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Policies and Procedures

Title: Investigation and Audit Reports of the Office of Inspector General

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Distribution: All REE Employees

This P&P provides responsibilities and procedures for cooperating with the USDA Office of Inspector General when allegations of misconduct and program and fiscal irregularities are under their investigation.

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1. Reference

- Procedures for reporting misconduct and program and fiscal irregularities to the USDA Office of Inspector General (OIG) are contained in P&P 461.5, “Misconduct, Discipline, and Adverse Actions.”
- Procedures for reporting bribery or attempted bribery to OIG are contained in P&P 461.3, “Reporting Bribery or Attempted Bribery of USDA Employees.”
- Policy for resolving Government Accounting Office (GAO) and OIG audits are contained in P&P 366.0, “GAO and OIG Audit Programs.”

2. Authority

- 7 Code of Federal Regulations (CFR) 0.735-23(c)
- USDA Bulletin 735-208(c)
- Departmental Regulation (DR)-1700-2

3. Policy

REE managers, supervisors, and employees are required to cooperate fully with OIG to facilitate the conduct of audits and investigations. Agency management should take prompt action on problems identified and recommendations made by OIG as soon as sufficient information has been provided.

4. Procedures

Investigations.

The Assistant Deputy Administrator, Administrative and Financial Management (ADAAFM) is the REE liaison officer with OIG investigations. All actions involving OIG investigations should be coordinated through the ADAAFM.

Upon receipt of an OIG Case Opening Memorandum or an OIG Hotline complaint, the ADAAFM will assign/coordinate assistance from the appropriate REE office.

At the request of the ADAAFM, the assigned REE office will prepare a draft response to OIG within 60 calendar days from the date of the Report of Investigation, addressing the administrative action taken (if addressing a Hotline referral, the response should indicate the findings of the review and any administrative action taken). If investigation or corrective action has not been completed, interim replies will be sent every 60 calendar days, or as required by OIG, until all administrative action has been completed. If the initial or proposed action is modified as a result of an appeal or grievance, OIG will be notified. The response will be finalized and sent to OIG by the ADAAFM. In addition, copies of all responses to OIG will be distributed to all REE officials who have an official interest.

Audits.

The Associate Deputy Administrator, Financial Management (ADAFM), is the REE liaison with OIG audits. All actions involving OIG audits should be coordinated through the ADAFM.

Upon receipt of OIG communication relating to an audit, the ADAFM will assign/coordinate assistance from the appropriate REE office.

At the request of the ADAFM, the assigned REE office will prepare a draft response to OIG within 60 calendar days from the date of the audit correspondence, addressing the action taken. If corrective action has not been initiated, interim replies will be sent every 60 calendar days, or as required by OIG, until all action has been completed. If the initial or proposed action is modified as a result of an appeal or grievance, OIG will be notified. The response will be finalized and sent to OIG by the ADAFM. In addition, copies of all responses to OIG will be distributed to all REE officials who have an official interest.

5. Distribution of OIG Reports

Investigations.

Case Opening Memorandums and Reports of Investigation, as well as any information pertaining to legal action, will be addressed to the Administrator of the agency being investigated, with a courtesy copy to the ADAAFM. The ADAAFM will then provide a copy of the OIG transmittal to the appropriate REE office for administrative action. OIG transmittals will only be provided to individuals who have an official interest, i.e., to take administrative action. **OIG reports are not to be copied or distributed to other parties without OIG's concurrence and approval.**

Audits.

A Notification Memorandum of an audit/audit survey, Management Alert, or Audit Report will be addressed to the Administrator of the agency being audited with a courtesy copy to the ADAFM. The ADAFM will then provide a copy of the OIG transmittal to the appropriate REE official for action. OIG transmittals will only be provided to individuals who have an official interest.

6. Summary of Responsibilities

Employees at all levels are required to:

- Fully cooperate and provide information to OIG auditors and special agents upon request. Employees will:
 - disclose complete and accurate information pertaining to matters being reviewed by OIG;
 - inform OIG auditors and investigators of any activities where they feel an OIG review is warranted;
 - not conceal information or obstruct OIG audits or investigations;
 - make available all requested files, records, computer data, agreements, contracts, correspondence, and any other documentation required by OIG. Upon approval by OIG, records may be microfilmed or otherwise reproduced as long as they are provided without delay and without charge to OIG; and
 - cooperate fully and furnish signed statements when requested (USDA Bulletin 735-208(c) and DR-1700-2). Furnishing false or misleading information or refusing to answer questions may result in disciplinary action or criminal prosecution.

The ADAAFM, with assistance from the Human Resources Division (HRD)

- Serves as the formal liaison with OIG on all personnel misconduct-related investigations.

The ADAFM, with assistance from respective offices within REE

- Serves as the formal liaison with OIG on all program-related audits.

7. Glossary

ADAAFM. Assistant Deputy Administrator, Administrative and Financial Management.

ADAFM. Associate Deputy Administrator, Financial Management.

CFR. Code of Federal Regulations.

HRD. Human Resources Division, Administrative and Financial Management.

OIG. Office of Inspector General, USDA, is an independent audit and investigative entity established within USDA pursuant to the Inspector General Act of 1978.

/s/

W. G. HORNER
Deputy Administrator
Administrative and Financial Management