

FEDERAL DEPOSIT INSURANCE CORPORATION

OFFICE OF INSPECTOR GENERAL

Policies and Procedures Manual

PART	I	Operations Policies and Procedures
SECTION	OIG-100	Authority and Organization
CHAPTER	100.1	Mission and Organization

1. Purpose. To inform all FDIC Office of Inspector General (OIG) employees of the Office's mission, responsibilities, authorities, and organization.

2. Scope. This directive provides information and sets forth the OIG's mission, duties, responsibilities, authorities, and organization, in accordance with the Inspector General Act of 1978, as amended. OIG authority to audit, investigate or otherwise assess or examine FDIC activities covers all programs and functions administered by the Corporation and the operations of all entities doing business with the Corporation. The OIG is authorized to receive and investigate employee complaints of fraud, waste, mismanagement, abuse of authority, and other matters relating to FDIC programs and operations.

3. Background. The FDIC Board of Directors established the OIG on April 17, 1989, pursuant to the Inspector General Act of 1978 (Public Law 95-452), as amended by the Inspector General Act Amendments of 1988 (Public Law 100-504). The Resolution Trust Corporation Completion Act (Public Law 103-204), enacted December 17, 1993, provides that the FDIC Inspector General be appointed by the President and confirmed by the Senate.

4. Mission. The FDIC OIG assists the Corporation in accomplishing its mission by (1) conducting and supervising independent and objective audits, investigations, evaluations, and other reviews, (2) promoting economy, efficiency, and effectiveness, (3) preventing and detecting fraud, waste, abuse, and mismanagement, and (4) keeping the Chairperson and the Congress fully and currently informed of our work. The IG Act provides that the Inspector General shall not be prevented from initiating, carrying out, or completing any audit or investigation or from issuing any related report or subpoena.

5. Duties and Responsibilities
 - a. The Inspector General Act, as amended, establishes the Office of Inspector General as an independent and objective unit to:

- (1) Conduct, supervise, and coordinate audits and investigations relating to programs and operations of the Corporation;
 - (2) Promote economy and efficiency in the administration of corporate programs and operations;
 - (3) Review and make recommendations with respect to relevant legislation and regulations;
 - (4) Recommend policies to enhance the Corporation's ability to achieve its mission and objectives and prevent and detect fraud and abuse in corporate programs and operations;
 - (5) Keep the Chairperson and Congress fully and currently informed concerning fraud and other serious problems relating to the administration of corporate programs and operations, and recommend corrective action concerning such problems; and
 - (6) Report expeditiously to the Attorney General whenever the OIG has reasonable grounds to believe there has been a violation of Federal criminal law.
 - (7) Give particular regard to the activities of the Comptroller General of the United States with a view toward avoiding duplication and insuring effective coordination and cooperation.
- b. In carrying out these duties and responsibilities, the Office of Inspector General will:
- (1) Comply with audit standards of the Comptroller General of the United States.
 - (2) Establish guidelines for determining when it shall be appropriate to use non-Federal auditors.
 - (3) Ensure that audit work performed by non-Federal auditors complies with Comptroller General standards.
 - (4) Ensure that investigations are conducted in accordance with investigation standards established by the President's Council on Integrity and Efficiency (PCIE).
 - (5) Report expeditiously to the Attorney General whenever there is reasonable grounds to believe Federal criminal laws have been violated.

(6) Ensure that evaluations are completed in accordance with PCIE standards for inspections and evaluations.

6. Authority and Administrative Provisions. Pursuant to the IG Act, the Office of Inspector General is authorized to:

- a. Have access to all records, reports, audits, reviews, documents, papers, recommendations, or other material available to the Corporation.
- b. Make such investigations and reports as are, in the judgment of the Inspector General, necessary or desirable.
- c. Request information or assistance as necessary from any Federal, state, or local governmental agency.
- d. Require by subpoena the production of all information, answers, documents, and other data except, with respect to other Federal agencies, procedures other than subpoenas shall be used.
- e. Receive and investigate complaints or information concerning such matters as possible violations of laws or regulations, mismanagement, gross waste of funds, abuse of authority, or a danger to public health and safety.
- f. Administer to or take from any person an oath, affirmation, or affidavit, when necessary, in the performance of the functions of the OIG.
- g. Select, appoint, and employ such officers and employees as necessary to perform the duties and functions of the OIG.
- h. Obtain the services of experts and consultants and to enter into contracts for audits, studies, analyses, and other services within the limits provided by appropriations and make such payments as necessary.
- i. Be provided with appropriate and adequate office space at headquarters and field office locations.

7. OIG Budgets. Section 1105(a) of Title 31, United States Code, requires "...a separate appropriation account for appropriations for each Office of Inspector General of an establishment..." including the FDIC OIG.
8. Organization of the OIG. The OIG consists of the following:
- a. Immediate Office of the Inspector General. This office includes the Inspector General and Deputy Inspector General, who are responsible for the overall management and operation of the OIG.
 - b. Counsel to the Inspector General. Headed by the Counsel to the Inspector General, this office provides independent legal services to the OIG. These services include providing advice and counsel on various OIG reviews and personnel matters; performing legal research and writing opinions; preparing subpoenas for issuance by the Inspector General; handling Freedom of Information Act (FOIA) requests, representing the OIG in litigation, and reviewing proposed legislation, regulations, and directives.
 - c. Office of Audits. Headed by the AIG for Audits, this office is responsible for full-scope audits and reviews of Corporate and receivership activities conducted by various FDIC organizational units. These audits and other reviews are designed to promote economy, efficiency, and effectiveness in the administration of various FDIC activities and to prevent and detect fraud and abuse in such programs and operations. This office is also charged with conducting evaluations of FDIC operations and recommending improvements. Generally, these efforts are focused on special requests received from the FDIC Board of Directors, senior FDIC managers, the Congress, and the OIG Hotline. This office conducts its work in both headquarters and field offices, at various sites nationwide, and at the facilities of FDIC contractors and others involved with FDIC activities.
 - d. Office of Investigations. Headed by the AIG for Investigations, this office is responsible for conducting and supervising a comprehensive, national program of prevention, detection, and investigation of alleged criminal or otherwise prohibited or improper activities relating to the programs and operations of FDIC. Investigations and inquiries may be made of FDIC employees or others who provide goods or services to FDIC, such as contractors or vendors, or of other individuals and groups who otherwise participate in FDIC programs and operations. This office maintains close and continuous working relationships with the U.S. Department of Justice, the Federal Bureau of Investigation, the U.S. Secret Service, other Offices of Inspector General, and state or local law enforcement agencies. In accordance with a memorandum of understanding with the Department of Justice, all OIG special agents are deputized as Special Deputy U.S. Marshals with authority to seek

and execute search and arrest warrants as necessary in the course of any investigation they conduct. All OIG offices must coordinate communications with other law enforcement agencies and with prosecutors on criminal matters through the Office of Investigations.

e. Office of Quality Assurance and Oversight. Headed by a AIG for Quality Assurance and Oversight, this office is responsible for maintaining quality assurance programs for audit, investigative, evaluation, and other OIG activities; the external peer review of other OIG offices; internal coordination and external oversight of internal control activities under the Chief Financial Officers (CFO) Act and the Federal Managers' Financial Integrity Act (FMFIA); and internal and external coordination of strategic planning and performance measurement activities under the Government Performance and Results Act (GPRA) of 1993.

f. Office of Management and Congressional Relations. Headed by the AIG for Management and Congressional Relations, this office is the management operations arm of the OIG. The primary purposes of the office are to provide business support for the OIG, including financial resources, human resources, and information technology, and to coordinate OIG policy development, policy analyses, and congressional relations.

g. OIG Staff. OIG employees located in headquarters are assigned and function organizationally in one of the offices listed above. OIG employees located in the field offices are assigned and function organizationally in either the Offices of Audits or Investigations. Attachment A contains the OIG organizational chart.

9. Contact. Questions regarding the information provided in this chapter should be directed to the AIG for Management and Congressional Relations.