

**“CHECK LIST” FOR USE IN PREPARING BLOCK 13 OF THE DoD
IG SUBPOENA REQUEST FORM WHEN INVESTIGATING A
COMPLEX PROCUREMENT FRAUD CASE**

1. Identify all parties involved in the fraud scheme, both business entities and individuals, by:
 - a. name;
 - b. by role/function; *i.e.*, prime contractor, tier one subcontractor, tier two subcontractor, competitor, subcontractor’s owner, subcontractor’s purchasing manager, prime contractor’s contract administrator, Government Contracting Officer (CO)/purchase agent/Contracting Officer’s Representative (COR)/Contracting Officer’s Technical Representative (COTR), Quality Assurance Representative (QAR).
2. Identify all of the contract(s) at issue by:
 - a. contract number;
 - b. contract type; *i.e.*, fixed price, cost reimbursement, incentive fee, indefinite delivery indefinite quantity (IDIQ), time and materials (T&M).
3. Identify when (ideally the month and year) the fraud scheme started and when it ended, if it has ended.
 - a. Explain how you determined/established these dates.

4. With regard to the alleged false claim(s)/statement(s) which form the basis for the criminal/civil fraud investigation, identify/describe:
 - a. to whom the false claim(s)/statement(s) were made; *i.e.*, the CO, COR, COTR, QAR, DFAS paying agent, Small Business Administration(SBA);
 - b. who made/submitted the false claim(s)/statement(s); either the business entity or the individual(s), or if possible, both;
 - c. the false claim(s)/statement(s), itself; *i.e.*, representation regarding the origin of the material provided, representation regarding compliance with Buy America Act, representation regarding qualification of workers performing work, quantity of material supplied;
 - d. what is the basis/bases for your conclusion(s) that the claim(s)/statement(s) is false (*i.e.*, credible evidence that a crime has been committed)?

5. If you are seeking a document/category of documents that the Government should already have in its possession; *i.e.*, the contract(s) at issue, contract specifications, vouchers and supporting information submitted to DFAS by the contractor in order to get paid, explain why either:
 - a. those documents are not available from the Government's files;
or
 - b. the Government's copy of those documents is insufficient/inadequate for your investigative requirements.

6. Cross check the information set forth in Block 13 with the specific document requests you have set forth in Block 30 to ensure that the Block 13 write-up contains sufficient information so that:
 - a. the reader can understand how/why each specific document/category of documents you are seeking to obtain via subpoena fits into your investigation; *i.e.*, why each specific document/category of documents you are seeking is relevant to your investigation and/or helps prove an element of the criminal or offense at issue;
 - b. to the extent that the existing Block 13 write-up does **NOT** make this linkage between the specific document/category of documents you are seeking to obtain via subpoena and your case clear, add additional verbiage in Block 13 to more fully explain the relevance of the document/category of documents to your investigation.