of complaints. Each service member has a

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corresponding obligation and responsibility to advise the command of the specifics of sexual harassment/discrimination complaints and to provide the command an opportunity to rectify and remedy, or take appropriate action, before the complaint or grievance becomes formal and is brought to the attention of higher authorities. Finally, each member is expected to submit only legitimate complaints and to exercise caution against immature and reckless charges. The CMEO Officer is the designated point of contact for filing formal complaints.

5. Policy. The Commander, Naval Training Center is committed to fostering an atmosphere free from discrimination and sexual harassment. NTC personnel at all levels will exhibit the highest standards of professional behavior. Inherent in this are the requirements not only to exhibit nondiscriminatory behaviors, but to also appropriately challenge and report discriminatory behaviors which one becomes aware of, or are subject to. The chain of command will ensure we afford all hands every opportunity to excel to the best of their ability without regard to race, ethnicity, color, religion, gender, or national origin. The chain of command must be approachable and engender confidence in its ability to actively enforce a positive EO environment, and to fairly, promptly and appropriately act upon any grievance or discrimination complaint. Equal Opportunity is more than a nice thing to do. It is indispensable in enabling us to attain and maintain a high state of morale, discipline and military readiness.

6. Action

a. NTC COS OPS will:

(1) Fully implement and exercise overall responsibility for the maintenance of a proactive CMEO program per the provisions of references (a) through (e) and this instruction.

(2) Impress and enforce, at all levels of the chain of command, a behavioral norm and organizational value of zero tolerance for incidents of fraternization, discrimination, sexual harassment, or reprisal.

(3) Ensure an accurate annual assessment of the command's EO status is conducted in full compliance with reference (b).

(4) Promptly act to resolve and follow-up on any alleged discrimination against command personnel and their dependents.

b. NTC Assistant Chief of Staff for Base Operations will chair meetings of the Command Assessment Team and provide oversight functions.

c. CMEO Officer will:

(1) Maintain a CMEO Program, fully supportive of requirements specified in references (c) and (d).

(2) Lead, organize and train an effective Command Assessment Team (CAT) and Command Training Team (CTT) that actively supports the CMEO program at NTC.

(3) Conduct command assessments at least annually using steps outlined in the Command Assessment Team Indoctrination Course Manual (NAVEDTRA 7523 series) and brief the COS OPS, COS Training and Commander, NTC on assignment of appropriate Plans of Action and Milestones (POA&M). Track POA&Ms through to completion and make quarterly status reports to the COS OPS.

(4) According to references (c) and (d), provide all-hands training for the Prevention of Sexual Harassment (POSH); Navy Rights and Responsibilities (NR&R) workshops, and ensure training is documented in service records.

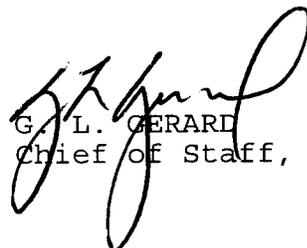
(5) Ensure NTC grievance procedures are incorporated into command indoctrination and NR&R workshops.

(6) Aid military staff members in resolving EO/SH complaints. Accept formal complaints (NAVPERS 5354/2) from complainants; administer oaths per chapter IX of the JAGMAN; and forward the complaints to the COS OPS for appropriate action following references (c) and (d).

d. All levels of the chain of command (Family Service Center, NTC Equal Opportunity Advisor, Chaplain, and Legal Officer) will provide counseling and support services needed to help any member considering filing a grievance/complaint.

e. All personnel considering filing a complaint will follow the steps listed in enclosure (1) to initiate grievance/complaint procedures. If the informal grievance process is unsuccessful in satisfactorily resolving the grievance/complaint, contact the CMEO Officer to initiate formal grievance procedures using enclosure (2).

f. The chain of command will report the disposition of all informal complaints resolved at the division or department level to the CMEO Officer.

  
G. L. GERARD  
Chief of Staff, Operations

Distribution:  
NTCGLAKESINST 5216.5M  
List I

NTC COMPLAINT/GRIEVANCE PROCEDURES

The procedures for filing a complaint/grievance are divided into two categories, informal and formal. Per reference (c), all EO/SH complaints should be resolved at the lowest possible level. The Informal Resolution System (IRS) is the preferred method of resolution. However, complainants are not precluded from using the formal resolution process, particularly when the reported behavior falls under red light behavior, as referred to in reference(e); also, when the complaint cannot be satisfactorily resolved using the informal process. For informal complaints, divisional resolution time should not exceed twenty-four hours; departmental resolution time should not exceed three working days.

1. INFORMAL COMPLAINT PROCEDURES

a. DIRECT APPROACH

(1) In person, by approaching the individual(s) involved. The complainant is admonished to first take time to collect thoughts and to cool down. Stay focused on the behavior and its impact. Use common courtesy, ensuring an approach is not disrespectful. Writing thoughts down before confronting the individual(s) may be helpful. *(The comments need not be given to the offending person but can be used as documentation if formal action is later taken.)*

(2) In writing, by sending a letter to the offending person stating the facts, your feelings about the behavior, and expected resolution.

b. INFORMAL THIRD PARTY

(1) Request assistance from another person. The Complainant can ask another person to accompany them to talk with the individual(s) involved, or to intervene for them to help resolve the conflict. This will normally be a friend or co-worker.

c. REQUEST FOR CO'S MAST

(1) If the complaint cannot be resolved with the above methods, submit a SPECIAL REQUEST, NAVPERS 1336/3 via the chain of command requesting "request mast with the Chief of Staff for Operations."

d. TRAINING INFORMATION RESOURCES

(1) Request training or resource materials for

presentation in the workplace concerning discrimination, harassment or inappropriate behavior. Using these materials is a good method of communicating to the offending person and other individuals in the workplace, in a non-threatening way, that the behavior is inappropriate. Contact the CMEO Officer for assistance.

Note: These resolution methods should be done with discretion and in private if it only pertains to an individual.

## 2. FORMAL COMPLAINT PROCEDURES

a. It is Navy and NTC Great Lakes policy to resolve personal conflicts and complaints/grievances at the lowest appropriate level in the chain of command. However in the event a complaint cannot be resolved informally, three methods of formal resolution are available:

(1) NAVY EQUAL OPPORTUNITY (EO)/SEXUAL HARASSMENT (SH) FORMAL COMPLAINT FORM (NAVPERS 5354/2). When the IRS fails, the primary method of filing formal EO/SH complaints is via the Navy EO/SH Formal Complaint Form (NAVPERS 5354/2). This four-part form is designed to simplify the process of filing formal complaints. It is self-contained, carries the complaint process from beginning to end, and serves as official documentation of the resolution process. NAVPERS 5354/2, enclosure (2), contains detailed information for processing formal complaints. This form should be completed with the assistance of the CMEO Officer before submission of a complaint under either article below. The milestones and timelines for complaints using the NAVPERS 5354/2 are:

(a) Complainants have forty-five days from the date of the incident to file a complaint.

(b) The person receiving a complaint (CMEO Officer) has one day to refer the complaint to the appropriate authority for disposition.

(c) The command has one day to inform the complainant of available support/counseling services, make necessary referrals, if required, and assign command representatives to serve as advocates.

(d) Command resolution will normally be completed and the complainant and accused informed of command decisions within twenty days of initial SITREP. Resolution not completed within fourteen days after initial SITREP must be reported with a

follow-on SITREP every fourteen days until the complaint is resolved. A final SITREP is forwarded, notifying case resolution.

(e) Complainant has seven days from notification of final resolution to ask for higher level review.

(f) Feedback will be requested from complainant 30-45 days after all action is completed to determine the effectiveness of the action taken and to ensure there has been no reprisal or repeat acts of discrimination or sexual harassment.

(2) NAVREGS ART 1150

(a) REDRESS OF WRONG COMMITTED BY A SUPERIOR AT THIS COMMAND, OTHER THAN CO (NAVREGS ART 1150). If the grievance is against a superior at this command, other than the COS OPS, submit a formal complaint to the COS OPS via the CMEO Officer and NTC Legal Office. Written complaints must include all informal efforts, related results, and specify a worthy/desired remedy. If the resolution is considered unjust, submit a complaint against the COS OPS (see item (3) below).

(b) GRIEVANCE AGAINST SUPERIOR NOT AT THIS COMMAND (NAVREGS ART 1150). If the grievance is against a superior in another command, submit a formal complaint to the Commanding Officer via the CMEO Officer and NTC Legal Office. The complaint will then be forwarded by the COS OPS to the individual's command for appropriate action.

(3) GRIEVANCE AGAINST THE COMMANDING OFFICER (UCMJ ART 138). If the COS OPS, who acts as the NTC Simplex commanding officer, fails to resolve a complaint or is the object of a complaint/grievance, inform the CMEO Officer and submit a formal complaint-of-wrongs via the chain of command to the person exercising court-martial authority over the COS OPS. Format for complaint-of-wrongs is contained in U. S. Navy Regulations and is provided by the NTC Legal Office. When a complaint-of-wrong is submitted, a report of the proceedings is forwarded to the Secretary of the Navy for review and final action.

b. Other resources are available for military members to report behavior that is not in keeping with Navy policy:

(1) FORWARDING COMPLAINTS TO MEMBERS OF CONGRESS.  
U. S. Navy Regulations authorizes direct communication to any member of the U. S. Congress anytime unless the text is unlawful or violates security regulations. Members of Congress are listed in local telephone directories. Complaints are normally routed via the Legislative Affairs Office in the Navy Department to the Commanding Officer for a response. Members are cautioned to

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communicate with Congress as an individual, not as a representative of the Navy. The legal office should be consulted before communicating with Congress.

(2) DEPARTMENT OF NAVY EQUAL OPPORTUNITY/SEXUAL HARASSMENT ADVICE LINE. Toll free: 1-800-253-0931, Commercial: (901) 874-2507, DSN: 882-2507

(3) NAVY INSPECTOR GENERAL FRAUD, WASTE & ABUSE HOTLINE. Toll free: 1-800-522-3451, Commercial: (202) 433-6743, DSN: 288-6743

# NAVY EQUAL OPPORTUNITY (EO)/SEXUAL HARASSMENT (SH) FORMAL COMPLAINT FORM

This form is for EO/SH complaints of military personnel. For EEO complaints of civilian employees, see Chapters 4 and 7, Commander's Handbook for Prevention of Sexual Harassment; OCPMINST 12713.2.)

**AUTHORITY:** 10 U.S.C. ' 5013 (g).

**PRINCIPAL PURPOSE:** Formal filing of allegations of reprisal, or of discrimination based on race, color, religion, gender, or national origin.

**ROUTINE USES:** Information provided on this form may be used: (a) as a data source for complaint information, statistics, reports, and analysis, (b) to respond to requests from appropriate outside individuals or agencies (e.g. Members of Congress; the White House) regarding the status of a complaint; (c) to adjudicate the complaint or appeal; (d) any other properly established routine use.

**DISCLOSURE:** Disclosure is voluntary; however, failure to fully complete all portions of this form may result in rejection of the complaint on the basis of inadequate data to assess complaint.

## PART I - COMPLAINT

<b>1a. COMPLAINANT'S NAME</b>	<b>1b. RANK/GRADE</b>	<b>1c. SSN</b>
<b>1d. UNIT</b>	<b>1e. RACE/ETHNIC GROUP</b>	<b>1f. GENDER</b>
		<b>1g. DATE</b>

**1h. NATURE OF COMPLAINT.** (State, in as much detail as possible, the basis for your complaint; describe the complained of conduct, date(s) of occurrence, names of involved parties, witnesses, or others to whom previous reports may have been made, other evidence that might be available, and any additional information which may be helpful in resolving your complaint. Attach additional sheets, as needed.)

**1i. FILING DEADLINE. I UNDERSTAND THAT I HAVE 45 CALENDAR DAYS FROM THE DATE OF THE ALLEGED INCIDENT TO FILE A FORMAL EO COMPLAINT.** This EO filing deadline does not affect alternative remedies which might apply. (Investigation of EO complaints received after 45 calendar days is discretionary with the cognizant commanding officer/activity head. If you are filing this complaint after 45 days, state the reasons for the delay.)

**1j. REQUESTED REMEDY.** (What, specifically, do you think the final outcome should be?)

**1k. AFFIDAVIT.** I, \_\_\_\_\_ have read the above statement which begins on this page (page 1) and continues on \_\_\_\_\_ attached page(s), and I have initialed any changes. Having been duly sworn upon my oath I swear, or affirm, that the statement is true and correct to the best of my knowledge and belief, and that it is made freely without coercion, threat, or promise.

\_\_\_\_\_  
(Signature of Complainant)

Subscribed and sworn to before me, a person authorized to administer oaths (per JAGMAN chapter IX), this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_ at \_\_\_\_\_

\_\_\_\_\_  
(Signature of Person Administering Oath)

\_\_\_\_\_  
(Typed Name of Person Administering Oath)

**2a. ACKNOWLEDGMENT OF RECEIPT OF COMPLAINT.** I acknowledge receipt of this complaint from \_\_\_\_\_ (name/rank) of \_\_\_\_\_ (command) on \_\_\_\_\_ (date)

**I UNDERSTAND I HAVE 1 CALENDAR DAY TO REFER THE COMPLAINT TO THE APPROPRIATE AUTHORITY AND TO INFORM THAT AUTHORITY OF ANY INTERIM ACTION THAT IS TAKEN.**

<b>2b. NAME</b>	<b>2c. RANK/GRADE</b>	<b>2d. DATE</b>
<b>2e. UNIT/COMMAND</b>	<b>2f. SIGNATURE</b>	

NAVPERS 5354/2 (12-94)

## PART II - COMPLAINANT SUPPORT/COUNSELING

**3a. REFERRAL TO COUNSELING AND SUPPORT SERVICES. THE COMPLAINANT SHOULD BE INFORMED OF/REFERRED TO AVAILABLE COUNSELING AND SUPPORT SERVICES WITHIN 24 HOURS WITH FOLLOW-UP AS REQUIRED.**

*(This part should be completed by an appropriate command representative. The complainant should be provided a copy and acknowledge receipt on the command copy.)*

**3b. THE FOLLOWING ARE AVAILABLE LOCALLY** *(complete the following as appropriate)--*

(1) DON Sexual Harassment Advice Line. For confidential counseling/advice for identifying and dealing with sexual harassment and similar inappropriate behavior. (Business hours Monday - Friday EST, toll free 1-800-253-0931, DSN 224-2735, commercial 703-614-2735, call collect from overseas.)

(2) Informal Resolution System (IRS). (Ref: IRS Skills Booklet, NAVPERS 15620.) Both military and civilian personnel are encouraged to utilize the IRS as a means of direct resolution of sexual harassment complaints (not clearly criminal in nature). The IRS can be employed either before pursuing other statutory and regulatory procedures or as a supplemental dispute resolution tool during formal discrimination complaints processing. For further information on the IRS contact (name, unit, phone number): \_\_\_\_\_

(3) Authorized command forums. The following command-sponsored councils and committees, ombudsman, command master chief, etc, are available (insert name, unit, phone number for each):  
 \_\_\_\_\_

(4) Assistance of personal advocate (at shore commands). Per OPNAVINST 5354.1C, shore commanders are responsible for assigning a personal advocate to assist members needing help in processing complaints. Personal advocate assigned (name, phone): \_\_\_\_\_

(5) Request mast with the CO/OIC. Your right to communicate with the CO in a proper manner, time, and place may not be denied. Such requests shall be acted upon promptly and forwarded without delay. Local procedures are: \_\_\_\_\_

(6) Other local resources. (Insert local name, organization, phone number):

Family Service Center (FSC) \_\_\_\_\_

Equal Opportunity (EO) advisor \_\_\_\_\_

Medical Treatment Facilities (MTF) \_\_\_\_\_

Chaplain \_\_\_\_\_

Legal \_\_\_\_\_

(7) Communications with Inspectors-General. As an alternative to the normal chain of command, any person who doesn't feel comfortable filing complaints locally or in person can lodge complaints (anonymously if desired) via one or more of the available hotlines:  
 Naval Inspector General, toll free 1-800-522-3451, DSN 288-6743, commercial (202) 433-6743.  
 Marine Corps Inspector General, DSN 224-1349, commercial (703) 614-1349.  
 Atlantic Fleet Inspector General, toll free 1-800-533-2397, DSN 565-5940, comm. (804) 445-5940.  
 Pacific Fleet Inspector General, commercial (808) 471-0735.  
 Naval Forces Europe Inspector General, DSN 235-4188.  
 Naval Reserve Inspector General, DSN 363-1324, commercial (504) 948-1324.  
 (Insert local TYCOM, ISIC, local commanders' hotlines:) \_\_\_\_\_

(8) A servicemember may always communicate individually with members of Congress.

(9) Article 138/NAVREGS 1150 complaint. A servicemember who believes him/herself wronged by his/her CO or other superior officer may file a complaint as provided in JAGMAN chapter III. Assistance in filing such complaints may be available from the local Naval Legal Services Office.

(10) Other. *(Attach additional pages as necessary):* \_\_\_\_\_

**3c. IF YOU SUSPECT THAT YOU (COMPLAINANT) ARE BEING SUBJECTED TO IMPROPER PERSONNEL ACTION (REPRISAL) AS A RESULT OF FILING THIS COMPLAINT, PLEASE CONTACT THE FOLLOWING IMMEDIATELY** *(insert name, phone):*  
 \_\_\_\_\_

**3d. COMPLAINANT WAS ADVISED OF COUNSELING/SUPPORT SERVICES, REPRISAL ASSISTANCE, PROVIDED A COPY OF THIS FORM, AND OFFERED ASSISTANCE IN MAKING APPOINTMENTS.**

<b>3e. NAME OF COMMAND REPRESENTATIVE</b>	<b>3f. RANK/GRADE</b>	<b>3g. DATE</b>
<b>3h. UNIT/COMMAND</b>	<b>3i. SIGNATURE</b>	

**3j. COMPLAINANT'S ACKNOWLEDGMENT**

(Signature) \_\_\_\_\_

(Date) \_\_\_\_\_

**PART III - COMPLAINT PROCESSING**

**4a. ACKNOWLEDGMENT OF RECEIPT BY COMMANDING OFFICER/ACTIVITY HEAD.** I

acknowledge receipt

of this complaint by \_\_\_\_\_ (name/rank) of \_\_\_\_\_ (date)

**I UNDERSTAND I MUST INITIATE AN APPROPRIATE INVESTIGATION (OR ENSURE THAT ONE IS BEING CONDUCTED (E.G., BY NCIS) WITHIN 3 CALENDAR DAYS.**

<b>4b. NAME OF COGNIZANT CO/ACTIVITY HEAD</b>	<b>4c. RANK/GRADE</b>	<b>4d. DATE</b>
<b>4e. UNIT/COMMAND</b>	<b>4f. SIGNATURE</b>	

**5. REFERRAL TO COUNSELING AND SUPPORT SERVICES (MANDATORY).** If not already done, ensure compliance with Part II of this form. **(COMPLAINANT MUST BE INFORMED OF/REFERRED TO AVAILABLE COUNSELING/SERVICES WITHIN 24 HOURS, WITH FOLLOW-UP AS REQUIRED.)**

**6. OBTAIN LEGAL ADVICE (HIGHLY ADVISABLE).** Consult the command legal advisor at the outset and maintain close coordination through final resolution and follow-up.

**7. OTHER PRELIMINARY CONSIDERATIONS** (for details, see chapter 4 of the Commander's Handbook)

- a. Special Incident Reporting? (e.g., OPREP-3, Navy Blue, Unit SITREP per OPNAVINST 3100.6/TYCOM )
- b. Major criminal offense?
  - (1) Referral to NCIS is mandatory (SECNAVINST 5520.3B).
  - (2) In interim preserve evidence, ensure members' safety, avoid compromising later investigation.
- c. Special considerations for crime victims and witnesses (SECNAVINST 5800.11, OPNAVINST 1752.1).
- d. Review other options under the UCMJ: e.g., conditions on liberty? pre-trial restraint? search?
- e. Recommend informal resolution (IRS)? Unless the conduct is clearly criminal in nature, it is within the CO/OIC/activity head's discretion to forego taking further formal action when a complaint has been resolved under the IRS and the complainant does not desire further action.
- f. Protect privacy. Protect individual privacy (both complainant's and alleged offending person) through all stages of the process. (SECNAVINST 5211.5D)
- g. Important caution: DODDIR 6490.1 (14 Sep 93), Mental Health Evaluations of Members of the Armed Forces, (SECNAVINST 6320.xx) prohibits the use of referrals by commands for mental health evaluations in reprisal, establishes rights for members referred by their commands for such evaluations, and imposes specific procedures which commands must follow in order to refer a member for a mental health evaluation.

**8. INVESTIGATION OF THE COMPLAINT. MUST BE INITIATED WITHIN 3 CALENDAR DAYS--NOTIFY COMPLAINANT OF COMMENCEMENT SAME DAY (Sec part IV, item 13).** Unless another activity (e.g., NCIS) has cognizance, the complainant's command must promptly and appropriately investigate the complaint. The nature of the investigation will depend upon the CO's/activity head's assessment of what more is required under the particular facts and circumstances (and chain-of-command directives) to sufficiently resolve/document factual issues. (For a command investigator's guide, see Appendix M of the Navy Commander's Handbook for Prevention of Sexual Harassment.) Completed investigation must be sufficient to permit any subsequent reviewers to clearly ascertain nature/source/analysis of evidence considered (including who was interviewed) and all pertinent facts developed. (Indicate type of investigation, investigating officer, date convened:)

**9. INTERIM FEEDBACK/ASSISTANCE TO COMPLAINANT. TAKE PARTICULAR CARE TO AVOID RE-VICTIMIZING COMPLAINANTS (AND WITNESSES).** Keep the complainant apprised of the status of the investigation (including any deadline extensions). Provide supplemental counseling/support assistance/referral as warranted. Ensure that all involved know that reprisal against the complainant will not be tolerated. (Recommend keeping a record of such feedback/assistance): \_\_\_\_\_

**10. POSSIBLE COMMAND ACTIONS AFTER INVESTIGATION**

- a. If warranted, initiate a formal, more in-depth investigation or refer/re-refer the case to NCIS.
- b. Forward the report to another authority for disposition.
- c. Dispose of the allegations at the command. Each commander/activity head generally has the discretion to dispose of offenses by members of that command. Options for disposition span the spectrum

from taking no action on groundless complaints (after appropriate investigation) through counseling, exhortation, criticism, EMI, administrative withholding of privileges, entries in FITREPS/EVALS/performance ratings, revocation of security clearance, detachment for cause, civilian termination, separation processing, NJP, or court-martial. (See chapters 7 and 8 of the Navy Commander's Handbook for Prevention of Sexual Harassment for a more detailed listing of options for correcting offenders.)

d. Consider/implement command improvements based on lessons learned.

**11. RESOLUTION TIME STANDARDS/REPORTING. RESOLUTION OF CASE SHOULD BE COMPLETED NOT LATER THAN 14 DAYS (60 DAYS FOR RESERVE UNITS) FROM INVESTIGATION COMMENCEMENT.** Resolution includes: completion of investigation; determination of validity of complaint; holding NJP or preferring of charges (if courts-martial contemplated); initiation of other appropriate action; notification to accused; and notification to complainant. IF TIME STANDARDS CANNOT BE MET, OPREP (SITREP IF OPREP PREVIOUSLY SUBMITTED) IS MANDATORY: explain reasons case is taking more time and request any assistance required (or state no assistance required). Submit follow-up SITREP's every 14 days until case resolved.

**12. DOCUMENT COMMAND ACTION.** Command records should permit reviewers to clearly ascertain/assess decisions reached. (Retain this form at least 3 years.) Also make appropriate entries in individual personnel records, if applicable. Finally, make any statistical reports required by the chain of command.

**PART IV - NOTIFICATION, REVIEW, AND FOLLOW-UP** (attach additional pages as required)

**13a. NOTIFICATION OF INVESTIGATION COMMENCEMENT. (NOTIFY COMPLAINANT SAME DAY.)**

**13b. COMPLAINANT'S ACKNOWLEDGMENT** \_\_\_\_\_  
(Signature) (Date)

**14a. NOTIFICATION OF ACTION TAKEN TO RESOLVE COMPLAINT. (TO OCCUR WITHIN 14 CALENDAR DAYS (60 DAYS FOR RESERVE UNITS) OF INVESTIGATION COMMENCEMENT. REPORT DELAYS VIA OPREP/SITREP.)**

This complaint was investigated by \_\_\_\_\_ (name and rank)  
of \_\_\_\_\_ (unit/command) and completed on \_\_\_\_\_ (date).

The complaint was found to be (mark one):  Substantiated  
 Unsubstantiated [Insufficient Corroboration];  Unsubstantiated [No Corroboration]

based on the following findings:

The following action has been taken/initiated by the command (CAUTION: SECNAVINST 5211.5D generally precludes providing specific details on adverse actions against offenders. Consult servicing Judge Advocate for further guidance.):

**14b. COMPLAINANT'S ACKNOWLEDGMENT** \_\_\_\_\_  
(Signature) (Date)

**14c. ACCUSED'S ACKNOWLEDGMENT** \_\_\_\_\_  
(Signature) (Date)

**15a. COMPLAINANT'S RIGHT TO REVIEW BY HIGHER AUTHORITY.** I acknowledge notice of my right to submit a statement concerning the investigative findings and command action taken, and to request review of those findings and actions by the next higher authority who is: \_\_\_\_\_

**15b. I REALIZE ANY STATEMENT AND REQUEST FOR REVIEW MUST BE SUBMITTED WITHIN 7 CALENDAR DAYS OF TODAY'S DATE.**

**15c. I:** \_\_\_\_\_ **DO NOT REQUEST REVIEW** \_\_\_\_\_ **REQUEST REVIEW**  
(Initials) (Initials)  
If review requested, indicate reason:

**15d. COMPLAINANT'S ACKNOWLEDGMENT** \_\_\_\_\_  
(Signature) (Date)

**16a. ACTION TAKEN BY REVIEWING AUTHORITY.** The following action has been taken:

<b>16b. NAME OF REVIEWING AUTHORITY</b>	<b>16c. RANK/GRADE</b>	<b>16d. DATE</b>
<b>16e. UNIT/COMMAND</b>	<b>16f. SIGNATURE</b>	

**16g. COMPLAINANT'S ACKNOWLEDGMENT** \_\_\_\_\_  
(Signature) (Date)

**17a. COMPLAINANT'S FOLLOW-UP COMMENTS** (The complainant should be debriefed 30-45 days after final action to assess complainant's views as to effectiveness of corrective action, present command climate, ensure the complainant has not suffered any reprisal, etc.) The complainant was debriefed on \_\_\_\_\_ (date) and had the following comments:

**17b. COMPLAINANT'S ACKNOWLEDGMENT** \_\_\_\_\_  
(Signature) (Date)

**18. COMMANDING OFFICER'S FOLLOW-UP NOTES.** (Indicate dates/nature of any actions prompted by complainant's debrief.)

