

FEDERAL DEPOSIT INSURANCE CORPORATION

OFFICE OF INSPECTOR GENERAL

Policies and Procedures Manual

PART	IV	Investigations Policies and Procedures
SECTION	OIG-400	Investigative Operations
CHAPTER	400.2	Case Management

1. Purpose. The purpose of this chapter is to establish policy and procedures for the processing of matters referred to the Office of Investigations (OI) for investigation, case opening and closing, using the Investigative Data System (IDS), coordinating with the FDIC and other federal agencies, investigative planning, and case file organization.

2. Policy. Allegations received by the OI must be processed uniformly throughout the organization. FDIC managers should be advised of the initiation of investigations relevant to their programs and operations whenever such notification will not jeopardize the case. Data must be uniformly and timely entered and updated in IDS.

3. Processing Referrals. All referrals will be forwarded for response and any subsequent handling to the OI office having jurisdiction for conducting the preliminary inquiry/investigation of the matter. If some question exists as to the appropriate office, the Special Agents in Charge (SACs) should consult with each other and, if necessary, either the Assistant Inspector General for Investigations (AIGI) or the Deputy Assistant Inspector General for Investigations (DAIGI) to resolve the matter. The forwarding of a referral to another OI office for response must be done promptly so that the receiving office will have sufficient time to acknowledge the referral within the time limits established below.

a. Acknowledging Receipt of Complaints and Referrals. Persons submitting complaints or referring information for investigative consideration should be provided a response acknowledging receipt of the information within 14 days. As appropriate in the circumstances, the response may be made either verbally, via e-mail, or a more formal correspondence, but all responses should be documented. The response should indicate whether or not OI will be conducting an inquiry or investigation of the matter, and where applicable, will include an explanation as to why no further review will be undertaken. If referred to another agency or FDIC office for handling, the complainant should be advised where the matter is being referred.

b. OIG Hotline Referrals. OIG Hotline referrals will be handled in accordance with requirements of Chapter 110.3, OIG Hotline.

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5. FBI Notification Requirements When Opening Investigations. In accordance with Attorney General Guidelines, the OIG will notify the FBI within 30 days of the opening of any investigation of a Title 18, United States Code, violation (preliminary investigations are excluded from this requirement). For additional detail see Chapter 400.1, Attachment A.

6. Office of Government Ethics (OGE) Notification Requirements. OI will concurrently notify the OGE when any matter involving a violation of 18 U.S.C. §§ 203, 205, 207, 208, and/or 209 is referred to DOJ. OI will also notify the OGE of the referral's subsequent disposition, including any disciplinary or corrective action taken by the department or agency. The case agent and the SAC of the office of jurisdiction are responsible for ensuring that OGE Form 202, Notification of Conflict of Interest Referral is completed and filed when such a referral occurs and that OGE is notified of the disposition of the referral. Although the area on OGE Form 202 for "Disposition of Referral" states it is for "OGE use only," it is acceptable to use this area of

the form to inform OGE of the disposition. A copy of all such notifications shall be retained in the official case file. To ensure proper tracking of these matters, the appropriate sections of Title 18 should be entered in the *Potential Violations* section of IDS and the referral to OGE should be entered using the *Referral Type* "Other/Law Enf." and the *Referral Subtype* "Information Only." The referral should be closed in IDS when OGE is notified of the disposition of the referral.

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[Note Pages 4 through 15 were redacted in their entirety (b)(2)]