

FEDERAL DEPOSIT INSURANCE CORPORATION

OFFICE OF INSPECTOR GENERAL

Policies and Procedures Manual

PART	I	Operations Policies and Procedures
SECTION	OIG-110	General Management Policies and Procedures
CHAPTER	110.1	Issuing OIG Policy

1. Purpose. The purpose of this chapter is to establish the approach for developing and issuing Federal Deposit Insurance Corporation (FDIC) Office of Inspector General (OIG) policy. Specifically, this chapter describes the policy, procedures, and responsibilities for developing and issuing OIG policy. OIG policies and procedures will reside in the *OIG Policies and Procedures Manual*, which was provided to OIG employees.

2. Policy. The *OIG Policies and Procedures Manual* is a living document, which serves as the vehicle for OIG management to systematically communicate with and guide the activities of OIG employees. This *Manual* will include written policy, standards, and procedures concerning OIG operations, evaluation, audit, investigative, and quality assurance matters. In addition, the *Manual* contents will clarify, as appropriate, how Corporation policy will be implemented within the OIG.

a. The foundation of the *OIG Policies and Procedures Manual* is the *Manual* chapters. Each chapter establishes a policy, procedure, standard, method, form, and/or reporting requirement that affects OIG activities. A chapter is permanent in nature and remains in effect until changed or canceled.

b. A Policy Memorandum can be used to disseminate OIG policy, procedure, standard, method, form, and/or reporting requirement on an interim or temporary basis until a *Manual* chapter can be developed and approved or an existing *Manual* chapter can be revised.

3. OIG Manual Contents. The *OIG Manual* is the central collection of official policies and procedures currently in effect. The *OIG Manual* is divided into five general parts--Operations, Evaluations, Audit, Investigations, and Quality Assurance and Oversight. Each part may be subdivided into sections by general subject area. These sections contain chapters that describe OIG policies on specific topics in the subject area. Each chapter has a unique number within the series. Attachment A of this chapter contains the *OIG Manual* contents.

4. Chapter Format. Attachment B provides the format and detailed instructions for an *OIG Manual* chapter. This format was adapted from the FDIC Directives System (FDIC Circular 1212.1). As illustrated in the attachment, each chapter within the *OIG Manual* will have a unique header (i.e., control box) that will be used for organization and numbering purposes.

5. Responsibilities and Procedures--*OIG Manual*. The Assistant Inspector General (AIG) for Management and Congressional Relations oversees the administration of the *OIG Policies and Procedures Manual*. As such, the development, approval, distribution, use, and maintenance of the *OIG Manual* is coordinated through this office. The Office of Management and Congressional Relations (OMCR) also provides assistance and support in the preparation of policies and procedures and determines, in consultation with the appropriate Assistant Inspector General or office designee, where chapters should reside within the *Manual*.

a. Chapter development

(1) The Deputy Inspector General, Assistant Inspectors General, Counsel to the Inspector General, or designees, are responsible for identifying the need for policy and procedures within their areas of responsibility and formulating and maintaining those policies and procedures for the *OIG Manual*.

(2) The AIG for Management and Congressional Relations is primarily responsible for identifying the need for and formulating and maintaining policies and procedures related to OIG operations (e.g., budget, human resources, administration, ADP, and contracting matters).

b. Chapter review and approval

(1) The Deputy Inspector General, Assistant Inspectors General, Counsel to the Inspector General, or designees, are responsible for coordinating the review process for the policies and procedures within their area of responsibility. Specifically, the office with policy development responsibility will provide, as appropriate, affected OIG executives an opportunity to review and comment on the chapter draft. OMCR will review each OIG policy chapter for, at a minimum, consistency with other OIG policies and format adherence. After considering the comments, the office with policy development responsibility will provide the *OIG Manual* chapter to OMCR for the final review and approval process.

(2) The OMCR will begin the final review and approval process. A proposed *Manual* chapter will be reviewed concurrently by the AIGs, the Deputy Inspector General and Counsel to the Inspector General before going to the Inspector General for final review and approval. After the Inspector General reviews the chapter and is satisfied with its contents, OMCR staff will prepare the transmittal, which is a cover page used to transmit and briefly explain the new/revised chapter(s) and changes to the *OIG Manual*. The Inspector General will sign the transmittal for each chapter before it is published in the *OIG Manual*. The chapter becomes effective with the Inspector General's signature unless otherwise indicated. See Attachment C for a sample transmittal.

c. *OIG Manual* distribution. *Manual* chapters are generally written for dissemination to all OIG employees. Some *Manual* chapters may contain sensitive information (e.g., Sensitive Investigative Techniques) where a more restricted distribution may be warranted. In those limited situations, employees not receiving the *Manual* chapter will receive notification of its issuance or revision. Based on the subject matter of the chapter, the distribution will be determined by the office responsible for the chapter in consultation with the OMCR. The OMCR is responsible for initiating the distribution of *Manual* chapters and/or notification to OIG staff and will work with each OIG office to distribute the chapters. An explanation of the distribution codes can be found in Attachment B.

d. *OIG Manual* Maintenance and Use

(1) The Deputy Inspector General, Assistant Inspector General, Counsel to the Inspector General, or designee, are responsible for ensuring that the *OIG Manual* chapters for their area of responsibility are current, complete, and accurate.

(2) Supervisors are responsible for ensuring that staff members are familiar with the *Manual* contents.

(3) OIG staff are responsible for understanding and complying with OIG policy and communicating to the OMCR, through their respective supervisor, any erroneous or outdated material contained in the *Manual*. All staff are encouraged to suggest needed changes or additions to the *Manual* through their management chain. OIG staff are responsible for maintaining their copy of the *OIG Policies and Procedures Manual* and returning it to the OIG should the employee leave the OIG. Staff are not to provide any portion of the *OIG Manual* outside the OIG unless the distribution has been approved by the Inspector General or Deputy Inspector General in consultation with the Counsel to the Inspector General.

6. Responsibilities and Procedures--Policy Memorandum

a. After determining that guidance is needed in a particular area, the Deputy Inspector General, AIG, Counsel to the Inspector General, or office designee, will develop an appropriate strategy to satisfy this need for guidance in the most expeditious manner. This could involve initially disseminating a Policy Memorandum and then either revising the *OIG Manual* or issuing a new chapter.

b. A Policy Memorandum is an interim or temporary solution to an immediate need for guidance until a policy can be incorporated into the *OIG Manual*. Should the need for issuing a Policy Memorandum arise, the office will determine the development, review and approval, and distribution strategy for the Memorandum on a case-by-case basis. Prior to issuing a Memorandum, the responsible office should coordinate with the OMCR to obtain a Policy Memorandum number and ensure that the guidance is consistent with other policies. No specific format requirements have been established. The office issuing a Policy Memorandum is responsible for its distribution. At a minimum, OIG executives should be included in the distribution. The Policy Memorandum should instruct its recipients that the memorandum should be filed accordingly within the *Manual*.

7. OIG Point of Contact. Questions, comments, and suggestions regarding this chapter of the *OIG Manual* should be directed to the AIG for Management and Congressional Relations.