1 November 2005

MEMORANDUM THRU Commander, 2d Battalion, 22d Infantry Regiment, 1st Brigade Combat Team, Iraq, APO AE 09376

FOR Commander, C Troop, 1st Squadron, 71st Cavalry Regiment, 1st Brigade Combat Team, Iraq, APO AE 09376

SUBJECT: Guidance based on Recommendations from 15-6 Investigation for Escalation of Force

1. I concur with the Investigating Officer and the Appointing Authority that this engagement is consistent with the Rules of Engagement. Therefore, I concur that no disciplinary action be taken against any specific Soldier.

2. However, the investigation does bring to light some issues which I feel should be addressed.

   a. First, I direct that US forces post signs in front of the area making that area a no stopping or parking area. These signs should be posted so that traffic approaching from either direction understands the limits of the no parking area.

   b. Second, I direct that investigations involving an escalation of force which includes the death of a local national will be conducted by no one more junior than a Captain. In addition to rank, the Appointing Authority should select a qualified investigating officer based on the individual's training, experience, length of service, and education.

3. POC is the undersigned at

12012
DEPARTMENT OF THE ARMY
Headquarters Company, 2nd Battalion, 22nd Infantry Regiment
10th Mountain Division (Light Infantry)
Fort Drum, New York 13602

13 October 2005

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DEPARTMENT OF THE ARMY
Headquarters, 2ND Battalion, 22ND Infantry
10TH Mountain Division (Light)
Iraq APO AE 09376

11 October 2005

MEMORANDUM FOR 1LT [REDACTED] HHC/2-22 Infantry

SUBJECT: Appointment of Investigative Officer IAW AR 15-6

1. You are hereby appointed investigating officer pursuant to AR 15-6 to conduct an informal investigation into the circumstances surrounding the direct fire engagement with a civilian vehicle on 11 Oct 2005 by a soldier in C/1-71 CAV.

2. In your investigation, all witness statements will be sworn. From the evidence, you will make findings as to the circumstances of events concerning the loss or damage of government property. You will also make recommendations for any punishment or financial liability to any party. Finally, you will make a recommendation for controls that should be emplaced to ensure this does not happen again in the future.

3. If in the course of your investigation you come to suspect that certain people may be responsible for the damage, you must advise them of their rights under the UCMJ, Article 31, or the Fifth Amendment, as appropriate. In addition, you must provide them a Privacy Act statement before you solicit any (further) personal information. You may obtain assistance with these legal matters from the office of the Staff Judge Advocate.

4. Effective immediately, you are relieved of any current duties and will report directly to the Battalion Executive Officer until the completion of this investigation. Submit your findings and recommendations in four copies on DA 1574 to this headquarters, ATTN: 2-22 IN Battalion Commander, within 24 hours.

5. POC for this memorandum is CPT [REDACTED]

FOR THE COMMANDER:

[Signature]

CPT, IN
Battalion Adjutant

CF:
2-22 IN, XO
2-22 IN, CDR
REPORT OF PROCEEDINGS BY INVESTIGATING OFFICER/BOARD OF OFFICERS

For use of this form, see AR 15-6; the proper agency is OJAG.

IF MORE SPACE IS REQUIRED IN FILLING OUT ANY PORTION OF THIS FORM, ATTACH ADDITIONAL SHEETS

SECTION I - APPOINTMENT

Appointed by LTC [b/c] Commander, 2-22 IN

(Appointing authority)

on 12 OCT 05

(Date)

(Archive inclosure 1: Letter of appointment or summary of oral appointment data.) (See para 3-15, AR 15-6.)

SECTION II - SESSIONS

The (investigating officer) (board) commenced at Iraq at 1200

(Place) (Time)

on 12 OCT 05

If a formal board met for more than one session, check here ☐. Indicate in an inclosure the time each session began and ended, the place, persons present and absent, and explanation of absences, if any.) The following persons members, respondents, counsel) were present: (List each name, indicate capacity, e.g., President, Recorder, Member, Legal Advisor.)

Investigator: 1LT [b/c] SSN [b/c] HHC, 2-22 IN (TF Courage)

The following persons members, respondents, counsel were absent: (Include brief explanation of each absence.) (See paras 5-2 and 5-8a, AR 15-6.)

The (investigating officer) (board) finished gathering/hearing evidence at 1000 on 13 OCT 05

(Time) (Date)

and completed findings and recommendations at 1600 on 13 OCT 05

(Time) (Date)

SECTION III - CHECKLIST FOR PROCEEDINGS

A. COMPLETE IN ALL CASES

1 Inclosures (para 3-15, AR 15-6)

Are the following included and numbered consecutively with Roman numerals: (Bracketed in order listed)

a. The letter of appointment or a summary of oral appointment data?

X

b. Copy of notice to respondent, if any? (See item 9, below)

X

c. Other correspondence with respondent or counsel, if any?

X

d. All other written communications to or from the appointing authority?

X

e. Privacy Act Statements (Certificate, if statement provided orally)?

X

f. Explanation by the investigating officer or board of any unusual delays, difficulties, irregularities, or other problems encountered (e.g., absence of material witnesses)?

X

g. Information as to sessions of a formal board not included on page 1 of this report?

X

h. Any other significant papers (other than evidence) relating to administrative aspects of the investigation or board?

X

FOOTNOTES: 1) Explain all negative answers on an attached sheet.

2) Use of the "NA" column constitutes a positive representation that the circumstances described in the question did not occur in this investigation or board.

12015
2 Exhibits (para 3-10, AR 15-6)
   a. Are all items offered (whether or not received) or considered as evidence individually numbered or lettered as exhibits and attached to this report?
     [ ] YES  [X] NO  [ ] NA
   b. Is an index of all exhibits offered to or considered by investigating officer or board attached before the first exhibit?
     [ ] YES  [X] NO  [ ] NA
   c. Has the testimony or statement of each witness been recorded verbatim or been reduced to written form and included as an exhibit?
     [ ] YES  [X] NO  [ ] NA
   d. Are copies of the depositions or pleadings (if substituted for oral or documentary evidence) properly authenticated and is the location of the original evidence indicated?
     [ ] YES  [X] NO  [ ] NA
   e. Are descriptions or diagrarns included of locations visited by the investigating officer or board? (para 3-6b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA
   f. Is each written stipulation attached as an exhibit and is each oral stipulation either reduced to writing and made an exhibit or recorded in a verbatim record?
     [ ] YES  [X] NO  [ ] NA
   g. If official notice of any matter was taken over the objection of a respondent or counsel, is a statement of the matter of which official notice was taken attached as an exhibit? (para 3-6d, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

5 Was a quorum present when the board voted on findings and recommendations? (para 4-1 and 5-2b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

B COMPLETE ONLY FOR FORMAL BOARD PROCEEDINGS (Chapter 5, AR 15-6)

4 At the initial session, did the recorder read, or determine that all participants had read, the letter of appointment? (para 5-3b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

6 Was a quorum present at every session of the board? (para 5-2b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

7 Was each member of the board properly excused? (para 5-3b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

C COMPLETE ONLY IF RESPONDENT WAS DESIGNATED (Section II, Chapter 5, AR 15-6)

9 Notice to respondents (para 5-5, AR 15-6):
   a. Was the notice made known by the respondent indicated in each letter of notification?
     [ ] YES  [X] NO  [ ] NA
   b. Was the date of delivery at least five working days prior to the first session of the board?
     [ ] YES  [X] NO  [ ] NA
   c. Does each letter of notification indicate—
      (1) the date, hour, and place of the first session of the board concerning that respondent?
      [ ] YES  [X] NO  [ ] NA
      (2) the matter to be investigated, including specific allegations against the respondent, if any?
      [ ] YES  [X] NO  [ ] NA
      (3) the respondent's rights with regard to counsel?
      [ ] YES  [X] NO  [ ] NA
      (4) the place and address of the hearing expected to be held by the respondents?
      [ ] YES  [X] NO  [ ] NA
      (5) the respondent's right to be present, present evidence, and call witnesses?
      [ ] YES  [X] NO  [ ] NA
   d. Did the respondents provide a copy of all unclassified documents in the case file?
     [ ] YES  [X] NO  [ ] NA
   e. If there were relevant classified materials, were the respondents and his counsel given access and an opportunity to examine them?
     [ ] YES  [X] NO  [ ] NA

10 If any respondent was designated after the proceedings began or otherwise was absent during part of the proceedings:
   a. Was he properly notified (para 5-5, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA
   b. Was a record of the proceedings and evidence received in his absence made available for examination by him and his counsel? (para 5-4c, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

11 Counsel (para 5-6, AR 15-6):
   a. Was each respondent represented by counsel?
     [ ] YES  [X] NO  [ ] NA
     Name and business address of counsel:

     [ ] If counsel is a lawyer, check here [ ]
   b. Was counsel present at every session of the board relating to this respondent?
     [ ] YES  [X] NO  [ ] NA
   c. Unless counsel was requested but not made available, is a copy of (and, if oral, a summary of) the request and the action taken thereon included in the record? (para 5-6b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

12 If the respondent challenged the legal advisor or any voting member for lack of impartiality? (para 5-7, AR 15-6):
   a. Was the challenge properly denied by the appropriate officer?
     [ ] YES  [X] NO  [ ] NA
   b. Did each member successfully challenge cease to participate in the proceeding?
     [ ] YES  [X] NO  [ ] NA

13 Was the respondent given an opportunity to (para 5-5a, AR 15-6):
   a. Be present with his counsel at all open sessions of the board which deal with any matter which concerns that respondent?
     [ ] YES  [X] NO  [ ] NA
   b. Examine and object to the introduction of real and documentary evidence, including written statements?
     [ ] YES  [X] NO  [ ] NA
   c. Object to the testimony of witnesses and cross-examine witnesses other than his own?
     [ ] YES  [X] NO  [ ] NA
   d. Call witnesses and otherwise introduce evidence?
     [ ] YES  [X] NO  [ ] NA
   e. Testify as a witness?
     [ ] YES  [X] NO  [ ] NA

14 If requested, did the recorder assist the respondent in obtaining evidence in possession of the Government and in arranging for the presence of witnesses? (para 5-8b, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

15 Are all of the respondent's requests and objections which were denied indicated in the report of proceeding or in an include or exhibit to it? (para 5-11, AR 15-6)?
     [ ] YES  [X] NO  [ ] NA

FOOT NOTES:
1. Explain all negative answers on an attached sheet.
2. Use of the exclamation indicates a positive representation that the circumstances described in the question did not occur in the investigation or denial.
SECTION IV - FINDINGS  (para 3-10, AR 15-6)

The (investigating officer) (board), having carefully considered the evidence, finds:

See Exhibit A

SECTION V - RECOMMENDATIONS  (para 3.11, AR 15-6)

In view of the above findings, the (investigating officer) (board) recommends:

See Exhibit B
SECTION VI - AUTHENTICATION (para 3-17, AR 15-6)

This report of proceedings is complete and accurate. (If any voting member or the recorder fails to sign here or in Section VII below, indicate the reason in the space where his signature should appear.)

(Recorder)

(Member)

(Member)

(Member)

SECTION VII - MINORITY REPORT (para 3-13, AR 15-6)

To the extent indicated in Inclosure , the undersigned do(es) not concur in the findings and recommendations of the board. (In the inclosure, identify by number each finding and/or recommendation in which the dissenting member(s) do(es) not concur. State the reasons for disagreement. Additional/substitute findings and/or recommendations may be included in the inclosure.)

(Member)

(Member)

SECTION VIII - ACTION BY APPOINTING AUTHORITY (para 3-3, AR 15-6)

The findings and recommendations of the (investigating officer) board are (approved) (disapproved) (approved with following exceptions/substitutions). (If the appointing authority returns the proceedings to the investigating officer or board for further proceedings or corrective action, attach that correspondence (or a summary, if any) as a numbered inclosure.)

(Uccs)

LPC in command
Exhibit A

C/1-71 15-6 Investigation

Findings

On 11 October 2005, 4th PLT, C/1-71 was conducting a three vehicle mounted patrol vicinity the area of frequent enemy activity. At approximately 1900 hours, the patrol was traveling south on Rte. 47a, and made a left turn onto Rte. 47a traveling east. The patrol leader's intent was to conduct refit operations at the patrol's location. (Exhibits C1, D1, E1, F1, H1, K). Members of the patrol witnessed the vehicle located in the westbound lane of Rte. 47a, approximately 100m from the suspected enemy vehicle. Subsequently, two of the patrol's crew received direct fire and saw what they believed to be muzzle flashes coming from the suspected enemy vehicle. Subsequently, two of the patrol's crew engaged the vehicle, as it continued to move in the direction of the U.S. patrol. The middle vehicle in the convoy initiated contact, followed almost immediately by the trail vehicle in the convoy. When the patrol's leadership determined that the suspected enemy was no longer a threat, a cease fire was called. Upon establishing security and conducting an initial investigation, the patrol determined that all individuals in the vehicle were unarmed and had been killed. A visual depiction of the engagement can be found in Exhibit K.

After reviewing all sworn statements and questioning the relevant parties, one can determine that the C/1-71 patrol committed no wrongdoing. The patrol turned onto a road and immediately encountered a friendly force (IA and American forces in the area) engaging a vehicle with direct fire. It can be logically deduced that if friendly forces have engaged a suspected enemy, positive identification has been established. As a result, the C/1-71 patrol simply aided an adjacent unit that was in contact with the enemy. Additionally, the patrol believed there was an imminent threat from the suspected enemy (Exhibits C1, D1, E1, F1, H1, K), and acted well within established ROE criteria.

It is important to note that the incident occurred during times of limited visibility, which would hinder the patrol's ability to determine whether individuals in the vehicle were armed. Furthermore, time and distance analysis reveals that the patrol had very little time to assess the situation. Upon making the turn onto Rte. 47a, the patrol was approximately 100m from the civilian vehicle, and shots were already being fired from...
the (Exhibits C1, D1, E1, F1, H1, I1). Consequently, the incident is not an escalation of force issue, but rather an element reacting to contact.
Exhibit B

C/1-71 15-6 Investigation
RIGHTS WARNING PROCEDURE/WAIVER CERTIFICATE
For use of this form, see AR 190-30; the proponent agency is ODACSOPS

DATA REQUIRED BY THE PRIVACY ACT

AUTHORITY: Title 10, United States Code, Section 3012(g)
PRINCIPAL PURPOSE: To provide commanders and law enforcement officials with means by which information may be accurately identified. Your Social Security Number is used as an additional/alternate means of identification to facilitate filing and retrieval.
ROUTINE USES: Disclosure: Disclosure of your Social Security Number is voluntary.

1. LOCATION
2. DATE
3. TIME
4. FILE NO.

5. ORGANIZATION OR ADDRESS

6. NAME

7. GRADE/STATUS

PART I - RIGHTS WAIVER/NON-WAIVER CERTIFICATE

Section A. Rights

The investigator whose name appears below told me that I am with the United States Army.

Before he/she asked me any questions about the offense(s), however, he/she made it clear to me that I have the following rights:

1. I do not have to answer any question or say anything.
2. Anything I say or do can be used as evidence against me in a criminal trial.
3. For personal subject to the UCMJ: I have the right to talk privately to a lawyer before, during, and after questioning and to have a lawyer present with me during questioning. This lawyer can be a civilian lawyer I arrange for at no expense to the Government or a military lawyer detailed for me at no expense to me, or both.

(For civilian not subject to the UCMJ): I have the right to talk privately to a lawyer before, during, and after questioning and to have a lawyer present with me during questioning. I understand that this lawyer can be one that I arrange for at my own expense, or if I cannot afford a lawyer and want one, a lawyer will be appointed for me before any questioning begins.

4. If I am now willing to discuss the offense(s) under investigation, with or without a lawyer present, I have a right to stop answering questions at any time, or speak privately with a lawyer before answering further, even if I sign the waiver below.

5. COMMENTS (Continue on reverse side)

Section B. Waiver

I understand my rights as stated above. I am now willing to discuss the offense(s) under investigation and make a statement without talking to a lawyer first and without having a lawyer present with me.

WITNESSES (If available)

1a. NAME (Type or Print)

b. ORGANIZATION OR ADDRESS AND PHONE

2a. NAME (Type or Print)

b. ORGANIZATION OR ADDRESS AND PHONE

Section C. Non-waiver

1. I do want to give up my rights
   □ I want a lawyer □ I do not want to be questioned or say anything

2. SIGNATURE OF INTERVIEWEE

ATTACH THIS WAIVER CERTIFICATE TO ANY SWORN STATEMENT (DA FORM 2823) SUBSEQUENTLY EXECUTED BY THE SUSPECT/ACCUSED

DA FORM 3881, NOV 89 EDITION OF NOV 84 IS OBSOLETE

USAFC V1.00.
On the 11th of October 2005, 4th Platoon, C Troop, 1-71 Cav was on patrol in (011) We were on our way south on RTE: (000) and turned east on to (001). As we turned east shots were observed on the (011). I told my platoon to push forward to get some distance and to get eyes on whoever was firing on the (011). As we moved forward a car was identified as having muzzle flashes coming from the side of it. At the same time the (011) was engaging the same car. My Green 4 vehicle and my vehicle, Green 1 engaged the vehicle until I called a cease fire when I deemed the vehicle no longer to be a threat.

**ADDITIONAL PAGES MUST CONTAIN THE HEADING "STATEMENT" AND PAGE NUMBER MUST BE INDICATED.**
SWORN STATEMENT

For use of this form, see AR 190-49; the proponent agency is ODCSOPS

DATE
13 May 05
TIME
0900
FILE NUMBER

ORGANIZATION OR ADDRESS
CPB 1-91 CAU

GRADE/STATUS
E-6/Recruit

Social Security Number

1. WANT TO MAKE THE FOLLOWING STATEMENT UNDER OATH:

1. Were you aware that friendly forces were in the area and therefore believed those friendly forces had positively identified the enemy? ☑

2. At the time, did you believe that the vehicle you engaged was a hostile enemy that posed a threat to your element?

2. YES

3. Did the engagement occur during hours of limited visibility (ie. darkness and under NVGS)?

3. YES

4. What was the distance between your vehicle and the suspected enemy vehicle?

4. 150 m

5. In respect to time, how long after you turned the corner onto the road did you realize that the vehicle was in contact?

5. INSTANTLY

—NOTHING FOLLOWS—

EXHIBIT
C 1

INITIALS OF PERSON MAKING STATEMENT

PAGE 1 OF 2 PAGES

ADDITIONAL PAGES MUST CONTAIN THE HEADING "STATEMENT OF ________ TAKEN AT ________ DATED ________ CONTINUED."

DA FORM 2823, JUL 72 SUPERSEDES DA FORM 2823, 1 JAN 68, WHICH WILL BE USED.