Re: Freedom of Information Act Request (OIG Tracking Number 17-021)

This is in response to your Freedom of Information Act (FOIA) request dated January 10, 2017, under the Freedom of Information Act (FOIA), in which you requested a copy of the GSA OIG Policy and Procedures Manual.

In response to your request, we are providing the attached OIG Policy Manual. I determined that you are entitled to portions of the requested material under the FOIA.

The basis for this decision is Exemption 5 and 7(E) of the FOIA. Exemption 5, 5 U.S.C. § 552(b)(5), discretionarily exempts from disclosure records containing information considered privileged in litigation. To qualify under the deliberative process component of this exemption, the record must be both deliberative in nature, as well as part of a decision-making process. In this case, the information withheld is the draft Continuity of Operations Plan (COOP) referenced in Section 411.

Exemption 7(E) of the FOIA, 5 U.S.C. §552 (b)(7)(E), permits the withholding of information compiled for law enforcement purposes, the release of which "would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law."

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirement of the FOIA. See 5 U.S.C. §552(c) (2006 & Supp. IV (2010)). This response is limited to those records that are subject to the requirement of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not exist.

You have the right to file an administrative appeal within 90 days of the date of this letter. By filing an appeal, you preserve your rights under FOIA and give the agency a chance to review and reconsider your request and the agency's decision. The appeal must be in writing, include the GSA OIG FOIA Case Number (17-021), and contain a statement of reasons for the appeal. In addition, please enclose copies of the initial request and
responsive document. The envelope and letter should be clearly marked as a "Freedom of Information Act Appeal" and addressed as follows:

Freedom of Information Act Officer  
Office of the Inspector General, General Services Administration  
1800 F Street, NW, Room 5332  
Washington, D.C. 20405

If you would like to discuss our response before filing an appeal to attempt to resolve your dispute without going through the appeals process, you can contact our FOIA Public Liaison Kenneth Sharrett for assistance at:

Office of the Inspector General, General Services Administration  
1800 F Street, NW, Room 5332  
Washington, D.C. 20405  
(202) 501-1932  
oigfoia-privacyact@gsaig.gov

If you are unable to resolve your FOIA dispute through our FOIA Public Liaison, the Office of Government Information Services (OGIS), the Federal FOIA Ombudsman’s office, offers mediation services to help resolve disputes between FOIA requesters and Federal agencies. The contact information for OGIS is:

Office of Government Information Services  
National Archives and Records Administration  
8601 Adelphi Road–OGIS  
College Park, MD 20740-6001  
ogis@nara.gov  
ogis.archives.gov  
202-741-5770  
877-684-6448

Sincerely,

Edward J. Martin  
Counsel to the Inspector General  
(FOIA Officer)

Enclosure  
Releasable Material (601 Pages)
101.00 AUTHORITIES AND RESPONSIBILITIES OF THE INSPECTOR GENERAL

The Office of Inspector General (OIG) has independent authorities and responsibilities provided by the Inspector General Act of 1978, as amended (IG Act). The OIG additionally exercises authority under delegations of authority from the Administrator of the General Services Administration (GSA).

101.01 Independent Authorities of the Inspector General

The OIG/GSA is given statutory authority to conduct and supervise audits and investigations relating to GSA’s programs and operations.

In carrying out these responsibilities, the IG Act gives the Inspector General authority to: (1) select, appoint and employ officers and employees; (2) contract and make necessary payments; and (3) obtain legal advice from its own counsel. The IG Act also makes the IG the head of a separate agency for its Senior Executive Service program as well as for certain other employment and personnel-related matters. In addition, the Act permits the Inspector General to take action as necessary to carry out the provisions of the Act. Such actions include, but are not limited to, formulating policies and making determinations and taking actions with respect to OIG operations, including but not limited to information technology, finances and budget and legislative and congressional.

The IG’s independent statutory authorities are acknowledged in the GSA Delegations of Authority Manual (ADM P 5450.39D).

101.02 Delegated Authorities of the Inspector General

The Administrator of GSA has made specific and general delegations of authority to the Inspector General (IG). See GSA Delegations of Authority Manual, ADM P
5450.39D. The IG has not redelegated these authorities within the OIG beyond the Deputy IG (DIG) except as discussed later in this chapter.

The GSA Delegations of Authority Manual affirmatively states that nothing in the Administrator’s delegation of authority is intended to limit the independent authority of the IG.

Effective Date 7/1/2014

102.00 AUTHORITIES RESERVED FOR THE INSPECTOR GENERAL AND THE DEPUTY INSPECTOR GENERAL

Certain authorities are reserved for the IG. All authority vested in the IG, to the extent permitted by law, is delegated to the DIG.

102.01 Reserved Authorities

Final approval and signatory authority is reserved for the IG and the DIG for the following and for all other matters that are not delegated by this Manual. This reservation does not limit the authority of the IG to delegate additional authority on a case-by-case basis:

a. Correspondence to the GSA Administrator and Deputy Administrator; heads and Inspectors General of other departments and independent agencies; and heads of non-federal governmental units.

b. Correspondence and transmittal of information to Members of Congress, Congressional Committees and congressional staffs.

c. Correspondence to GSA’s General Counsel for legal opinions on particularly sensitive matters.

d. Approval of all reimbursable agreements.

e. Concurrence (if appropriate) with correspondence prepared outside the OIG for signature by the Administrator, after appropriate reviews by OIG staff.

f. Publications and communications establishing policies that govern OIG activities.

g. Reports to the Administrator, the Congress and the Council of Inspectors General on Integrity and Efficiency (CIGIE) that contain significant findings, such as Management Deficiency and other special reports that have agency-wide impact.

h. Replies to Government Accountability Office (GAO) reports involving OIG activities or personnel.
i. Issuance of OIG subpoenas and correspondence with the Attorney General.

j. Organization and reorganization of the OIG.

k. Oversight of the OIG Performance Management Program, including but not limited to the Strategic Plan, the Annual Performance Plan and the Inspector General Awards Program.

l. Rating approval and oversight of the OIG Senior Executive Service (SES) Management Program.

m. Authorization to recruit, promote, detail or furlough OIG personnel, or initiate a reduction in force (RIF).

n. Authorization of foreign travel.

o. Approval of the OIG Congressional Budget Justification.

p. Authorization of all recruitment, retention and relocation payments.

q. Authorization of purchase requests in excess of $5,000.

r. Authorization for all conferences where the OIG net conference expenses will exceed $100,000.

102.02 Designation of Acting Inspector General

The DIG is the first assistant to the position of Inspector General for purposes of the Federal Vacancies Reform Act, 5 U.S.C. §§ 3345-3349d. GSA Order OIG 5450.1E designates the order by which certain officials of the OIG are to serve as Acting IG in the event the IG dies, resigns, or is otherwise unable to perform the functions and duties of the Office. Unless otherwise designated in writing by the IG or the Acting IG, the order for acceding to the position of Acting IG is as follows:

a. Deputy Inspector General;
b. Associate Inspector General;
c. Assistant Inspector General for Audits;
d. Assistant Inspector General for Investigations;
e. Assistant Inspector General for Administration;
f. Counsel.

In the event the DIG by virtue of operation of the Federal Vacancies Reform Act reverts to his position as DIG before a new IG is sworn in, until there is an IG the Associate Inspector General, or such other GSA-OIG career SES member as the DIG chooses, may exercise the authorities of the DIG as well under the overall authority of the DIG.
Effective Date 12/16/2014

103.00 AUTHORITIES DELEGATED BY THE INSPECTOR GENERAL TO OIG ORGANIZATIONS

To provide for the economic and efficient operation of OIG activities, the IG has, where necessary and not prohibited, delegated to appropriate personnel all authorities necessary to provide for the day-to-day function of OIG headquarters and field component offices. These delegations and redelegations are accomplished by the general delegations below and the assignment of responsibilities to individual components under the OIG Policy and Procedures Manual. GSA Order OIG 5450.2G incorporates the delegations made in this chapter.

103.01 IG’s Delegation of Common Administrative Authorities to Component Heads and Directors of Staff Offices

Heads of OIG components and directors of OIG staff offices (Office of Audits (JA), Counsel (JC), Office of Inspections and Forensic Auditing (JE), Office of Investigations (JI) and Office of Administration (JP)) are delegated the following common administrative and related signatory authorities within the areas of designated responsibilities under the OIG Policy and Procedures Manual:

a. Communications, transmittals and actions in carrying out assigned areas of responsibilities not reserved to the IG or DIG.

b. Requisitions and invoices for supplies and other services, including training, not to exceed $3,000 for JA, JC, JE and JI, and not to exceed $5,000 for JP. Services as authorized by 5 U.S.C. § 3109 may not exceed the equivalent daily rate prescribed for grade GS-15 of the General Schedule by 5 U.S.C. § 5332.

c. Determinations whether to approve domestic travel and transportation for employees as required in the performance of their official duties.

d. Determinations whether to approve training requests for employees.

e. Selections of such officers and employees as may be necessary to carry out the functions, powers and duties of the office. Selections require concurrence of JP (for verification of pre-employment requirements and to ensure compliance with applicable statutes and regulations) and, for positions at the GS-15 level, consultation with the IG or DIG.
f. Management of component performance, including employee evaluations and performance reviews and establishing performance goals and metrics (except that the DIG will function as the second level reviewer for persons rated by the component head as required).

g. Determinations whether to issue notices of proposed adverse action to suspend, reduce in grade or pay, or remove component employees, and final letters of decision on these actions. Proposal and decision letters require the prior concurrence of JC and JP to ensure compliance with applicable statutes and regulations; to ensure consistency throughout the OIG, when there is evidence of more than de minimus misconduct, decisions to take lesser action, including a decision not to take any action, must also be discussed with employee relations personnel before a final decision is made.

h. Determinations under Office of Personnel Management (OPM) regulations whether to issue notices to remove or reduce in grade, and final letters of decision, for an employee's unsatisfactory performance. Proposal and decision letters require the prior concurrence of JC and JP to ensure compliance with applicable statutes and regulations.

i. Acts as the deciding official on formal grievances and issues decision letters. Decision letters require the prior concurrence of JP to ensure compliance with applicable statutes and regulations.

j. Determinations whether to approve requests for excused absences up to 8 hours (administrative leave), requests to use leave without pay (LWOP) of 40 hours or more in a single instance (with prior consultation with JP as appropriate), and requests for advanced annual leave (with prior consultation with JP as appropriate).

k. Determinations whether to modify working hours of individual employees, including situational telework.

l. Determinations whether to order and approve overtime consistent with budget allocations (except the IG must approve any request for overtime for the component head).

m. Determinations whether to grant requests for reasonable accommodation (upon concurrence from JP and JC).

103.02 IG's Delegation of Specific Authorities to the Counsel to the IG

The Counsel to the IG additionally is delegated approval and signatory authority for the following:
a. Correspondence relating to the Office of Counsel's areas of responsibilities, including legal matters and requests for legal guidance.

b. Civil referrals to, and correspondence concerning litigation and related matters with, the Department of Justice (DOJ) or U.S. Attorneys.

c. Documents reflecting GSA's position in response to proposed settlements submitted to the agency by DOJ in False Claims Act or Truth in Negotiation Act cases arising out of contracts awarded by the agency (reference Feb. 3, 1997 MOU from Emily Hewitt (L)).

d. Correspondence on matters pertaining to the release or denial of release of OIG information and documents, including the agency's response denying or granting disclosure on initial FOIA or Privacy Act requests.

103.03 IG's Delegation of Specific Authorities to AIG for Administration

The AIG for Administration additionally is delegated approval and signatory authority for the following:

a. Correspondence and authorities relating to responsibilities assigned JP components, including budget formulation and execution, executive resources, human resources, space planning and management, COOP support, procurement actions in accordance with GSA's Contracting Officer Warrant Program, and information technology management and security.

b. Executive resource and human resource program management and implementation authorities includes general, blanket, and OPM agreement appointment and classification authorities; on-boarding; separation; benefits; employee relations; employee reductions in force; pay; pay allowances and differentials; time-in-grade waiver; part-time employment; conversion to career employment; hiring/retention bonuses; school loan forgiveness programs; details and extension of details; and awards programs, to the extent not reserved to the IG.

103.04 IG's Delegation of Specific Authorities to AIGs for Auditing and Investigations

The AIG for Auditing (AIGA) and the AIG for Investigations (AIGI) additionally are delegated approval and signatory authority for the following:

a. Correspondence relating to the auditing (JA) and investigative (JI) responsibilities within the Office's respective assigned areas of responsibilities.
b. Policy direction for OIG audits (AIGA) and investigations (AIGI), in consultation with JC and with JE (for matters within JE’s areas of responsibilities).

c. JA and JI reports released within GSA by headquarters to an official other than the Administrator or Deputy Administrator.

d. Correspondence with Regional Inspector Generals for Auditing (RIGAs) and Special Agents in Charge (SACs) on matters relating to:

1. Field office operations and utilization of personnel in the execution of assigned responsibilities;

2. Technical guidelines, direction and supervision in the conduct of audits, investigations and issuance of reports thereon;

3. Interpretations or application of investigation programs or guidelines;

4. Advice and counsel on liaison responsibilities with program officials, State and local governments, etc.;

5. Guidance on developing annual work plans; and

6. Correspondence disseminating FBI reports and recommending contractor suspension and debarment (AIGI).

103.05 IG’s Delegation of Specific Authorities to the Director, Office of Inspections and Forensic Auditing

The Director of the Office of Inspections and Forensic Auditing additionally is delegated approval and signatory authorities for the following:

a. Correspondence with respect to the forensic auditing, internal controls, internal review, and review and analysis responsibilities assigned to JE.

b. Policy direction for areas of responsibilities assigned to JE, in consultation with JC and with JA and JI (for matters within JA and JI's areas of responsibilities).

c. JE reports released within OIG or within GSA by headquarters to an official other than the Administrator or Deputy Administrator.
103.06 IG’s Delegation of Redelegation Authority

Component heads are authorized to redelegate authorities to deputies, SACs and RIGAs, directors of subcomponent divisions and offices and to other supervisory officers (including those designated to serve in an acting capacity) as appropriate. Redelegations should be in writing and provided to JP for retention purposes.

Effective Date 7/1/2014

104.00 ORGANIZATIONAL CHANGES INTERNAL TO THE OIG

In accordance with the IG Act, and as further memorialized in an agreement between the IG and the Administrator dated June 14, 1983, the OIG may make internal organizational changes without the approval or concurrence of other GSA officials.

The IG will provide GSA’s Office of Organization and Chief People Officer with the information required to update the GSA Organization Manual.
CHAPTER 200 - ORGANIZATION AND FUNCTIONS

Effective Date 1/21/2015

201.00 OFFICE OF INSPECTOR GENERAL

201.01 Organization of the Office of Inspector General

The OIG consists of the IG and the Deputy IG (DIG); the Associate IG, the staff offices of the Inspector General; the Office of Audits (JA); the Office of Investigations (JI); and the Office of Administration (JP). The staff offices of the Inspector General are the Office of Counsel to the IG (JC) and the Office of Inspections and Forensic Auditing (JE) which has both staff and external operational responsibilities. The functions and activities of the OIG are accomplished through an organizational structure comprised of the Central Office in Washington, D.C. and field offices located in GSA regional cities. OIG resident duty stations are located in selected cities when deemed essential due to workload requirements. All field and resident office employees report, through their respective Regional Inspectors General for Audits (RIGAs) and Special Agent in Charge (SACs), to the appropriate Assistant Inspector General, who reports directly to the IG, or to the DIG.

201.02 Associate Inspector General

a. Responsible for OIG-wide management system planning, development, implementation, and assessment, including strategic, performance, resource, and succession planning.

b. Provides executive leadership, direction, and oversight for program areas and functions in JE, including forensic auditing and analysis, internal assessments, external reviews and evaluations, and special reviews and projects.

c. Provides higher level executive oversight for JP; including Executive Resources.

d. Serves as a senior advisor to the IG and the Deputy IG.

e. Conducts special reviews as directed by the IG or the Deputy IG.

201.03 Counsel to the Inspector General

a. Provides independent legal counsel to the IG, DIG, and all other OIG officials in all legal matters involving the OIG.
b. Provides legal assistance in connection with ongoing investigations and audits of GSA programs and operations.

c. Provides legal assistance in support of the issuance of IG subpoenas, including review of subpoena requests and the preparation of recommendations to the IG regarding issuance; represents the OIG in compliance matters; and initiates and assists in subpoena enforcement actions.

d. Coordinates and controls civil litigation and related matters affecting the OIG, and provides guidance on civil potential of matters disclosed through audit and investigation. Coordinates OIG case support rendered to DOJ after referral of civil matters to the Department of Justice and/or U.S. Attorneys (collectively DOJ). On behalf of the agency, IG Counsel approves all civil fraud settlements negotiated by DOJ in accordance with Section 708.05 of this manual. Also provides legal advice and support to GSA’s Office of General Counsel (OGC) and/or DOJ in administrative fraud cases and other civil or administrative cases.

e. Assists DOJ in the preparation and conduct of criminal proceedings as appropriate.

f. Works closely with GSA OGC and DOJ in legal endeavors which require coordination and cooperation, and maintains liaison with other agencies and attorneys through groups such as the Council of Counsels to the Inspector General and otherwise.

g. Responsible for the statutory function of the IG to review existing and proposed legislation and regulations and make recommendations concerning their impact on the economy, efficiency and effectiveness of GSA programs or on preventing or detecting fraud, abuse or mismanagement.

h. Coordinates, evaluates, and serves as the deciding official on all requests submitted to the OIG under the provisions of the Freedom of Information Act and the Privacy Act (FOIA/PA). Provides legal advice and services for appeals and litigation of FOIA/PA denials.

i. Performs education and training of OIG personnel, other Government personnel and other groups.

j. Oversees the litigation aspect of employee relations matters, including adverse actions, workers compensation claims, Equal Employment Opportunity complaints, and other sensitive matters. Advises and coordinates with the director of Human Resources Division on employee relations matters.

k. Serves as the clearance office for the OIG, directing the review of proposed agency regulations/directives.
201.04 Office of Inspections and Forensic Auditing

a. Conducts inspections and evaluations of agency programs and operations;

b. Conducts anti-fraud efforts through proactive prevention, early detection and timely inquiries regarding potential fraud related to GSA operations and works with other OIG components as appropriate in the subsequent pursuit of the appropriate criminal, civil and administrative remedies;

c. Engages in computer analysis and other technological strategies intended to bolster traditional audit and investigative practices and procedures.

d. Formulates, directs, and coordinates the OIG's Federal Managers' Financial Integrity Act program to evaluate the Office's management controls in order to ensure programs achieve their intended results; resources are used consistent with the Office's mission; programs are protected against waste, fraud, abuse, and mismanagement; laws and regulations are followed; and reliable and timely information is used for decision making. The FMFIA program encompasses the annual assurance statement and periodic internal control reviews.

e. Plans, directs, and coordinates the OIG internal evaluation and analysis program, which provides quality assurance for the organization. As part of the program, JE conducts reviews of central and field offices to impartially assess the Office’s: administrative, managerial, records management, and organizational culture in support of the OIG mission; compliance with quality standards adopted by the Federal IGs, as well as OIG policies and procedures; and efficiency and effectiveness in meeting mission responsibilities.

f. Plans, directs, and coordinates the OIG records management program. Provides guidance, advice and assistance to OIG officials on records management issues. Coordinates and liaises with GSA's records management officials. Houses the OIG Records Management Coordinator.

g. Conducts other special reviews or projects as appropriate.
OFFICE OF INSPECTOR GENERAL

INSPECTOR GENERAL (J)

DEPUTY INSPECTOR GENERAL (J)

COUNSEL TO THE INSPECTOR GENERAL (JC)

ASSOCIATE INSPECTOR GENERAL (J)

OFFICE OF INSPECTIONS AND FORENSICAUDITING (JE)

OFFICE OF AUDITS (JA)

AUDIT PLANNING, POLICY & OPERATIONS STAFF (JAO)

ADMINISTRATION & DATA SYSTEMS STAFF (JAS)

PROGRAM AUDIT OFFICE (JAR)

CENTER FOR CONTRACT AUDITS (JAA)

REGIONAL OFFICES
Northeast and Caribbean Region (JA-2)
Mid-Atlantic Region (JA-3)
Southeast Sunbelt Region (JA-4)
Great Lakes Region (JA-5)
Heartland Region (JA-6)
Greater Southwest Region (JA-7)
Pacific Rim Region (JA-9)

SUB-OFFICES
Denver (JA-8)
Laguna Niguel (JA-9-A)
Ft. Lauderdale (JA-9-A)
Sacramento (JA-9-B)

OFFICE OF INVESTIGATIONS (JI)

INTERNAL OPERATIONS DIVISION (JI)

INVESTIGATIONS OPERATIONAL SUPPORT (JIO)

TECHNICAL SUPPORT BRANCH (JIT)

CIVIL ENFORCEMENT BRANCH (JIC)

REGIONAL OFFICES
National Capital Region (JI-W)
New England Region (JI-1)
Northeast Region (JI-2)
Mid-Atlantic Region (JI-3)
Southeast and Caribbean Region (JI-4)
Great Lakes Region (JI-5)
Heartland Region (JI-6)
Greater Southwest Region (JI-7)
Pacific Rim Region (JI-9)
Northwest Arctic Region (JI-10)

OFFICE OF ADMINISTRATION (JP)

BUDGET AND FINANCIAL MANAGEMENT DIVISION (JPB)

HUMAN RESOURCES DIVISION (JPH)

INFORMATION TECHNOLOGY DIVISION (JPM)

FACILITIES AND SUPPORT SERVICES DIVISION (JPF)

CONTRACTING OFFICE (JPC)

EXECUTIVE RESOURCES (JPE)

As of June 2, 2015
Effective Date 1/21/2015

202.00 OFFICE OF AUDITS

202.01 Assistant Inspector General for Auditing

Supervises, plans, directs, coordinates, and executes on an agency-wide basis all audit services, including conducting the internal audit and contract programs, program monitoring, and other technical reviews. Identifies and evaluates significant deficiencies disclosed by internal audit or investigative reports, General Accounting Office (GAO) reports, and reports from other sources that may be impeding GSA's management effectiveness or that are of concern to top managers; and provides advice to managers to address and correct major deficiencies.

202.02 Staff Offices

The Audit Planning, Policy, and Operations Staff (JAO) and the Administration and Data Systems Staff (JAS) support and assist the Assistant Inspector General for Auditing (AIGA) and the Deputy Assistant Inspectors General for Real Property and Acquisition Programs Audits (DAIGAs) with new initiatives, planning, policy development, operational oversight, quality assurance reviews, and management of budgeting and information systems.

202.03 Regional and Central Audit Offices

The Office of Audits (JA) has audit offices located in 7 of GSA's 11 regional offices and at Central Office headquarters. The Central Audit Office is comprised of the Program Audit Office (JAR) and the Center for Contract Audits (JAA). The regional and Central Office audit offices are led by RIGAs and Associate Deputy Assistant Inspectors General for Auditing, respectively, under the direction of the DAIGAs. The regional and Central Office audit offices conduct programmatic performance audits of GSA's operations and activities, implementation reviews, and/or contract audits. The responsibilities of the regional and Central Office audit offices are discussed below.

a. Regional Audit Offices

1. Conduct performance audits of GSA's operations and activities in accordance with generally accepted government auditing standards.
2. Issue audit reports and make recommendations to appropriate officials for improving operations and for correcting deficiencies.

3. Review action plans submitted by management officials concerning report recommendations, appraise the adequacy of proposed actions, and recommend final resolution decisions.

4. Perform implementation reviews and prepare reports provided to appropriate management officials regarding the adequacy of actions taken.

5. Review proposed agency regulations/directives/legislation and make recommendations concerning the impact on the economy and efficiency of operations and adequacy of internal controls.

6. Represent the Office of Audits and maintain liaison with the GAO and other federal, state, and local audit organizations.

7. Advise and counsel GSA employees and management officials regarding audit activities and programs, and methods for promoting economy and efficiency and for detecting and preventing fraud, waste, and abuse.

8. Coordinate audit activities with and provide assistance, as necessary, to other OIG components, including subject matter or technical expertise to audit or investigative teams and task forces.

9. Conduct audits of various types of contracts administered in the assigned geographical area; which includes defining objectives, establishing priorities, scheduling, and performing field audit work.

10. Examine financial provisions and requirements of proposed contracts and advise contracting officers concerning these matters.

11. Review contractors' price proposals, estimating and accounting systems, general business practices and procedures, and related matters as
provided for in the Federal Acquisition Regulations and the General Services Acquisition Manual.

12. Retain other government audit agencies, as needed, to conduct audits of the records of private firms contracting with GSA and analyze and make recommendations regarding the findings of these audits.

13. Attend and participate in an advisory capacity, as appropriate, in contract negotiations and other meetings where contract cost matters, audit reports, or related financial matters are under consideration, and provide assistance to legal counsel for hearings before the Civilian Board of Contract Appeals.

14. Provide attestation engagement assistance to other government agencies and commissions, as appropriate.

b. Program Audit Office

1. Performs and/or directs multiregional and agency-wide Program, Systems, Internal Control, Financial, and Compliance/Regulatory Audits in accordance with generally accepted government auditing standards. These audits focus on GSA's main service lines: PBS, FAS, OCIO, and OCFO; other Staff offices; and the National Capital Region.

2. Responds to quick-turnaround projects, such as congressional inquiries and requests for assistance from other OIGs.

3. Leads the annual audit planning process, and develops the annual report of the Agency's management challenges.

4. The Program Audit Office also performs responsibilities 8a through 8h listed under the Regional Audit Offices section above.
c. **Center for Contract Audits**

1. Performs and/or directs multiregional and agency-wide contract audits in accordance with generally accepted government auditing standards and manages the Office of Audits Multiple Award Schedule Center of Expertise.

2. Performs MAS preaward and postaward examinations and audits of other FAS and PBS contracts. Issues contract audit reports to be used by GSA contracting officers to award and administer contracts.

3. The Center for Contract Audits also performs responsibilities 8e through 8m listed under the Regional Audit Offices section above.

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**Effective Date 1/21/2015**

**203.00 OFFICE OF INVESTIGATIONS**

**203.01 Assistant Inspector General for Investigations**

a. Supervises the management of a comprehensive nationwide program that provides for the detection and investigation of criminal activities against GSA by its employees, by vendors doing business with the agency, and by other individuals or groups of individuals. Also supervises civil and administrative investigations within the programs and operations of GSA.

b. Directs and coordinates proactive investigations and programs designed to assess program vulnerabilities within GSA's services and staff offices.

c. Serves as a principal adviser to the IG concerning all investigative activity within GSA and provides investigative advice and assistance to other elements of the OIG.

d. Provides for close coordination of investigative activities with the Counsel to the Inspector General in matters requiring legal interpretations.
203.02 Operational Support Team (JIO)

a. Manages the Investigative Data System.

b. Manages the Office of Investigations (JI) training program and all law enforcement support activities.

c. Manages responses to FOIA/PA requests and provides SAR data on behalf of JI.

d. Directs JI administrative procedures and management; plans and coordinates support activities related to budget, personnel, policy, and office automation within JI.

e. Oversees JI law enforcement equipment, badges and credentials.

203.03 Technical Support Branch (JIT)

a. Provides computer forensics and digital evidence support to JI.

b. Provides technical equipment investigative support to JI.

203.04 Civil Enforcement Branch (JIC)

a. Coordinates the civil enforcement program to include contractor disclosures, Trade Agreements Act/Buy American Act cases, and qui tam investigations for JI.

b. Manages the suspension and debarment program.

203.05 Internal Operations Division (JII)
a. Conducts administrative investigations of OIG personnel and GSA senior officials as assigned. Supports criminal investigations at the direction of the AIGI. Conducts sensitive reviews at the direction of the IG.

b. Directs the criminal intelligence program; responsible for direct investigative support to JI through identifying and consolidating databases, analysis of collected information and emergent trends, liaison with other law enforcement and intelligence agencies, and maximum utilization of information technology.

c. Directs the background investigation program and conducts pre-employment suitability investigations for all OIG personnel.

d. Coordinates leads from GSA's excess firearms program and disseminates cases as appropriate.

e. Operates the OIG Hotline/complaints program.

f. Maintains continuous awareness of changes to applicable laws, regulations, procedures, and internal agency policies affecting areas of investigative concern, and makes appropriate recommendations.

g. Plans and conducts proactive surveys and investigations of GSA and GSA-OIG operations. Presents observations and recommendations for appropriate action.

h. Reviews investigative results for technical sufficiency and compliance with GSA-OIG and Council of Inspectors General on Integrity and Efficiency (CIGIE) policies and practices.

i. Analyzes and maintains nationwide files and databases. Utilizes these databases to prepare periodic reports to support Presidential and congressional requirements.
203.06 Regional Investigations Offices

a. Region offices and the resident investigations offices within their jurisdiction are as follows:

   Responsible for investigative coverage of National Capital Region (Region 11)

2. New England Region Investigations Office Boston, MA (JI-1)
   Responsible for investigative coverage of New England Region (Region 1)

   Responsible for investigative coverage of Northeast Region (Region 2)

4. Mid-Atlantic Region Investigations Office, Philadelphia, PA (JI-3)
   Responsible for investigative coverage of Mid-Atlantic Region (Region 3)

5. Southeast Sunbelt Region Investigations Office, Atlanta, GA (JI-4) and Ft. Lauderdale, FL (Resident Office)
   Responsible for investigative coverage of Southeast Sunbelt and Caribbean Region (Region 4)

6. Great Lakes Region Investigations Office, Chicago, IL (JI-5)
   Responsible for investigative coverage of Great Lakes Region (Region 5)

7. Heartland Region Investigations Office, Kansas City, MO (JI-6) and Denver, CO (Resident Office)
   Responsible for investigative coverage of Heartland Region and Rocky Mountain Region (Regions 6 and 8)

8. Greater Southwest Region Investigations Office, Fort Worth, TX (JI-7)
   Responsible for investigative coverage of Greater Southwest Region (Region 7)

9. Pacific Rim Region Investigations Office, San Francisco, CA (JI-9), Laguna Niguel, CA (Resident Office) and Sacramento, CA (Resident office)
Responsible for investigative coverage of Pacific Rim Region (Region 9)

10. Northwest/Arctic Region Investigations Office, Auburn, WA (JI-10)

Responsible for investigative coverage of Northwest/Arctic Region (Region 10)

b. Within the region, each office is responsible for the following functions:

1. Represents JI in the regions.

2. Conducts criminal, civil and administrative investigations.

3. Conducts GSA employee misconduct investigations.

4. Conducts proactive investigations of GSA operations.

5. Conducts investigations related to GSA programs and operations, including tort investigations.

6. Maintains liaison with Federal, state and local law enforcement.

7. Maintains liaison with U.S. Attorney's Offices and state and local prosecutors in the regional area.

8. Makes arrests, with or without a warrant, executes search warrants, serves subpoenas, and obtains records and information in connection with any official inquiry or investigation by the Office of Investigations.

9. Administers the oath to any person in connection with any official inquiry or investigation by the Office of Investigations.

10. Coordinates investigative activities with other operational components.
Effective Date 1/21/2015

204.00 OFFICE OF ADMINISTRATION

204.01 Assistant Inspector General for Administration

The Assistant Inspector General for Administration supports and advises the IG through executive oversight of integrated administrative services. JP includes the Budget and Financial Management Division (JPB), Facilities and Support Services Division (JPF), Contracting Office (JPC), Human Resources Division (JPH), Information Technology Division (JPM) and Executive Resource (JPE). These components and staff implement services, develop programs and provide data collection within the OIG.

204.02 Budget and Financial Management Division

a. Establishes annual and multi-year funding requirements for the OIG nationwide.

b. Plans and directs the formulation of budget and cost estimates to support financial management plans, programs, and activities.

c. Designs and implements internal control systems to monitor and control the financial plans and budget activities of the OIG nationwide.

d. Develops OIG budgetary policies and practices.

e. Reviews OIG financial and personnel resources plans in relation to planned objectives and recommends allocation of these resources. Reviews requests for changes and recommends revisions to allocations in resource requirements.

f. Prepares OIG responses to Agency, Congressional, and Office of Management and Budget (OMB) budgetary requests and requirements. Prepares other financial and budget based documents as required.
204.03 Human Resources Division

a. Directs and coordinates comprehensive human resources operations for the OIG, other than those governed by the OIG Senior Executive Service Management Policy.

b. Implements and administers resource programs in accordance with applicable laws and policies. Program responsibilities include: position management and classification, recruitment and hiring, suitability and security processing, employee orientation, placement, pay administration, employee benefits, performance management and recognition, merit promotion, employee management support, and employee relations and worklife programs. Programs are implemented and administered in accordance with legal requirements to ensure there is equal opportunity for all employees and applicants for employment.

c. Provides advice and assistance to management on personnel programs, including occupational staffing patterns, career ladder promotions, design and structure of positions, and reorganizations.

d. Provides interpretations of personnel policies; proposes internal policies and procedures for OIG; and responds to requests for information on benefits, retirement, and other personnel-related matters.

e. Conducts a program to develop and maintain good working relations and conditions; provides information to employees regarding worklife, reasonable accommodation, and grievance procedures. Furnishes other services to promote employee welfare.

f. Processes and controls personnel documents, prepares regular and special reports, and answers routine inquiries regarding current and former employees.

204.04 Information Technology Division

a. Provides the full range of information technology (IT) services to the OIG, including email, communications, and digitally stored document retrieval services. Coordinates with OIG managers and offices to develop the OIG 5-year Information Resources Plan.
Serves as the official representative with the General Services Administration Chief Information Office (GSA CIO) and prepares all information technology reports as a result of acquiring and operating information technology within the OIG.

b. Directs the development and maintenance of the OIG General Support System (OIG GSS) in accordance with Federal Information Security Management Act (FISMA) and National Institute of Standards and Technology (NIST) requirements and GSA CIO directives. Ensures that the OIG GSS is fully operational, meets the Federal requirements, and effectively supports the business needs of the OIG.

c. Serves as the central point of coordination within the OIG for review and approval of all IT hardware and software requirements prior to development or acquisition. Oversees the Enterprise Architecture Committee (EAC) and assists the IT Steering Committee in the review and approval process. Supports the Contracting Office in developing detailed procurement specifications for IT hardware and software acquisitions.

d. Provides the technical support to maintain confidentiality, integrity, and availability of the OIG GSS. Makes modifications in accordance with established configuration management procedures to meet changing OIG business procedures. Oversees the OIG IT Change Control Board to ensure modifications and changes are appropriate and maintain the security of the system.

e. Promotes and monitors the OIG IT security program, ensuring that policies and procedures are in place and OIG staff is properly trained in accordance with governing directives and requirements.

f. Provides instructions, operational guidance, and technical assistance to all OIG employees concerning the use of OIG IT systems.

g. Participates in audits or investigations of agency programs involving IT systems where expert technical support and experience is required.
204.05 Facilities and Support Services Division

a. Plans, maintains, and coordinates comprehensive space and office management programs. Provides efficient use of office and program related space on a nationwide basis. Integrates furniture systems design, electrical support systems, communications systems design, specialized automated data processing (ADP), and OIG program requirements.

b. Serves as the central point of contact to ensure OIG space is maintained in a safe, operational, and functional manner. Analyzes and coordinates requirements to maintain and operate various kinds of facilities, office space, and equipment.

c. Serves as a central point of contact for planning and controlling the OIG response in the event of national crisis or disaster.

204.06 Contracting Office

a. Serves as the OIG acquisition point of contact for all procurements ensuring that all contracts go through appropriate points of approval and review before being awarded. Develops internal contracting policies and procedures and procurement plans.

b. Coordinates all OIG acquisition programs to include Government Purchase Card and Travel Card programs.

c. Provides contracting support and/or advice to all OIG components to include guidance and assistance in developing, negotiating, and finalizing pertinent contract agreements.

204.07 Executive Resources

a. Provides executive leadership, direction, and oversight for the Executive Resources Staff/Human Capital Officer.
b. Provides executive resources services by administering the OIG Senior Executive Service (SES) system and performance management system, including recruitment, selection, appraisals and compensation of SES members. Provides guidance on policies, procedures and requirements related to the OIG’s SES system. Supports the IG, Deputy IG, the Executive Resources Board and the annual SES Performance Review Board.

c. Provides policy advisement in human capital management issues used to develop, train, and retain a high quality workforce. Performs workforce analysis on administrative programs to improve workforce performance and recommendations. Provides recommendations, interpretations and comments on relevant administrative policies, practices and procedures, including alternatives and solutions.

d. Develops and coordinates updates to the OIG Policy and Procedures Manual and the OIG Issuance System.
CHAPTER 300 - MANAGEMENT SYSTEMS AND PROCEDURES

Effective Date 5/7/2015

301.00 POLICY DEVELOPMENT AND PROMULGATION

The OIG policy system consists of four series of numbered and controlled issuances: the OIG Manual; OIG Manual Updates; IG Bulletins; and Staff Memoranda.

301.00 Policy Development and Promulgation

301.01 OIG Manual

The OIG Manual will be available on the IG Intranet.

The OIG Manual contains the OIG’s permanent operational and administrative policies, standards, and procedures. The administrative policies and procedures in the Manual are based on and conform to the extent practicable with GSA directives.

Subsequent to OIG issuance of the Manual on May 1, 1984, GSA Order OIG P 5410.1 incorporated the Manual into the GSA Internal Directives System. This action was necessary to ensure that: (1) the Manual is referenced within the overall GSA directives numbering system; and (2) it therefore represents a definitive statement of GSA policy and procedure. Under the criteria of the GSA Internal Directives System, the Manual constitutes a handbook; and formal Internal Directives references are therefore amendments to the OIG Policies and Procedures Handbook.

Although the Manual is part of the GSA Internal Directives System, the IG retains sole authority over its content and distribution.

301.02 Preparation, Review, Approval and Issuance of OIG Manual Updates

For changes proposed for Chapters 100 – 700, components initiating proposed Manual changes shall provide JC a summary of the proposed changes, the Manual text showing the proposed changes, and the Manual text showing both deleted and new material. JC shall forward the proposal package to JP after JC’s preliminary review.

JP shall circulate the proposal package to all major component heads for comment. Component heads have 15 workdays to respond; additional time may be requested and granted by the proposing entity or JD. After all comments are received, JP will coordinate with JC in making revisions, and will if necessary circulate a revised version to all component heads for further comment. Component heads have another 15 workdays to respond. This process will be repeated as appropriate. After the final round of comments, JC shall review the proposal. Upon receiving JC clearance, JP
shall forward the final proposal package, including any unresolved comments, to JD for determination.

For changes proposed for Chapters 800, 900, and 1000 the component initiating the proposed changes shall provide JC a summary of the proposed changes, the Manual text showing the proposed changes, and the Manual text showing both deleted and new material. JC shall forward the proposal package to JP after JC completes its review. JP shall forward the final proposal package to JD for determination.

Only substantive changes to any chapter will be circulated for comment and JD approval. Changes of a minor nature do not require component comment or JD approval.

Upon final approval of any change to the Manual, JP shall effect changes by updating the Manual and publicizing the changes on the intranet. Approvals for Manual changes shall be maintained by JP.

302.00 through 326.00 RESERVED

Effective Date 8/26/2014

327.00 COMPLAINTS AGAINST OIG EMPLOYEES

The following procedures will be used by the OIG to handle misconduct allegations involving OIG employees.

327.01 OIG Policy on Handling Complaints Against OIG Employees

Any OIG employee who receives information indicating misconduct by an OIG employee must report the misconduct to his/her supervisor, who in turn will report the allegation to the Component Head. The Component Head will report the allegation to the Deputy Inspector General (DIG), who will decide whether further investigative action is needed. Examples include potential violations of criminal laws, administrative regulations, and ethical standards, and allegations of professional misconduct.

Pursuant to the Inspector General Act, as amended, the Inspector General is required to refer allegations of wrongdoing against the Inspector General and some OIG senior staff to the Integrity Committee of the Council of Inspectors General on Integrity and Efficiency. Allegations that must be referred to the Integrity Committee are not further addressed in this policy.
327.02 Responsibilities for Handling Complaints Against OIG Employees

The DIG has the responsibility for deciding whether investigative action is needed in response to a complaint against an OIG employee. Once a complaint or allegation is received, the DIG in determining the need for any further investigation may consult with JI and JC as appropriate. Those complaints not requiring an investigation will be referred to the responsible senior manager for any appropriate follow-up and/or administrative action.

OIG managers should collect the available information from the complainant, but make no further inquiries pending discussion with JC, Human Resources, and/or the DIG. The manager shall safeguard complaint and investigative information, and access to this information shall be limited to those employees who have an official need to know. All OIG employees are required to cooperate fully with any inquiry.

327.03 Procedures for Handling Complaints Against OIG Employees

Complaints or allegations requiring further investigation will be coordinated with JI for the assignment of a special agent. The selection of a special agent will include consideration of any potential conflicts or recusals. The special agent who conducts the investigation will follow applicable investigative techniques and standards to pursue the complaint to its logical conclusion.

The results of any administrative violation are discussed with JC and Human Resources, as appropriate. The investigative report is then forwarded through the DIG to the responsible senior manager for information or administrative action.

Investigations where there are reasonable grounds to believe there has been a criminal violation are referred to the U.S. Attorney and/or Department of Justice. In the event the matter is declined for prosecution, the investigation report is forwarded through the DIG to the responsible senior manager for administrative action.

All documentation of an internal OIG investigation will be kept confidential.
CHAPTER 400 - ADMINISTRATIVE SYSTEMS AND PROCEDURES

Effective Date 12/1/2014

401.00 LEAVE, TIME AND ATTENDANCE

Specific guidance governing the requesting, approval, and administration of annual and sick leave can be found in 5 C.F.R. Parts 610 and 630, and GSA Orders OAD P 6010.4 Time and Leave Administration and CFO P 4282.1A Time Keeping Handbook. The OIG generally will follow GSA Orders OAD P 6010.4 and CFO P 4282.1A, except where the OIG has adopted a different policy.

401.01 Time and Attendance Clerks

Each component head is responsible for designating time and attendance clerks within his/her unit. Time and attendance clerks are responsible for being thoroughly familiar with the provisions of GSA Order OAD P 6010.4 GSA Time and Leave Administration Policy and maintaining the time and attendance records accordingly. Each clerk should also review the following reference documents available on GSA’s FEDdesk: TimeKeeper Manual and Base Schedule Orientation.

401.02 Certifiers

Each component head is responsible for designating time and attendance certifiers within his/her unit or by making arrangements with another component. Certifiers should be supervisors or managers and are responsible for being thoroughly familiar with the provisions of GSA Order OAD P 6010.4 and certifying the time and attendance records accordingly. Each certifier should also review the Certifier Manual available on GSA’s FEDdesk.

401.03 Procedures

The OIG uses OPM Standard Form (SF) 71, or a variation thereof, to submit leave requests. Employees generally should request leave in advance by submitting the SF 71 to their supervisor. The form can be signed electronically as well as manually. Once the SF 71 form has been approved, it is the responsibility of the employee to submit the SF 71 to their time and attendance clerk to ensure it is recorded in ETAMS timely. Leave slips should be submitted to the time and attendance clerk at the end of each week or at a minimum at the end of each pay period.
401.04  Hours of Duty

Office hours and work schedules are discussed in Section 402.00 of the OIG Policies and Procedures Manual, GSA Order OIG P5410.1B.

401.05  Sick Leave

In accordance with OPM guidance, contrary to GSA policy, the OIG will allow employees to use sick leave to make arrangements necessitated by the death of a family member or attend the funeral of a family member, and the OIG authorizes supervisors to advance up to 240 hours of sick leave to an employee for a serious health condition of a family member.

401.06  Leave Charges

Section 402 of the OIG Manual discusses leave charges for tardiness and brief absences. Per Chapter 100 of the OIG Manual, Heads of OIG components and directors of OIG staff offices are authorized to approve requests for other types of leave, including:

• Excused absences up to 8 hours (administrative leave)

• Requests to use leave without pay (LWOP) of 40 hours or more in a single instance (with prior consultation with JP as appropriate)

• Requests for advanced annual leave (with prior consultation with JP as appropriate).

401.07  Concurrence, Consultation, and Approvals

References to GSA officials will be interpreted as references to the appropriate OIG position in all OIG policies. Examples follow.

GSA policy frequently refers to the Associate Administrator for Administration; in the OIG, generally those references are to the Office of Administration (JP).

GSA policy also refers to the Office of General Counsel; in the OIG, those references will be to the OIG Office of Counsel (JC).
GSA also refers to the Director of Personnel or the Chief People Officer; in the OIG those references will be to the Director of Human Resources (HR).

**Effective Date 8/20/2014**

**402.00 OFFICE HOURS AND WORK SCHEDULES**

The policy sets forth the standards and procedures governing the requirements for scheduling work time for OIG employees. The GSA policy on time and attendance and work schedules is contained in GSA Order OAD P 6010.4, “Time and Leave Administration.” Except where it would be inconsistent with the policy below, the OIG will generally follow GSA Order OAD P 6010.4.

**402.01 Basic Work Requirement**

The basic work requirement of the OIG is the number of hours, excluding overtime hours, employees are required to work or otherwise account for by leave, holiday hours, excused absence, compensatory time off, or time-off award hours. Full-time OIG employees must account for 40 hours per workweek (i.e. 80 hours during a biweekly pay period). The default work schedule for OIG employees is 8:30 a.m. to 5:00 p.m. Monday through Friday.

**402.02 Tour of Duty**

The tour of duty defines the limits within which an employee must complete his or her basic work requirement. The normal tour of duty, absent a Compressed Work Schedule, for OIG employees is an 8 ½ hour workday, scheduled Monday through Friday between 6:00 a.m and 6:00 p.m. The standard tour of duty includes an unpaid half hour for lunch.

**402.03 Alternative Work Schedules**

The OIG supports the use of flexible work schedules and compressed work schedules, collectively referred to as "alternative work schedules" (AWS). The AWS Program allows the OIG to meet the needs of a changing workforce by providing employees with increased workplace flexibilities to better fit personal needs and help balance work, personal and family responsibilities.

OIG employees may participate in either a flexible work schedule or a compressed work schedule, but not both. Supervisors may require an employee to submit a written
request to start, change, or discontinue an AWS. When reviewing an employee's request for an AWS, supervisors must consider the organizational needs of the office. Factors to be considered include the effect of AWS on the productivity and efficiency of the office; services provided by the office; technical and administrative staffing required during office hours for successful day-to-day coordination with other offices including the regions; and the availability of appropriate supervision, if necessary.

OIG employees who wish to make long-term changes to their work schedules (as opposed to one-time variations) should make such requests in advance, under conditions directed by their supervisors. Supervisors retain the right to require an employee or groups of employees to suspend an AWS, temporarily or permanently, to meet agency needs.

A. Flexible Work Schedules

Flexible Work Schedules (FWS) for OIG employees refer to arrangements in which the fixed times of arrival and departure are changed, either permanently or daily as determined by the component head and supervisor. FWS consist of workdays with core hours and flexible hours. The employee's arrival and departure times must be consistent with the duties and requirements of his/her position.

1. Core Hours

Core hours are the designated period of the workday, within the tour of duty, during which FWS employees are required to be present for work (or otherwise account for their hours). OIG component heads may set the core hours for their organizations; in the absence of a component head designation, the OIG's core hours are 9:30 a.m to 2:30 p.m. (which includes ½ hour for lunch).

2. Flexible hours

Flexible hours are the workday hours within the tour of duty during which employees may choose their time of arrival and departure, subject to limits or "time bands." OIG component heads may set the flexible hours for their organizations; in the absence of a component head designation, the flexible time bands for OIG employees on FWS are 6:00 a.m. to 9:30 a.m. (arrival) and 2:30 p.m. to 6:00 p.m. (departure).

3. Flexitour

Under flexitour, employees work an 8 hour day (plus 1/2 hour lunch) but are able to select their arrival and departure times, subject to management approval. Once the flexitour schedule has been approved, it becomes a fixed schedule. For example, an OIG employee may request a schedule where they would begin work at 7 a.m. and
work an 8 hour day (plus 1/2 hour lunch) ending at 3:30 p.m., or the employee could request to work from 8 a.m. until 4:30 p.m. All proposed flexitour schedules need advance supervisory approval.

B. Compressed Work Schedules

A Compressed Work Schedule ("Compressed") modifies the basic work requirement to less than 10 days within a biweekly pay period. For OIG employees, the approved Compressed schedule is 5-4/9, in which employees have eight 9-hour workdays, one 8-hour workday and one non-workday ("AWS off-day") during each 80-hour pay period. Once established, the employee's Compressed schedule is fixed and does not change; there is no flexibility in the arrival or departure time each day.

OIG component heads may set the Compressed schedule arrival and departure times for their organizations; in the absence of a component head designation, arrival times must be scheduled between the hours of 6:00 a.m. and 9:30 a.m., and departure times must be scheduled between the hours of 3:30 p.m. and 7:00 p.m. for OIG employees on compressed schedules. Employees must account for all hours scheduled for each 9-hour or 8-hour workday.

When a holiday falls on an employee's AWS off-day, the day to be treated as his/her holiday can be set by the supervisor to avoid an adverse agency impact. If the supervisor does not set an alternate day, the default "in lieu of holiday" is the workday immediately before or after the AWS off-day. In either scenario, the "in lieu of holiday" must be within the same bi-weekly pay period as the holiday. Also, when an employee's AWS off-day falls on the same workday that OIG offices are closed due to an emergency (e.g., weather or other event), the employee is not entitled to another AWS day off "in lieu of" the workday on which the Federal offices were closed.

402.04 Tardiness and Brief Absences

At the discretion of the supervisor, employees may be excused without charge to leave or loss of pay for unavoidable or necessary absences of less than 1 hour in nonroutine or emergency situations or when it is in the interest of the OIG to excuse the employees.

In addition, supervisors may allow employees on fixed work schedules (whether standard, flexitour or compressed schedules) to voluntarily make-up the time for brief and infrequent absences. An employee makes-up the time by staying late the same day, equivalent to the period of absence or tardiness. The ability to make-up the time for absences is subject to the following limitations:
Employees must submit a request to their supervisor and receive approval in advance of staying late.

Make-up time can be requested for absences of two hours or less. Employees will generally be charged leave for absences greater than two hours.

Make-up time must generally be performed within the OIG's tour of duty (6:00 am to 6:00 pm).

Make-up time is generally limited to one absence/occurrence per pay period.

When reviewing an employee's request to make-up time, supervisors must consider the organizational needs of the office, specifically: the effect on the productivity and efficiency of the office; services provided by the office; technical and administrative staffing required during the proposed make-up time for successful coordination with other offices, including the regions; and the availability of appropriate supervision, if necessary.

Effective Date 12/1/2014

403.00 OIG ASSOCIATE PERFORMANCE PLAN AND APPRAISAL SYSTEM

403.01 Purpose

The Associate Performance Plan and Appraisal System is a critical component of OIG's overall Performance Management Process and its purpose is to improve OIG's performance results in achieving its mission while enhancing opportunities for career success of OIG associates.

The OIG follows GSA Order CPO P 9430.1 Extended, "GSA Associate Performance Plan and Appraisal System," except where the provisions in that Order conflict with OIG policy.

403.02 Applicability

The policy applies to all OIG non-SES employees.

403.03 Legal Authority

In addition to the legal authority cited in CPO P 9430.1, the Inspector General Act of 1978 as amended provides the OIG with independent personnel authority.
403.04 Responsibilities

1. The Inspector General has responsibility for the overall direction of OIG's Associate Performance Plan and Appraisal System.

2. The Human Resources Director (JPH) is responsible for overall administration of OIG's Associate Performance Plan and Appraisal System.

403.05 Rating Period

The rating period is normally 12 months. Beginning in January 2016, the established period of time for which performance will be reviewed and a performance appraisal (rating of record) will be prepared is January 1 through December 31. Performance appraisals must be completed and entered into CHRIS within 30 days after the end of the rating period.

403.06 Review

A summary rating of Level 5 or Level 1 must be reviewed and approved by the appropriate reviewing official prior to any discussion with the associate. In addition, the reviewing official may review any and all ratings of associates within their purview.

Effective Date 1/5/2015

404.00 COMPENSATION AND PAID OVERTIME WORK

404.01 Overview

Overtime work is work performed by an employee in excess of 8 hours in a day or in excess of 40 hours in an administrative workweek. (Time spent in official duty status in excess of 8 hours a day due to work travel does not constitute overtime work.) For employees on compressed schedules (such as AWS 5/4/9), any time worked in excess of the specified scheduled tour of duty is considered overtime. To meet the requirements of Title 5 of the U.S. Code, overtime work must be officially ordered or approved in advance in writing, and the official ordering or approving the overtime work must be authorized to do so. These rules also apply to compensatory time off in lieu of overtime.
404.02 Applicability

This policy addresses only overtime for OIG employees who are exempt under the Fair Labor Standards Act. All employees (other than Special Agents and members of the Senior Executive Service) have eligibility for overtime, as set forth in this policy.

404.03 Legal Authority

The basic rules for overtime are found in 5 CFR Part 550. The OIG generally follows GSA Order OAD P 6010.4, Time and Leave Administration, regarding overtime except where that policy differs from the OIG policy.

404.04 General Approvals

Overtime will be approved only to meet an essential need of the OIG. Supervisors and managers should keep all overtime to a minimum and should only approve overtime to meet an essential mission need. Supervisors and managers should authorize overtime only when an exigency precludes the employee from performing the work during the regularly scheduled tour of duty. Exigencies include an immovable deadline or other immediate need. Supervisors and managers should also consider alternatives, such as assigning additional employees to work on the project, the overall importance of the needed task, and whether other options exist. When supervisors and managers approve overtime, they should strive to keep the number of hours reasonable and to a minimum.

Overtime must be approved in advance by officials who have the authority to do so. In emergencies when it is impossible to get advance written authorization, overtime may be permitted but must still be verbally approved in advance.

In addition to the requirements discussed below, OIG personnel should also refer to the GSA Time and Leave Administration Policy when making or approving overtime requests.

JPB does not generally provide overtime budgets for components. If there is a specific need for overtime a request should be made to the Budget Director so that funding can be set aside in advance.
404.05 Procedures

The following procedures apply both to overtime pay and to compensatory time in lieu of overtime. (The OIG does not use the Authorized Leave and Overtime Help Application used by GSA.)

1. Each approval of overtime remains in effect for only one pay period. Thereafter the approving authority must make a new determination of essential need.

2. Supervisors generally should not grant annual leave on the same day, the day before, or the day after a day for which overtime has been authorized; rather, the supervisor should schedule the work so overtime is not required.

3. The employee requesting overtime should fill out GSA Form 544, Request, Authorization, and Report of Overtime, allowing enough time for approval before the overtime is worked. The employee is responsible for obtaining prior written approval from his/her supervisor by getting the supervisor's signature on the Form 544.

4. The budget director should be made aware of the overtime request via email. If funds are adequate, the budget director will respond back to the requesting official indicating that funding is available for the overtime. This step is not required when the employee is requesting compensatory time in lieu of overtime.

5. After the overtime work is performed, the requesting employee must fill in the back of the form to report the actual overtime worked. If the hours of overtime worked are higher than the previously estimated hours by 10 percent or more, then the employee must explain the reason on the form and bring it to the attention of the approving official. The approving official signs the bottom of the Form 544 verifying the hours worked and providing final approval of the overtime.

6. In emergencies, overtime work may be requested orally or via email; approval must be obtained before the work is performed and the request must be followed up with a properly executed Form 544 as soon as possible.

Effective Date 4/1/2013

405.00 PERSONNEL AND DOCUMENT SECURITY

Agency policies concerning personnel and document security are contained in the GSA Administrative Manual (OAD P 5410.1), Chapter 8; the Information Security Handbook (ADM P 1025.2B); the Document Security Handbook (NAR P 1025.IA); and the Personnel Security Handbook (ADM P 9732.113).
405.01 Personnel and Document Security Responsibilities of OIG Personnel

All aspects of the OIG personnel and document security programs are the responsibility of the AIGP and those officials designated to serve as alternates. The AIGP serves as the Document Security Officer and as the Top Secret Control Officer. The RIGIs have been designated Assistant Document Security officers.

405.02 OIG Personnel Security Requirements

The OIG policy on personnel security is that all persons being considered for OIG employment must successfully complete a pre-employment investigation prior to entry on duty (police record check, credit report review, and in some cases educational record review). When immediate employment is deemed necessary by the IG, the AIGP obtains appropriate waivers in accordance with the provisions of OAD P 5410.1 and ADM P 9732.1A.

Positions in the OIG have been designated as Critical-Sensitive (Top Secret Ready), Critical-Sensitive (Top Secret Access), Moderate Public Trust, and Non-Sensitive.

1. Critical-Sensitive (Top Secret Access). Positions with this designation include those with access to Top Secret national security information.

2. Critical-Sensitive (Top Secret Ready). Positions with this designation include those with access to Top Secret information should a need arise.

3. Moderate Public Trust. Positions with this designation include those with duties especially critical to GSA.

4. Non-Sensitive. Positions with this designation include those that do not require access to classified information and that have low risk to the public trust.

405.03 OIG Document Security Requirements

All documents bearing security classifications of Top Secret, Secret, and Confidential are controlled by the AIGP as prescribed by ADM P 1025.2D.

The AIGP and JC ensure that employees with Top Secret security clearances are thoroughly familiar with appropriate provisions of the GSA Document Security Program, and are debriefed when their employment with the OIG is terminated for any reason, or if they are temporarily separated from the organization, when the period of separation is to exceed 60 days. At field locations other than Washington, D.C. briefings and debriefings are conducted by the RIGIs.

The AIGP maintains a system of security checks to ensure that persons responsible for classified material are carrying out their duties and that security storage containers are
locked at the close of each workday. Assistant Document Security officers at field locations are responsible for conducting security checks at the direction of the AIGP.

Effective Date 10/13/2015

406.00 OIG TRAVEL POLICY

406.01 Purpose

The policy sets forth the standards and procedures governing OIG employee travel in connection with OIG operations. In addition to the Federal Travel Regulations, GSA policy on travel is contained in GSA order PFM 4290.1, "GSA Internal Travel Regulations and Control of Official Travel." Local Travel information is found in GSA Order OAS 5770.1. With the exception of the provisions discussed below, the OIG adopts GSA Order OAS 5770.1.

406.02 Local Travel

406.02A Designation of Local Travel Areas

Local travel is defined as that travel performed within and adjacent to the official station of an employee when the travel is necessary to conduct official business for the OIG and is performed by the most direct route within and adjacent to an employee’s official worksite/duty station or appropriate alternative worksite. The GSA Regional Administrator will designate the local travel area for OIG employees whose (1) official station is outside of the Washington, DC metropolitan area and (2) offices are co-located with GSA offices. The local travel area for regional OIG employees whose offices are not co-located with GSA offices is comprised of the fifty mile radius from the employee’s duty station.

406.02B Use of Privately Owned Vehicles

Privately owned vehicles (POV) may be used to perform local travel on a mileage basis at rates not to exceed those specified at GSA.gov (POV Mileage Reimbursement). Reimbursement for local travel by POV will be for the actual distance traveled "in excess of normal commuting mileage." For employees who engage in local travel on non-commute or no-cost commute days (e.g., telework), reimbursement will be based on the actual distance traveled.
NOTE: When an employee uses a mode of transportation for commuting that is different from what he/she normally uses, all expenses an employee normally incurs when commuting are non-reimbursable expenses. Employees will not be reimbursed for any "unused" public transportation expenses such as Metro or buses.

406.02C Tokens, Tickets and Passes ("Transit Passes") Maintained by the OIG

OIG offices located where mass transit services are available may find it advantageous to have a set number of transit passes available for travelers to use when taking mass transit on official agency business. The transit passes may only be used for official business and may not be used for travel between a duty site and the employee's residence. An employee on TDY may use the fare card to travel to work from his/her hotel but may not use it to travel to restaurants or other non-duty locations. Any office that chooses to purchase such transit passes must keep adequate records to account for the purchases and official uses by using the fare card log, which shows amounts spent on cards and usage by each employee. See Appendix A. The OIG Contracting Office (JPC) is available to assist with these purchases and has three Washington Metropolitan Transit Area SmarTrip cards for use by OIG employees consistent with this policy.

406.02D Public Transit and Private Transportation

OIG employees who incur expenses for private (e.g. taxis, commercial shuttles, etc.) or public transportation (e.g., transit passes, bus fare) for official local travel between duty sites may be reimbursed; reimbursement will be based on the actual fare between the duty sites. Employees who incur expenses for private or public transportation for official local travel between their residence and the duty site (not their normal work site) may be reimbursed the actual fare minus their normal commuting costs; employees who incur expenses for private or public transportation for local travel between their residence and the duty site on a non-commute or no-cost commute day (e.g., telework), reimbursement will be based on the actual fare.

NOTE: When an employee uses a mode of transportation for commuting that is different from what he/she normally uses, all expenses an employee normally incurs when commuting are non-reimbursable expenses.

406.02E Use of Government Owned Vehicles

OIG employees that have been individually-assigned a Government Owned Vehicle (GOV) should use their GOV for local travel.
406.03 Upgrades/Additional Charges

OIG-funded upgrades, if allowable, must be approved by the Deputy Inspector General (DIG). The OIG will not approve reimbursement for expenses associated with early boarding or changing seats for personal preference. Exceptions must be approved by the DIG.

406.3A Conferences, Conventions, Symposia and Seminars

Acceptance in kind of travel and subsistence expenses in connection with official travel by OIG personnel must be approved in advance and shall be coordinated with the Office of Counsel to the Inspector General (JC).

406.3B Interview Trips

(1) Eligibility. Authorizing officials shall limit payments to no more than two candidates for positions at the GS-15 level or higher. Any additional interview travel must be authorized by the DIG.

(2) Interviewing offices' responsibilities. Each interviewee should be provided a Fact Sheet which includes all OIG travel requirements. See Appendix B. The interviewee should work with JPB in making travel arrangements through the travel management center contractor (e.g., AdTrav).

Authorizing officials should not approve expenses for rental car fees or internet access charges. With respect to other expenses, authorizing officials should not approve any expenses outside those normally approved for OIG employee travel (e.g., hotel charges, meals and incidental expenses, tolls, taxis). Authorizing officials may approve lodging expenses for one night per candidate and only if the interview site is located outside the 100 mile radius from the candidate's home.

406.04 Special Travel Situations

406.04A Actual Subsistence Expenses

Travel on an actual expense basis due to unusual circumstances may be authorized only by the DIG.
406.05 Miscellaneous Expenses

406.05A Necessary Use of Communication Services

Official long distance phone calls should be placed using the OIG employee’s government-issued mobile phone (e.g., iPhone), Federal Technology Service (FTS) telephone calling card or through the FTS System (FTS2001), if available. Supervisors are encouraged to authorize all OIG employees who (a) travel twice per year or more and (b) do not have government-issued mobile phones to receive FTS calling cards.

Supervisors also may authorize reimbursement for internet access charges incurred while on official travel. OIG employees should connect portable computing devices to the internet using their government-issued mobile phones (tethering) or wireless aircards, if available. Reimbursement for internet charges will normally be limited to $15 per day; supervisors may approve reimbursement at a higher rate when unusual circumstances exist.

406.06 Travel Outside CONUS

Travel to locations outside the CONUS must be authorized by the IG or DIG. The term "CONUS" refers to the area covered by the 48 contiguous States and the District of Columbia, thus excluding Hawaii and Alaska.

This rule does not apply to official travel by OIG employees in Regions 2, 9 and 10 to areas within their respective regions. Thus, AIGs (or their designees) may approve travel to locations outside CONUS that are still within GSA regions for OIG employees in Regions 2, 9, and 10.

406.07 Travel Reservations

OIG employees must use the GSA electronic travel system (e.g., Concur) to make all travel reservations for common carrier (airplane and rail), lodging and rental cars, except in limited circumstances. Where circumstances warrant (i.e. security and viability of an OIG operation), OIG employees may book hotel rooms directly through the Fedrooms.com website or, if lodging is not available through Fedrooms, through the websites of non-Fedrooms properties. Supervisory approval is required to use this exception.
406.08 Travel Authorizations

406.08A Annual Authorizations

OIG JI employees may continue to use Annual Travel Authorizations or open authorizations (OA).

406.08B No-Cost Limited Open Authorizations

At the beginning of each fiscal year, every OIG Special Agent should complete a no-cost limited open authorization (LOA) for travel by Government vehicle within the employee’s regional office boundaries.

406.09 Travel Advances

Use of cash advances must comply with the Federal Travel Regulations and GSA policy, and should be kept to a minimum.

406.10 Moving Expense Allowances

Travel, transportation and other applicable relocation/moving expenses must be approved by the IG or DIG. Once approved, JPB will work directly with the employee or candidate to ensure that all paperwork is completed and approved as required by the GSA Order PFM 4290.

407.00 RESERVED
408.00 CREDENTIALS AND/OR BADGES

408.01 OIG Policy on Issuance of Credentials and/or Badges

Credentials and/or badges are issued to assist OIG employees in the performance of official duties. After being sworn for duty with GSA OIG, (1) special agents are issued badges and credentials and (2) all other employees are issued credentials.

JI is responsible for issuing and reissuing credentials and badges when necessary. OIG employees are responsible for: (1) safeguarding credentials and/or badges issued to them; and (2) exercising due care to prevent the loss, defacing, altering, and mutilating of issued credentials and badges. The employee is responsible for returning his/her badge and/or outdated credential to JI.

The following specific policies and procedures apply to the carrying, use, presentation, loss, and updating of OIG badges and/or credentials.

408.02 Carrying Badges and/or Credentials

Special agents must carry their credentials and badges when carrying their issued firearm as specified in Subchapter 902. All other OIG employees may carry their credentials when on duty. All employees may carry their badges and/or credentials when off duty; however, employee use of these items is governed by section/paragraph 408.03 below.

408.03 Use of Badges and/or Credentials

OIG badges and/or credentials may be used only as identification when conducting official OIG business.

408.04 Proper Presentation of Badges and/or Credentials
When conducting official OIG business, special agents shall present their credentials and badges and verbally identify themselves as OIG investigators unless precluded from doing so by the nature of the specific assignment.

All other OIG staff should identify themselves through the presentation of their credentials to avoid any situation that might lead to embarrassment, misunderstanding, or complaints for failure to present proper identification.

408.05 Loss of Badges and/or Credentials

OIG employees are to exercise every precaution necessary to prevent the loss of credentials and/or badges. Special agents who lose their credentials and/or badges shall follow the procedures below:

- The employee shall: (1) immediately report the loss (verbally or in writing) to the office head (SAC or AIG for Investigations) through his/her immediate supervisor, if applicable; and then (2) compose and submit a written statement to the SAC (in the case of regional employees) or AIG for Investigations (in the case of Central Office employees) detailing the circumstances of the loss and the steps taken to locate the credential and/or badge.

- The SAC or AIG for investigations will then notify both the Deputy Inspector General and the appropriate local, state, and Federal law enforcement agencies to affect entry into the National Crime Information Center system. If it is more expeditious, entry may be accomplished through the Federal Protective Service Regional Control Center.

- The SAC or AIG for Investigations shall examine all circumstances involved in the loss and send a written statement of findings to his/her supervisor along with the employee's statement.

- The responsibilities of the SAC and AIG for Investigations listed above may be delegated.

All other OIG employees who lose their credentials shall follow the procedures below:
• The employee shall: (1) immediately report the loss (verbally or in writing) to the office head (RIGA/SAC, AIG for Audits, AIG for Investigations, AIG for Administration, Counsel to the IG or division/staff director), through his/her immediate supervisor, if applicable; and then (2) compose and submit a written statement detailing the circumstances of the loss and the steps taken to locate the credential to the office head.

• The office head shall examine all circumstances involved in the loss and send a statement of findings to his/her supervisor along with the employee's statement.

• Information copies of both the office head and employee statements shall be sent to the SAC (in the case of regional employees) or to the AIG for Investigations (in the case of Central Office employees).

• The responsibilities of the office head above may be delegated.

If the loss of the badge and/or credential is deemed to be the result of theft, the RIGA/SAC, AIG for Audits, AIG for Investigations, AIG for Administration, Counsel to the IG or division/staff director, may request a full investigation by JI of circumstances surrounding the loss. Reissuance of the credential and/or badge in all cases shall be approved by the AIG for Investigations.

408.06 Failure to Safeguard Badges and/or Credentials

Employees who fail to safeguard their badges and/or credentials may be subject to disciplinary action up to and including removal from federal service. Supervisors of the employee in question, who have been delegated the appropriate authority, must follow section 103.01(g) to discuss potential action.

If the loss of the badge and/or credential is deemed to be the result of theft, the RIGA/SAC, AIG for Audits, AIG for Investigations, AIG for Administration, Counsel to the IG or division/staff director, may request a full investigation by JI of circumstances surrounding the loss. Reissuance of the credential and/or badge in all cases shall be approved by the AIG for Investigations.

408.07 Issuance of Retired Law Enforcement Credentials

Section 408.07 updated April 17, 2013.

408.07A Background
The Law Enforcement Officers Protection Act of 2004 (Act) exempts qualified retired law enforcement officers from State laws prohibiting the carrying of concealed firearms. The Act specifically excludes from the definition of firearm a machinegun, silencer, or any destructive device defined in section 18 U.S.C. § 921 (including a bomb, grenade, poison gas or mine). Also, the Act does not override State laws that permit private persons or entities to prohibit the possession of a concealed firearm on their property, or the possession of firearms on any State or local government property, installation, building, base, or park.

The Act does not convey any law enforcement authority. Thus, it does not authorize the carrying of a firearm on a commercial airline. In addition, the test for obtaining Department of Justice representation in connection with a critical incident is not affected by the Act. There are no circumstances in which retired agents will be deemed to be acting within the scope of official government duties.

The Act specifically excludes from its coverage any retired agent who is under the influence of alcohol or another intoxicating or hallucinatory drug or substance while carrying a concealed firearm and any individual who is prohibited by Federal law from receiving a firearm. Under Title 18 or the United States Code, prohibited persons include:

(1) those under indictment for or convicted of a crime punishable by imprisonment for a term exceeding one year;
(2) fugitives from justice;
(3) unlawful users and/or addicts of any controlled substances;
(4) those adjudicated as mentally defective or who have been involuntarily committed to a mental institution or otherwise judged incompetent to handle their own affairs;
(5) illegal aliens or aliens admitted to the United States under a nonimmigrant visa;
(6) those dishonorably discharged from the U.S. Armed Forces;
(7) those who have renounced their U.S. citizenship;
(8) subjects of a protective order; and
(9) those convicted of a misdemeanor crime of domestic violence.

408.07B  Policy for Retired Special Agents

Upon written application, the OIG will provide photographic identification indicating that the holder is a retired law enforcement officer to any OIG Special Agent who meets the following standards:

- retired in good standing for reasons other than mental instability;
- retired with an aggregate of 15 years of service as a law enforcement officer or, after completing any applicable probationary period, retired due to a service-connected disability;
- is entitled to Federal retirement benefits;
• attests that he or she is not prohibited by Federal law from receiving a firearm; and
• provides authorization for the OIG to perform a check of the National Crime Information Center (NCIC) database for the purpose of verifying that the retiree is not prohibited by Federal law from receiving a firearm.

In addition to obtaining photographic identification, in order to carry a concealed weapon, retired agents must possess a certification issued by the State in which they reside that indicates that they have, within the last year, been tested or otherwise found by the State to meet the standards established by the State for training and qualification for active law enforcement officers to carry a firearm of the same type as the concealed firearm. The OIG will not reimburse retired agents for any cost associated with this qualification requirement or provide firearm qualification testing for retired Special Agents.

408.07C  Procedures for Retired Special Agents

Upon receipt of written request for issuance of retired law enforcement official credentials, the OIG will forward standard letter (Figure 408-01), including an application for law enforcement credentials (Figure 408-02) to the applicant. The application must be notarized before submission to the OIG. Upon receipt of the application, the OIG will conduct all necessary checks to ensure that the retiree is qualified to receive credentials. If the application is approved and applicant is deemed qualified, the OIG will notify the applicant of the approval by letter (Figure 408-03) and require the applicant to submit a color passport photograph and sign a credential card.

Upon receipt of the photograph and signed card, law enforcement credentials will be issued to the applicant. All documents obtained during the application process will be maintained on file in GSA OIG headquarters.

408.07D  Procedures for Current Special Agents

Upon retirement of current GSA OIG Special Agents, retired law enforcement official credentials will be issued to an OIG Special Agent who meets the following standards:

• retired in good standing for reasons other than mental instability;
• retired with an aggregate of 15 years of service as a law enforcement officer or, after completing any applicable probationary period, retired due to a service-connected disability; and
• is entitled to Federal retirement benefits.

The supervisory official for the retiring Special Agent will transmit via email a request for retired law enforcement official credentials to the AIG for Investigations. Upon approval by the AIG for Investigations, JI will issue a set of retired law enforcement official credentials for the retiring Special Agent.
Retiring Special Agents will be provided a copy of the Act and advised of the necessity of obtaining State certification prior to carrying a concealed weapon.

Effective Date 3/26/2013

409.00 STAFF REASSIGNMENT

409.01 Reassignment Policy

Fulfillment of the OIG mission may require the reassignment of employees to different positions and geographic locations. To the maximum extent possible, reassignments are made consistent with the employee’s preference and concurrence. However, mission related requirements of the organization may require reassignment without employee concurrence.

409.02 Positions Subject to Reassignment or Relocation

Management retains the right to reassign employees at any grade level to different organizational or geographic locations in order to promote the efficiency of the service. 5 U.S.C. § 7106 outlines management authority to reassign employees. This regulation is maintained in JPH.

Effective Date 3/26/2013

410.00 CORRESPONDENCE CONTROL

The IG and other Central Office elements of the OIG routinely receive myriad requests for information, materials, or the status of projects. To assure that all correspondence receives an appropriate and timely reply, the OIG maintains a correspondence control system using Optional Form 102, Correspondence Control Record; GSA Form 2458, Mail Log; and a suspense control file.

410.01 General Correspondence

General correspondence received by the OIG is to be answered within 10 working days in accordance with OAD P 5410.1, Chapter 5, Section 8.
408.00 CREDENTIALS AND/OR BADGES

UNDER REVIEW
Effective Date 3/26/2013

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410.01 General Correspondence

General correspondence received by the OIG is to be answered within 10 working days in accordance with OAD P 5410.1, Chapter 5, Section 8.
Effective Date 11/20/2015

411.00 EMERGENCY MOBILIZATION

OIG employees will follow GSA Order ADM 2430.1, General Services Administration Continuity Program. In accordance with that policy, the OIG has adopted a Continuity of Operations Plan (OIG COOP). During declared national emergencies, including emergency mobilization exercises, or other major disruptions of normal activities, OIG personnel must comply with the OIG COOP, which can be found at http://go.gsaig.gov/DocCenter/Administration/OIG COOP Draft for submission.pdf.

In addition, OIG personnel shall:

- report for duty and continue operations unless this is precluded by the emergency;
- establish and maintain communications with personnel at duty sites and between headquarters and field offices to share information;
- respond to orders issued by proper authority (e.g., Presidential Executive Order). For example, JI and JC staffs could be placed under temporary direction of the Attorney General, and JA staff might be ordered to temporarily aid in operating program accounting systems.

Effective Date 7/8/2014

412.00 OIG AWARDS PROGRAM

412.01 Purpose

This chapter establishes policy for the Awards program for all GSA Office of Inspector General (OIG) employees.

412.02 Applicability

The policy applies to all OIG employees.

412.03 Legal Authority

The statutory basis for performance and incentive awards is Title 5, United States Code (USC), Chapters 43, 45 and 53; implementing regulations are at 5 C.F.R. Part 451. Although the OIG manages its own awards program, the OIG generally follows GSA’s awards policy, CPO P 9451.1, except where doing so would be inconsistent with OIG independence or conflict with any of the specific guidance below.
412.04 Types of Awards

A. Non-Cash Awards:
   - OIG Employee Appreciation Plaque

B. Cash Awards: The OIG offers four cash awards, depending on budget constraints and applicable guidance:
   - Inspector General (IG) Excellence Award (plaque and $2,500)
   - Individual Performance Awards (based on rating of record; maximum of 6% of adjusted base pay)
   - Special Act Awards
   - Organizational Performance Awards (OPAs), for teams or groups (maximum of $500 per recipient unless revised pursuant to section 428.05E)

C. Time-off Awards: a day off with pay that does not count against the employee’s sick leave or annual leave.

412.05 Policy

A. The OIG grants awards to recognize its employees for such things as their superior accomplishments that contribute to the improvement of government operations, or for the performance of a special act or service in the public interest related to or in connection with their official employment. These awards are designed to be a motivating tool contributing to improving employee performance, strengthening morale, increasing productivity and unlocking workforce potential.

B. Nominations for non-cash, time-off, special act, and OPAs should be made promptly following the act(s) and no later than the end of the fiscal year in which the act(s) occurred.

C. Individual Performance Awards (rating based) will be distributed at the end of the rating cycle or at the end of the fiscal year.

D. All special act and organizational award nominations must include written justifications. Component heads must ensure that awards are adequately justified in writing and used consistently throughout the regions. The written justification for the award must explain the act(s) for which the award is being given and in no case may the nomination be for act(s) already recognized by another award within the OIG. The justification for all awards must include the impact of the accomplishment and how the performance that led to the accomplishment was above and beyond normal job duties and functions.
E. The DIG annually may decide cash awards will not be given, adjust the amount of
awards that will be available, or adjust the process for granting specific awards,
consistent with applicable authorities.

412.06 Non-Cash Awards

OIG Employee Appreciation Plaque – can be presented to a team or an individual as
recognition of a job well done. OIG employees, including paid student interns, are
eligible to receive the plaque. (Contractor personnel may receive certificates of
appreciation.) Employees cannot receive more than one Appreciation Plaque per
nomination or multiple plaque nominations from different managers for the same
accomplishment. (Plaques can also be given to employees of other agencies,
consistent with legal authorities.)

412.07 Cash Awards

A. OIG career employees may be nominated to receive the IG Excellence Award,
which entails a plaque and $2,500.

B. Individual performance awards are linked directly to the performance
appraisal. They are cash awards used to recognize levels of performance that clearly
exceed normal requirements with a performance rating of record at the end of an
appraisal period at Level 4 or Level 5.

C. Organizational Performance Awards are used to reward teams or groups for
exceeding organizational performance measures. They are not based on annual
performance ratings, although employees with a rating of record below the Level 3 are
not eligible to received OPAs. Organizational Performance Awards are used to reward
groups of OIG employees for exceptional joint work that contributes to the efficiency,
economy, or other improvement of government operations. OPAs may be up to $500
per award per member of the group, or the equivalent value as a time-off award. Like
performance awards, special act, and time-off awards, OPAs count toward the OIG’s
overall limit for award spending.

D. Special Act Awards are cash awards based on nonrecurring contributions either
within or outside job responsibilities that are not already covered under Individual
Performance or Organizational criteria for award recognition.

412.07A IG Excellence Award

The IG Excellence Award is presented to those employees who have demonstrated to
an outstanding degree either a superior accomplishment or other personal effort that
contributes to the efficiency, economy, or other improvement of government operations.
412.07B Individual Performance Awards (IPA)

Employees who receive a Level 4 rating are eligible to receive up to 4% of their adjusted basic pay in an IPA, and those who receive a Level 5 rating are eligible to receive up to 6% of their adjusted basic pay in an IPA. Award amounts are always subject to change due to the OIG budget, OPM Awards Policy Guidance, and GSA awards policy. All final award levels are approved by the DIG. The following rules apply to IPAs.

A. The OIG’s performance rating cycle runs from August 1 through July 31. Ratings must be issued within 45 days of the end of the rating cycle.

B. Individual performance awards are based on days on board during the rating period. Therefore, if an individual comes on board after the start of the rating period, the award is pro-rated.

C. To be rated, and accordingly to be eligible to receive a performance award, an individual must have been an OIG employee for at least 120 days by July 31.

D. Awards are generally issued to employees during the last full pay period before the end of the fiscal year.

412.07C Organizational Performance Awards (OPA)

All OPAs will be processed by JP. To simplify the process, each component should route all award nominations through one point of contact (POC). The POC should ensure that awards are approved by the designated component Senior Executive. The POC can, as appropriate, combine award information for the component’s awardees, and will forward those awardees to the DAIG for Administration via email. The following information should be provided in the email requesting JP to process the awards:

- Names of employees to be awarded
- Type of award (cash or time off)
- Number of hours (with indication of dollar value) or amount of cash
- Justification (should be at least 200 characters)
- Pay period when the award should be processed

412.07D Special Act Awards

As stated in GSA policy:
Special Act Awards are of a one-time, non-recurring nature, connected with or related to official employment, that are not already covered under Individual or Organizational performance. Special Act Awards recognize specific accomplishments that are in the public interest that clearly exceed normal job requirements, such as exemplary or
courageous handling of an emergency situation related to official employment. [9451.1 CPO P, GSA Associate Performance Recognition System (APRS)]

Within the OIG, special act awards will be processed the same as OPAs (see section 428.07C).

412.08 Time-Off Awards

JP will provide each component with the total number of hours it may use for time-off awards during the fiscal year. (The value of time-off awards is also counted toward the percentage of salary limitation on total awards given by the OIG, as stated in GSA policy.) Like other awards, time-off awards must be supported by written justifications, as described above. To ensure consistency, each component head shall appoint one person to review, in advance, and oversee all time off awards for that component. (Employees may receive a time-off award in lieu of a monetary award as well)

412.08A Time-Off Award Requirements

A. Time-Off Awards can only be awarded to career OIG employees, individually or as a team, in recognition of a superior accomplishment or other personal effort that contributes to the economy, efficiency, or other improvement of government operations or a special act in the public interest in connection with or related to official employment.

B. Employees must take their day off within **one (1) year** after receiving the Time-Off Award. Employees forfeit the Time-Off Award if not used within the allotted time period.

C. Time-Off Award(s) can be used in conjunction with any regularly scheduled absence, such as Alternate Work Schedule (AWS) day off, and/or approved paid leave.

D. Employees may use Time-Off Award(s) in conjunction with other requested leave; however, employees must submit both leave requests at the same time for approval.

E. Time-Off Awards are not interchangeable for any monetary amount, or any other OIG approved award. A Time-Off Award cannot be converted to cash, such as a day’s pay.

F. Employees cannot donate the Time-Off Award to another OIG employee through the Leave-Share Program.

G. The Time-Off Award day off must be scheduled in advance, with supervisor approval.

H. When employees leave the OIG – retire, transfer to another federal agency, resign, or otherwise separate – they forfeit any unused Time-Off Awards.
I. The DIG may set a limit on how many hours of Time-Off Awards an individual employee may receive during the fiscal year, but as stated in GSA policy, in no case may one award exceed 80 hours.

J. Awards shall not be used to compensate or reward an employee for working outside of the basic workweek or in lieu of premium pay, such as overtime.

412.09 Approval Process

A. Non-Cash Awards and Time-Off Awards

At any time during the fiscal year, supervisors (including supervisory GS-14s) may nominate employees they supervise for the following awards.

(1) Non-Cash Awards (OIG Appreciation Plaque) – The Director/SAC/RIGA/equivalent approves the nomination. (For team awards, the team’s AIG/DAIG or component head must approve the award nomination.)

(2) Time-Off Award – The Director/SAC/RIGA and the AIG/DAIG/component head approve the nomination, which is submitted online through the CHRIS application (unlike OPAs, IPAs, and Special Act Awards, which are processed by JP).

B. IG Excellence Award

IG Excellence Awards are given annually. AIGs and component heads nominate IG Excellence award recipients. The Inspector General, with the advice of the Senior Executive Staff, makes the final determination on the awards.

C. Performance Awards

The DIG, in coordination with the AIG for Administration, will determine, on a fiscal year basis, the amount of awards for Level 4 and Level 5 performance.

D. Organizational Performance Awards

Each component head should appoint a POC to ensure that all OPAs are properly justified in writing before being submitted to the designated component Senior Executive for approval and JP for processing. Each component shall adopt any review process deemed appropriate for that component prior to submission to the Senior Executive. The DIG may require pre-award ERB review of some or all OPAs to ensure consistency across component lines.

E. Special Act Awards

The same process applies for Special Act Awards as for OPAs (section 428.09D).
412.10 Prohibition on Acceptance by OIG Employees of Certain GSA-Conferred Cash Awards

OIG employees may be considered for a variety of sponsored GSA awards. It is vital to the OIG that it be perceived to be independent in its operations. Likewise, OIG employees are required to be objective in the performance of their duties vis-à-vis agency programs, activities, or employees. Therefore, it is generally inappropriate for OIG employees to receive cash awards of any kind from GSA sources in connection with the performance of their official OIG duties. However, GSA-conferred cash awards that are not directly related to an employee’s OIG duties—for example, awards for savings bond coordination activities—may be accepted. Inquiries as to whether it is appropriate to accept a particular award should be directed to Counsel’s Office.

Effective Date 3/13/2015

413.00 OIG POLICY AND PROCEDURES RELATED TO TRAINING AND DEVELOPMENT

413.01 Purpose

The purpose of this policy is to establish policy and identify roles and responsibilities regarding training and development for the OIG.

413.02 Legal Authority

As stated in HRM P 9410.1A, GSA Workforce Learning and Development Policy, the OIG has independent personnel authority, including employee training and development, under the Inspector General Act of 1978 as amended. Accordingly, after considering HRM P 9410.1A, which may be used for guidance in certain areas, the OIG has adopted the following training policy. Further guidance is provided in supplement instructions and guidelines found in the Office of Personnel Management (OPM) Training Policy Handbook: Authorities and Guidelines (May 11, 2007) and 5 CFR Parts 410 and 412. The statutory authority governing service after training is found in 5 U.S.C. 4108.

413.03 Objectives

The OIG is committed to attracting, retaining, and developing a high performance workforce through skills training, education, and professional development. We increase our efficiency and productivity when employees have the knowledge and skills to
succeed. The complexity and scope of our mission require continual upgrading of competencies to perform in a dynamic work environment.

The OIG’s mission is to promote economy, efficiency, effectiveness and integrity in GSA programs and operations. This mission includes reducing the operating cost of federal government. Therefore, OIG employees shall first seek out suitable no-cost and low-cost learning and development options before undertaking more expensive options. In particular, OIG employees shall avoid or minimize travel expenses and enrollment fees when other viable options are available.

All employees shall have access to training, learning, and developmental opportunities to maintain and improve skills and competencies required to perform their job duties successfully, and to grow in their professions.

413.04 Eligibility for Training and Development Programs

All OIG employees are eligible to participate in formal and informal individual and career development opportunities unless otherwise excluded by statute, regulation, policy, or program limitation.

OIG employees seeking to participate in training:

(1) Must meet OIG employment eligibility and performance requirements for participation in the selected program.

(2) Must meet all program eligibility requirements for participation, including assigned pre-work, experience, or other prerequisites.

(3) Will be selected in accordance with Equal Employment Opportunity, Merit Systems Principles, and OIG-identified processes as prescribed in law, rule, regulation, and agency policies.

(4) Shall consider the appropriate GSA On-Line University (OLU) E-learning, no-fee Computer Based Training (CBT) program(s), GSA University for People (U for P), or equivalent, before pursuing a fee-based program.
Additional eligibility restrictions may apply to some programs, such as time with the OIG, performance, grade level, or competitive requirements.

413.05 OIG Annual Training Cycle

At the beginning of each fiscal year, a yearly training plan should be completed for each OIG component and submitted to the Deputy Inspector General (DIG) for approval. The plan should then be forwarded to JPB for budgetary planning purposes. The plan should be submitted no later than October 31.

413.06 Mandatory Training

This is training that all OIG employees (or all employees of a type, such as supervisors, without regard to their business role) need. Mandatory training is delivered primarily by electronic means (GSA On-line University).

Examples:

- Training required for federal employees by statute, regulation, or policy;
- Security Awareness Training;
- Supervisory Training;
- Ethics Training.

413.07 Payment of Training Expenses

Each OIG employee bears the responsibility to ensure he or she is eligible and approved to attend training, and that he or she receives reimbursement. The OIG may pay for or reimburse employee learning and development expenses in two broad categories:

1. Normal, Job-Related Learning and Development

Most employee learning and development is directly related to the employee's current role. These activities result in knowledge or skills that the employee usually can apply immediately upon completion. They address gaps in job-related skills, knowledge, and abilities that allow the employee to improve performance or take on additional
responsibility related to the role. Examples include technical skills training or academic course work that is directly related to the current role, project management training for employees who currently lead project teams or are ready to begin doing so, and the like.

2. Career Development

a. Some learning and development activities relate to future roles within the organization that the employee may reasonably be expected to pursue given his or her current role. These activities instill knowledge or skills that may take time after the learning activity for the employee to develop and master, and which may prepare the employee to take on roles of increased responsibility in his or her current field.

b. Training that qualifies an employee to enter a field different from the employee's current job, such as training that would allow someone to obtain a license to practice in a new field unrelated to his or her current position, should not be requested.

413.08 Reimbursement Requirements and Limitations

A SF-182 should be submitted in advance to the employee’s supervisor for training approval. The form should be signed by the immediate supervisor and or second-line supervisor. If the training cost exceeds $3,000, the form is then submitted to JP for processing. If under $3,000, the component should ensure funding is available and then may use a government purchase card to procure the training. (That form also contains a Continuing Service Agreement that must be signed as indicated later in this chapter.)

Component heads are authorized to approve training up to $3,000. However, certain training (e.g., in excess of $1,000) at conferences must also be approved by the DIG as stated in Chapter 423.

SF-182s are not required for training that does not impose an additional cost to the agency as a result of the employee’s participation.
An employee may also pay for training themselves and seek reimbursement via miscellaneous reimbursement but it still must be approved in advance via the SF-182.

413.09 Expectations for Employees Attending Training

All OIG employees are expected to complete satisfactorily any training covered by this policy. Any OIG employee who fails to meet requirements for successful completion of the program or course shall be obligated to repay the cost of tuition, books, and other related expenses. (For information regarding Certifications, Accreditations, and Licenses, please see Chapter 418 Policy Government Expenses for Professional Credentials of this manual).

For university, college, professional certification prep, or other approved and accredited courses, successful completion or "passing" is understood to mean:

1. A minimum grade of "C" for an undergraduate course.
2. A minimum grade of "B" for graduate-level courses.
4. The minimum passing score established by the professional accreditation board or training delivery organization for the intended course, or program of study.

413.10 Continuing Service Agreement (CSA)

The CSA (attachment 1) must be completed whenever an employee is selected for training requiring 80 hours or more to complete, or costing $3,000.00 or more inclusive of all related expenses (includes travel, per diem, books and materials, fees, and other related costs). The CSA is subject to the following requirements:

1. The employee agrees to continue in the service of GSA OIG after the end of the training period for a work period at least equal to ten (10) times the length, in hours, of the training period (usually the total classroom hours), unless he or she is involuntarily separated from the Federal Government.
For example, an employee attending an 80-hour-long (e.g., 2-week) course agrees to remain employed by the Federal Government for not less than 800 working hours (80 hours x 10 = 800 hours / 8 hour-day = 100 working days, or 20 weeks) after course completion.

2. In the event that an employee voluntarily separates from the GSA OIG within the period covered by the continuing service agreement, the employee shall repay the amount the GSA OIG paid for that training, plus any related expenses. The amount due shall be pro-rated according to the service agreement schedule. For example, if the employee completes only 50 days of a 100-day continuing service agreement, the employee shall repay half the total amount paid by the GSA OIG in connection with that training.

3. Repayment within the period covered by the CSA is required of an employee who leaves the service of the GSA OIG to enter into the service of another agency in any branch of the Federal Government.

4. Once an employee has signed a CSA, JP will ensure that there is a system in place to monitor the date the obligation service commitment expires. No employee will be separated from the GSA OIG until there is a resolution of any active continued service obligation.

5. Should an employee, who is under a CSA, decide to leave GSA OIG service:
   
a. The employee must provide a written notice of resignation to his/her supervisor of record at least 10 working days in advance of the effective date of departure.

b. The employee's supervisor of record will ensure that the notice of resignation is sent to the applicable senior manager, the Counsel to the IG (JC), and JP.

6. If an employee fails to complete training covered by a CSA, the employee is required to reimburse the Government for the total cost of that course, and the CSA is voided.
7. Waivers from the service requirements or other obligations established in this policy may be made under extraordinary circumstances (such as a death in the family requiring an employee to leave training early). A waiver must be requested in writing accompanied by documentation or other evidence detailing the extraordinary circumstances that justify the request. Requests for waivers of amounts up to $1,500 are submitted to the head of the OIG component (JA, JI, JC, JP, JE). Waiver requests for amounts between $1,500 and $9,999 are routed to the head of the component with the concurrence of JC and JP. Requests for waivers of $10,000 or more are submitted to the Deputy Inspector General (JD) with the concurrence of the head of the component, JC, and JP. The decision-maker may reject the request or grant a full or partial waiver.

413.11 Educational Assistance Programs

The OIG does not participate in any tuition assistance programs (CPO 9300.1).

414.00 RESERVED

Effective Date 2/10/2015

415.00 OIG INCLEMENT WEATHER GUIDANCE

415.01 Purpose

This guidance is to remind employees of the OIG telework guidelines that apply when OPM announces that Federal Offices are closed; and when Federal Offices are, or will be (e.g. Delayed Arrival), open with an option for unscheduled leave or telework, due to inclement weather or some other emergency that causes disruption to Government operations. The OIG follows OPM's guidance, available at http://www.opm.gov/policy-data-oversight/pay-leave/reference-materials/handbooks/dcd dismissalal.pdf. One change made by OPM this year is that an employee on pre-approved paid leave will generally remain on leave if the Federal Office at which the employee works is closed.

415.02 Basic Rules and Options
These basic rules and options apply in the regions when they have similar determinations to the ones made by OPM for the DC area.

**Basic Rules and Options**

1. If you are SCHEDULED to telework (regular or situational) when Federal Offices are **CLOSED** for part or all of a day, you will not be excused from work and must telework or choose option 3 or 4 below.

Managers are reminded that they may grant an excused absence to a teleworking employee for the amount of time Federal Offices are closed when it is not possible to telework due to:

   a. The inclement weather or other emergency adversely affecting the telework site (e.g. power outages or lost internet connectivity), OR
   
   b. The employee's duties are such that the employee cannot telework or continue to telework without contact with the worksite (e.g. to accomplish the assigned tasks the employee needs to be in contact with someone who is not teleworking).

2. If you were NOT scheduled to telework (regular or situational) on a day that Federal Offices are **OPEN**, for all or part of the day, with an option for unscheduled telework, you may ask your supervisor for approval for unscheduled situational telework rather than report to the worksite, or choose option 3 or 4 below.

Employees that choose and receive approval for situational unscheduled telework will not be excused from work if Federal Offices close for part of the day. Unscheduled situational teleworkers must telework the entire day. Managers may grant excused absences as stated above in paragraph 1 in cases of unscheduled situational telework as well.

Supervisors will generally grant the employee's request for unscheduled situational telework IF the employee has:

   a. The necessary equipment and materials to telework, AND
   
   b. Sufficient work to perform at the telework site.
HOWEVER, there may be circumstances that require the employee's presence in the office, including, but not limited to, meetings, briefings, special assignments, emergencies/exigent circumstances, or duties that must be performed at the office or within a limited timeframe(s). When this scenario occurs, management should clearly convey why the employee's presence in the office is necessary and may require the employee to either take unscheduled leave or report to the office rather than telework.

3. You may request unscheduled leave, or a combination of unscheduled leave and telework.

4. If you are on a compressed schedule you may ask your supervisor for approval to reschedule your AWS day to the affected day SO LONG AS:
   
a. You have not already taken your AWS day, AND

b. The inclement weather or other emergency day is in the same pay period.

Please consult with the OIG's Employee Relations Officer if you have any questions. The attached pages include examples of possible scenarios.

415.03 Telework Rule of Thumb

Telework Rule of Thumb- Any time you have approval to telework on an inclement weather day, you must: (1) telework, (2) take leave or (3) switch your AWS day. You will not be given an excused absence unless you cannot telework because the weather or other emergency affects your ability to telework. You also may be directed to telework in accordance with OIG policy. The following examples provide further guidance for situations where you have approval to telework on an inclement weather day.

Ex. 1- OPM announces that Federal Offices are CLOSED due to a hurricane.
(1) On your regular telework day, you must telework the entire day unless you take leave or your manager grants you an excused absence because the hurricane affects your ability to successfully telework. You may also request to switch your AWS day.

(2) You were NOT SCHEDULED to telework on this day, regular or situational (e.g. you did not request to telework because of the impending hurricane), but were scheduled to report to the worksite. You will receive an excused absence for the entire day.

(3) You requested in advance and received approval for paid annual leave for the entire day. You will be charged paid leave for the entire day if you are not available for work.

(4) You requested in advance and received approval to situational telework because a plumber is coming to your home. Because you have SCHEDULED situational telework, you must telework the entire day, unless you take leave or your manager grants you an excused absence because the hurricane affects your ability to successfully telework. You may also request to switch your AWS day.

Ex. 2- Due to a hurricane OPM announces Federal Offices are OPEN, or OPEN WITH A DELAYED ARRIVAL or EARLY DEPARTURE – WITH OPTION FOR UNSCHEDULED LEAVE OR UNSCHEDULED TELEWORK.

(1) On your regular telework day, you must telework the entire day even if Federal Offices open late (or close early), unless you take leave or your manager agrees that the hurricane affects your ability to successfully telework. You may also request to switch your AWS day.

(2) You requested and received approval for situational telework (e.g. you requested in advance because of the inclement weather, you had a plumber coming, or you requested situational telework that morning). Because you have been approved to situational telework, you must telework the entire day even if Federal Offices open late (or close early), unless you take leave or your manager agrees that the hurricane affects your ability to successfully telework. You may also request to switch your AWS day.

(3) You choose to report to the worksite. You should report to the worksite under the timing announced by OPM and will receive an excused absence (i.e. no charge to
leave) for the late arrival early departure closure periods. You may also request to switch your AWS day.

(4) If you choose to request unscheduled leave, you will be charged leave for the entire day even if Federal Offices open late or close early.

The following general rules apply to the use of sick leave in both of the above examples.

<table>
<thead>
<tr>
<th>If the employee is/has.....</th>
<th>NOT Scheduled/Required to Telework When Federal Offices are Closed Due to Inclement Weather for All or Part of the Day</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sick leave MUST be cancelled.</td>
<td>Sick leave MUST be cancelled.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Scheduled Sick Leave for a Medical Appointment-Appointment Cancelled</th>
<th>Scheduled/Required to Telework When Federal Offices are Closed Due to Inclement Weather for All or Part of the Day (i.e. expected to come to the office)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees MUST substitute the scheduled sick leave time with:</td>
<td>The scheduled sick leave time will be substituted with an EXCUSED ABSENCE. Excused absences are ONLY for when Federal Offices are closed. If Federal Offices are OPEN for part of the day, employees are expected to be at the office during that time.</td>
</tr>
<tr>
<td>• Telework or</td>
<td>Sick leave is NOT cancelled.</td>
</tr>
<tr>
<td>• A request for other leave.</td>
<td>Sick leave is NOT cancelled.</td>
</tr>
</tbody>
</table>

| Scheduled Sick Leave for a Medical Appointment-Appointment NOT Cancelled | Sick leave is NOT cancelled. |
|------------------------------------------------------------------------| Sick leave is NOT cancelled. |
| If sick leave was for a portion of the day, employees are expected to telework as | If sick leave was for a portion of the day, employees will:
preapproved, or request other leave. Employees will not be granted an excused absence.

• Be charged sick leave as scheduled;
• Be expected at the office when Federal Offices are OPEN unless they request other leave;
• Receive an EXCUSED ABSENCE for when the employee was scheduled to work AND Federal Offices are CLOSED.

If the employee requests and receives approval to telework, the guidance to the left of this column applies.

Sick Leave for Illness of Employee, Care of Family Member With an Illness, Bereavement (Employee not available for duty) Same as above

Effective Date 8/27/2014

416.00 SES PERSONNEL POLICIES, REGULATIONS, AND PROCEDURES

OIG SES Policies are updated and approved by OPM and OMB periodically. For updated policies please see the Deputy AIG for Administration or the AIG for Administration.
Effective Date 5/11/2015

417.00 USE OF OFFICIAL TIME

417.01 Introduction

All OIG employees are entitled to use available administrative processes, such as Equal Employment Opportunity (EEO) complaints and pre-complaint processing, administrative grievances, and Merit Systems Protection Board (MSPB) appeals. By law, OIG managers and supervisors must not interfere with this right. In such matters, the OIG affords its employees the use of a reasonable amount of official time (i.e., no charge to leave or loss of pay) if the employee is in a duty status.

The OIG affords to its employees two categories of official time: automatic time and discretionary time. OIG employees are afforded a reasonable amount of automatic time. However, the OIG has established a limit governing the use of discretionary time. It is the agency policy to allow up to four (4) hours of discretionary time. The amount of discretionary time granted is determined on a case-by-case basis. The supervisor should consider the gravity and complexity of the charges, the amount of legal or regulatory research that may be appropriate, and the employee's knowledge of the proceedings. Supervisors may consider granting more than four (4) hours of discretionary time in unusual situations, such as a matter involving extraordinarily complex issues or circumstances or pro se (without representation) litigation, but only upon a showing of adequate justification by the employee and in consultation with Employee Relations (JP) (see § 417.08 below).

When an OIG employee exhausts the discretionary time allotted or the automatic time permitted, the employee has the option of pursuing the matter during times when not in duty status (i.e., outside of the employee's normal hours of work), or requesting Annual Leave, Compensatory Time Off, or Leave Without Pay.

For administrative processes not specifically described herein, please consult with JP.

417.02 Requesting Official Time

When an OIG employee in duty status desires to use official time to pursue recourse through an available administrative process, the employee must request official time in advance from her or his immediate supervisor. Official time may be granted if
requested after an event in limited circumstances. The OIG will not automatically record an employee's time as official time; the employee is responsible for making the request. The OIG employee must make the request in writing, such as by email. OIG employees need not seek authorization for occasional telephone calls or other events lasting under fifteen minutes. OIG supervisors should grant or deny, as the case may warrant, requests for official time in writing and, when denying a request, should provide a basis for the denial. Reasons for denial include, but are not limited to, workload or coverage priorities (managers should suggest alternate times) or exhaustion of the time allotted.

OIG employees who desire anonymity or request confidentiality have the option of pursuing the matter during times when not in duty status, or requesting Annual Leave, Compensatory Time Off, Travel Compensatory Time Off or Leave Without Pay. OIG employees who use Annual Leave to ensure anonymity or confidentiality will have their leave restored as appropriate upon request, when and if they elect to disclose their identity.

417.03 EEO Complaints

*Automatic Time:* In cases where an OIG employee alleges discrimination or is a witness in a discrimination complaint, OIG supervisors should grant official time to the employee for any and all of the following or similar events:

1. Meeting with an agency official, such as with the Office of Civil Rights or agency representative;
2. Meeting with an EEO counselor;
3. Time spent in a mediation session or any other Alternative Dispute Resolution program;
4. Meeting/Interview with an EEO counselor or investigator or time responding to an investigator’s questions or request for documents;
5. Attending the employee's own deposition (taken by the agency);
6. Attending a deposition as a witness, i.e. as an agency witness when you are not the claimant;
7. Pro se litigant deposing agency witnesses (pro se litigants may also require additional Discretionary Time for other discovery matters as well);

8. Meetings and other pre-hearing sessions with Administrative Judges;

9. Attending the hearing of the case;

10. Time spent in Administrative Judge and Judge initiated settlement conferences where all parties are present;

11. If a complaint is appealed to a U.S. District Court, attending pre-trial sessions with Department of Justice attorneys;

12. If a complaint is appealed to a U.S. District Court, attending the trial;

13. Complainant actual travel time to any of the above of not more than one hour each way, per event (travel time in excess of one hour must be accounted for as discretionary time or leave); and

14. Witness and agency representative travel and preparation time for any of the above.

OIG employees must make reasonable attempts to schedule meetings to minimize interference with workload and productivity (time sensitive projects, for example).

Automatic time is not capped. If a manager believes an employee’s request for automatic time is unreasonable, he or she should consult with employee relations. Managers must consult with employee relations prior to denying a request for automatic time.

Discretionary Time: In addition to automatic time, OIG employees alleging discrimination shall receive up to four (4) hours of discretionary time for use during the entire EEO pre-complaint counseling, complaint, and appeal process. The OIG employee shall determine how to use his or her discretionary time. Discretionary time may be used for matters such as, but not limited to, complainant's preparation for a hearing, responding to discovery requests and meetings with complainant's representative.
417.04 MSPB Appeals

**Automatic Time:** In matters brought before the MSPB, OIG supervisors should grant official time for any and all of the following or similar events:

1. Time spent in a mediation session or any other Alternative Dispute Resolution program;
2. Meeting with an agency official, such as an agency representative;
3. Attending the employee's own deposition (taken by the agency);
4. Attending a deposition as a witness, i.e., as an agency witness when you are not the appellant;
5. Pro se litigant deposing agency witnesses (pro se litigants may also require additional Discretionary Time for other discovery matters as well);
6. Meetings and other pre-hearing sessions with an MSPB Administrative Judge;
7. Attending an MSPB hearing;
8. Time spent in Administrative Judge and Judge initiated settlement conferences where all parties are present;
9. If a matter is appealed to Federal court, attending pre-trial sessions with Department of Justice attorneys;
10. If a matter is appealed to Federal court, attending the trial;
11. Appellant actual travel time to any of the above of not more than one hour each way, per event (travel time in excess of one hour must be accounted for as discretionary time or leave); and
12. Witness and agency representative travel and preparation time for any of the above.

OIG employees must make reasonable attempts to schedule meetings to minimize interference with workload and productivity (time sensitive projects, for example).

Automatic time is not capped. If a manager believes an employee’s request for automatic time is unreasonable, he or she should consult with employee relations. Managers must consult with employee relations prior to denying a request for
automatic time.

*Discretionary Time:* In addition to automatic time, OIG supervisors should grant up to four (4) hours of discretionary time for use during an MSPB matter. The OIG employee shall determine how to use his or her discretionary time. Discretionary time may be used for matters such as, but not limited to, complainant’s preparation for a hearing, responding to discovery requests and meetings with complainant’s representative.

### 417.05 Administrative Grievances

The OIG permits official time for grievances handled through the GSA Grievance Procedures in accordance with GSA OAD P 9771.1A GSA Grievance Procedures. Specifically, "in presenting a grievance or preparing a challenge to a disallowance decision, an employee has the right to a reasonable amount of official time if the employee is in active duty status. Supervisory approval for the use of official time must be obtained in advance. This allowance of time does not extend to the preparation of a grievance." Accordingly, time spent in presenting a grievance or preparing a challenge to a disallowance decision is considered automatic time under this policy. Official time is not permitted for grievance preparation.

### 417.06 Other Proceedings

OIG employees required or authorized by law to be present at hearings or board proceedings, such as before the Office of Special Counsel, the Office of Personnel Management and similar bodies in matters related to their official capacity will be excused from normal duties for that purpose without charge to leave. Such time shall be considered automatic time. OIG employees must consult with management concerning the use of official time for other purposes.

### 417.07 Response to Proposed Suspensions or Adverse Actions and Proposals based on Unacceptable Performance

Upon written request and approval from their immediate supervisor, an OIG employee in duty status who is given a notice of proposed disciplinary, adverse, or performance based action may have discretionary time, as set forth in 417.01, to review the material relied upon, consult with a representative, secure affidavits and prepare a written or oral reply.

An OIG employee that is not in a duty status who is given a notice of proposed disciplinary, adverse, or performance based action will not receive discretionary time, as
set forth in 417.01, to review the material relied upon, consult with a representative, secure affidavits and prepare a written reply.

OIG employees shall be granted automatic time to present their oral reply, including actual travel time to, and return from, the presentation.

417.08 Additional Discretionary Time-Extenuating Circumstances

Management may grant discretionary time beyond four (4) hours in extenuating circumstances. The employee must submit a written request for additional discretionary time, explaining the extenuating circumstances that the employee believes justifies the need for the additional time. Management must consult with employee relations before granting or denying a request for additional discretionary time due to extenuating circumstances.

417.09 Coordination with JP

Upon notification, whether formal or informal, of the existence of an OIG employee's allegation of discrimination, or any other significant employee-relation matters, OIG managers and supervisors must immediately contact employee relations.

Effective Date 4/5/2013

418.00 POLICY GOVERNING EXPENSES FOR PROFESSIONAL CREDENTIALS

418.01 Introduction

Heads of Components may approve payment for employees to obtain professional credentials. Such approval is discretionary and not an entitlement. Any decision to authorize payment will be based on factors such as availability of funds and whether credentials are necessary for employment. Where funds are limited, payments will first be made for credentials that are required as a condition of employment.

This authority may be re-delegated in writing. Credentials covered include professional accreditations, licenses, or certifications that are either directly related to employees’ positions or that would further OIG interests (e.g., credentials that are needed for the development of knowledge, skills, and abilities in response to mission/function changes or for recruitment, retention, career development or worker transition objectives). Payment for expenses necessary to obtain credentials, and their subsequent renewals,
may include, at the Component’s discretion, such additional expenses as membership fees, examinations, registration fees, and travel costs, where necessary to obtain the credential.

The Credentials Policy does not permit reimbursement for membership fees if the OIG employee is (1) a member of an organization that does not provide credentials/certifications or (2) a member of an organization which provides certifications and credentials but the OIG employee is not seeking to obtain the certification/credential (i.e. is not a member for the purpose of obtaining the credential).

Authority governing payment of professional credentials is found in 5 U.S.C. 5757. That section permits agencies to use appropriated funds or funds otherwise available to pay for “(1) expenses for employees [in any federal pay system] to obtain professional credentials, including expenses for professional accreditation, State-imposed and professional licenses, and professional certification; and (2) examinations to obtain such credentials.” This authority may not be exercised on behalf of any employee “occupying or seeking to qualify for appointment to any position that is excepted from the competitive service because of the confidential, policy-determining, policy-making, or policy-advocating character of the position.”

418.02 Definitions

“Accreditation” is a certification of competence in a specified area issued by a duly recognized and respected accrediting organization.

“Certification” is recognition given to individuals who have met predetermined qualifications set by an agency of government, industry, or a profession.

“Credentials” include professional accreditations, licenses, or certifications that are either directly related to an employee’s position or that would further the OIG’s statutory mission.

"Directly related” refers to skills and abilities that would enhance an employee’s performance of the duties of the currently occupied position.

“License” is the formal permission granted by an agency of the federal, state, or local government to an individual to engage in a given occupation upon finding that the applicant has attained the minimal degree of competency required to engage in that occupation.

“Professional” is broadly interpreted to mean any occupation. Hence, any OIG employee in a career field that has a job-related license, registration or certification is eligible. Priority for payment of expenses associated with licenses and certification and related expenses will be given when the credential is required by
appropriate local, state, or Federal government authority to perform the work required by an employee's position.

418.03 Eligibility

This policy applies to all OIG employees. However, payments may not be made on behalf of any employee “occupying or seeking to qualify for appointment to any position that is excepted from the competitive service because of the confidential, policy-determining, policy-making, or policy-advocating character of the position.” 5 U.S.C. 5757(b).

418.04 Provisions Governing Reimbursement of Expenses for Professional Credentials

1. Payment of expenses under this authority is totally discretionary with OIG management. Continued payment of expenses associated with credentials is not guaranteed and nothing in this policy creates a right or benefit.

2. Payment for credentials (including subsequent renewals) will be by reimbursement. Reimbursement for all requests is subject to funding availability. Under no circumstance will the amount of reimbursement exceed $500 for the combined total expense of all credentials and related expenses such as examinations for a single employee in any given fiscal year.

3. The employee should discuss eligibility for reimbursement with their supervisor before incurring any expense for professional credentials.

4. In preparing for or maintaining a professional credential, employees must comply with the OIG’s policies on personal use of government resources.

5. Payments may include, at the approving official’s discretion, reimbursement for such additional expenses as membership fees, reporting fees, exam fees, registration, and travel costs, so long as payment of the fees is a condition precedent to obtaining a credential. If an OIG employee joins a professional organization for a purpose other than obtaining the credential and does not obtain/maintain the credential, the membership fees will not be reimbursable under the OIG’s Credentials Policy. For example, the OIG will not reimburse employees for membership fees for organizations that are purely social in nature or organizations that host events/educational seminars but do not issue any professional credentials.

6. Supervisors must ensure that the employee has successfully obtained the credential or taken the examination prior to approving reimbursement of costs incurred by the employee.
7. Training expenses normally will be reimbursed under the policies governing training and not under this policy. When an expense associated with training required to obtain a professional credential is not covered under another policy, however, payment may be authorized under this policy.

8. Components shall ensure that criteria for payment of expenses to obtain professional credentials are applied consistent with merit system and equal opportunity principles as set forth in 5 U.S.C. § 2301 and 2302.

418.05 Administration Procedures

Each OIG component will designate a contact person to receive all requests for reimbursement and accompanying receipts under this policy. That person will, as directed by the component head, determine what expenses should be reimbursed and whether there are sufficient funds to do so. Once that determination is made, the contact person will notify the individual seeking reimbursement as to what expenses will be approved, and each individual can then submit those expenses for reimbursement in E2. JP will provide further instructions to each component on how to implement this practice.

Effective Date 5/27/2015

419.00 TELEWORK POLICY

419.01 Introduction

Purpose: This policy establishes the circumstances and terms under which eligible OIG employees may telework to the maximum extent possible without diminishing employee performance or OIG operations.

Authority: Public Law 106-346, Section 359, and The Telework Enhancement Act of 2010 (Public Law 111-292) require each executive agency to establish a policy under which eligible employees may telework to the maximum extent possible without diminishing employee performance or agency operations. There is no right or entitlement to telework.

419.02 OIG Telework Policy

As set forth below, the OIG telework policy provides for Regular Telework and Situational Telework. These terms are defined in subparagraphs (a) and (b) below. An employee’s ability to participate in regular or situational telework is determined according to job position and individual capacity (i.e. position eligibility and individual eligibility). See Section 419.07.
(a) **Regular Telework:**

Regular telework occurs on a recurring and ongoing basis. Regular telework is limited to two days per pay period.

(b) **Situational Telework:**

Situational telework normally occurs on an infrequent basis such as one day per pay period, or one day per month. Situational telework is left to the discretion of the manager, who may approve more frequent situational telework where justified by unusual circumstances. Regular teleworkers may also engage in situational telework.

Situational telework accommodates specific or temporarily defined organizational or employee needs, such as the need to work away from the employer's official worksite occasioned by structural renovations affecting the worksite; short-term localized traffic such as those occasioned by weather conditions; security concerns; or an employee's infrequent, short-term personal situation, injury or illness that precludes commuting to the worksite but does not diminish the employee's ability to work. Accordingly, employees must present a rationale that meets this definition to support their request for situational telework. Situational telework includes emergency situations as defined below.

**419.03 Employee Participation in Telework is Voluntary**

An employee who signs a completed Telework Agreement in which they request to telework may not be required to engage in telework except in response to emergency circumstances as described below, and the availability of telework should not operate to place an undue hardship upon other employees.

**419.04 Goals of the OIG Telework Policy**

The OIG telework policy is intended to achieve five goals:

1. achieving cost efficiencies;
2. maintaining a high level of productivity, for the individual employee and for the OIG collectively;
3. enhanced recruitment, retention, and employee morale;
4. reduced traffic congestion and energy use; and
5. support for continuity of operations (COOP) in emergency situations.

**419.05 The Nature of Telework**

Telework is the mechanism by which an OIG employee performs his/her duties at an alternate location (and does not include merely answering phones/responding to emails when received). Telework includes what is generally referred to as remote work but
does not include any part of work done while on official travel or mobile work. Also, telework as defined in this policy includes working at an alternative site for medical reasons that do not amount to a “reasonable accommodation,” but this policy does not apply to “reasonable accommodations.”

While teleworking an OIG employee occupies the same duty status as his/her colleagues working in their government offices. Telework may not be employed as a means to provide dependent care or attend to other personal responsibilities, nor may it be used as a substitute for leave. A teleworking employee must ensure that dependent care and other non-official activities do not interfere with the employee’s official responsibilities and ability to work.

(a) Reporting to the official worksite on telework days:
   (i) A teleworking employee must be available, upon request, to report to the employee’s worksite or other required location on a planned/scheduled telework day for a variety of reasons including, but not limited to, meetings, briefings, special assignments, emergencies/exigent circumstances, or duties that must be performed at the office or within a limited timeframe(s). The decision to require a teleworking employee to report to the employee’s worksite or other required location rests within the discretion of the respective Component head or Responsible Management Official.

   (ii) The requirement for a teleworking employee to report to the employee’s worksite or other location on a scheduled telework day will neither: (1) serve to terminate the telework arrangement nor (2) entitle the employee to a replacement telework day for the day that the employee was required to report to the employee’s worksite or other location.

(b) Administrative leave, dismissals, and emergency closings:
   (i) For Employees Who Are Scheduled to Telework (Regular or Situational).

A teleworking employee may not cease working when the federal government (or regional office) is closed for all or part of the employee’s scheduled telework day. The factors that mandate the closure (weather, street closings, etc.) do not generally adversely affect the teleworking employee's ability to carry on the employee's duties. Similarly, employees scheduled to telework on the day of an operational status announcement by OPM of other than "open" are expected to work their normal duty hours. For example, an employee whose telework hours are 8 a.m. to 5 p.m. must work those scheduled hours, even if OPM or GSA/OIG announces a delayed arrival or an early dismissal; the employee will not be entitled to credit hours, overtime pay or compensatory time off.

   (ii) For Employees Who Want to Perform Unscheduled Situational Telework.

On days when OPM has listed the Federal government as “open” but allowing use of unscheduled telework, employees must notify their supervisor of their desire to perform unscheduled telework. Supervisor approval is required prior to telework; supervisors will generally grant the employee’s request for unscheduled situational telework on
these days if the employee is eligible and has the necessary equipment and materials to telework and sufficient work to perform at the telework site unless his/her presence is requested at the worksite due to a special work circumstance that both supervisor and employee know about. If the employee does not have the necessary equipment or enough work, the employee must take unscheduled leave or a combination of unscheduled leave and unscheduled telework.

(iii) For Employees Who Are “Telework Ready” (i.e. Telework Eligible and Have Signed Completed Telework Agreements).

On any workday that the Federal government (or regional office) is closed:

a. The Deputy Inspector General may, as appropriate and in accordance with the employee’s Telework Agreement, for mission-related purposes, direct telework-ready employees to telework in lieu of being granted administrative leave. Similarly, component heads, as appropriate for mission related purposes, also may direct that telework-ready employees in their organization telework in lieu of being granted administrative leave.

A telework-ready employee who is required to telework when the Federal Government (or Regional Office) is closed is not entitled to receive overtime pay, credit hours, or compensatory time off for performing work during the employee’s regularly scheduled hours. Moreover, the telework-ready employee must work his/her full tour of duty for the entirety of the period directed by management

b. Telework-ready employees who are not directed (by the DIG or component head) to work may choose to telework when the Federal government is closed. The employee will not be entitled to credit hours, overtime pay or compensatory time off for any hours voluntarily worked.

c. The OIG will grant an excused absence (i.e. administrative leave) to:
   i. Employees not telework-ready;
   ii. Telework-ready employees who are not directed (by the DIG or component head) to work and do not volunteer to work; and
   iii. Telework-ready employees who do not have sufficient work, resources, or an appropriate environment to telework.

(iv) A teleworking employee may be granted an excused absence (i.e. administrative leave) for the amount of time Federal offices are closed when it is not possible to telework due to:

a. the emergency situation adversely affecting the telework site (e.g., disruption of electricity or internet connection, loss of heat, lack of alternative dependent care, etc.); and/or

b. the teleworking employee’s duties are such that the employee cannot telework or continue to telework without contact with the employee’s regular worksite (e.g. to accomplish the assigned tasks the employee needs to be in contact with someone who is not teleworking).
(c) Continuity of Operations (COOP):

The telework policy is intended to be used to support the OIG’s COOP plan. When a COOP emergency is declared, the COOP plan controls.

419.06 Responsibilities

(a) Requirements for Deputy Inspector General (DIG):

The DIG must decide whether, on any day that the Federal government (or regional office) is closed, to require for mission-related purposes that telework-ready (i.e. telework eligible and have signed completed Telework Agreements) OIG employees perform telework. For purposes of this policy, the DIG functions as a component head for employees who report directly to the DIG.

The DIG has authority to review component head initial determinations that a position is ineligible for regular or situational telework. The DIG may exercise this authority as deemed appropriate, e.g., where the determination may impact another component as well. In making this determination, the DIG will consider the comments of JC and JP. The component head’s initial determination becomes final in the event the DIG declines to exercise this review authority.

(b) Requirements for OIG Component Heads:

OIG component heads are required to determine, in the first instance, which positions within their respective components are ineligible to participate in telework. See Section 419.02 and 419.07. The component head will determine whether a position, based on OIG mission and organizational needs and position duties and responsibilities, is eligible for regular or situational telework. Initial determinations that a position is ineligible for regular or situational telework must be (1) made in writing, (2) provided to JC and JP, (which includes the Telework Management Official) for comment, and submitted to the DIG for review.

Component heads also must determine if any telework-ready employee in their organization who is not scheduled for telework should be required, for mission-related purposes, to telework when the Federal government (or regional office) is closed. These responsibilities may not be delegated.

(c) Requirements for Responsible Management Officials (RMOs), Regional Inspectors General for Auditing (RIGAs), Special Agents in Charge (SACs), Division Directors, and other supervisors:

(i) Determine and notify each employee under their supervision whether or not they are eligible to telework. This determination should be made within 10 days of receipt of the employee’s signed Telework Agreement form. RMOs may, in accordance with the eligibility criteria set forth in Section 419.07, Eligibility, and Appendix 1:
• deny a telework request;
• modify an existing Telework Agreement;
• terminate an existing Telework Agreement; or
• determine that an employee is ineligible for telework.

(ii) Decide whether to require an employee to come to the office on a regular telework
day in accordance with section 419.05(a) of this policy.

(iii) Decide whether to grant or deny a request for situational telework. In evaluating
any request, consideration should be given to productivity, operational needs and
mission, the basis for the request, and other factors such as those described in section
419.07(b) and Appendix 1. A request may be denied for any legitimate, articulable
business reason, including consistency with the purposes for situational telework or a
failure to provide a sufficient rationale to support the telework request. As an example,
if the employee offers a doctor’s note indicating that he/she cannot come to the office
for medical reasons but can work at home, the manager can still deny a request for
situational telework if the employee does not have the necessary equipment and
materials to telework and sufficient work to perform at the telework site. Supervisors
must treat all requests for situational telework the same and consider whatever
information the employee offers.

(iv) Approve blanket authorizations for situational telework under unusual
circumstances (for example, when extended situational telework would facilitate the
employee’s completion of a specific, longer-term work assignment/project or the
employee’s treatment of or recovery from a temporary medical condition that does not
require a reasonable accommodation). Employees who perform extended situational
telework under blanket authorizations that allow them the discretion to take leave or
telework on an ongoing daily basis shall complete logs. See Appendix 3. These logs,
which track teleworking hours and assignments, help ensure that supervisors know
when an employee teleworks and what they are working on and that information can be
accurately entered into the OIG’s time and attendance records system.

(v) Revoke a Telework Agreement based on the factors in Section 419.07(b)(ii) or
Appendix 1 and should promptly terminate an existing Telework Agreement if any of the
factors in Section 419.07(b)(iii) occur.

(vi) Advising their component head when their office may be closed due to an
emergency so the component head can decide whether, for mission-related purposes,
to require telework-ready employees to telework. For tracking purposes, the Deputy
Assistant IG for Administration (JP) must be notified when an office is closed.

(d) Requirements for OIG Employees:
(i) All OIG employees must sign a Telework Agreement, as specified in Section
419.09. In summary, any employee who declines to telework should so indicate on the
Telework Agreement. All OIG employees who may want to telework, even if only in an
emergency situation, are required to complete the Telework Agreement and must comply with the requirements in this policy.

(ii) Each employee who teleworks must ensure that the responsible timekeeper is informed of the teleworking hours and basis for telework (i.e. regular or situational and, if situational, whether due to an emergency closure), so the information can be accurately entered into the OIG’s time and attendance records system.

(e) Requirements for Telework Managing Official:
(i) Develop and implement policy related to the OIG’s telework program.

(ii) Advise OIG leadership, including the Inspector General, the Deputy Inspector General, the Associate Inspector General, supervisors and employees about telework requirements.

(iii) Be a primary point of contact for the Office of Personnel Management on telework matters.

419.07 Eligibility

Position eligibility: All positions within the OIG are eligible for telework for up to two days per pay period unless a component head determines that a position is ineligible for either regular or situational teleworking, or both. The component head will consider OIG mission and organizational needs and position duties and responsibilities when making initial eligibility determinations. See section 409.06 for review responsibilities.

Individual eligibility: Eligibility of individual employees to participate in the OIG Telework Program is determined by the RMO under the criteria set forth in Appendix 1 in the manner set forth in subparagraphs (a) and (b) below. Even if a position is determined to be eligible for telework, the number of permitted telework days may be limited due to work requirements such as those described in the first bullet under (b)(ii) below.

(a) Determining eligibility:

The RMO or his/her designee shall determine the eligibility of each employee who requests to telework on a case-by-case basis. In arriving at this determination, the RMO or his/her designee must apply, as appropriate, the factors set forth in subsection (b)(ii) and Appendix 1 to the facts of each case so as to reach a conclusion as to the employee’s eligibility to telework. If the RMO or his/her designee determines that the employee is eligible to telework, then the employee is eligible to do so after the Telework Agreement is signed by the required parties. See Appendix 2. The RMO may revoke an eligibility determination at any time based on the factors below or in Appendix 1.

(b) Ineligibility:
(i) An OIG employee is ineligible to participate in the OIG Telework Program if any of the conditions in the list below exist with respect to the employee. The RMO or his/her
designee may, but is not required to, grant a waiver and permit an otherwise ineligible employee to telework when he/she determines that doing so is in the best interest of the RMO’s component; the component head must concur in any waiver which allows teleworking for employees with conduct or performance issues (i.e. the final disqualifying factor listed in Section 419.07(b)(ii)). An employee determined to be ineligible under (ii) or (iii) below may not be required to telework in an emergency situation.

(ii) Disqualifying factors:

- Unsuitability of the employee’s duties to telework, e.g., work that involves materials that cannot be removed from the worksite; work that requires the employee’s presence at the primary worksite; work that requires daily face-to-face contact; or work that cannot be handled remotely or at an alternate worksite.
- Unavailability of necessary materials at the alternate worksite.
- Degradation of workplace efficiency that would be created by the employee’s teleworking, e.g., an adverse impact upon the productivity or morale of the employees at the worksite, or the supervisor’s ability to manage operations at the worksite.
- Instances of conduct that raise objectively reasonable concerns about the employee’s ability to perform his/her duties at an alternate worksite, such as not timely responding to phone calls, emails, or instant messages from managers and/or co-workers.
- History of unexcused absences or other attendance and availability issues inconsistent with telework.
- Deficiency in the employee’s ability to work independently (especially in developmental or trainee positions).
- Failing to timely report back to the official worksite when required to do so without good reason.
- Failing to comply with management’s need to change the employee’s telework schedule.
- Within the past two years, failing to achieve a performance rating of record at least at the “meets expectations” level, and/or conduct resulting in disciplinary action.

(iii) As stated in the Telework Enhancement Act, an employee may not telework if the employee has been officially disciplined for conduct as follows:

- For being absent without permission for more than 5 days in any calendar year; or
- For violations of subpart G of the Standards of Ethical Conduct for Employees of the Executive Branch for viewing, downloading, or exchanging pornography, including child pornography, on a Federal Government computer or while performing official Federal Government duties.
**Extended Situational Teleworker – Daily Log**

Employee: ___________________________ Pay Period: ___________________________

<table>
<thead>
<tr>
<th>Day/ Date (M-F only)</th>
<th>Actual Times Spent Working in Office</th>
<th>Actual Times Spent Teleworking</th>
<th>Hours Worked</th>
<th>Matters Worked On While Teleworking</th>
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Total Hours Worked for First Week: _______ Hours

|                      |                                      |                               |              |                                    |
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|                      |                                      |                               |              |                                    |
|                      |                                      |                               |              |                                    |
|                      |                                      |                               |              |                                    |

Total Hours Worked for Second Week: _______ Hours

Total Work Hours for Pay Period: ___________ Hours

Total Leave Hours for Pay Period: ___________ Annual ___________ Sick ___________ Other

**NOTE:** Completing this form is **not** a substitute for submitting leave slips and ensuring that leave and telework are properly recorded in the OIG’s time and attendance records system.
The RMO or his/her designee cannot grant a waiver of ineligibility for these conduct-related disqualifying factors.

419.08 Pay, Leave, Etc.

(a) While teleworking an employee is bound by all of the laws, rules, regulations, and policies that govern the conduct of a GSA/OIG employee on duty at the employee’s regular government worksite.

(b) The rules for overtime apply to teleworking employees. Under those rules, for example, a teleworking employee exempt from the Fair Labor Standards Act may not be reimbursed for overtime work unless previously approved and ordered by management.

(c) A teleworking employee is eligible to participate in any OIG programs that are available to employees generally (e.g., Alternative Work Schedule). However, the approval of the teleworking employee’s daily work schedule remains within the purview of the employee’s individual Component head, RIGA, SAC, or Division Director.

419.09 Telework Agreements

All OIG employees must sign a Telework Agreement, as follows. All OIG employees who do not want to telework must complete Sections A (identifying information), B (election not to telework) and F (certification/signature). All OIG employees who wish to telework, including regular, situational and emergency teleworkers, must sign and complete the entire Telework Agreement and obtain approval from their RMO prior to teleworking. The terms of the agreement must be acceptable to the RMO and the employee. See Appendix 2.

(a) Work Schedule and Work Status:
If not otherwise specified, an employee’s telework hours will be the same as the employee’s official worksite duty hours. An employee’s telework hours may be varied by the RMO and the teleworker as documented in the Telework Agreement, so long as they are consistent with the OIG policy on work hours. The Telework Agreement will also address the employee’s telework options on days when the Federal government is closed.

(b) Work Assignments:
Supervisors must ensure an equitable distribution of work assignments among employees regardless of worksite.

(c) Performance Management:
A teleworking employee is required to perform in accordance with the employee’s performance standards and adhere to the terms and conditions of his/her Telework Agreement.
(d) **Alternate Worksites:**
(i) An employee who is approved to Telework will certify the safety of his/her alternate worksite as required in the Telework Agreement *(Appendix 2).*

(ii) High speed internet access utilizing cable, digital subscriber line (DSL) or fiber optic service is required at the alternate worksite, and it is a necessary precondition to a regular Telework Agreement (and may be required for situational telework). The choice of an internet service provider and the actual procurement of the employee’s internet service is the responsibility of the employee, as are all charges for installation, maintenance and repair of related equipment. JPM (i.e. the OIG IT Service Desk) will not support the configuration, operations or installation of any of the equipment specified above.

(iii) OIG telecommunications devices (such as Aircards, USB Cellular Modems, MiFi/Jetpacks and Tethered iPhones) are not a substitute for high speed internet access and shall not be used for regular or situational teleworking. Supervisors, however, may approve the use of these devices for situational telework in limited circumstances.

(iv) The teleworking employee is responsible for the set-up and maintenance of his/her alternate worksite and associated personal equipment including telecommunications devices, office automation equipment and related supplies. It is the employee’s responsibility to ensure that the alternate worksite provides the work environment, connectivity, technology, resource access, and security consistent with the work effort in which the employee is engaged. Employees are expected to provide their own printers and other needed peripherals, and employees who need additional peripherals to successfully telework but are unwilling to self-acquire them generally will not be approved to telework. Employees are responsible for ensuring that personally identifiable information (PII) or other sensitive information is not inappropriately disclosed or retained on their printers at home.

**419.10 Training**

A teleworking employee must take the following training prior to teleworking. This training is available through the [http://www.telework.gov](http://www.telework.gov) website.
Telework.Gov Training

**419.11 Information Technology (IT) - Generally**

Only OIG-furnished laptops may be used to gain access to the OIG network. OIG-furnished laptops are specifically designed and configured to meet OIG IT requirements and satisfy security mandates. Teleworkers must observe all Agency and OIG IT security requirements. These requirements are available on the OIG Intranet and GSA’s InSite, and which include IT Rules of Behavior; security of wireless networks; and encryption of laptops and portable media. See also 419.09 (d) (4).
The following guidelines are applicable to all OIG teleworkers:

(a) Obtaining Computer Hardware for Telework - Issuance of Computers:
For purposes of this policy, the OIG (JPM) will provide and support one laptop computer per teleworking employee for use at the employee’s official and alternate worksites.

(b) IT Support for Employees Teleworking:
JPM will not provide support at alternate worksites. Support will be provided remotely from the JPM IT help desk or at the nearest OIG location to which replacement parts may be dispatched.

(c) Printers and Printing:
JPM will configure a teleworking employee’s laptop to a printer at the alternate worksite. JPM will not support a wireless printer on an OIG computer due to current security protocols; any employee who wishes to use a wireless printer should consult with JPM.

(d) OIG VPN Usage:
Only OIG furnished laptops will be able to access the OIG network through the OIG Virtual Private Network (VPN) connection. All OIG furnished laptops are configured to meet the security regulations required including security scans, encryption, and two factor authentications. The OIG VPN system is designated to verify the basic security of OIG furnished laptops prior to finalizing connection to the OIG network. Any system which fails these security tests will be prevented from accessing the OIG network as a security precaution to protect the OIG network.

(e) Loss of Equipment:
Any employee who has a telework related IT device that is lost or stolen must immediately report that loss to the JPM Help Desk in accordance with GSA IT Security Policy (GSA Order CIO P2100.1I) and Rules of Behavior (GSA Order CIO 2104.1A). (JPM contact information can be found on the OIG internal website http://go.gsaig.gov.) The JPM Help desk will notify the appropriate Information System Security Officer who will begin the incident response process. Other notifications by the employee may also be required. For example, equipment lost or stolen outside of Federal facilities must first be reported to the local police that has jurisdiction and then to the OIG upon returning to the office. All OIG teleworkers should review the GSA IT policies frequently.

(f) Authorized Users:
OIG employees must ensure that no one else is permitted to use their OIG-furnished laptops or the OIGVPN connection while they are teleworking.

(g) Dual Homing:
Teleworking employees may not connect their OIG-provided laptops to a network other than the OIG Virtual Private Network in a Dual Homing Configuration, except at the direction of JPM to provide remote service. Examples of impermissible dual homing include, but are not limited to, “goto my pc” and “bomgar”. 

(h) Phone coverage
Teleworking employees must have adequate phone coverage to ensure others can readily communicate with them on work-related matters. For regions that have the OIG’s Voice-Over-Internet-Phones, the JPM IT Help Desk can assist with configuration for your laptop.

419.12 Definitions

Alternate Worksite - A worksite other than an OIG worksite. Presently, the only alternate worksite authorized under this policy is a space located in the employee's residence. However, a supervisor may authorize telework from a different location on a case-by-case basis if circumstances warrant.

Component Head - The Assistant Inspectors General; the Counsel to the Inspector General; the Associate Inspector General; and the Director of Inspections and Forensic Auditing.

Emergency Situation - Includes national security situations; extended (man-made or natural) emergencies; or other unique situations upon which the Agency/OIG is closed or access to the official facilities is compromised.

Medical Telework - Alternative worksite arrangement (full or part-time bases) made in connection with an employee’s request due to a temporary medical or health condition. Examples include recovery from injury, surgery, or prolonged illness, or a communicable disease.

Mobile Work - Routine and regular travel to conduct work in customer or other worksites as opposed to a single authorized alternative worksite (e.g., site audits, site inspections, investigations, property management, traveling between worksites, or on Temporary Duty (TDY)).

Official Worksite - Pursuant to 5 CFR §531.605, an employee’s official worksite generally is the location where the employee regularly performs his or her duties when he/she is not teleworking.

Responsible Management Official (RMO) - The supervisor with whom an employee agrees to the terms of the employee’s Telework Agreement including, but not limited to, the Counsel to the Inspector General; the Director of Inspections and Forensic Auditing; the Regional Inspectors General for Auditing; and the Special Agents In-Charge.

Telework – An approved work arrangement at a site other than an employee’s official worksite. Telework does not include any part of work done while on official travel or mobile work. Also, telework does not include alternative worksite arrangements made in response to permanent medical or health conditions (i.e. “reasonable accommodation” requests).
Telework Agreement - A written agreement completed and signed by an employee and appropriate official(s) that outlines the terms and conditions of the telework arrangement.

Telework Management Official – An established position within the OIG (JP) responsible for: (a) policy development and implementation related to the OIG's telework program; (b) advising OIG leadership, including the Inspector General, the Deputy Inspector General, the Associate Inspector General, supervisors and employees; (c) being a primary point of contact for the Office of Personnel Management on telework matters; and (d) performing other duties as assigned.

Telework-ready – all OIG employees who are eligible to telework because they have a completed, signed and approved Telework Agreement wherein the employee has chosen to participate in telework.

Teleworker - An OIG employee who is approved for telework and performing OIG work at an alternate worksite.

Effective Date 1/5/2015

420.00 OIG POLICY ON COLLABORATIVE RESOURCES AND SOCIAL MEDIA

The OIG follows GSA's Information Technology (IT) security policies, which include CIO P 2100.1I (IT Security Handbook), CIO 2104.1A (IT General Rules of Behavior), CIO 2160.2B Electronic Messaging and Related Services), and CIO 2106.1 (Social Media Policy) to the extent they do not conflict with the OIG mission. The OIG also may expand on those policies through separate OIG policies. This policy sets out additional rules governing OIG employee access to GSA collaborative resources, social media and similar IT systems that provide individuals an opportunity to create and share content. Examples of such systems include Chatter, Facebook, Twitter, SalesForce, LinkedIn, Gmail, Gcal[endar], Google Chat, Google Talk, Google Docs, Google Groups, Google Sites and Google Drive.

Please note that the GSA Google cloud accounts created by JPM for OIG employees, also known as GSA alias accounts, automatically grant access to many of these collaboration tools and require employees to follow the rules and responsibilities identified in section 420.02. OIG personnel may only obtain access to alias accounts for official purposes.

420.01 Applicability
This policy applies to all OIG authorized users, which include employees, contractors or other third parties who: (1) process or handle any OIG-owned information, data or IT equipment; or (2) access OIG IT systems to conduct business on behalf of, or with, the OIG.

420.02 Rules and Responsibilities

The following rules and responsibilities apply to all OIG authorized users, in addition to those set forth in GSA policy.

- OIG authorized users generally will have read-only access to collaborative resources, social media and similar systems maintained by/for GSA or the OIG (i.e. OIG authorized users may not create, add, delete, or otherwise modify data). Supervisors may authorize more than read-only access as appropriate.

- All OIG-generated or sourced information placed by an OIG authorized user on a GSA or OIG collaborative resource, social media or similar system without prior authorization from an OIG supervisor will be deleted upon discovery.

- OIG authorized users should assume that any information posted on a GSA or OIG collaborative resource, social media or similar system will be further disseminated.

- OIG authorized users acting in their official capacities generally should not, without prior supervisory authorization, create or share content (e.g., post comments) that can be attributed to the OIG on GSA collaborative resources, social media or similar systems.

- OIG authorized users may submit requests to administrators of GSA collaborative resources, social media or similar systems for additional access/permission rights in situations where upgraded access is required to read content (e.g., Google Group moderator grants OIG authorized user with system access in order to view group posts, articles, documents, etc.). Users that gain upgraded access in this manner are not authorized to create or share content without supervisory approval.
420.03 Penalties for Non-Compliance

Users who do not comply with this policy may have their access to specific GSA and/or OIG collaborative resources, social media or similar systems revoked and may incur disciplinary action – up to and including termination – as well as civil liability.

Effective Date 1/26/2015

421.00 ELECTRONIC MEDIA AND OFFICIAL RECORDS

The Office of Inspector General (OIG) follows GSA’s Record Maintenance and Disposition System, CIO P 1820.1, except to the extent it is inconsistent with any OIG policy. This chapter contains the OIG’s policy on the creation and preservation of agency records in electronic media format. Although employees are not encouraged to create agency records in electronic format, such as Instant Messaging (IM), this policy requires each OIG employee to ensure that all agency records existing in electronic media, whether created or otherwise used by the employee, are kept in an official agency file system. These records must then be preserved in accordance with National Archives and Records Administration approved records retention schedules and litigation hold requirements. JPM is authorized to destroy former employee’s data, as defined below, after an employee has been gone for 90 days and neither JC nor the employee’s supervisor, after being notified, have advised that the records are needed for litigation or other purposes.

421.01 Requirement to Preserve Records

44 U.S.C. § 3101 requires that the “head of each Federal agency shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.”

421.02 Definition of Agency Records

As 44 U.S.C. § 3301 defines, a record is any item, “regardless of physical form or characteristics,” that is “evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government” or that is appropriate for preservation “because of the informational value of the data” in it. GSA’s Record Maintenance and Disposition System, CIO P 1820.1, chapter 2, provides guidelines for determining whether an item is an agency record, and employees must consult that document for complete guidance. In abbreviated form, an item generally IS NOT a record if:
• It does not contain substantive information about agency business (for example, communications setting up meeting times are generally not substantive);

• It was created solely for an employee’s personal convenience; or

• It is only a duplicate of the official copy of an item (there is only one official copy of any record – identical versions are not required to be preserved).

An item most likely IS a record if:

• It was distributed to agency employees in order to perform agency business (such as approval, comment, action, recommendation, follow-up, or to communicate with agency employees about agency business);

• the agency required the item to be created;

• It is kept in agency files (as opposed to an employee’s possession); or

• It is duplicated from the official copy of a record, but the duplicate has been annotated, and the annotations add to an understanding of the agency’s policies, decisions, actions, or responsibilities.

421.03 Electronic Media

GSA OIG employees have access to a wide variety of electronic media that make job performance more efficient. These media include electronic mail, instant messaging, text messaging, video chatting, video teleconferencing, voicemail (through desktop and mobile phones), VOIP, digital photography (including mobile devices), documents created on iPhone and iPad devices, and web-based social media platforms. In addition, employees have access to portable media storage devices, including CDs, DVDs, flash drives, and external hard drives (as well as OIG network drives and laptop or desktop hard drives). We anticipate that these options will continue to expand.

421.04 Use of Electronic Media to Conduct Agency Business

When an employee conducts substantive agency business in any written format, he or she must preserve the record in an official OIG file system (defined in section 420.05). Official OIG file systems meet the recordkeeping standards established by the National Archives and Records Administration. Many electronic media systems, however, do not qualify as official agency file systems. For example, email, voicemail, and VOIP are regularly used to conduct agency business, but they are not appropriate file systems. Therefore, any agency record in an electronic media format must be maintained in an official file system (for example, printing or scanning an email, saving a digital recording to an electronic file, or transcribing a phone call or voicemail message and subsequently saving the converted document in an official file).
421.05 Official OIG File Systems

The OIG has several official file systems, including:

- IG-IDEAS
- TeamMate
- Counsel Information System (CIS)
- Local shared drives, where the shared drive is approved by an OIG office head as a repository for official agency records
- Paper files and portable media (i.e., CDs, DVDs, and thumb drives), where this is an office’s approved method of maintaining official files
- Individual network drives, as approved by supervisors, in those instances in which sensitive materials must not be accessible by other members of an office (for example, a supervisor’s materials regarding employee performance or discipline, or electronic copies of leave submissions)
- Some GSA-operated web-based systems constitute appropriate record storage media, such as Pegasys and E2 (notably, these systems are appropriate for storing OIG financial and travel records. When financial and travel records are used as evidence in an investigation, the investigating office should preserve an additional copy in its official file system)

As noted above, employees’ inboxes, email archives, and voicemail inboxes are not official file systems and cannot be used to store official agency records.

421.06 Transfer of Records to Official File Systems

Because many electronic media are transient, and because employees may not remember to transfer records if they delay in doing so, employees who use portable electronic devices to conduct substantive agency business should preserve them as soon as possible. The preserved record must contain all pertinent information, including metadata, that is needed to meet agency business needs, such as the names of sender and all participants, the date, and any attachments that are an integral part of the record. These documents should be saved into an official file system within five workdays of creation or receipt, as follows:

- Email: employees should save emails (or printed or PDFed copies of emails) in an official file system.
- Instant messaging: employees should save the conversation into an official file system by selecting “Save Chat As…” from the IM window’s “File” menu as soon
as they have completed the conversation. (This method preserves more metadata than saving the text of the conversation in a Word document.)

- Text messaging, and iPhone and iPad documents: employees should email copies of conversations to themselves as soon as the conversation or document is finished, and save the email in an official file system.

- Digital photography: employees should send photographs to themselves via email, and save the email in an official file system.

- Video chatting and Video Teleconferencing (VTC): at this time, these materials are not preserved, with the exception of employee training presentations. JPM’s assistance is necessary to record training presentations.

- Voicemail messages: employees should save digital voicemail messages which constitute official agency records as digital recordings in an official file system, with the assistance of JPM. If the message is in an analog voicemail system (i.e., on a phone that does not have VOIP), the employee should transcribe the content of the message and save the transcription in an official file.

- Portable media and items on network and hard drives: except where these media are part of an office’s approved method of maintaining official files, employees should transfer records stored on these media into an official file system.

- Other platforms, including web-based: employees should save these materials in the format best suited to preserve the entire content (i.e., pasting text into a document; making a screen capture; saving a webpage using the “Convert Web Page to PDF” tool; etc.), and save the material in an official file system.

421.07 Former Employee’s Data

As noted above, employees have an ongoing duty to preserve documents in an official agency file system. “Former employee’s data” means electronic data that was stored by the employee such that only he/she had access to it (ex: email, hard drive (C: drive), individual network drive (I: drive), portable hard disk drives, external memory storage media and devices), and accordingly it is not in an official agency file system. JPM will coordinate with JC to determine if a former employee is on a litigation hold or if that employee’s data should be retained for litigation purposes. Even though all employees are required to preserve documents in official agency file systems, the OIG will err on the side of document preservation when litigation is involved.

When an employee leaves the OIG, in addition to coordinating with JC, JPM will notify the former employee’s supervisor(s), who will assess whether agency records are being kept outside of an official agency file system and, as appropriate, migrate the former employee’s data into an official agency record, another OIG employee’s files or a group
repository (e.g. H: drive) per the standards and procedures described in sections 421.01 to 421.06. The former employee’s supervisor(s) may request that the files be retained for some period of time while the migration is completed.

If neither JC nor the former supervisor advise that the records have to be preserved for litigation or other purposes, then JPM can destroy the former employee’s data 90 days after an employee leaves the OIG. If JC or the supervisor ask for the records to be kept, then JPM will preserve them until they are advised that the records can be destroyed.

Effective Date 12/12/2013

422.00 PURCHASE AND USE OF KITCHEN APPLIANCES

On June 25, 2004, the Government Accountability Office (GAO) issued a decision (#B-302993) that concluded agencies may use appropriated funds to purchase certain kitchen appliances when the primary benefit of their use accrues to the agency, notwithstanding a collateral benefit to the individual.

Pursuant to GAO’s recommendation, the OIG is adopting this policy to ensure uniformity in the use of appropriations to acquire kitchen appliances and in the determination of the usefulness of appliances in light of operational benefits and the responsibility to provide a safe work environment.

This policy applies to kitchen appliances such as refrigerators and microwave ovens located in areas accessible to multiple employees.

422.01 Policy

The use of appropriated funds to purchase kitchen appliances is proper when the primary benefit stemming from the use of such appliances accrues to the agency and not to individual employees. All requests for the purchase of kitchen appliances shall be forwarded to JPF for initial review to ensure that appropriate space and conditions exist for the type of kitchen appliance(s) proposed for purchase.

If space and other requirements are met, JPF will forward the request to JP for appropriate internal coordination and final approval. Once a final decision is made, the request will be returned to the requestor. If approved, the requesting component’s operational funds will be used to fund the kitchen appliance. Funding must be available in the component’s operational budget. In any given year, no component may spend more than a minimal amount of its operational budget on such purchases, and the cost of each appliance must be kept to a reasonable amount. The requesting component should be mindful of the current budget climate before requesting the appliance.
Upon purchase, kitchen appliances will become attached or installed equipment, and removal from the facility at any time and for any purpose except as is necessary for approved repairs and general maintenance is prohibited. Notwithstanding the above provision, appliances may be moved if OIG operations at a particular location are moved to other facilities.

**Note:** OIG funds may not be used to pay for goods consumed in the use of the appliances (for example, microwavable frozen foods), which are the responsibility of employees using those appliances.

### 422.02 Procedures

1) Upon identifying the need for kitchen appliance(s), in accordance with the business need justification criteria in this policy, the OIG component head or designee shall submit a request to JPF. That request should contain, at a minimum, the following information:
   a) Building Name/Number
   b) Room Number(s)
   c) List and quantity of kitchen appliance(s) that have been identified along with power requirements and approximate dimensions

2) If JP authorizes the purchase, the requesting OIG Component may then purchase the kitchen appliance(s) using existing procurement mechanisms including the SmartPay/IMPAC Card or a properly executed purchase request (PR).

### 422.03 Business Need Justification: Criteria

The justification of business need submitted by the requesting OIG Component to JPF for the purchase of kitchen appliance(s) must demonstrate that the worksite to receive the kitchen appliance(s) meets the following criteria.

1) The area in which the appliance(s) is to be placed is centrally located and accessible to multiple employees.

2) The employee population that will be receiving and utilizing the appliance justifies the size and type of item needed.

3) The purchase of the kitchen appliance will be a benefit to the agency, and not just to individual employees.
Effective Date 11/15/2013

423.00 CONFERENCE PROCEDURES

423.01 Purpose and Scope

Pursuant to Office of Management and Budget (OMB) Memoranda M-12-12 (“Promoting Efficient Spending to Support Agency Operations”) and M-11-35 (“Eliminating Excess Conference Spending and Promoting Efficiency in Government”), the Office of Inspector General (OIG) for the General Services Administration (GSA) adopts the following procedures and internal controls for OIG conference expenditures.

These procedures and controls provide accountability and transparency regarding OIG conference expenditures, ensure that all conference expenses and activities comply with both the Federal Travel Regulation (FTR) and the Federal Acquisition Regulation (FAR), and are justified by the mission needs of the OIG. Pursuant to M-12-12, these procedures and controls apply to conference sponsorship, conference hosting, or attendance of OIG employees at conferences sponsored or hosted by other Federal or non-Federal entities.

423.02 Definitions

Conference – As defined in OMB Memorandum M-12-12 and the Federal Travel Regulations, a conference is “[a] meeting, retreat, seminar, symposium or event that involves attendee travel. The term ‘conference’ also applies to training activities that are considered to be conferences under 5 C.F.R. 51-0.404.” The term “conference” for the purpose of this policy shall mean an organized and formal meeting, whether conducted face-to-face or through the use of information technology, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, whether or not a published report results from such meeting, where at least one OIG employee will incur reimbursable official travel expenses—i.e. non local travel expenses. However, to the extent a meeting or event requiring only local travel also includes expenses for registration, exhibitor, conference or other key indicia of a conference, such event shall be deemed a conference.[1]

[1] “Agencies may sponsor an employee’s attendance at a conference as a developmental assignment under section 4110 of Title 5, United States Code, when—(a) The announced purpose of the conference is educational or instructional; (b) More than half of the time is scheduled for a planned, organized exchange of information between presenters and audience which meets the definition of training in section 4101 of Title 5, United States Code; (c) The content of the conference is germane to improving individual and/or organizational performance, and (d) Development benefits will be derived through the employee’s attendance.” 5 C.F.R. § 410.404.
The term “conference” for the purpose of this policy does not include training that is not at a conference (e.g., lectures or other training where the primary focus is to listen to or learn from the presenter), meetings related to operational functions such as technical and administrative site visits, normal mission-related travel by any OIG employee to conduct OIG business in connection with a specific review, investigation or audit (e.g., travel to meet with an auditee, or witness in an investigation or review), whether conducted face-to-face and/or through the use of information technology. Nevertheless, in arranging these events, managers should keep in mind M-12-12’s instruction to reduce travel costs as much as possible without impairing the effective accomplishment of the agency’s mission.

Any question about whether a meeting is a conference under this policy should be discussed with JP or JC.

Conference Expenses - all costs paid by the Government for a conference, whether paid directly by agencies or reimbursed by agencies to travelers or others associated with the conference (e.g., speakers, persons contracted to plan the conference or assist with the conduct or logistics of the conference, etc.). Such costs include, but are not limited to, the cost of pre-conference planning activities, travel to and from the conference, ground transportation, lodging, meals and incidental costs, meeting room rental, audiovisual costs, registration fees, speaker fees, honoraria, other conference-related administrative fees, and the cost of employees time spent on en route travel and at the conference. Conference expenses, as defined in M-12-12, do not include Federal employee time (i.e. salary expense) for conference preparation, and conference fees should be net of any fees or revenues received by the agency through the conference and should not include costs to ensure the safety of attending government officials.

Training - the process of providing for and making available to an employee, and placing or enrolling the employee in a planned, prepared, and coordinated program, course, curriculum, subject, system, or routine of instruction or education, in scientific, professional, technical, mechanical, trade, clerical, fiscal, administrative, or other fields, which will improve individual and organizational performance and assist in achieving the agency’s mission and performance goals (5 U.S.C. § 4101).

Official Travel - “Travel under an official travel authorization from an employee’s official station or other authorized point of departure to a temporary duty location and return from a temporary duty location, between two temporary duty locations, or relocation at the direction of a Federal agency.” (41 C.F.R. § 300-3.1) The regulation also defines “official station” as “an area defined by the agency.”

GSA Internal Travel Regulations and Control of Official Travel (Order) sets forth GSA’s rules concerning travel. (GSA Order PFM P 4290.1 (Aug. 8, 2004)) Importantly, the Order does not require authorization for local travel. Generally, local travel is defined in the Order as the usual commuting area of the official station—the area “served by local transportation facilities such as buses, streetcars, subways, taxicabs, boats and
trains.” In the Washington, DC metropolitan area, the local travel area is established as: the District of Columbia, the cities of Alexandria, Fairfax, and Falls Church in Virginia; Arlington and Fairfax Counties in Virginia; and Montgomery and Prince George’s Counties in Maryland. Since the Order does not require authorization for travel within these areas, this conference policy does not interpret meetings or events in which only local travel expenses are incurred to be within the meaning of M-12-12’s definition of conferences.

423.03 Designation

Executive Order 13589 states each agency, agency component, and office of inspector general should designate a senior level official to be responsible for developing and implementing policies and controls to ensure efficient spending on travel and conference related activities. That person for the OIG shall be the Assistant Inspector General for Administration (AIG for Administration).

423.04 Conferences Hosted or Sponsored by the OIG

423.04A Planning

Each office within the OIG that plans to host or sponsor a conference – including the Office of Audits (JA), Office of Counsel (JC), Office of Inspections and Forensic Auditing (JE), Office of Investigations (JI) and Office of Administration (JP) -- should prepare a conference plan as a means for the OIG to ensure the proper use of funds for all conferences, including conferences that are considered training activities.

Each OIG office should explore the use of videoconferencing as a viable option for conferences within the OIG. Funding should always be a consideration in creating the plan. OIG office conference plans must be approved by the head of the office, or his or her designee.

Each office shall submit its conference plan to the AIG for Administration at least six weeks before any planned conference. The AIG for Administration will then submit them to the Deputy Inspector General (DIG) for preliminary approval.

423.04B Approval Requirements

Pursuant to OMB M-12-12:
A. The DIG must approve the spending for all future conferences hosted or sponsored by the OIG, or by other Federal or non-Federal entities, where the net conference expenses by the OIG will be in excess of $100,000.

B. Any planned conference hosted or sponsored by the OIG, or by other Federal or non-Federal entities, for which the net expenditures by the OIG would exceed $500,000 must be pre-approved by the Inspector General (IG). In order for the conference to be
approved, the IG must make a determination, in writing, that a single conference is the most cost-effective option to achieve a compelling purpose.

In addition, the DIG must approve ALL other conferences hosted or sponsored by the OIG.

### 423.04C Process for Requesting Approval

OIG offices planning to host or sponsor a conference -- for training or non-specific operational purposes -- shall submit the "GSA OIG Request for Approval of Conference" sheet (OIG Conference Sheet) (Appendix 1) to the AIG for Administration. This approval form needs to be completed for all conference requests regardless of cost. The AIG for Administration will forward all OIG Conference Sheets to the DIG for approval. The OIG Conference Sheet also will function as a Purchase Request (PR) as needed.

More specifically, the procedures for seeking approval for an OIG hosted or sponsored conference are as follows:

**Step 1:** The OIG office completes the OIG Conference Sheet (Appendix 1) and (as necessary) prepares a Statement of Work/Need (SOW). The OIG Conference Sheet ensures that the DIG has the information needed in order to determine whether or not the request should be approved. Consequently, all parts of the form should be completed as accurately as possible and contain:

- **Basic Event Information:** the event name, dates and location, name(s) of training class(es) and any suggested vendors (not required), and agenda;
- **Statement of the Mission Purpose:** the justification for the event, including the results expected to be obtained;
- **Estimated Conference Expenses:** pre-event planning travel and hotel costs (if any), conference travel and per diem, hotel, meeting space, audiovisual use, light refreshments, ground transportation, instructors, and any other costs;
- **Statement of Work or Need (SOW):** SOW with exact requirements and justification, including very specific information such as number of attendees, conference or training agenda and times, room set-up (i.e., U-shaped), audiovisual needs, refreshment needs and schedule, type of trainer(s) and hotel arrival and check-out date.

**Step 2:** The OIG office submits the OIG Conference Sheet and SOW to the AIG for Administration for review.

- JP will conduct an initial review of conference requirements.
- Once JP determines all requirements are met, the JP signatory (usually the AIG for Administration) will forward the package to the DIG for approval.
When applicable, if approved by the DIG, the package is submitted to the Budget and Financial Management Office (JPB) for funding approval.

Once all the approvals have been received, the package is forwarded to the Contracting Office (JPC) for procurement action, if needed.

Step 3: Procurement (if needed).

- Procurement will proceed according to the requirements on the OIG Conference Sheet and SOW.
  - Before an award is made, JPC will work with the OIG office requesting the conference to select a vendor(s) at a fair and reasonable price and in compliance with applicable laws and regulations.
  - JPC will make the award and notify the OIG office.
    - JPC notifies the OIG office of any scheduling particulars, such as how to register and any cut-off dates.
    - While attending the event, if difficulties or additional needs arise, JPC should be contacted immediately.

**420.04D Required Submittals After the Conference**

After a conference, the OIG office that hosted or sponsored the conference must submit an updated OIG Conference Sheet to the AIG for Administration that shows the actual expenses incurred. JP will compile and track all expenses spent on conferences.

**423.05 Attendance at Conferences Not Sponsored or Hosted by OIG**

OIG offices must notify, before any funds are committed on a nonrefundable basis, the AIG for Administration if they anticipate sending more than 10 employees to one conference or spend more than $1,000 per attendee for any one conference. The $1,000 does not include travel only the conference fee. That notice must include the conference date, when a decision is needed, who is planning on attending, the justification, and the approximate total estimated cost, including travel. Notices should be sent via email.

The AIG for Administration will review the request and then forward to the DIG for informational purposes. The DIG still must approve any conference exceeding $5,000 or more. The AIG for Administration will make every attempt to inform OIG offices of the DIG’s decision regarding conference attendance as quickly as possible.

OIG offices should consult with the AIG for Administration if they need to register and commit funding before they receive a decision from the DIG.
423.06 Website Reporting

JP is responsible for ensuring proper website reporting of conference expenses, as follows. Net OIG conference expenses where the particular conference expenses were in excess of $100,000 shall be reported on the OIG internet site annually, no later than January 31 of each year, starting in 2013. Reporting shall be on a dedicated place on the OIG website and include a general report about conference expenses and activities throughout the year.

For any OIG conference where the net expenses for the OIG exceeded $100,000, the report shall include:

- the total conference expenses incurred by the OIG for the conference;
- the location of the conference;
- the date of the conference;
- a brief explanation of how the conference advanced the mission of the agency; and
- the total number of individuals whose travel expenses or other conference expenses were paid by the OIG.

For any OIG conference where the net expenses for an agency sponsored conference exceeded $500,000, the website also shall include the IG’s determination that the conference was the most cost-effective option.

Finally, the website shall include information about the net conference expenses for the fiscal year incurred as well as a general report about conference activities throughout the year. In order to ensure proper reporting, each OIG component shall provide to the AIG for Administration, via email, a listing of the information referenced above for all conferences attended by employees within their components by December 31 of each calendar year. If already provided in the form of an OIG Conference Sheet or other submittal, no further submittal is necessary; however, the office shall note previous submittals in their list to the AIG for Administration.

Effective Date 1/26/2015

424.00 IT EQUIPMENT REQUEST POLICY

424.01 Purpose

With IT devices and equipment becoming more commonplace, the OIG must ensure requests for these assets meet the operational and fiscal needs of our organization while also maintaining the appropriate level of security for the OIG. The successful effort required to meet these needs relies on the cooperation of the various OIG components, the budget, contracting, and financial management offices, and the IT division. This policy covers all OIG IT equipment that requires a connection to the OIG network
and/or requires support from JPM to operate or manage, in order to ensure equipment is compatible with OIG IT systems and that proper security policies are followed. This policy replaces the OIG Individual Equipment Policy and the Personal Printer Policy.

424.02 GSA Policy References

- GSA Information Technology (IT) Security Policy, CIO P 2100.11.

424.03 Policy

- As stated in section 718.05, the procurement card cannot be used to buy Information Technology equipment, except for consumable supplies. Requests for IT equipment should originate from the component head or their delegated approver(s). This will ensure that managers are aware of requests being made by their employees and that the request meets the mission needs of the business line.

- The request may be in the form of an email or procurement request (PR) for any item costing $3,000 or less, but must be in a PR for items costing more than $3,000. In accordance with section 204.06, the request should be made to the OIG Contracting Office, which shall ensure appropriate approvals are obtained.

- Requests will be reviewed by JPM to ensure all security procedures and policies are followed. This includes, but is not limited to, ensuring the equipment is compatible with the OIG IT infrastructure, hardening the equipment against vulnerabilities, and having the ability to maintain and support the equipment.

- Personal desktop printers will be approved for all GS-15 and GS-14 employees as well as anyone who supervises employees.

- The Office of Investigations may purchase IT equipment in support of an investigation(s) and/or mission using the purchase card as necessary in exigent circumstances; however, such equipment is not to be connected to the OIG network or JPM issued/supported IT equipment without formal review and approval by JPM to determine whether there are potential security, support, technology conflicts.

424.04 Exceptions

Exceptions to the requirements of this policy may be requested by component heads, but shall be granted solely at the discretion of the IG, who may decide to consult with the IT Steering Committee before making a decision.
425.00 OIG WAIVER OF CLAIMS FOR OVERPAYMENT OF PAY AND ALLOWANCES AND OF TRAVEL, TRANSPORTATION, AND RELOCATION EXPENSES AND ALLOWANCES

425.01 Introduction

This policy establishes the procedure to process a waiver of claims arising from erroneous payments of pay and allowances, travel, transportation, and relocation expenses and allowances made to or on behalf of OIG employees, where repayment would not be in the public’s best interest.

425.02 Authority and Responsibilities

5 U.S.C. § 5584 authorizes the waiver of claims by the United States, in whole or in part, against employees arising out of erroneous payments of pay and allowances, travel, transportation, and relocation expenses and allowances. Congress transferred the authority to waive claims for erroneous payment from the Comptroller General to the Office of Management and Budget (OMB). P.L. 104-316 (1996). OMB subsequently redelegated this waiver authority to the executive agency that made the erroneous payment.

The Administrator of General Services Administration has delegated to the Inspector General (IG) the authority to review requests for waivers for pay and allowances and for travel, transportation, and relocation expenses and allowances submitted by OIG employees. GSA Order ADM 5450.39D. The IG has redelegated to the Deputy IG the authority to waive or deny claims in any amount; the Deputy IG may delegate that authority further, and as stated in this policy has delegated the initial determination of whether waiver is proper to the Associate Inspector General.

425.03 Definitions

“Pay” means basic pay, special pay, incentive pay, retainer pay, or in the case of an individual not entitled to basic pay, other authorized pay.

“Allowances” refer to payments made for subsistence, quarters, uniforms, family separate maintenance allowances, and overseas station allowances. Pay or allowance does not include travel expenses or expenses to transport household goods.

“Debt” is an amount of money, funds or property that has been determined by an agency official to be due the United States from any person, organization, or entity, except another Federal agency. For the purposes of this policy, the terms “debt” and “claim” are synonymous and interchangeable.

“Waiver” means the cancellation, remission, forgiveness, or non-recovery of a debt allegedly owed by an employee to an agency.
“Fault” exists if, in light of all the circumstances, it is determined that the employee knew, or should have known, that an error existed, but failed to take action to have it corrected. Fault can be derived from an act or a failure to act. Unlike fraud, fault does not require a deliberate intent to deceive. Whether an employee should have known about an error in earnings is determined from the perspective of a reasonable person.

425.04 Applicability

This policy addresses erroneous payment of pay and allowances and of travel, transportation, or relocation expenses and allowances made to or on behalf of OIG employees. The policy does not affect authority to litigate, settle, compromise, or waive any claim of the United States under any other statute. As stated in the GSA Accounts Receivable and Debt Collection Manual, 4253.1A CFO P, ordinarily, a legal and proper payment may not be considered for waiver, although owing to later circumstances, the individual may have to repay all or part of the overpayment. Examples of legal and proper payments, not subject to waiver consideration, include:

a. Advanced annual or sick leave unearned at the time of separation.
b. Advanced uniform allowances not earned at the time of separation or upon transfer from the work unit that required the uniforms.
c. Voluntary Separation Incentive Program (VSIP) repayment if the employee returns to Federal Government service.
d. Federal Employee Health Benefits (FEHB) insurance premium payments made on behalf of the employee while in an extended period of Leave without Pay (LWOP) and when an employee has elected to continue FEHB coverage while on LWOP.
e. Lump sum leave payments that must be refunded if the person is re-employed in Federal service prior to expiration of the period of annual leave related to the lump sum leave period.

A request for a waiver of a claim shall not affect an employee's opportunity under 5 U.S.C. § 5514(a)(2)(D) for a hearing on the determination of the agency concerning the existence or the amount of the debt, or the terms of the repayment schedule. A request by an employee for a hearing shall not affect an employee’s right to request a waiver of the claim. The determination whether to waive a claim may be made at the discretion of the deciding official either before or after a final decision is rendered on the claim.

425.05 Waiver Requirements

For a waiver to be considered, the OIG must receive the proper documents for waiver within three years from the date of discovery of the overpayment. A waiver may be considered when collection of the claim would be against equity and good conscience and not in the best interest of the United States provided that there does not exist, in connection with the claim, an indication of fraud, misrepresentation, fault, or lack of good faith on the part of the employee or any other person having an interest in obtaining a waiver of the claim.
425.06 Waiver Processing

425.06A Requests

The employee must submit a request for waiver of the erroneous payment. The request must be in the form of a memorandum that provides a description of the overpayment, the amount, all documentation relating to the overpayment, and a statement by the employee that he/she was unaware of the error. Any subsequent payments received by the employee after the administrative error has been discovered and the employee is notified are not subject to waiver and must be repaid or collected. The employee’s request for waiver shall be sent to the Office of Administration (JP), 1800 F Street N.W., Room 5022, Washington, DC 20405.

425.06B Report of Investigation

A waiver of overpayment may not be considered without a report of investigation. Both the Office of Administration (JP) and the “responsible debt area” (i.e. the OIG component who approved the payment) are responsible for preparing the investigative report for all OIG employees, although they may request another OIG component to conduct the investigation. The report of investigation (prepared using GSA Form 2578) must include the employee’s name, the employee’s OIG office address, the date of discovery of the error, the amount of the overpayment, a description of the overpayment, a statement of finding (re: fault on part of employee) and a recommendation to waive or deny the request for waiver.

The report of investigation (GSA Form 2578) will address the following five factors:
1. Was the overpayment a result of an administrative error? An administrative error occurs when the agency fails to carry out written administrative policy or fails to comply with mandatory regulations. This includes, but is not limited to misinterpreting policies or regulations causing an incorrect payment to occur.

2. Has action been initiated to preclude this type of error in the future? The answer to this question should describe what positive action has been taken to avoid a similar error.

3. Is there any evidence of fraud, misrepresentation, fault, or lack of good faith on the part of the employee or other person having an interest in this claim?

4. Could the employee have been reasonably expected to suspect an error? A judgment will be made whether a reasonable person could be expected to detect an error on the official forms (travel authorizations or other documents provided to the employee). If the answer to this question is yes and the employee fails to advise the appropriate GSA offices of a suspected error, the overpayment will be repaid. Good faith is required of the employee. Every case will be examined in light of its particular facts. For example, if an employee’s job requires knowledge of travel regulations, the
conclusion as to fault may be different than an employee who has no knowledge of travel regulations.

5. Would collection of the overpayment be against equity, good conscience and the best interest of the United States? Generally, there is sufficient evidence to waive repayment if an erroneous payment occurs through administrative error and there is no indication of fraud, misrepresentation, fault, or lack of good faith. Waiver of travel, transportation, and relocation allowances must depend upon the facts existing in the particular case. The facts upon which a waiver is based should be recorded in detail and made a part of the written record.

The final investigative report will be provided to the Associate Inspector General who, based on an evaluation of the facts, will decide whether to waive or deny the claim. A copy of the final waiver decision will be provided to the employee and to GSA’s Financial and Payroll Services Office in Kansas City so that Financial and Payroll Services can take appropriate action, such as collecting any overpayment from the employee pursuant to the GSA Accounts Receivable and Debt Collection Manual, 4253.1A CFO P, or, if the claim is granted, making any required notification to the IRS. If the employee has repaid all or part of a waived claim, the employee must contact Financial and Payroll Services to apply for a refund.

425.06C Appeals

If an employee wishes to have a claim reconsidered, a request and any new information relevant to the appeal should be submitted to the Assistant IG for Administration, 1800 F Street, NW, Room 5022, Washington, DC 20405. The request for an appeal must:

a. be made in writing;
b. specify the basis for appeal;
c. include a statement regarding any mitigating factors;
d. be submitted to the Assistant IG for Administration no later than 60 days from receipt by the employee of written notice of the denial of the waiver; and
e. attach the original request for a waiver and the denial of the waiver.

The Assistant IG for Administration will provide the request to the Associate Inspector General, who will make a recommendation to the Deputy IG, who will then make the final decision on the request for reconsideration.

425.07 Recordkeeping

JP will maintain a register that shows the disposition of each claim or overpayment. The register and supporting files will be available for review as requested and appropriate.
REPORT OF INVESTIGATION OF CLAIM FOR WAIVER OF
ERRONEOUS PAYMENT OF PAY AND ALLOWANCES
(5 U.S.C. 5584)

INSTRUCTIONS: See CFO P 4253.1A for instructions on completing
this form.

Privacy Act information located at the bottom of this form.

<table>
<thead>
<tr>
<th>ADMINISTRATIVE DATA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. REPORT DATE</td>
</tr>
<tr>
<td>2. FOR (check one)</td>
</tr>
<tr>
<td>□ GO □ REGION</td>
</tr>
<tr>
<td>3a. EMPLOYEE'S NAME</td>
</tr>
<tr>
<td>3b. EMPLOYEE'S SOCIAL SECURITY NUMBER</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OVERPAYMENT INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>4a. DATE(S) (Listed on BACK by pay periods)</td>
</tr>
<tr>
<td>FROM TO</td>
</tr>
<tr>
<td>4b. DATE OF DISCOVERY</td>
</tr>
<tr>
<td>4c. GROSS AMOUNT $</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>WAIVER CONSIDERATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>NOTE:</td>
</tr>
<tr>
<td>1. Checks in column (A) may favor recommendation to approve waiver or refunds. Checks in column (B) may favor recommendation to deny waiver.</td>
</tr>
<tr>
<td>2. Items 7 thru 12 require narrative description of findings in attachments.</td>
</tr>
<tr>
<td>5. Has claim been sent to Attorney General for litigation?</td>
</tr>
<tr>
<td>□ NO □ YES</td>
</tr>
<tr>
<td>6. Is employee's waiver request within 3 years of the date of discovery?</td>
</tr>
<tr>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>7. Was overpayment the result of administrative error?</td>
</tr>
<tr>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>8. Has action been initiated to preclude this type of error in the future?</td>
</tr>
<tr>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>9. Is there any evidence of fraud, misrepresentation, fault, or lack of good faith on the part of the employee or other person having an interest in this claim?</td>
</tr>
<tr>
<td>□ NO □ YES</td>
</tr>
<tr>
<td>10. Could the employee have been reasonably expected to have suspected an error in his/her pay or allowance?</td>
</tr>
<tr>
<td>□ NO □ YES</td>
</tr>
<tr>
<td>11. If answer to 10 is Yes, did he/she inquire into the correctness of his/her pay or allowances?</td>
</tr>
<tr>
<td>□ NO □ YES</td>
</tr>
<tr>
<td>12. Would collection action be against equity, good conscience, and the best interests of the United States?</td>
</tr>
<tr>
<td>□ NO □ YES</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FINAL ACTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Waiver and Refund is:</td>
</tr>
<tr>
<td>13a. Waiver Approved (for gross listed in item 4c) $</td>
</tr>
<tr>
<td>13b. Waiver Denied Completely (Check, if applicable)</td>
</tr>
<tr>
<td>13c. Partial Waiver as shown below (Explanation attached)</td>
</tr>
</tbody>
</table>

Approved $ |

Denied $ |

14a. Signature |

14b. Date |

DIRECTOR, FINANCIAL AND PAYROLL SERVICES DIVISION

PRIVACY ACT STATEMENT: SECTION 8311 of Title 5, U.S. Code, and Public Law 102-25 authorize collection of this information. The primary use of this information is by General Services Administration (GSA) personnel and payroll offices to document the claim from you for waiver or erroneous overpayment of pay and allowances as provided under 5 U.S.C. 5584. Other disclosures may be to a Federal, State, local, or foreign law enforcement agency when your agency becomes aware of a violation of civil or criminal law or regulation; to a Federal agency when conducting an investigation on you for employment or security reasons; to the Office of Personnel Management (OPM) when the information is required for evaluation of leave administration; and to the National Archives and Records Administration in connection with its responsibilities for records management. Collection of your Social Security Number is authorized by Executive Order 9397. Furnishing the information, including your Social Security Number, is voluntary, but failure to do so may jeopardize your request for a claim for waiver of overpayment of pay. If your agency uses the information on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.

GENERAL SERVICES ADMINISTRATION

Previous Editions are NOT usable.
<table>
<thead>
<tr>
<th>PAY PERIOD (From - To)</th>
<th>CALCULATIONS</th>
<th>ACTUAL (ERRONEOUS) PAYMENT</th>
<th>RECOMPUTED CORRECT PAY</th>
<th>OVERPAYMENT (c) - (d)</th>
<th>COLLECTIONS</th>
</tr>
</thead>
</table>

**TOTALS**

**TOTAL COLLECTED FROM COLUMN (f)**

**TOTAL COLUMN (e) MINUS TOTAL COLUMN (f) = UNCOLLECTED OVERPAYMENT**
Effective Date 9/23/2015

426.00 OPERATIONS IN THE ABSENCE OF APPROPRIATIONS

426.01 Purpose

This policy sets forth the standards and procedures governing OIG operations in the absence of appropriations. GSA policy on operations in the absence of appropriations is contained in GSA Order ADM 4220.1l, Operations in the Absence of Appropriations. With the exception of the provisions discussed below, the OIG adheres to the plan outlined in GSA Order ADM 4220.1l.

426.02 Implementing Action

All OIG employees will follow the implementation plan set forth in Section 2 of the Attachment to GSA Order ADM 4220.1l. The implementation plan goes into effect only when authorized by the Inspector General (IG) upon direction from the Office of Management and Budget (OMB).

426.03 No Year Funding

In the event the OIG has no year funding available, the IG will decide as appropriate when they will be utilized for mission critical needs.

426.04 Exempt and Excepted Personnel and Activities

The Inspector General is exempt from furlough due to a lapse in appropriations.

Excepted personnel are the Deputy Inspector General and the minimum number of other personnel, as designated by the Inspector General or Deputy Inspector General, needed to conduct excepted activities to protect life and property, including pursuing or directly supporting law enforcement and criminal investigations or other legal proceedings that cannot be deferred.
Excepted personnel may include investigators, auditors, management analysts and attorneys as needed. Excepted personnel may also include contracting officers, budget employees, personnel employees, information technology employees and facilities employees. Designated employees may be able to telework with supervisory approval, in accordance with the OIG policy on telework, depending on the specific requirement for assistance. Excepted OIG management will call non-excepted employees on their personal numbers if they become excepted.

426.05 Prohibition on the Use of Mobile Devices and Remote Access to OIG Systems

The prohibitions of the Antideficiency Act extend to work conducted outside of the office environment. Accordingly, non-excepted employees of the OIG are prohibited from using OIG-supplied wireless devices, such as iPhones, iPads, and/or any other means with which to remotely access OIG systems for purposes of conducting regularly assigned work.

426.06 Recall System

Non-excepted OIG employees should monitor local media to determine when the lapse is over, and when they should return to work.

Effective Date 2/27/2014

427.00 SELECTION AND ASSIGNMENT OF OIG EMPLOYEES FOR TEMPORARY ASSIGNMENT OR DETAIL TO THE LEGISLATIVE BRANCH

427.01 Purpose

This order sets forth a process for the selection, assignment, and management of an OIG employee to be detailed on temporary assignment to committees of the United States Congress (detailee).

427.02 Authority

3 USC 112 authorizes the heads of Federal agencies to detail personnel to the White House; there is no statute that deals specifically with the detail of executive branch personnel to the legislative or judicial branches. Comptroller General Decisions (21 Comp. Gen. 954 and 1055) set forth guidance for details to Congress.
427.03 Delegation

The management of a Congressional detailee is delegated to the Deputy Inspector General (DIG); final authority for selection of a detailee is retained by the Inspector General (IG).

427.04 Implementing Actions

Effective immediately, the following actions will be implemented:

427.04A All requests for a Congressional detailee, or the extension of an existing detail must be in writing (email or letter) from the Congressional committee or sponsoring organization. All requests for a detailee will be accepted by the Congressional Affairs Liaison (CAL) or shall be forwarded to the CAL when received by another office.

427.04B Once a request for a detailee is received, the CAL shall send a call for nominations to the appropriate components with a brief description of the duties and the time commitment. Nominations in the form of a resume and a one page written request letter shall be returned to the CAL within two weeks.

427.04C Only full time OIG employees at the GS-13 grade level or above are eligible for nomination as a detailee. The IG may waive this requirement under special circumstances (e.g., special technical knowledge requested by Congress). Except under special circumstances, a detailee must be based in metropolitan Washington, DC.

427.04D The CAL will review the nominations and make a recommendation to the IG through the DIG.

427.04E The cost of the detailee shall be borne by the originating organization of the employee for the duration of the Congressional assignment.

427.04F In the absence of specific statutory authority for the detailee, the OIG shall assign the detailee to the legislative branch only if the legislative work to be performed by the detailee relates to matters ordinarily handled by the OIG and will, therefore, further the purposes for which the OIG’s appropriations are made, and where the absence of the OIG employee assigned will not be detrimental to the work of the OIG or necessitate the hiring of an additional employee.

427.04G The CAL shall as appropriate establish guidelines for communication with and by the OIG detailee. OIG Counsel (JC) shall be responsible for ensuring the detailee is briefed on their responsibilities under the Hatch Act and all other ethics rules and regulations; briefings will be documented by JC.

427.04H No permanent replacement of the detailee shall be made unless the detailee is separated from the OIG or accepts a new position within the OIG. The Deputy
Assistant Inspector General for Administration shall be responsible for ensuring that the temporary assignment of the detailee and the reservation of their vacated position is undertaken in conformance with this order.

427.04I OIG will maintain and approve a detailee’s time and attendance, in coordination with the Congressional committee. OIG also will obtain input from the Congressional committee regarding a detailee’s performance.

Effective Date 10/22/2014

428.00 REASONABLE ACCOMMODATION POLICY

Section 6 of the Inspector General Act of 1978 (5 U.S.C. App 3), as amended, grants the OIG independent authority to formulate policies and make determinations concerning human capital issues within the OIG. Pursuant to that authority, the OIG has determined to follow GSA’s policy on reasonable accommodation as stated in GSA Instructional Letter CPO IL-13-03 (“GSA policy”) except as noted below.

- GSA policy by its terms appears to limit who can be the decisionmaker (DM). The OIG is not bound by that limitation, but recognizes that there may be other circumstances that warrant a different DM.

- GSA policy frequently refers to the Office of Chief People Officer; in the OIG, generally those references are to the Office of Administration (JP).

- GSA policy also refers to the Office of General Counsel; in the OIG, those references will be to the OIG Office of Counsel (JC).

- To clarify the definition of "transitory and minor" in GSA policy, the OIG interprets transitory and minor as meaning a minor impairment that is expected to last less than six months.

- In the OIG, the Local Reasonable Accommodation Coordinator (LRAC) will be the Employee Relations Officer. The LRAC will as appropriate appoint an alternate to serve when she/he is unavailable. The LRAC is responsible for the OIG Reasonable Accommodation program and for required coordination with the National Reasonable Accommodation Coordinator (NRAC) and other GSA offices. However, the LRAC is not required to consult with the NRAC before taking any action.
• The DM shall continue the interactive process, as appropriate, even if a reasonable accommodation is granted. If questions arise about a person’s disability over time, the DM shall consult with the LRAC.

• Any medical information that is obtained must be kept strictly confidential in a file separate from the employee’s personnel records. Supervisors and managers may be given access to the extent needed in making decisions regarding reasonable accommodation, including necessary restrictions on the duties of the employee or accommodations.

Effective Date 8/12/2014

429.00 POLICY AND PROCEDURES RELATED TO MERIT PROMOTION OR PLACEMENT

Section 6 of the Inspector General Act of 1978 (5 U.S.C. App 3), as amended, grants the Inspector General independent authority to “select, appoint and employ such officers and employees” as are necessary to carry out the functions of the Office of Inspector General (OIG), and to take such actions as are necessary to carry out the duties and responsibilities of the Act. Such actions include formulating policies and making determinations concerning human capital issues within the OIG. Pursuant to that authority, the OIG has determined to follow GSA’s Order on merit promotion as stated in GSA Order 9335.1A CPO GSA Merit Promotion Plan except as noted below.

429.01 Noncompetitive Candidates

The OIG hires noncompetitive candidates using the maximum flexibility permitted by law. Accordingly, the OIG may use noncompetitive candidates to fill both posted and non-posted vacancies. Noncompetitive candidates must meet minimum eligibility requirements and qualification standards by the time of appointment, as opposed to within 30 calendar days of the closing of the vacancy, if a vacancy is posted.
430.00 SUPERVISOR TRAINING

430.01 Purpose

This chapter establishes OIG requirements for Supervisor Training.

430.02 Applicability

The policy applies to all OIG employees who are appointed to supervisory positions.

430.03 Legal Authority

The requirement for Federal Supervisory Training is found in 5 CFR 412.202. Guidance is also provided by the Office of Personnel Management (OPM). See, e.g., http://www.opm.gov/wiki/training/Supervisory-Leadership-Development/Print.aspx. For SES requirements please see the AIG for Administration or the Deputy AIG for Administration.

430.04 Mandatory Training Requirements

All agencies are required to provide training within one year of an employee's initial appointment to a supervisory position as well as refresher training to all supervisors and managers at least every three years.

OIG Human Resources will provide the required training for new supervisors within their first year as a supervisor and refresher training every three years. This training will cover the required topics - to (1) mentor employees; (2) improve employee performance and productivity; (3) conduct employee performance appraisals in accordance with agency appraisal systems; and (4) identify and assist employees with unacceptable performance.
430.05 Additional Training

If the Component Head or supervisor determine that additional training may be necessary, a combination of off-the-shelf courses (e.g. Graduate School USA), on-line through GSA On-line University, seminars, and conferences can be utilized. A sample of GSA On-Line University courses is included in this chapter.

Employee Recruiting and Staffing

The Employee Recruiting and Staffing topic provides information on how to identify internal recruitment methods, identify external recruitment methods, and define terms and identify the tools associated with recruiting and staffing. Duration: 30 minutes

Pay and Leave Administration

The Pay and Leave Administration topic provides information on how to identify rules, options, and schedules for pay setting, list types of work schedules, identify family-friendly programs, identify types of leave, and list steps involved in approving time cards. Duration: 30 minutes

Performance Management

The Performance Management topic provides information on how to define your performance management responsibilities, explain the annual appraisal process, and identify possible causes of performance problems and ways to address them. Duration: 30 minutes

Employee Discipline

The Employee Discipline topic provides information on how to identify the types of discipline actions, identify the supervisor's role in performance-based actions, identify the supervisor's role in conduct-based actions, list the types of probationary periods, prepare a Record of Infraction, and identify the Douglas Factors. Duration: 30 minutes

CHRIS Video Tutorials

This is a series of video tutorials designed to help CHRIS users with the various activities within CHRIS. Topics include APRS, Building a Performance Plan, Creating and Completing and Annual Appraisal, and more.

CHRIS Manager View

This video tutorial demonstrates the
Comprehensive Human Resources Information System's (CHRIS) "Manager View" that helps managers track occupied and vacant positions in their organization. This tool gives easy access to non-Personally Identifiable Information (PII) that will assist in workforce planning. All managers are encouraged to take this training so they may take advantage of this valuable tool. Duration: 10 minutes

This training is designed for all new GSA ETAMS Certifiers. This training describes the Electronic Time and Attendance Management System (ETAMS), the payroll processing schedule, the Certifier's responsibilities and some general payroll information. This training is required for all new GSA ETAMS Certifiers. Duration: 30 minutes

This training is the required on-line EEO training for managers and supervisors. All managers and supervisors must take this course. The course contains seven lessons that highlight important areas of EEO, including EEO Basics, Discrimination Prevention Strategies, Alternative Dispute Resolution and the EEO Complaint Process, EEO Liability Issues, Affirmative Employment and Reasonable Accommodation, and Creating an Inclusive Work Environment. This training includes a mandatory test. Duration: 2 hours

This training provides general awareness and overview on legal and regulatory requirements on Uniformed Services Employment and Reemployment Rights Act (USERRA). This is a mandatory training course for Human Resources Specialists, Managers and Supervisors and any personnel who are authorized to recommend, take, or approve any personnel action per OPM's requirements. Duration: 30 minutes

In accordance with Executive Order 13518 "Employment of Veterans in the Federal Government" federal hiring managers are
required to complete mandatory annual training for the employment of veterans. Veterans and transitioning military service members are ready to supply the very skills that GSA and the Federal Government need. Veterans have acquired a wealth of knowledge, skills, and competencies through practical workforce experience. The cutting edge training and education they have received during their military service is transferable to those skills oftentimes being sought by OIG in filling open positions. In addition to these intangible and valuable skills, the Veteran brings a unique sense of leadership and teamwork to your team. Duration: 20 minutes

<table>
<thead>
<tr>
<th>Category</th>
<th>Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Manager's Role</td>
<td>First Time Manager: Understanding a Manager's Role</td>
<td>This course describes some of the myths about management and their corresponding truths in order to clarify what managers really do. It also points to the typical demands and constraints of a manager's job. Finally, it describes strategies for dealing with common mistakes of first-time managers. Duration: 1 hour</td>
</tr>
<tr>
<td>Change Management</td>
<td>Leadership Essentials: Leading Change</td>
<td>This course provides you with strategies for leading changes within an organization, including effective approaches to introducing and communicating change. It also provides practical strategies for dealing with sources of employee resistance to change, and for removing organizational challenges.</td>
</tr>
</tbody>
</table>
Coaching

**Business Coaching: Getting Ready to Coach**

This course introduces the skills you need to be an effective coach, including listening and observing, providing feedback, questioning, and setting goals. It also covers how to identify which coaching role is most appropriate for a given individual or situation. The course also details the importance of selling the idea of coaching to those you feel need it. Duration: 1 hour

**Business Coaching: Conducting Coaching Sessions**

This course describes how to carry out effective coaching sessions, including clarifying the coach's situation and recognizing and determining the best options for your coach to work with. Finally, the course provides actions for wrapping up a coaching session, including getting commitment, identifying obstacles, creating a plan with deadlines, and agreeing on support going forward. Duration: 1 hour

Communication

**Effective Leadership Communication Strategies**

This course covers the role of communication in leadership and how leaders can effectively communicate their objectives to their teams. It considers the appropriate leadership communication styles that can be implemented for various leadership objectives and the communication skills needed to achieve these
Interpersonal Communication: Listening Essentials

This course explores the benefits and challenges of effective listening and demonstrates how active listening techniques enhance the effectiveness of your listening skills. It takes you through the various levels of listening and outlines behaviors and thought patterns that demonstrate active listening techniques. Finally, it highlights the important skill of providing listener feedback to demonstrate or clarify understanding of the speaker’s communication.

Duration: 1 hour

Conflict Management

Workplace Conflict: Strategies for Resolving Conflict

This course describes techniques you can use to deal effectively with a conflict situation. You'll learn that an important first step is to define the conflict by clarifying the issues surrounding it. You'll also find out about the importance of describing the conflict to the other party in a way that doesn't make them defensive. In addition, the course outlines collaboration skills that can help you deal with conflicts effectively, building trust and cooperation and preventing the escalation of conflict.

Duration: 1 hour

Critical Thinking

Critical Thinking Essentials: Applying Critical Thinking Skills

This course explains how critical thinking promotes creative thinking. It also describes the skills required for critical thinking and how to apply critical thinking to
Decisions, problems, or issues in the workplace.

**Duration:** 1 hour

The course first walks you through the steps of a widely accepted decision-making process. Then it leads to a description of the factors influencing your decision-making style and shows how to adapt that style to suit a given situation. So you'll have everything you need to start on the road to becoming an effective decision maker.

**Duration:** 1 hour

This course covers the best practices for planning delegation, including deciding what specific tasks to delegate, and identifying who you should delegate tasks to. Additionally, the course provides techniques for carrying through delegation, including providing your direct report with all the information they require to carry out the task. Finally, the course covers the importance of monitoring delegated tasks, including checking in and getting feedback on the tasks you delegate.

**Duration:** 1 hour

This course identifies the common challenges of difficult conversations and explores the strategies that can be used to handle them. Challenges can include a subject who's not willing to engage in conversation or who looks to place the blame on you. By using
various strategies and techniques to overcome these challenges, you can keep the conversation on track, manage your emotions, and progress the conversation to produce positive outcomes. Duration: 1 hour

This course provides you with an understanding of why emotional intelligence abilities are important as a leader. It also provides you with practical, positive techniques for promoting and improving emotional intelligence as a leader within your business environment. Duration: 1 hour

This course reviews the benefits of having an engaged workforce and defines the attributes and actions of engaged employees. It also explores employee motivation and commitment challenges and examines how employee engagement links to the bottom line. Duration: 1 hour

The course starts by exploring the importance and purpose of feedback in general, and then discusses both positive and corrective feedback. You will also learn a three-step process for giving feedback, and will have a chance to practice giving feedback using this three-step process. Duration: 1 hour

This course describes the common characteristics of
<table>
<thead>
<tr>
<th>Category</th>
<th>Course Description</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cross-generational Employees</td>
<td>The four main generations in the workforce – the Traditionals, Baby Boomers, Generation X, and the Millennial Generation. It also introduces the benefits of cross-generational teams. Duration: 1 hour</td>
<td></td>
</tr>
<tr>
<td>Mentoring</td>
<td>This course reviews the objectives of mentoring programs and the benefits offered to employees, mentors, and the organization as a whole. It explores the expectations and roles of mentors, coaches, and managers to understand the distinct advantages of mentor relationships. Finally, it looks at what makes a mentoring program successful, considering the various mentoring models and approaches and how each contributes to making a mentoring program a good experience for all involved. Duration: 1 hour</td>
<td></td>
</tr>
<tr>
<td>Motivation</td>
<td>This course provides you with an understanding of why motivating strategies are important as a leader. It also provides you with practical techniques for encouraging motivation among employees in your organization. Duration: 1 hour</td>
<td></td>
</tr>
<tr>
<td>Virtual Leadership</td>
<td>The Leading Virtual Teams Simulation is designed to help managers and team leaders overcome communication problems so as to enhance the effectiveness and</td>
<td></td>
</tr>
</tbody>
</table>
As another option, supervisors may wish to review the GSA Leadership Competency courses identified at the GSA On-Line University.

430.06 Completion and Reporting of Training

JP will keep a master list of supervisors and record all required training provided by JPH. If additional supervisory training is warranted, each component is responsible for providing the training officer in JP with the training records showing completion of the additional training.
ELECTRONIC TIME AND ATTENDANCE MANAGEMENT SYSTEM (ETAMS)

COMPLETING THE ETAMS BASE SCHEDULE

Including the Labor Feature

NOTICE: THIS MANUAL CONTAINS PROPRIETARY INFORMATION
This manual contains proprietary information for use by ETAMS personnel ONLY or by persons authorized to perform ETAMS tasks.

March 2009
Welcome to ETAMS! This booklet gives you instructions for completing ETAMS Base Schedules for all persons who’s Timecard you are now keeping. A Base Schedule is the employee’s regular Tour of Duty. Begin completing these tasks as soon as you receive these instructions.

Contact your Facility Coordinator immediately if you have questions.

<table>
<thead>
<tr>
<th>Facility Coordinator / Backup</th>
<th>Telephone</th>
<th>E-Mail Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

LABOR: If your Facility has the Labor feature enabled, also read the Labor Notes in the text boxes throughout this manual.

Perform these steps to complete ETAMS Base Schedules. Steps 2 and 3 may already be done. You must successfully finish one step before you can move to the next step. For help, refer to this booklet, check out online ‘Help’ in ETAMS, or view the available FEDdesk Lessons.

<table>
<thead>
<tr>
<th>Step</th>
<th>Instructions</th>
<th>Side Notes</th>
</tr>
</thead>
</table>
| 1    | Gather this information:  
• Your FEDdesk UserID & Password  
• Your completed ‘ETAMS Area/Team Organizational Worksheet’ with Area/Team numbers assigned.  
• Work schedules for all your employees. |  |
| 2    | Add a FEDdesk Bookmark:  
• Go to: http://feddesk.gsa.gov  
• Add a Bookmark for the ‘FEDdesk System Home Page’ |  |
| 3    | Set up your Workstation to access ETAMS:  
• Go to: http://feddesk.gsa.gov  
• Click on System Logon and log on to FEDdesk.  
• If the logon screen does NOT display, go to the FEDdesk System home page. Click on the Help tab and then click on CITRIX Information and Download Issues. |  |
| 4    | Log on to FEDdesk and ETAMS  
UserID will be given to you (No dashes or spaces)  
Password=Pass1word (lower case with a capital ‘P’) | • Your password may be different.  
Contact your Facility Coordinator. |
<table>
<thead>
<tr>
<th>Step</th>
<th>Instructions</th>
<th>Side Notes</th>
</tr>
</thead>
</table>
| 5    | **Complete a Base Schedule for every employee.**  
   • See ‘How to Add a Base Schedule’ in this booklet.  
   • See ‘ETAMS Base Schedule Reminders’ in this booklet  
   • From ETAMS Main Menu, go to Base Schedules  
   • Enter Base Schedules  
   • Contact your local POC (Facility Coordinator) for help if needed.  
   • Questions? - Check out the help file which is accessed from every FEDdesk page. |
| 6    | **LABOR:** When appropriate, the Labor Feature is enabled for some employees or the entire Facility.  
   • See ‘ETAMS Base Schedule Reminders’ in this booklet  
   • Go to on-line help and print ‘How to Add a Labor Default Schedule’ and ‘How to Add Favorites’. Some Labor data may be pre-filled. Verify each entry. |
| 7    | **LABOR:** If Labor data is to be entered for Contractors, complete a Base Schedule for each Contractor. The *Fed Payroll* field is set to ‘N’. Enter a ‘Rate of Pay’ (if required) and complete Base Schedule and Labor data as instructed.  
   Note: Contractor Labor records will be collected and processed. Timecards are collected but not processed and must remain with the Labor record. |
| 8    | Contact the Certifier to have the Base Schedules signed.  
   • Base Schedules cannot be signed unless they have been validated by the payroll office in Kansas City. Contact the payroll office if the employee name is on the ‘Employees Not Validated’ report and it’s almost the end of the Pay Period. See **NOTE** at bottom of page. |

**NOTE:** Employees entered into ETAMS are either Government Employees or Contractors. The GSA Payroll Office must validate all Government Employees. After entering a new employee into the Base Schedule, the next time you log on to ETAMS you may get a Warning screen listing the employees that are not validated. Employee records that are not validated cannot be certified and therefore cannot be collected. SSN Validation takes place every night.  
**ACTION:** After entering the new employee record, if the SSN does not validate by the 2nd Wednesday of the Pay Period, contact the GSA Payroll Office to resolve the problem.
Completing the ETAMS Base Schedule

Base Schedule Reminders

1. Every employee must have a Base Schedule.
2. Verify the Name fields. If not correct, a personnel action is needed to make the change.
3. Status: Active
4. Block: Must be filled with a Block number from the drop-down selection.
5. Area / Team: See your worksheet. Must be 2 digit numbers. Area: ______ / Team: ______
6. Separated Indicator (Sep Ind): No
7. Full/Part Time/Intermittent: Tour indicator as defined in PAR. This is a display only field IF the person is already in PAR. For any government employee not validated in PAR and for Contractors, this field is open for selection.
8. AWS = N if 8 hour days and 80 hour tour (Regular schedule or Flex schedule).
   AWS = Y if more than or less than an 8 hour day (i.e. Compressed schedule, Part-Time or Maxi-flex).
9. Meal Start/Meal Stop: Leave Blank

**Note:** This field displays only when a Labor Facility has Contractors whose Labor data is to be entered into ETAMS.

    No for all Contractors and any employee not paid through the GSA Payroll system.
    Rate of Pay: Enter the appropriate rate for this Contractor. (See your Labor Administrator for correct entries.)

11. Labor: Some Labor data may be pre-filled. Verify each entry.
    - Labor Emp: Yes

    **Note:** If Labor is turned on for the Facility, you get a reminder message to create a Labor Default for the employee. Click ‘OK’. The Labor Default is completed at a later time.

    The following fields contain optional or default Labor settings. Add or change this data as needed. See your Labor Administrator for more information.
    - Craft Code: ______
    - Ext Leave ______
    - Multiplier: ______
    - Restricted: ______
    - Add On: ______

12. Enter a suitable generic work schedule for every employee. No employee schedule should be left blank. See samples in this manual.
13. Put an entry on all 14 days.
14. All RDOs (Regular Days Off) or non-working days MUST have a 00 code (displayed as XX).
15. Enter an 01 (Regular Scheduled Hours) code and the Hrs (hours and tenths of hours) for each work-day of the Pay Period.
16. Reminder: This is not a Timecard. Do not put any leave or overtime codes here.
17. Night Shift Differential or Sunday Premium should be entered, if appropriate.
18. All Base Schedules must be completed no later than: ____________________________
19. All Base Schedules must be signed no later than: ____________________________
20. Your first ETAMS Timecards will be ready for modification on: ____________________
LOGGING ON AND OFF FEDDESK/ETAMS

The FEDdesk Application is accessed via the Internet. Use this procedure for logging on and logging off.

To Logon to FEDdesk/ETAMS:

The FEDdesk Application is accessed via the Internet. Use this procedure to log on.

1. Double click on your browser icon (Explorer, Navigator, etc.) to access the Internet.

2. Place your cursor at the beginning of the address field and enter the location of the FEDdesk System Home page: http://feddesk.gsa.gov/. Press the Enter key. Wait for connection.

3. From the FEDdesk System home page, single click the System Logon tab. (If you are a first-time user, a browser plugin will automatically download.

4. From the OCFO Web Applications ‘Log in’ window, enter your User name/UserID and press the Tab key.

5. Enter your Password and press the Enter key or click ‘Log in’.

6. From the Applications window, click on the FEDdesk icon to open the application. A warning message alerts you about connecting to a government computer. Read and accept the warning by clicking OK.
7. From the FEDdesk Menu, single click on the appropriate item to initiate the application desired: Items that are not available to the User are grayed out.

Note: If the FEDdesk application has been inactive for 15 minutes, you will automatically be disconnected.

To Log Off FEDdesk/ETAMS:

To log off the FEDdesk system, perform the following steps:

1. From any ETAMS screen, select the File Menu and then Exit. (TMR also provides an Exit icon.) Repeat this until the FEDdesk Menu displays.

2. From the FEDdesk Menu, click the Exit FEDdesk.

3. From the OCFO Web Applications window select another application or click Log Off and return to Windows.

Note: The recommended ‘exit’ procedure is not to use the ‘X’ in right corner of the screen, especially from the FEDdesk Menu.

Note: If the FEDdesk application has been inactive for 15 minutes, you will automatically be disconnected.
CHANGING YOUR PASSWORD

Use one of these two procedures to change your FEDdesk Password.

**Change Password from the GSA OCFO Applications Gateway**

Use this procedure to change your Password from the GSA Applications Gateway.

1. After log on to the GSA Applications Gateway, click on the key icon to display the ‘Change Password’ screen.

2. Enter your Old Password. Press the Tab key.

3. Enter your new Password and then enter the new Password again for confirmation and click OK. A confirmation message is returned when the Password change has been successfully completed.

**Note:** Password Criteria is found on the FEDdesk System web site ([http://feddesk.gsa.gov](http://feddesk.gsa.gov)). Click on the Help tab and then go to Password Criteria.

**Note:** After changing your Password wait 30 minutes for updates to take effect before logging on again.

**Note:** If you forget your Password, contact your Facility Coordinator. The Facility Coordinator will set your Password back to a default to allow entry into FEDdesk.

**Note:** You can also change your Password from the FEDdesk Menu by clicking on Change Password.

**Change Password from FEDdesk**

Use this procedure to change your FEDdesk Password from the FEDdesk Menu:

1. Click Change Password to display the ‘Change Password’ screen.

2. Enter your New Password.

3. Press the Tab key. Enter your new Password again and click OK. A confirmation message is returned when the Password change has been successfully completed.

**Note:** Password Criteria is found on the FEDdesk System web site ([http://feddesk.gsa.gov](http://feddesk.gsa.gov)). Click on the Help tab and then go to Password Criteria.

**Note:** After changing your Password wait 30 minutes for updates to take effect before logging on again.

**Note:** If you forget your Password, contact your Facility Coordinator. The Facility Coordinator will set your Password back to a default to allow entry into FEDdesk.

**Note:** You can also change your Password from the OCFO Applications Gateway by clicking on the key icon.
TIME CALCULATIONS

Throughout ETAMS (timecards and labor records), time is expressed as hours and tenths of an hour.

The following Business Rules are used for all fields where time is entered:

- Time is expressed in the format: hh.t where h = 0 – 24 and t = 0 - 9.
- Minutes are expressed as tenths of an hour (1 tenth hour = 6 minutes).
- Minutes are truncated to one decimal place (no rounding).
- Entries may need to be adjusted due to rounding. (eg. 15 min of leave = .2, but one hour of leave in 4, 15-minute increments = .2, .2, .3, .3 = 1 hour).

Use the following chart to record minutes as tenths of an hour.

<table>
<thead>
<tr>
<th>MINUTES</th>
<th>TENTHS OF AN HOUR</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 5</td>
<td>0</td>
</tr>
<tr>
<td>6 - 11</td>
<td>1</td>
</tr>
<tr>
<td>12 - 17</td>
<td>2</td>
</tr>
<tr>
<td>18 - 23</td>
<td>3</td>
</tr>
<tr>
<td>24 - 29</td>
<td>4</td>
</tr>
<tr>
<td>30 - 35</td>
<td>5</td>
</tr>
<tr>
<td>36 - 41</td>
<td>6</td>
</tr>
<tr>
<td>42 - 47</td>
<td>7</td>
</tr>
<tr>
<td>48 - 53</td>
<td>8</td>
</tr>
<tr>
<td>54 - 59</td>
<td>9</td>
</tr>
</tbody>
</table>

Examples:  

**Timecard / Labor Entry**       **Actual Hours/Minutes**

.7 or 0.7          42 - 47 minutes
3 or 3.0           3 hours
.2 or 0.2          12 – 17 minutes
5.5                5 hours and 30 - 35 minutes
7.2                7 hours and 12 - 17 minutes
9.7                9 hours and 42 - 47 minutes
**SHOW START/STOP TIMES**

Note: START/STOP TIMES should be used only when directed by your Agency/Organization.

By default, the ETAMS Base Schedule (and Timecard, Amendment, History and Payroll Correction) displays only an **Hrs** (Hours) column for recording time. Time is recorded in hours and tenths of an hour both for Regular Scheduled Hours and Exception time.

Base Schedule hours can also be entered in 24 hour format using a Start time and a Stop time for Regular Scheduled Hours and Exception time.

From the ETAMS Base Schedule, click in the **Show Start/Stop** box to display the **Start** and **Stop** columns. Uncheck the **Show Start/Stop** box to hide the columns.

The display changes to show a **Start** column and a **Stop** column between each **Code** and **Hrs** column.

<table>
<thead>
<tr>
<th>Day</th>
<th>Code</th>
<th>Start</th>
<th>Stop</th>
<th>Hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>50</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>51</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>01</td>
<td>8:00</td>
<td>20:00</td>
<td>12.0</td>
</tr>
</tbody>
</table>

After adding an entry in a **Code** column enter a Start and a Stop time. Tab out of the **Stop** field to display the entered time in the **Hrs** column.

To disregard all **Start/Stop** times, uncheck the Show Start/Stop box and revert back to the default screen.

Rules to remember when using Start/Stop times:

* Time must be entered in 24 hour format (hhmm) where hh = 00 – 24 and mm = 00 – 59.
* Only actual hours worked is entered as Regular Scheduled Hours. Do not include lunch break.
* For every Start time, there must be a Stop time.
* Start/Stop times and Hrs (hh.t) can both be used on the same record.
* Meal time hours cannot be included as part of Regular Scheduled Hours or exception hours.
* After entering a valid Start and Stop time, tab out of the field. The Hrs column displays the equivalent time in Hours and tenths of an hour.
* After entering and saving Start/Stop times, the default screen for the record shows Start/Stop times the next time the record displays.
* If Start/Stop times have been entered, unchecking the **Show Start/Stop** box will display a message that asks if you want to hide the Start/Stop columns and revert back to the normal view. If you click OK to this message, all entered Start/Stop times are lost and cannot be retrieved. Click the Cancel key to keep the format of the screen as it currently displays.
Use the following chart to record the correct 24-hour format for Start/Stop Times. Standard Times are listed along with the corresponding 24-Hour time.

<table>
<thead>
<tr>
<th>STANDARD TIME</th>
<th>24 HOUR TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>12:01 AM</td>
<td>0001 HOURS</td>
</tr>
<tr>
<td>1:00 AM</td>
<td>0100 HOURS</td>
</tr>
<tr>
<td>2:00 AM</td>
<td>0200 HOURS</td>
</tr>
<tr>
<td>3:00 AM</td>
<td>0300 HOURS</td>
</tr>
<tr>
<td>4:00 AM</td>
<td>0400 HOURS</td>
</tr>
<tr>
<td>5:00 AM</td>
<td>0500 HOURS</td>
</tr>
<tr>
<td>6:00 AM</td>
<td>0600 HOURS</td>
</tr>
<tr>
<td>7:00 AM</td>
<td>0700 HOURS</td>
</tr>
<tr>
<td>8:00 AM</td>
<td>0800 HOURS</td>
</tr>
<tr>
<td>9:00 AM</td>
<td>0900 HOURS</td>
</tr>
<tr>
<td>10:00 AM</td>
<td>1000 HOURS</td>
</tr>
<tr>
<td>11:00 AM</td>
<td>1100 HOURS</td>
</tr>
<tr>
<td>12:00 NOON</td>
<td>1200 HOURS</td>
</tr>
<tr>
<td>1:00 PM</td>
<td>1300 HOURS</td>
</tr>
<tr>
<td>2:00 PM</td>
<td>1400 HOURS</td>
</tr>
<tr>
<td>3:00 PM</td>
<td>1500 HOURS</td>
</tr>
<tr>
<td>4:00 PM</td>
<td>1600 HOURS</td>
</tr>
<tr>
<td>5:00 PM</td>
<td>1700 HOURS</td>
</tr>
<tr>
<td>6:00 PM</td>
<td>1800 HOURS</td>
</tr>
<tr>
<td>7:00 PM</td>
<td>1900 HOURS</td>
</tr>
<tr>
<td>8:00 PM</td>
<td>2000 HOURS</td>
</tr>
<tr>
<td>9:00 PM</td>
<td>2100 HOURS</td>
</tr>
<tr>
<td>10:00 PM</td>
<td>2200 HOURS</td>
</tr>
<tr>
<td>11:00 PM</td>
<td>2300 HOURS</td>
</tr>
<tr>
<td>12:00 PM</td>
<td>Either 0000 HOURS (Start Time) Or 2400 HOURS (Stop Time)</td>
</tr>
</tbody>
</table>

Examples

<table>
<thead>
<tr>
<th>Standard Time</th>
<th>24 Hour Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>5:15 AM</td>
<td>0515 HOURS</td>
</tr>
<tr>
<td>2:30 PM</td>
<td>1430 HOURS</td>
</tr>
<tr>
<td>10:45 PM</td>
<td>2245 HOURS</td>
</tr>
</tbody>
</table>
### BASE SCHEDULE EXCEPTION CODES

To display valid Exception Codes for the Base Schedule, place your mouse pointer in any **Code** or **Hrs** column and click the right mouse button:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>Regular Day Off (X)</td>
</tr>
<tr>
<td>01</td>
<td>Regular Scheduled Hours</td>
</tr>
<tr>
<td>12</td>
<td>Sunday Premium</td>
</tr>
<tr>
<td>20</td>
<td>Second Shift Night Diff</td>
</tr>
<tr>
<td>22</td>
<td>EDP Act. Expose / OT 4%</td>
</tr>
<tr>
<td>23</td>
<td>EDP Act. Expose / OT 6%</td>
</tr>
<tr>
<td>24</td>
<td>EDP Act. Expose / OT 25%</td>
</tr>
<tr>
<td>25</td>
<td>EDP Act. Expose / OT 50%</td>
</tr>
<tr>
<td>26</td>
<td>EDP Act. Expose / OT 8%</td>
</tr>
<tr>
<td>30</td>
<td>Third Shift Night Diff</td>
</tr>
<tr>
<td>34</td>
<td>Furlough Regular</td>
</tr>
<tr>
<td>35</td>
<td>Furlough Lack of Funds</td>
</tr>
<tr>
<td>50</td>
<td>Sick Leave</td>
</tr>
<tr>
<td>51</td>
<td>Regular Military</td>
</tr>
<tr>
<td>52</td>
<td>Law Enforcement Military</td>
</tr>
<tr>
<td>55</td>
<td>Furlough (Over 30 Days)</td>
</tr>
<tr>
<td>56</td>
<td>Lack of Funds (Over 30 Days)</td>
</tr>
<tr>
<td>59</td>
<td>Suspension</td>
</tr>
<tr>
<td>60</td>
<td>LWOP</td>
</tr>
<tr>
<td>61</td>
<td>AWOL</td>
</tr>
<tr>
<td>62</td>
<td>Actual Exposure - 4%</td>
</tr>
<tr>
<td>63</td>
<td>Actual Exposure - 6%</td>
</tr>
<tr>
<td>64</td>
<td>Actual Exposure - 25%</td>
</tr>
<tr>
<td>65</td>
<td>Actual Exposure - 50%</td>
</tr>
<tr>
<td>66</td>
<td>Hours In Pay Status - 4%</td>
</tr>
<tr>
<td>67</td>
<td>Hours In Pay Status - 8%</td>
</tr>
<tr>
<td>68</td>
<td>Hours In Pay Status - 25%</td>
</tr>
<tr>
<td>87</td>
<td>LWOP Workman’ Comp Used</td>
</tr>
<tr>
<td>92</td>
<td>Telework – Long-Term</td>
</tr>
</tbody>
</table>
ETAMS SCRENS

FEDdesk Menu

<table>
<thead>
<tr>
<th>FEDDESK MENU</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Time and Attendance (ETAMS)</td>
<td>Change Password</td>
</tr>
<tr>
<td>Travel Reimbursement (TMR)</td>
<td>System Help</td>
</tr>
<tr>
<td>Miscellaneous Reimbursement (TMR)</td>
<td>System Administration</td>
</tr>
<tr>
<td>Manual Vouchers</td>
<td>Time and Attendance Archives</td>
</tr>
<tr>
<td>Payroll Accounting Codes WEBPACC</td>
<td>Exit FEDdesk</td>
</tr>
</tbody>
</table>

Unsigned Base Report Nag Screen
Each Base Schedule record that is not certified will display on this report until it is certified.

```
Warning!
The following employee Base Schedules in your areas are not signed:

<table>
<thead>
<tr>
<th>Name</th>
<th>Area Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>HOLLINS, KAY</td>
<td>15  01</td>
</tr>
<tr>
<td>MYERS, PHIL</td>
<td>15  02</td>
</tr>
<tr>
<td>BANNISTER, BOE</td>
<td>15  02</td>
</tr>
</tbody>
</table>
```

Employees Not Validated Report Nag Screen
These employee records do not exist in the GSA Payroll Office. Contact the GSA Payroll office immediately. SSN Validation is run every night. Contractors are NOT included on this report.

```
Warning!
The following employee(s) do not exist in the Payroll System:

<table>
<thead>
<tr>
<th>Name</th>
<th>Area Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bixbom, Batty</td>
<td>02  01</td>
</tr>
<tr>
<td>Futo, Jenna</td>
<td>02  09</td>
</tr>
<tr>
<td>Hadd, Orange</td>
<td>02  01</td>
</tr>
<tr>
<td>Linds, John</td>
<td>02  01</td>
</tr>
<tr>
<td>Mitchell, Margaret</td>
<td>03  01</td>
</tr>
<tr>
<td>Morris, Richard</td>
<td>02  01</td>
</tr>
<tr>
<td>Sabin, Sam</td>
<td>02  01</td>
</tr>
</tbody>
</table>
```

NOTE: Other nag screens may display when a User logs on to ETAMS. Because the other nag screens are not related to the Base Schedule record, they are not shown here.
How to Add a Base Schedule

The information contained in an employee’s Base Schedule record is the default information used to automatically create the Timecard each Pay Period. Perform the following steps to add a Base Schedule for a new employee. For more information about the ETAMS and the Base Schedule, go to the ETAMS help file.

1. From the ETAMS Main Menu, click on **Base Schedules**.

2. Display the desired Base Schedule record:
   - If the employee name is displayed on the list,
     a) Double click on the employee name.
     b) A message displays to tell you the SSN is not in the Base and asks you if you want to add the SSN. Click **Yes**. Continue with Step 3.
   (OR)
   - If the employee name is not displayed on the list,
     a) Click in the SSN field, enter the SSN and click **OK**.
     b) A message displays to tell you the SSN is not in the Base and asks if you want to add the SSN.
     c) Click **Yes** and continue with Step 3. (If the message says that the SSN is not in one of your valid Area/Teams, contact the Facility Coordinator. The employee is in the database, but you cannot access the record. The FC will be able to move the employee record or give you access to the Area/Team as needed.)

3. The SSN Validation Screen displays. Answer the prompts to establish either a Government employee or a Contractor.

4. Click in the **Name** fields and enter the Last, First and Middle initial of the employee name. Move from field to field using the Tab key. Use either initial caps or all caps. Complete the remaining fields on the right of the screen (most have a drop-down selection available). These fields are: **Status**, **Block**, **Area/Team**, **Separated Indicator**, **Full/PT** (display only when the employee is validated in PAR), **AWS** (Alternate Work Schedule), **FED Payroll** (may not display on some systems), **Rate of Pay** (may not display on some systems), **Labor Emp, Craft Code, Multiplier, Add On, Ext Leave, Restricted**. In the “Code” field on the far left of the screen, enter the Regular Tour of Duty for the employee. Valid entries are 00 (X) – Regular Day Off or 01 – Regular Scheduled Hours. The Regular Scheduled Hours code (01) must be followed by the amount of time in the work day. An 8-hour day would have 8.0 Hrs. A 9-hour day would have 9.0 Hrs. A 10-hour day would have 10.0 Hrs. The Hrs column is always entered as Hours and tenths of hours. There must be an entry on every day of the 14 day Tour – either a 00 code or 01. An employee who works 8 hours a day, every day of the 80-hour tour will have 4 days off (00 codes on each of the 4 days) and 10 Regular Scheduled Hours days (code 01) with 8-hours (8.0) every working day.

   **Note:** If the schedule is defined as Intermittent, the Tour of Duty column will show all days as RDO (Regular Day Off) and this schedule cannot be changed on the Base.

   **Note:** If the employee is validated, the Tour of Duty cannot be more hours than the assigned tour as defined in PAR. The Full/Part/Intermittent field is updated on the Base Schedule every night with the tour as defined in PAR. If there is a mismatch on the Timecard or Amendment with the PAR setting, a message displays whenever the record is accessed.
5. No other entries are needed on the Base Schedule unless the employee is entitled to special pay etc. on a regular basis requiring those Work Codes be entered - i.e. Sunday Premium, Night Differential, Hazard. If so, enter the appropriate Exception Code number in the “Code” field, followed by the amount of time the employee is entitled to the extra pay. The code and time must be put on each day the employee is entitled to the extra pay. Anytime an Exception Code is used on the Timecard, the code and employee time must be entered on each day that the code is to be used.

Note: All employee Base Schedules must show 80 hours for a full-time employee or the appropriate number of hours for a part-time employee. Validation checks are made to this record so that the Base Schedule hours must match the Regular Tour of Duty hours for the employee as shown in PARS.

Note: If this is a Labor employee, perform the steps described in the help file: How to Establish an ETAMS Employee as a Labor Employee. When all the information on the Base Schedule is correct, contact the Certifier to “Sign” the Base Schedule. (After the Base Schedule record has been “Signed”, if any schedule information is changed, the Base Schedule signature is automatically removed. After the change is made to the record, the Base Schedule must then be “Signed” again by the Certifier.)

---

**Base Schedule for Contractors**

1. Contractor schedules are not validated in ETAMS. Because of this, the ‘Full/Part/Intermittent’ field is open for selection and can be changed at any time.
2. The ‘Block’ field is not used and is grayed out.
3. ‘Fed Payroll’ field is set to ‘No’.
4. ‘Pay Code’ field is an optional field that is available for input.
5. The ‘Hourly Rate’ field is an optional field that is available for input.
6. The Labor Default Schedule for a Contractor is set up the same as a Labor Default Schedule for a government employee.
ETAMS SCREENS

ETAMS Main Menu

Base Schedule – Base Schedule Select

All employees in the Facility database will display here until they are claimed (i.e. assigned to an Area and Team). After the Base Schedule is completed, only the Timekeeper(s) responsible for the employee Timecard will be able to access the record.

Unclaimed (unassigned) Employee
Completing the ETAMS Base Schedule

BASE SCHEDULE – REGULAR, FLEX, MAXI-FLEX SCHEDULE & SIGNED

LABOR: All examples shown here have Labor enabled for the

BASE SCHEDULE - COMPRESSED SCHEDULE (5/4/9)
Completing the ETAMS Base Schedule

June 2008

BASE SCHEDULE - COMPRESSED SCHEDULE (5/4/9)

BASE SCHEDULE - COMPRESSED SCHEDULE (4-10 HR DAYS)
Completing the ETAMS Base Schedule

BASE SCHEDULE - PART-TIME EMPLOYEE

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Su</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mo</td>
<td>01</td>
<td>8.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tu</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>We</td>
<td>01</td>
<td>8.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Th</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Fr</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Sa</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Su</td>
<td>01</td>
<td>8.0</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Mo</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tu</td>
<td></td>
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Status: Active
Block: 01051
Area/Team: 01/01
Stop Ind: No
Furlough: Part Time
AWS: Yes
Meal Start: 0000
Meal Stop: 0000
Fed Payroll: Yes

Labor Emp: Direct
Craft Code: 01
Multiplier: 0.00
Add On: No
End Lease: No
Restricted: No

Signed By: Siler, Angola 1
Last Signed by: Siler, Angola 1 (3/22/08 8:05)
Last Changed by: Siler, Angela 1 (3/22/08 8:33)

BASE SCHEDULE - INTERMITTENT EMPLOYEE

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Status: Active
Block: 01051
Area/Team: 01/01
Stop Ind: No
Furlough: Intermittent
AWS: Yes
Meal Start: 0000
Meal Stop: 0000
Fed Payroll: Yes

Labor Emp: Yes
Craft Code: 01
Multiplier: 0.00
Add On: No
End Lease: No
Restricted: No

Signed By: Siler, Charles 1
Last Signed by: Siler, Charles 1 (3/22/08 14:38)
Last Changed by: Administrator, System (3/22/08 14:25)
Completing the ETAMS Base Schedule

## LABOR FACILITY – Government Employee

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**Labor fields**

Signed By: Signer, Bob  
Last Signed by: Signer, Bob (2/26/06 7:41)  
Last Changed by: FEDdesk, User1 (2/26/06 11:54)  
FEDdesk, User1 (1/29/03 16:15)

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**Labor fields**

Signed By: Signer, Charles  
Last Signed by: Signer, Angela (2/26/06 3:43)  
Last Changed by: FEDdesk, User1 (2/26/06 0:29)  
FEDdesk, User1 (5/27/05 10:23)
Labor Default Schedule

When the Labor feature is turned on for the Facility, a Labor Default Schedule needs to be set up for each employee whose work projects are to be reported. After the ETAMS Base Schedule is set up, a Labor Default Schedule should then be created. The Labor Default schedule is an accounting of the employee’s work assignments and the percentage of time spent on each assignment. Just like the Base Schedule is a default record of Regular Scheduled Hours, the Labor Default is the default record for reporting types of work performed during the Pay Period.

After a Labor Default is defined, the information is then used each Pay Period to create the Labor Summary record. The Labor Summary record is then modified as needed for the Pay Period.

Perform the following steps to setup an employee’s Labor Default:

1. First, complete the Base Schedule and Close the record.

2. From the ETAMS Main Menu, go back into Base Schedules and bring up the employee’s record.

3. From the Menu bar, select Maintenance, Default.

The Labor Default Screen displays.

‘Favorite’ lists may or may not display on the left side of the screen and across the top of the screen. To set up or change these lists, see, ‘Creating a Favorites List’.

4. Click in the Project and Task column in the middle of screen. A drop-down list displays all Facility codes. Scroll down the list and highlight the correct Project/Task for the employee. One or many Projects/Tasks can be defined for each person.

Work Pct - Enter the percentage of Base time for the Pay Period that is to be allocated to this Labor Code.

Note: If you enter the Work Percentage, then the # of Hours [next field] is calculated for you OR vice-versa, if you enter the Hours, then the Work Percentage is calculated for you.

Hours - Enter the number of regular hours to be allocated to this Labor Code.

OT – Check this box if all Overtime hours are to be allocated to this Labor Code.

If Overtime Hours is not applicable for this Labor Code, leave the OT box blank.
Note: When complete, each Labor Default should display (at the bottom-right of the screen) the following information:

- Total (Work Percent and Hours)
- Base Hours = (the total number of Hours shown)
- Remaining Hours = 0

Here is the completed Labor Default Schedule.

![Labor Default Schedule](image)

It is suggested that Labor allocation be at least 10% for any Labor Code entered.

5. After visually verifying that all entered data is correct, click on the **Close** button, and **Save** this Labor Default as entered.

You have now set up the Labor Default which will be automatically copied to the Summary and/or Labor Detail Screen each Pay Period. After the initial setup, the Labor Default can be changed at anytime from either **Base Schedules** or from **Timecards**. As with any Base Schedule changes, Labor Default changes need to be made prior to Pay Period Initialization.
Changing a Labor Default Schedule

Perform the following steps to make changes to an existing Labor Default Schedule: Changes are needed when a default Project/Task becomes Inactive. Only Active Project/Tasks can be used on Labor records. Changes will be effective for the next Pay Period that is to be initialized and not the current Pay Period.

A Labor Default Schedule can be changed either from Base Schedules or from Timecards. From either option, bring up the Labor Default.

1. From Base Schedules, bring up the employee’s record.
   Or
   From Timecards, bring up the employee’s Labor Summary.

2. Click on the Maintenance menu, and then select Default. The Labor Default Screen displays.

3. Place the hand pointer next to the appropriate line within the middle "Summary" section of the screen. If you are deleting an existing Summary line, with the line selected, simply press the Delete button at the bottom of the screen to remove the entry.
   If you are adding a new entry, press the Add button to have the hand pointer jump to a new blank line - perform the next step.

4. Click in the Project and Task column in the middle of screen. A drop-down list displays all Facility codes. Scroll down the list and highlight the correct Project/Task. One or many Projects/Tasks can be defined for each person.
5. Complete the remaining entry fields:

*Work Pct* - Enter the percentage of Base time that is to be allocated to this Labor Code entry.

Note: If you enter the Work Percentage, then the # of Hours[next field] is calculated for you

*OR* vice-versa, if you enter the Hours, then the Work Percentage is calculated for you.

*Hours* - Enter the number of Base hours that is to be allocated to the Labor Code.

*OT* – Labor Codes can have *Overtime* Hours applied to them.

If Overtime Hours is not applicable for this Labor Code, leave the OT box blank.

(OR)

If the entry is to have Overtime Hours applied (which will be at the same percentage as defined for Base), click within the OT box to insert a checkmark.

Note: When complete, each Labor Default should display (at the bottom-right of the screen) the following information:

Base Hours = (the total number of Hours shown)
Remaining Hours = 0
Total Percent = 100%

It is suggested that Labor allocation be at least 10% for any entry.

6. After visually verifying that all entered data is correct, click on the **Close** button, and **Save** this Labor Default as entered.
Completing the ETAMS Base Schedule  

Creating a Favorites List
Each labor employee typically spends his/her workweek on one or several Projects. Hours, or a percentage of the workweek, are then logged to each Project worked. Your agency may have hundreds of Project codes, but one employee may allocate all of his/her time to only 1 or 2 Project codes. This is what a Favorite list is for. A Favorite list is a short pick list of codes used by an employee to complete his work report for the Pay Period. The Labor screens display two Favorite windows and the window names may be different for your agency. One or both Favorite lists may be available for employees in your agency. Set-up of the Favorite List is the same no matter what kind of list it is. Setting up the Favorite List is optional, but this short list is handy when completing a work report for the Pay Period.

To Create a Favorites List

1. From *Base Schedules*, bring up the employee’s record.
   Or
   From *Timecards*, bring up the employee’s Labor Summary.

2. Click on the **Maintenance** menu, and then select **Default**. The Labor Default Screen displays.

   ![Labor Default Screen](image)

   **Note**: A Favorite List can be created or modified from any Labor screen that displays the Favorite List window. In this example, the Labor Summary screen is used.

3. Place your mouse pointer inside the Favorite window (white window on the left or across the top of the screen, and click the right mouse button. The *Favorite* window displays.

   ![Favorite Window](image)

   Initially, the *Favorite* list window for each person starts out with All codes that are defined for Facility use shown on the right side of the screen. Each Favorite list on the left, is then customized for the person and can be modified at any time.

4. Move the mouse down the right side of the window. Pointing to the name of a code opens a pop-up window with the name of the code. Find and highlight the code to add to the Favorite List.
5. Click the left mouse button and drag the code in the right column to the code in the left column. Release the mouse button. Continue dragging codes from the right to the Favorite column on the left side of the window until the Favorite List is complete.

![Favorite Projects window](image)

**Note:** To delete a Favorite code on the left side of the window, just drag the code back over to the right side of the table.

6. Click the Close button to close the Favorite window. Your choices now display in the Favorite window of whatever Labor screen you are on.

7. If a second Favorite List is used for another set of work reporting codes, use this same procedure to create another Favorite List.
ELECTRONIC TIME AND ATTENDANCE MANAGEMENT SYSTEM

ETAMS
ELECTRONIC SIGNATURE TRAINING

Including the Labor Feature

Publication Number: ETAMS-ESTM4G

FOR OFFICIAL USE ONLY

NOTICE: THIS MANUAL CONTAINS PROPRIETARY INFORMATION
This manual contains proprietary information for use by ETAMS personnel ONLY or by persons authorized to perform ETAMS tasks.

March 2009
ETAMS Electronic Signature

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# ETAMS CERTIFIER SCHEDULE

**June 2006**

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<th>MONDAY</th>
<th>TUESDAY</th>
<th>WEDNESDAY</th>
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<th>EFT PAYDAY FRIDAY</th>
<th>SATURDAY</th>
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<tr>
<td>SUNDAY</td>
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<tr>
<td>ETAMS Lockout 3:30AM – 5:30AM CST</td>
<td>ETAMS Lockout 1:30PM – 4:00PM CST</td>
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<td>3:30AM – 5:30AM CST</td>
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<tr>
<td>Timecards &amp; Labor Records Are Created Today for the New Pay Period</td>
<td>Timecards &amp; Labor Records Are Collected Today for Last Pay Period</td>
<td>Timecards &amp; Labor Records Are Collected Today for Last Pay Period</td>
<td>Processed Timecards and Amendments are moved to History</td>
<td>Processed Timecards and Amendments are moved to History</td>
<td>Processed Timecards and Amendments are moved to History</td>
<td>Processed Timecards and Amendments are moved to History</td>
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*Hawaii Exception*  
(See Note 2b)

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(See Notes 1, 2a, 3, 4, 5, 6 & 11)

Review Labor records  
Review & Sign Timecards

**Base Schedules**  
(See Note 3)

Sign Base Schedules

Amendments are collected daily  
Review & Sign Amendments  
(See Notes 3, 4, 5 & 7)

<table>
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<tr>
<th>WEEK 2</th>
<th>MONDAY</th>
<th>TUESDAY</th>
<th>OFFICIAL PAYDAY WEDNESDAY</th>
<th>THURSDAY</th>
<th>FRIDAY</th>
<th>SATURDAY</th>
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Review & Sign Amendments  
(See Notes 3, 4, 5 & 7)
NOTES FOR THE ETAMS CERTIFIER SCHEDULE
June 2006

- All Times shown here are Central Standard Time (CST).
- For detailed instructions on any of these procedures, refer to the ‘How to’ section in on-line Help.
- Some Facilities do not have the Labor feature enabled and therefore do not have Labor records.

1. The deadline for signing Timecards is 1:00PM CST on Monday (Week 1). For exceptions, see Note 2.

2. Exceptions to completion and collection of Timecards and Labor records:
   a) Holiday - When there is a Holiday on Monday (Week 1), the deadline for completion of Timecards is 1:00PM CST on Tuesday. The rest of this schedule is the same.
   b) Hawaii - Hawaii Facilities must have Timecards and Labor records ready for collection by COB on Sunday, Week 1.

3. **Only signed records are collected.** If a Timecard is not signed before the ETAMS lockout, the signed Base Schedule and Labor Default is collected in lieu of the Timecard. The unsigned Timecard and Labor record then become an Amendment. If neither the Base Schedule nor Timecard is signed, the person has no Timecard or Labor record picked up for the Pay Period. When an Amendment is not Signed at collection, it stays in the Amendment file and is not collected until it is signed.

4. Labor records are not signed, but they are linked to the Timecard for the same Pay Period and cannot be picked-up without a signed Timecard/Amendment.

5. Signed Timecards and Amendments that are modified, become unsigned. These records must then be re-certified.

6. Timecards can be Reviewed and Signed anytime **BEFORE** the deadline.

7. Amendments can be entered daily and are collected daily after normal business hours. Amendments for last Pay Period, however, cannot be entered until Thursday after the Timecard has been collected. Amendments for last Pay Period will **not** be collected until the first Friday of the new Pay Period. This means that an Amendment adjustment for last Pay Period will not show up on the upcoming Pay and Leave Statement.

8. Payroll Corrections are changes made by the Payroll Office to Timecards or Amendments that are rejected during processing. **The Timekeeper and the Certifier** should review the changes. If any Payroll Correction is in error, an Amendment should be submitted.

9. During this process, access to ETAMS is blocked. Lockout times are approximate.

10. Base Schedules should be signed at all times because they act as default Timecards. Schedules become unsigned when updated by PAR.

11. When an employee name appears on the ‘Employees Not Validated’ Report, their records **cannot be signed and therefore cannot be collected.**

12. Supervisor T&A Certification Report: All records from the previous Pay Period must be Certified before a more current Pay Period record can be certified. Select ‘Reports’ from Main Menu. After Review, click the ‘Certify’ button to ‘Certify All’, or check or uncheck each appropriate record. After your selection is made click the ‘Certify’ button.
IMPORTANT REMINDERS

1. To access FEDdesk, always start from the FEDdesk System home page (http://feddesk.gsa.gov). This page alerts you to problems that arise, new program enhancements, and necessary changes that have been made.

2. New Base Schedules and Labor records and changes to Base Schedules and Labor records must be made NO LATER THAN COB on the 2nd Friday of the Pay Period in order to have the changes in effect for next Pay Period.

3. SSNs that are not validated cannot be certified and therefore cannot be collected.

4. Base Schedules should be signed at all times.

5. There are 4 reasons why a Base Schedule signature is automatically removed:
   a. Pay Status change
   b. Tour of Duty change (Full-Time to Part-Time & visa versa)
   c. Name Change by a Personnel action
   d. Name Discrepancy: When the employee’s first or last name in ETAMS does not match exactly the first or last name in the Payroll System, the ETAMS Base Schedule is automatically unsigned.

   Unsigned Base Schedules should be reviewed by the Timekeeper and then re-certified.

6. Timecards should be signed no later than 1:00 PM (CST), the first Monday after the end of the Pay Period.

7. Unsigned Timecards (that have a signed Base Schedule) are sent to the Amendment option at pick-up time and replaced with the signed Base Schedule.

8. If both the Timecard and Base Schedule are unsigned, no record for the person is picked-up for the Pay Period and the unsigned Timecard is NOT moved to Amendments.

9. Amendments can be entered daily and are collected daily after normal business hours if they are signed. Amendments for last Pay Period, however, cannot be entered until Thursday after the Timecard has been collected. Amendments for last Pay Period will not be collected until the first Friday of the new Pay Period. This means that an Amendment adjustment for last Pay Period will not show up on the upcoming Pay and Leave Statement.

10. Payroll Corrections should be reviewed by both the Timekeeper and the Certifier.

11. Passwords must be changed every 90 days. You are notified at log on when this is needed. Check the on-line help for ‘Changing Your Password’.

12. Supervisor T&A Certification Report: All records from the previous Pay Period must be Certified before a more current Pay Period record can be certified. The Certifier of the Base Schedule or Timecard (if different) can certify the T&A Report.
LOGGING ON AND OFF FEDDESK/ETAMS

The FEDdesk Application is accessed via the Internet. Use this procedure for logging on and logging off.

To Logon to FEDdesk/ETAMS:

1. **Double** click on your browser icon (Explorer, Navigator, etc.) to access the Internet.
3. From the FEDdesk System home page, single click the **System Logon** tab. (If you are a first-time user, a browser plugin will automatically download.)
4. From the OCFO Web Applications ‘**Log in**’ window, enter your User name /UserID and press the Tab key.
5. Enter your Password and press the Enter key or click ‘Log in’.
6. From the **Applications** window, click on the FEDdesk icon to open the application. A warning message alerts you about connecting to a government computer. Read and accept the warning by clicking **OK**.
7. From the **FEDdesk Menu**, single click on **Time and Attendance (ETAMS)**. 
   Items that are not available to the User are grayed out.

   Note: If the FEDdesk application has been inactive for 15 minutes, you will automatically be disconnected.

**To Logoff ETAMS/FEDdesk:**

To log off the FEDdesk system, perform the following steps:

1. From any ETAMS screen, select the File Menu and then Exit. Repeat this until the **FEDdesk Menu** displays.
2. From the **FEDdesk Menu**, click the **Exit FEDdesk**.
3. From the OCFO Web Applications window select another application or click **Log Off** and return to Windows.

   **Note:** The recommended ‘exit’ procedure is **not to use** the ‘X’ in right corner of the screen, especially from the **FEDdesk Menu**.

   **Note:** If the FEDdesk application has been inactive for 15 minutes, you will automatically be disconnected.
CHANGING YOUR PASSWORD

Use one of these two procedures to change your FEDdesk Password.

**Change Password from the GSA OCFO Applications Gateway**

Use this procedure to change your Password from the GSA Applications Gateway.

1. After log on to the GSA Applications Gateway, click on the key icon to display the ‘Change Password’ screen.

2. Enter your Old Password. Press the Tab key.

3. Enter your new Password and then enter the new Password again for confirmation and click OK. A confirmation message is returned when the Password change has been successfully completed.

*Note:* Password Criteria is found on the FEDdesk System web site ([http://feddesk.gsa.gov](http://feddesk.gsa.gov)). Click on the Help tab and then go to Password Criteria.

*Note:* After changing your Password wait 30 minutes for updates to take effect before logging on again.

*Note:* If you forget your Password, contact your Facility Coordinator. The Facility Coordinator will set your Password back to a default to allow entry into FEDdesk.

*Note:* You can also change your Password from the FEDdesk Menu by clicking on Change Password.

**Change Password from FEDdesk**

Use this procedure to change your FEDdesk Password from the FEDdesk Menu:

1. Click Change Password to display the ‘Change Password’ screen.

2. Enter your New Password.

3. Press the Tab key. Enter your new Password again and click OK. A confirmation message is returned when the Password change has been successfully completed.

*Note:* Password Criteria is found on the FEDdesk System web site ([http://feddesk.gsa.gov](http://feddesk.gsa.gov)). Click on the Help tab and then go to Password Criteria.

*Note:* After changing your Password wait 30 minutes for updates to take effect before logging on again.

*Note:* If you forget your Password, contact your Facility Coordinator. The Facility Coordinator will set your Password back to a default to allow entry into FEDdesk.

*Note:* You can also change your Password from the OCFO Applications Gateway by clicking on the key icon.
FEDDESK / ETAMS SCREENS

FEDdesk Menu

**FEDDESK MENU**

- Time and Attendance (ETAMS)
- Travel Reimbursement (TMR)
- Miscellaneous Reimbursement (TMR)
- Manual Vouchers
- Payroll Accounting Codes WEBPACC
- Change Password
- System Help
- System Administration
- Time and Attendance Archives
- Exit FEDdesk

ETAMS Main Menu

![ETAMS Main Menu Diagram]
LOGON SYSTEM MESSAGES

Unsigned Base Report
This report displays at logon if there are unsigned Base Schedules in any Area/Teams to which you have access.

Action to be taken: Click on the Base Schedule option and sign any unsigned Base Schedule records. The signed Base Schedule is the replacement timecard if the timecard is not signed at collection.

Payroll Corrections to Review Report
This report displays at logon if there are timecards or amendments that were corrected by Payroll after collection.

Action to be taken: Review all Payroll Corrections for which you are responsible. If OK, no action is needed. If the correction is not accurate, an amendment must be entered to correct the Payroll Correction.

Employees Not Validated
This report displays at logon if there are employee SSNs in the Base Schedule that are not found in the Payroll System. In addition, the last know timekeeper is also sent an email re the unvalidated SSN. When an SSN is not validated, neither the Base Schedule nor the timecard can be certified and therefore cannot be collected.

The Payroll Office will help you resolve the problem with each employee record.
**Unsigned Amendments Report**

This report displays at logon if there are Amendments that are currently not certified. Amendments are collected daily, but only signed Amendments can be collected.

**Action to be taken:** Review the Amendment. Delete the record or sign the record so it can be collected.

---

**Note:** These messages display for all ETAMS users. It is the responsibility of the **timekeeper** to take action so that the name is removed from the list.

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**Uncertified Supervisor’s Report**

Each pay period an Uncertified Supervisor’s Report is sent from PAR for Supervisor certification. After payroll processing, results are returned to each Facility on the 1st Thursday of the new pay period. At logon both the Certifier of the Associate’s Base Schedule and the Certifier of the Associate’s Timecard or Amendment (if different) get a nag screen that displays a list of uncertified records. Either Certifier can approve an Associate’s record. After certification of all records, the nag screen does not display at logon. All records from a prior pay period must be certified before a more recent report can be certified. Past reports are stored and can be viewed and printed or exported and saved to a file.

**Note:** This message displays only for the Certifier. It is the Supervisor’s responsibility to review and certify the report each Pay Period.
BASE SCHEDULE SCREENS
Base Schedule – Base Schedule Select

LABOR: If your Facility has the Labor feature enabled, also read the Labor Notes in the text boxes throughout this manual.

LABOR: The seven fields in the lower right corner of the Base Schedule screen are Labor indicators.

Base Schedule – Employee Detail
REVIEWING AND SIGNING BASE SCHEDULES

An ETAMS Base Schedule defines a person’s Regular Tour of Duty for a two-week period. The tour defines how many hours each day the person works and what days are off days. Every person for whom a Timecard is to be submitted must have a completed Base Schedule. After the Base Schedule is completed, it must be certified. When Timecards are generated for the Pay Period, the Base Schedules (without signatures) are copied to the Timecard. All Timecards must be signed whether or not any exceptions have been added before it will be picked up for processing. The same thing happens on a Base Schedule. When a person’s Regular Tour changes, the Base Schedule must be modified and then certified again.

Use this procedure to review and sign all Base Schedules for which you are responsible.

1. After log on, the Unsigned Base Report, the Payroll Corrections to Review Report, the Employees Not Validated Report, the Unsigned Amendments Report and the Uncertified Supervisors Report display, if appropriate. Click ‘Close’.
2. From the ETAMS Main Menu:
   - Click on the ‘Base Schedules’ option.
   - Note: By default, the Base Schedule Select list displays only unsigned records. To display a complete list of records, regardless of signature, go to the Display box and click ‘All’. In addition, you may also sort the list by Area/Team using the ‘Select Optional Area/Team’ box.
   - The instructions given here are written using the default settings.
3. If you have access to more than one Area/Team, perform this step to sort the list by Area/Team. If you have access to only one Area/Team, go to the next step.
   - To Review one Area/Team at a time:
     A. Click in the ‘Select Optional Area/Team’ box, if applicable, to clear the box.
     B. Click on a name in the Area/Team to be reviewed.
     C. Click in the ‘Select Optional Area/Team’ box to display the selected list.
4. Display the first record:
   - Click on the first name and click ‘OK’.
5. Either: Review the record, but don’t Sign. Use the right arrow (>) next to the Last Name to scroll through and review all the records. Go to step 6.
   - Or: Accept and Sign the Base Schedule by clicking on ‘Sign/Unsign’ and answer the prompt to sign with a ‘Yes’. Click the next (>) button to continue the Review and Sign process. Go to step 6.
   - Or: Leave the Base Schedule unsigned. Contact the Timekeeper for needed changes.
6. At the last record, Click ‘No’ to the question to start over. The ‘Base Schedule Select’ screen displays.
7. To Sign Base Schedules from the ‘Base Schedule Select’ screen:
   - A. Click ‘Sign/Unsign’ from the Menu bar and then click the ‘Sign Multiple’ option.
   - B. Enter the Area number and press the Tab key.
   - C. Enter the Team number and click ‘OK’. When all records in the selected Area/Team are Signed, the ‘Base Schedule Select’ list is blank.
8. To Review/Sign another Area/Team, repeat Steps 3-8.
9. To verify that all records are signed, from the ‘Base Schedule Select’ screen, go to the ‘Display’ box on the right and click ‘All’. The Certifier name displays in the ‘Signed By’ column.
10. When all Base Schedules have been Signed, click ‘Cancel’ to return to the ETAMS Main Menu.
11. Contact the Timekeeper immediately if any Base Schedules were left unsigned and need modification.

Note: The ETAMS Facility Coordinator can give temporary access to records for signature.
TIMECARD SCREENS

LABOR: To Review ‘Labor Only’ records, from the View box, click ‘Labor Only’ before selecting an employee name. To Review ‘Timecards Only’, from the View box, click ‘Timecards Only’ before selecting an employee name.
LABOR TIMECARD SCREENS

LABOR: Certifiers can also review Labor records for their employees. When the Timecard is signed, the signature also displays on the Labor record. When the Timecard is changed, signature is removed. In addition, when Timecard entries are made on the Labor Detail, and when a Restricted Labor record is changed, signature is also removed.

*Note:* Some field names on Labor screens may vary by Agency.
Restricted Labor Employee – Out of Balance Timecard and Labor Record Message

Restricted Labor– Out of Balance Records List
REVIEWING AND SIGNING TIMECARDS

Timecards must be signed before they can be picked up by Payroll. Timecards must be signed and ready for pick-up NO LATER THAN the time shown on the Certifier Schedule.

Unsigned Timecards are replaced with the person’s signed Base Schedule. If the Timecard is not picked up, none of the exceptions entered for the Pay Period will be processed. Unsigned Timecards move to Amendments where they can be signed and picked-up at a later date. When an unsigned Timecard has a corresponding unsigned Base Schedule, no record for the person will be picked-up for the Pay Period. Therefore, it is important to have ALL records signed by the deadline.

Use this procedure to review and sign Timecards:

1. After log on, the Unsigned Base Report, the Payroll Corrections to Review Report, the Employees Not Validated Report, the Unsigned Amendments Report and the Uncertified Supervisors Report display, if appropriate. Click ‘Close’. Go to Base Schedules, sign the Schedules and return to the Main Menu to continue with the next step.

2. From the ETAMS Main Menu:
   Click ‘Timecards’.

   Note: By default, the Timecard Select screen displays only unsigned records. To display a complete list of records, regardless of signature, go to the Display box and click All. In addition, you may also sort the list by Area/Team using the ‘Select Optional Area/Team’ box.
   The following instructions are written using the default settings.

3. If you have access to more than one Area/Team, perform this step to sort the list by Area/Team. If you have access to only one Area/Team, go to the next step.
   To Review one Area/Team at a time:
   A. Click in the ‘Select Optional Area/Team’ box, if applicable, to cancel the previous sort. This box should be blank.
   B. Click on a name in the Area/Team to be reviewed.
   C. Click in the ‘Select Optional Area/Team’ box to display the selected list.

   LABOR: Go to the View box and click Timecards Only. This setting lets you scroll through just employee Timecards. When Labor Only is checked, you can scroll through just Labor records. When Both is checked, the Labor record displays for each Labor employee and the Timecard displays for any employee who does not have Labor enabled in the Base Schedule.

4. Display the first record:
   Click on the first name and click ‘OK’.

5. Review the Timecard. If there is a scroll bar, use the ↓ down arrow to scroll to the second week.

   Note: To view all possible Exception Codes, place your mouse pointer in any Code or Hrs column and click the right mouse button. A pop up box displays all valid codes.
LABOR: When the ‘Restricted’ feature is used, Labor hours can be ‘Out of Balance’ with Timecard hours. During the certification process, you will get a message telling you about the ‘Out of Balance’ condition. You can either force the Labor hours into balance with the Timecard hours and sign, or leave the record unsigned and contact the Timekeeper. The Timekeeper must then get with the employee to reconcile the Labor record and the Timecard so that the Timecard can be completed.

6. **Either**: Review the record, but don’t Sign. Use the right arrow (>) next to the Last Name to scroll through and review all the records. (See Important Note below) Go to step 7.
   **Or**: Accept and Sign the Timecard by clicking ‘Sign/Unsign’ on the Menu bar and answer the prompt to sign with a ‘Yes’. Click the next (>) button to continue the Review and Sign process. Go to step 7.
   **Or**: Leave the Timecard unsigned. Contact the Timekeeper for needed changes.

7. At the last record, click ‘No’ to the question to start over from the beginning. The ‘Timecard Select’ screen displays.

8. To Sign Timecards after Review (if already signed, go to step 9), from the ‘Timecard Select’ screen:
   A. Click ‘Sign/Unsign’ from the Menu bar and then click ‘Sign Multiple’.
   B. Enter the Area number and press the Tab key.
   C. Enter the Team number and click ‘OK’. When all records in the selected Area/Team are Signed, the ‘Timecard Select’ list is blank.


10. To verify that all records are Signed, from the ‘Timecard Select’ screen, go to the ‘Display’ box on the right and click ‘All’. The Certifier name displays in the ‘Signed By’ column.

11. When all Timecards have been Signed, click ‘Cancel’ to return to the ETAMS Main Menu.

12. Contact the Timekeeper immediately if any Timecards were left unsigned and need modification.

**Important Note**: If the record to be reviewed or signed uses the Holiday Code AND a non-pay status code before and after the holiday, a warning message displays each and every time you close the record even if no change has been made. After acknowledging the message, the ETAMS Validation message displays.

- If changes have been made to the record, you must say ‘Yes’ to return to the record for the changes to be saved. After responding ‘Yes’ to return to the record, you can now close out of the record.
- If you have signed the record, you must say ‘Yes’ to return to the record for the signature to be saved. After responding ‘Yes’ to return to the record, you can now close out of the record.
- If you have not changed or signed the record, you can click on ‘No’ to Exit the record.

**Note**: The ETAMS Facility Coordinator can give temporary access to records for signature.
AMENDMENT SCREENS

Amendments – Amendment Select

Amendments – Employee Detail
LABOR AMENDMENT SCREENS

LABOR: The Timecard and Labor record are both available when Amendments are created. The Timekeeper, with the help of the employee, must balance the hours on both records so that they agree with one another. **Amendments must be signed before they can be collected.**

Timecard Amendment

Labor Summary Amendment
REVIEWING AND SIGNING AMENDMENTS

Amendments are changes to Timecards from past Pay Periods or Timecards from last Pay Period that were not signed and therefore were not picked-up. When a Timecard is not signed by the deadline, the person’s signed Base Schedule is submitted in lieu of the unsigned Timecard. The Base Schedule does not include any leave or overtime that occurred during the Pay Period. The unsigned Timecard moves to the Amendment File at collection time and stays there until it is signed. In addition, a Timecard may have been previously submitted with omissions or incorrect entries and need to be changed by creating an Amendment.

Signed Amendments are collected every day after normal business hours, with one exception. Signed Amendments (including unsigned Timecards) for last Pay Period are not collected until the first Friday of the new Pay Period. This means that Amendments collected for last Pay Period do not affect pay and leave for last Pay Period.

Use this procedure to review and sign Amendments.

1. After log on, the Unsigned Base Report, the Payroll Corrections to Review Report, the Employees Not Validated Report, the Unsigned Amendments Report and the Uncertified Supervisors Report display, if appropriate. Click ‘Close’. Go to Base Schedules, sign the Schedules and return to the Main Menu to continue with the next step.

2. From the ETAMS Main Menu:
   Click ‘Amendments’.
   Note: By default, the Amendment Select screen displays only unsigned records. To display a complete list of records, regardless of signature, go to the Display box and click All. In addition, you may also sort the list by Area/Team using the ‘Select Optional Area/Team’ box
   The following instructions are written using the default settings.

3. If you have access to more than one Area/Team, perform this step to sort the list by Area/Team. If you have access to only one Area/Team, go to the next step.
   To Review one Area/Team at a time:
   A. Click in the ‘Select Optional Area/Team’ box, if applicable, to cancel the previous sort. This box should be blank.
   B. Click on a name in the Area/Team to be reviewed.
   C. Click in the ‘Select Optional Area/Team’ box to display the selected list.

LABOR: When the Labor Restricted employee’s Labor hours are out of balance with the Timecard hours entered by the Timekeeper, the records must be balanced for certification to take place. If the Certifier forces the balance during certification, the unbalanced records (Timecard and Labor record) move to Amendments. If Timecards are not signed by the deadline, the employee Base Schedule and the Labor Default is submitted in lieu of the out of balance records. Neither the Timecard nor the Labor Default includes any changes made for the Pay Period. It is the Certifier’s responsibility then to have the Timekeeper and employee work together to balance these records. In addition, Labor Amendments can be created due to incorrect entries on the original record.
4. Display the first record:
   Click on the first name and click ‘OK’. The first record displays.
5. Review the Amendment. If there is a scroll bar, use the \downarrow down arrow to scroll to the second week.
   Note: To view all possible Exception Codes, place your mouse pointer in any Code or Hrs column and click the right mouse button. A pop up box displays all valid codes.
6. Either: Review the record, but don’t Sign. Use the right arrow (>) next to the Last Name to scroll through and review all the records. (See Important Note below) Go to step 7.
   Or: Accept and Sign the Amendment by clicking ‘Sign/Unsign’ on the Menu bar and answer the prompt to sign with a ‘Yes’. Click the next (>) button to continue the Review and Sign process. Go to step 7.
   Or: Leave the Amendment unsigned. Contact the Timekeeper for needed changes.
7. At the last record, click ‘No’ to the question to start over from the beginning. The ‘Amendment Select’ screen displays.
8. To Sign Amendments after Review (if already signed, go to step 9), from the ‘Amendment Select’ screen:
   A. Click ‘Sign/Unsign’ from the Menu bar and then click ‘Sign Multiple’.
   B. Enter the Area number and press the Tab key.
   C. Enter the Team number and click ‘OK’. When all records in the selected Area/Team are Signed, the ‘Amendment Select’ list is blank.
10. When all Amendments have been Signed, click ‘Cancel’ to return to the ETAMS Main Menu.
11. Contact the Timekeeper immediately if any Amendments were left unsigned and need modification.

**Important Note:** If the record to be reviewed or signed uses the Holiday Code AND a non-pay status code before and after the holiday, a warning message displays each and every time you close the record even if no change has been made. After acknowledging the message, the ETAMS Validation message displays.

- If changes have been made to the record, you must say ‘Yes’ to return to the record for the changes to be saved. After responding ‘Yes’ to return to the record, you can now close out of the record.
- If you have signed the record, you must say ‘Yes’ to return to the record for the signature to be saved. After responding ‘Yes’ to return to the record, you can now close out of the record.
- If you have not changed or signed the record, you can click on ‘No’ to Exit the record.

![ETAMS Validation Message](image)

**Note:** The ETAMS Facility Coordinator can give temporary access to records for signature.
PAYROLL CORRECTIONS SCREENS

Payroll Corrections – Payroll Correction Select

Payroll Corrections Detail
REVIEWING PAYROLL CORRECTIONS

Corrections to Timecards and/or Amendments are entered by Payroll and sent back to the Facility. The Certifier and the Timekeeper should review these Payroll Corrections. Even though reviewing Payroll Corrections can be performed anytime during the Pay Period, it is scheduled to be performed by the Certifier and the Timekeeper on a specified day in order to allow access to the records before they are cleared out. Payroll Corrections returned to the Facility last Pay Period are cleared when new Payroll Corrections are returned. Refer to your ETAMS Schedule.

Use this procedure to review Payroll Corrections.

1. After log on, the Unsigned Base Report, the Payroll Corrections to Review Report, the Employees Not Validated Report, the Unsigned Amendments Report and the Uncertified Supervisors Report display, if appropriate. Click ‘Close’. Go to Base Schedules, sign the Schedules and return to the Main Menu to continue with the next step.
2. From the ETAMS Main Menu:
   Click ‘Payroll Corrections’.
3. If you have access to more than one Area/Team, perform this step to sort the list by Area/Team. If you have access to only one Area/Team, go to the next step.
   To Review one Area/Team at a time:
   A. Click in the ‘Select Optional Area/Team’ box, if applicable, to cancel the previous sort. This box should be blank.
   B. Click on a name in the Area/Team to be reviewed.
   C. Click in the ‘Select Optional Area/Team’ box to display the selected list.
4. Display the first Payroll Correction:
   Click on the first name and click ‘OK’. The Payroll Correction displays.
5. Review the Payroll Correction. Be sure to read the ‘Remark’ from Payroll at the bottom of the record that explains the change.
6. Use the right arrow (>) next to the Last Name to scroll through and review all the records
7. At the last record, click ‘No’ to the question to start over from the beginning. The ‘Payroll Correction Select’ screen displays.
8. To Review another Area/Team, repeat steps 3-8.
9. Click ‘Cancel’ to return to the ETAMS Main Menu.
10. Contact the Timekeeper if you have questions about Payroll Corrections.

LABOR: The Payroll Office does not make any changes to Labor records that are collected. Therefore, no Labor records can be viewed from ‘Payroll Corrections’.
SUPERVISOR’S T&A CERTIFICATION REPORT

The Supervisor’s T&A Certification Report contains summary data for the pay period, as recorded in ETAMS and PAR. The T&A data shown on the report was recorded and used by PAR for pay and leave purposes. The report is sent to both the signer of the Base Schedule and the Certifier of the Timecard or Amendment for mandatory post review and certification. It is the Supervisor’s responsibility to review the report paying special attention to any entries with asterisks in the ‘NPC’ column and those records listed on the ‘PAR Errors’ worksheet, and indicate the review by signature. The signature confirms that all entries on the report are valid and that correcting documents have been submitted where necessary. A report can only be certified if all prior Certification Reports have been approved. Certification Reports will be retained in FEDdesk as a source document for audit purposes for 6 years.
REVIEWING AND CERTIFYING THE SUPERVISOR’S T&A CERTIFICATION REPORT

Each pay period an Uncertified Supervisor’s Report is sent from PAR for Supervisor certification. After payroll processing, results are returned to each Facility on the 1st Thursday of the new pay period. At logon both the Certifier of the Base Schedule and the Certifier of the Timecard or Amendment (if different) get a nag screen that displays a list of uncertified records. Either Certifier can approve the record. All records from a prior pay period must be certified before a more recent report can be certified. Past reports are stored and can be viewed and printed or exported and saved to a file.

Use this procedure to review and certify the Supervisor’s T&A Certification Report:

1. After log on, if the Uncertified Supervisor’s Report nag screen displays, click ‘Close’. From the ETAMS Main Menu, go to Reports and select ‘Supervisor’s T&A Certification Report’.
2. The ‘Year’ field defaults to the current year. Change if necessary.
3. Click in the ‘Period’ field to display all the pay period dates and then select the oldest, uncertified date as reported on the Uncertified Supervisor’s Report nag screen. Report data displays in up to six folders. Folders that have no data are grayed out.

Here are a few reminders regarding the review of the uncertified T&A Report:

- The ‘Current PP – Time in Pay’ and ‘Retro – Time in Pay’ folders have an ‘NPC’ column. An asterisk in this column means that the National Payroll Center changed this record after it was collected due to an error made at the facility (now called a Payroll Correction). Amendments may be required for these records. Give special attention to the review of these records.

- The ‘PAR Errors folder has an ‘NPC’ column. An asterisk in this column means that PAR has either changed the record, created the record, or did not process the record. Amendments may be required for these records. Give special attention to the review of these records. One of three messages will display for each record:
  - Missing T&A – PAR created a timecard for the person as none was submitted for the pay period.
  - Retro Error – There was an error when PAR tried to process the record and the record was NOT corrected by the NPC. This is an unresolved record.
  - Retro Unedt (Unedited) – A record (Amendment) has been received by PAR but has not yet been processed (i.e. an Amendment may be collected on Monday, Tuesday or Wednesday of processing week but will not be processed by PAR until next week). The record will show up in the new pay period report as a valid entry.

4. The ‘Certify’ column is open for input on 2 worksheets: Current PP – Time in Pay and Retro – Time in Pay. By default this box is checked for all names on the list. When you uncheck a name, it will not be certified. Uncheck any records that you are not certifying or leave all records checked to certify the complete report.

5. After reviewing the report, click the Certify button. The Certifier’s name and certified date displays next to each record.

6. When all records for the Pay Period to which the Supervisor has access have been certified, the status of the report is Certified.
HISTORY ARCHIVES

History Archives is a storage area for all ETAMS timecard and labor records that have been collected by PARS (Payroll and Accounting Reporting System). Archive records are used for look-up of historical records for any Pay Period that a person was on ETAMS, even though he/she may have been in another Facility. All records (i.e. Timecards, Labor records, Corrections, and Amendments) can be viewed. Archived information cannot be modified because all data shown is “Display Only”. If a record is found to be incorrect, an Amendment can be created to correct the information for the specific Pay Period that is in error.

There are three ways to look up archive records:

- History Archives - From the ETAMS Main Menu, select ‘History Archives’.
- Archives Search – From the ETAMS Main Menu, select the File Menu and then ‘Archives Select’. Enter an SSN
- Employee Archives – From the Timecard, Labor Summary or Amendment screen select the Reports Menu and then ‘Employee Archives’.

Archive records can be printed or exported and saved as different file types.
REPORTS

ETAMS reports are accessed from the ETAMS Main Menu. Report information is generated from History Archives records.

Exception Code Report

The Exception Code Report provides information about one specific Exception Code found on current or historical timecards for one or more persons. Search criteria includes Start / End Date, Leave Type Code (or any Exception Code), and the SSN or Area/Team number.
Individual Exception Code Report

To generate an Individual Exception Code Report, enter a Start and End Date for the report and an SSN.

The Individual Exception Code Report lists all Exception Codes entered on a timecard for a specified period of time. At the top of the report, data displays by Pay Period and day.

At the bottom of the report, the total amount of time charged to each Exception Code displays.

Supervisor’s T&A Certification Report

This report is discussed in a previous section of the manual.
EXCEPTION CODES

To display available Exception Codes, place your mouse pointer in any Code or Hrs column on the following screens and click the right mouse button: Timecards, Amendments, Base Schedules. Only the appropriate codes that are valid on the record type will display.

00  Regular Day Off (X)        01  Regular Scheduled Hours
02  Holiday Observed          07  FLSA Hours Worked
09  Make Up Hours Before OT   10  Regular Scheduled OT
11  Holiday Worked            12  Sunday Premium
13  Comp. Time Earned         14  Irregular Scheduled OT
15  Call Back OT              16  Travel Comp Time Earned
17  OT Rotating Shift         20  Second Shift Night Diff
22  EDP Act. Expose / OT 4%   23  EDP Act. Expose / OT 6%
24  EDP Act. Expose / OT 25%  25  EDP Act. Expose / OT 50%
26  EDP Act. Expose / OT 8%   27  FFL - Family
28  FFL - Funeral             29  FFL - Adoption
30  Third Shift Night Diff    31  Federal Disaster Relief
32  Federal Disaster Relief   33  Evacuation Pay
34  Furlough Regular         35  Furlough Lack of Funds
36  Credit Hours Earned       37  Credit Hours Used
38  Federal Disaster Relief – Non-Reimbursable 39  FFL – Serious Health Condition Family Member
40  Annual Leave             41  Comp. Time Used
42  Court Leave             43  Travel Comp Time Used
44  Restored Leave #1       45  Restored Leave #2
46  Religious Comp Earned    47  Religious Comp Used
48  Home Leave             49  Military Reserve Technicians
50  Sick Leave             51  Regular, Military
52  Law Enforcement Military
53  DC Nat Guard Military
54  Award Leave Used
55  Furlough (Over 30 Days)
56  Lack of Funds (Over 30 Days)
57  FMLA - Family
58  FMLA - Employee
59  Suspension
60  LWOP
61  AWOL
62  Actual Exposure - 4%
63  Actual Exposure - 6%
64  Actual Exposure - 25%
65  Actual Exposure - 50%
66  Hours In Pay Status - 4%
67  Hours In Pay Status - 8%
68  Hours In Pay Status - 25%
70  Union-Term Negotiations
71  Union-Mid-Term Negotiations
72  Union-Dispute Resolutions
73  Union-Gen Labor/Mgt Relations
80  Volunteer Leave
81  COP Used #1
82  COP Used #2
83  COP Used #3
84  Other Paid Absences
85  Donated Leave Used
87  LWOP Workman's Comp Used
90  Telework-Periodic/Intermittent
91  Telework-Short Term
92  Telework-Long Term
93  Telecommuting Center

The 02 – Holiday Observed code is automatically inserted on the timecard and Labor record (if applicable) for the holiday if the holiday falls on a work day. Do nothing on the timecard if the holiday is taken as shown. Move as needed for the ‘In lieu of holiday’ taken. AN OFFICIAL HOLIDAY IS AUTOMATICALLY CALCULATED IN PAR. THIS CODE IS FOR DISPLAY ONLY AND IS ALSO USED IN CALCULATING PRODUCTIVE TIME IN LABOR FACILITIES.
TIME CALCULATIONS

Throughout ETAMS (timecards and labor records), time is expressed as hours and tenths of an hour.

<table>
<thead>
<tr>
<th>Day</th>
<th>Code</th>
<th>Hrs</th>
<th>Code</th>
<th>Hrs</th>
<th>Code</th>
<th>Hrs</th>
<th>Code</th>
<th>Hrs</th>
<th>Code</th>
<th>Hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>6/1/2007</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6/1/2007</td>
<td>01</td>
<td>8.0</td>
<td>36</td>
<td>1.5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The following Business Rules are used for all fields where time is entered:

- Time is expressed in the format: **hh.t** where **h = 0 – 24 and t = 0 - 9**.
- Minutes are expressed as tenths of an hour (1 tenth hour = 6 minutes).
- Minutes are truncated to one decimal place (no rounding).
- Entries may need to be adjusted due to rounding. (eg. 15 min of leave = .2, but one hour of leave in 4, 15-minute increments = .2, .2, .3, .3 = 1 hour).

Use the following chart to record minutes as tenths of an hour.

<table>
<thead>
<tr>
<th>MINUTES</th>
<th>TENTHS OF AN HOUR</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 5</td>
<td>0</td>
</tr>
<tr>
<td>6 - 11</td>
<td>1</td>
</tr>
<tr>
<td>12 - 17</td>
<td>2</td>
</tr>
<tr>
<td>18 - 23</td>
<td>3</td>
</tr>
<tr>
<td>24 - 29</td>
<td>4</td>
</tr>
<tr>
<td>30 - 35</td>
<td>5</td>
</tr>
<tr>
<td>36 - 41</td>
<td>6</td>
</tr>
<tr>
<td>42 - 47</td>
<td>7</td>
</tr>
<tr>
<td>48 - 53</td>
<td>8</td>
</tr>
<tr>
<td>54 - 59</td>
<td>9</td>
</tr>
</tbody>
</table>

Examples: **Timecard / Labor Entry** | **Actual Hours/Minutes**
---|---
.7 or 0.7 | 42 - 47 minutes
3 or 3.0 | 3 hours
.2 or 0.2 | 12 – 17 minutes
5.5 | 5 hours and 30 - 35 minutes
7.2 | 7 hours and 12 - 17 minutes
9.7 | 9 hours and 42 - 47 minutes
SHOW START/STOP TIMES

Note: START/STOP TIMES should be used only when directed by your Agency/Organization.

By default, the ETAMS Timecard (including Base Schedule, Amendment, History and Payroll Correction) displays only an Hrs (Hours) column for recording time. Time is recorded in hours and tenths of an hour both for Regular Scheduled Hours and Exception time.

Timecard hours can also be entered in 24 hour format using a Start time and a Stop time for Regular Scheduled Hours and Exception time.

From the ETAMS Timecard (or Base Schedule or Amendment) click in the Show Start/Stop box to display the Start and Stop columns. Uncheck the Show Start/Stop box to hide the columns.

The display changes to show a Start column and a Stop column between each Code and Hrs column.

![Table showing time entries]

After adding an entry in a Code column enter a Start and a Stop time. Tab out of the Stop field to display the entered time in the Hrs column.

To disregard all Start/Stop times, uncheck the Show Start/Stop box and revert back to the default screen.

Rules to remember when using Start/Stop times:

* Time must be entered in 24 hour format (hhmm) where hh = 00 – 24 and mm = 00 – 59.
* Only actual hours worked is entered as Regular Scheduled Hours. Do not include lunch break.
* For every Start time, there must be a Stop time.
* Start/Stop times and Hrs (hh.t) can both be used on the same timecard.
* Meal time hours cannot be included as part of Regular Scheduled Hours or exception hours.
* After entering a valid Start and Stop time tab out of the field. The Hrs column displays the equivalent time in Hours and tenths of an hour.
* If more than 3 exception codes are needed for any day, click in the Show Supplemental box. A new row displays for each day of the pay period that allows entry of an additional 3 codes.
* After entering and saving Start/Stop times, the default screen for the record shows Start/Stop times the next time the record displays.
* If Start/Stop times have been entered, unchecking the Show Start/Stop box will display a message that asks if you want to hide the Start/Stop columns and revert back to the normal view. If you click OK to this message, all entered Start/Stop times are lost and cannot be retrieved. Click the Cancel key to keep the format of the screen as it currently displays.
* Start/Stop times entered on the timecard will NOT display on the Labor Detail screen.
* Start/Stop times entered on the Labor Detail screen will NOT display on the timecard.
Use the following chart to record the correct 24-hour format for Start/Stop Times. Standard Times are listed along with the corresponding 24-Hour time.

<table>
<thead>
<tr>
<th>STANDARD TIME</th>
<th>24 HOUR TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>12:01 AM</td>
<td>0001 HOURS</td>
</tr>
<tr>
<td>1:00 AM</td>
<td>0100 HOURS</td>
</tr>
<tr>
<td>2:00 AM</td>
<td>0200 HOURS</td>
</tr>
<tr>
<td>3:00 AM</td>
<td>0300 HOURS</td>
</tr>
<tr>
<td>4:00 AM</td>
<td>0400 HOURS</td>
</tr>
<tr>
<td>5:00 AM</td>
<td>0500 HOURS</td>
</tr>
<tr>
<td>6:00 AM</td>
<td>0600 HOURS</td>
</tr>
<tr>
<td>7:00 AM</td>
<td>0700 HOURS</td>
</tr>
<tr>
<td>8:00 AM</td>
<td>0800 HOURS</td>
</tr>
<tr>
<td>9:00 AM</td>
<td>0900 HOURS</td>
</tr>
<tr>
<td>10:00 AM</td>
<td>1000 HOURS</td>
</tr>
<tr>
<td>11:00 AM</td>
<td>1100 HOURS</td>
</tr>
<tr>
<td>12:00 NOON</td>
<td>1200 HOURS</td>
</tr>
<tr>
<td>1:00 PM</td>
<td>1300 HOURS</td>
</tr>
<tr>
<td>2:00 PM</td>
<td>1400 HOURS</td>
</tr>
<tr>
<td>3:00 PM</td>
<td>1500 HOURS</td>
</tr>
<tr>
<td>4:00 PM</td>
<td>1600 HOURS</td>
</tr>
<tr>
<td>5:00 PM</td>
<td>1700 HOURS</td>
</tr>
<tr>
<td>6:00 PM</td>
<td>1800 HOURS</td>
</tr>
<tr>
<td>7:00 PM</td>
<td>1900 HOURS</td>
</tr>
<tr>
<td>8:00 PM</td>
<td>2000 HOURS</td>
</tr>
<tr>
<td>9:00 PM</td>
<td>2100 HOURS</td>
</tr>
<tr>
<td>10:00 PM</td>
<td>2200 HOURS</td>
</tr>
<tr>
<td>11:00 PM</td>
<td>2300 HOURS</td>
</tr>
</tbody>
</table>
| 12:00 PM      | Either 0000 HOURS (Start Time)  
Or 2400 HOURS (Stop Time) |

Examples:

<table>
<thead>
<tr>
<th>Standard Time</th>
<th>24 Hour Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>5:15 AM</td>
<td>0515 HOURS</td>
</tr>
<tr>
<td>2:30 PM</td>
<td>1430 HOURS</td>
</tr>
<tr>
<td>10:45 PM</td>
<td>2245 HOURS</td>
</tr>
</tbody>
</table>
SHOW SUPPLEMENTAL CHECKBOX

The default view of a timecard displays seven columns for entering Exception Codes EXCEPT when Start/Stop Times are used. Once the ‘Show Start/Stop’ checkbox is checked, the screen expands and can only display three columns for entering Exception Codes.

The ‘Show Supplemental’ checkbox is locked until the ‘Show Start/Stop’ checkbox is checked. When more than three Exception Codes are needed for any given day, check the ‘Show Supplemental’ box to expand the record and display an extra row for each day of the Pay Period. Now, up to six Exception Codes can be entered for each day of the Pay Period. Uncheck the ‘Show Supplemental’ checkbox to go back to the default view.

To access the Supplemental rows:

1. If you are using the Start/Stop columns to enter hours, after making 3 entries on any day of the Timecard or Amendment and more room is needed to enter additional entries for the day, click in the ‘Show Supplemental’ checkbox field found in the upper right corner of the screen. An extra row displays for each day of the Pay Period.
2. Scroll down to find a day that is filled all the way across.
3. Enter the next Code directly under the day that is completely filled. Start in the first gray ‘Code’ field on the blank line under the selected day.
4. When the Supplemental entries are complete, Close out of the screen and the entries are saved. When you display the record again, the Supplemental rows are visible. The box under the ‘Show Supplemental’ checkbox now displays ‘Supplemental’. 

![Supplemental_rows]
431.00 OIG POLICY AND PROCEDURES FOR MEMORANDA OF UNDERSTANDING (MOU)

431.01 Purpose

The OIG may perform reimbursable work for or receive reimbursable work from any other Federal unit in the executive branch, including another GSA component, if it is in the position to do so and if applicable legal requirements are met. This chapter establishes OIG policy and procedures for processing Memoranda of Understanding with other federal agencies.

The OIG generally will follow GSA Order CFO P 4251.4A, Chapter 3, Part 9 and other applicable documents, such as the OMB Memo titled, "Improving the Management and Use of Interagency Acquisitions" (June 6, 2008), to the extent they address Memoranda of Understanding and they do not conflict with OIG policy.

431.02 Applicability

The policy applies to all Agreements between the OIG and any other government entity in the executive branch. Agreements concerning reimbursable work performed by the OIG for the legislative branch are covered in Section 427 of the OIG Manual.

431.03 Legal Authority

Basic authority for Federal agencies to enter into reimbursable agreements, and the way that they are handled, is contained in 31 U.S.C. 1535, commonly known as the Economy Act. Implementing regulations for interagency acquisitions are found at 48 CFR subpart 17.5. In addition, the OIG generally enters MOUs under the authority of the Inspector General Act of 1978 as amended. Components should consult with JC for other legal authorities applicable to specific MOUs.

431.04 Approvals

All MOUs must be approved by the Inspector General and the other agency before any services are rendered. This requirement also applies to no-cost MOUs.
431.05 MOU Requirements

At a minimum, all MOUs must include the following information:

- Purpose of the MOU
- Authority for the MOU
- Scope of work to be completed
- Term of the MOU (should be within the fiscal year, October 1 through September 30)
- Costs to be incurred or reimbursed, if any
- Points of Contacts for both entities (including financial POC)
- Payment and Collection system information for both parties
- Signatures of both parties, including signature of Component Head and Budget Director

431.06 MOU Procedures

The following procedures must be completed for all MOUs, regardless of whether they are at cost or no-cost.

1. The component requesting/accepting the services should complete the MOU including all requirements listed in Section 431.05. The document should be signed by the head of the component and approved by JC for legal sufficiency and by the IG.

2. Once the IG has approved the MOU, the document will be forwarded to JPB for funding approval. The Budget Director will provide funding approval and return the original signed copy to the component for distribution to the requesting/accepting government agency for their approval.

3. Before any services are performed, the OIG component requesting/accepting services should receive a signed copy of the MOU from the other government agency.

4. A copy of the final signed agreement should be forwarded to JPB. JPB will keep electronic and hard copies of all signed agreements.

5. Once the signed MOU is in place, services may commence. The OIG component should track the services rendered/received in order to ensure funds are not overspent and the term of the MOU is not exceeded. The OIG component should report to JPB on a quarterly basis regarding the status of the MOU, and upon completion of the MOU.
Effective Date 12/1/2014

432.00 MISCELLANEOUS REIMBURSEMENTS

432.01 Purpose

The Concur miscellaneous reimbursement voucher provides an efficient and cost-effective way to reimburse employees for eligible low dollar expense items. Concur miscellaneous reimbursements are made in accordance with GSA and OIG policies and procedures.

The OIG generally follows GSA Memorandum, "Policy Guidance for the GSA Purchase Card and E2 System Miscellaneous Reimbursements" (January 3, 2013) and GSA Order PFM P 4290.1 Extended, Chapter 7, insofar as they address miscellaneous reimbursements and except where doing so would be inconsistent with an OIG policy. This policy can be found at: https://insite.gsa.gov/portal/mediaid/556906/fileName/Policy(Guidance)GSA(PurchaseCardandE2SystemMiscellaneousReimbursementsMemo_v2.action.

432.02 Applicability

This policy applies to all OIG employees.

432.03 Authorized Miscellaneous Claims

The Concur (CGE) travel system must be used to process all miscellaneous reimbursements. Miscellaneous expenses are generally a one-time occurrence for which the government receives a benefit. Employees incur these expenses in one of two ways. Employees perform local travel for which they are reimbursed and they purchase items for which they can be reimbursed. Employees are reimbursed if the underlying expense was authorized and if the claim is legally payable. Acceptable miscellaneous expenses may include:

1. Local mission travel (in excess of an employee’s normal, daily round trip commuting costs)
2. Local training travel (in excess of an employee’s normal, daily round trip commuting costs)
3. Professional liability insurance
4. Continuing legal education training
5. Elective training (see Chapter 414 of this Manual)
6. Professional credentials (see Chapter 418 of this Manual)
7. Purchases made by JI in exigent circumstances to support an investigation or mission when a purchase cardholder is not immediately available to purchase through usual authorized means.

432.04 Unauthorized Miscellaneous Claims

Miscellaneous reimbursements will not be authorized for routine supply purchases that can and should be made using the official government purchase card. Reimbursements will also not be approved for personal preference items that the employee chooses to purchase instead of using government furnished items.

Effective Date 12/1/2014

433.00 POLICY REGARDING INTERN ACCESS TO OIG INFORMATION TECHNOLOGY (IT)

433.01 Purpose

Given that most interns work for short terms of employment and the federal government does not conduct comprehensive background investigations of those interns, they potentially pose a security risk. Accordingly, this policy is intended to ensure that OIG IT resources, data, and applications are kept secure and protected.

433.02 Policy

Interns will not be given access to OIG IT resources, data, or applications without supervisory approval. Supervisors are responsible for approving, coordinating, and monitoring all necessary or required access to OIG data by their interns. Supervisors must provide a written notice (e-mail will suffice) to JPM stating what OIG IT resources, data, or applications each intern is to be given access to; by doing so, the supervisor accepts responsibility for the intern's actions regarding that access. Supervisors also are responsible for the interns' use and return of government furnished equipment. JPM will track access requests, grant access and later remove access when the intern departs. Additionally, JPM will provide reports of access as requested.
434.00 OIG INFORMATION TECHNOLOGY (IT) SECURITY POLICY

434.01 Purpose

The OIG generally follows the latest version(s) of GSA Orders on IT Security, including CIO P 2100.1 GSA Information Technology Security Policy, 2160.2 GSA Electronic Messaging and Related Services, and 2180.1 GSA Rules of Behavior for Handling Personally Identifiable Information (PII), except where doing so would be inconsistent with an OIG policy. Specific IT security policies for the OIG are as follows.

434.02 Incident Response Reporting Procedures

The term "Personally Identifiable Information (PII), as defined in OMB Memorandum M-07-16, refers to information that can be used to distinguish or trace an individual's identity (e.g., their name, social security number, etc.), either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

All OIG employees must report suspected PII loss, security violations, security incidents, and incidents involving the loss or theft of OIG hardware or software to the OIG IT Service Desk as soon as the incident is identified. The OIG IT Service Desk notifies the OIG Information System Security Officer (ISSO)/Information System Security Manager (ISSM) who are responsible for reporting security incidents to the GSA Senior Agency Information Security Officer (SAISO). The ISSO/ISSM will include the Office of Investigations in any security reports submitted to the GSA SAISO. PII incidents that are identified outside of the OIG IT Service Desk normal business hours are to be reported to the Director of JPM or to the Deputy Director of JPM.

434.03 OIG Rules of Behavior for Accessing Personally Identifiable Information (PII)

OIG operational needs may preclude OIG staff from obtaining any GSA required approvals prior to removal of PII from GSA facilities.
OIG operational needs may preclude OIG staff from obtaining any GSA required approvals prior to remotely accessing PII.

OIG staff may remotely access PII for operational needs only via an OIG approved secure Virtual Private Network (VPN) while using OIG approved electronic media.

434.04 Personally Owned Mobile Devices

Personally Owned Mobile Devices (POMD) are not allowed on the OIG network but may access approved Government guest networks, e.g., GSA Guest Wi-Fi. POMD may be granted access to OIG email only when using the OIG public email portal, e.g., mail.gsaig.gov, or a secure sandbox application that maintains OIG email separation from personal data within the device (e.g., GOOD). OIG employees must initiate requests for POMD email access by a sandbox application through the OIG IT Service Desk. These requests must be approved by the AIG for Administration.

434.05 OIG Password

Passwords for the accounts used to access OIG-issued workstations must contain a minimum of eight (8) characters which include a combination of letters, numbers, and special characters.

OIG employees may use either their GSA issued Personal Identity Verification (PIV) credential or OIG network username and password to log into their OIG issued workstation.

434.06 OIG Electronic Messaging and Collaboration Services (EMCS)

The official OIG email system is identified as Electronic Messaging and Collaboration Services (EMCS).

OIG employees use OIG Active Directory accounts to access their EMCS accounts.
All email messages and their attachments older than 60 days are moved and stored in a separate archive repository contained within the EMCS system.

Messages larger than 250 megabytes sent outside the OIG network or 2 gigabytes sent inside the OIG network will be blocked. These messages can be sent using the Large File Transfer (LFT) procedures located in the OIG IT reference manual. The OIG IT reference manual can be found within the Lotus Notes Email tab along the left hand side just above the inbox.

An OIG supervisor’s request to review a subordinate employee’s emails must be routed through the employee’s component head, routed through JP and JC for consultation, and can only be approved by the Inspector General (IG) or Deputy Inspector General (DIG). JPM will provide a supervisor access to an OIG employee’s emails only after written and/or email approval has been provided.

Employees shall protect email messages sent outside the OIG network per OIG policy 719.00, Transmittal of Sensitive Information via Email.

434.07 International Travel

If loaner devices are requested for OIG employees on foreign travel then JPM will issue any necessary devices and ensure they are wiped immediately upon their return to JPM. JPM devices are not authorized to store or process any Top Secret (TS) or Sensitive Compartmented Information (SCI).

Information Technology (JPM) Procedures

435.00  IT Service Desk Standard Operating Procedures (Effective 12/10/2014)
436.00  OIG Telecommunications Guide (Effective 10/1/2015)
437.00  Enterprise Architecture Committee (EAC) Guide (Effective 10/2/2015)
438.00  IT Steering Committee (ITSC) Guide (Effective 10/2/2015)
439.00  Change Control Board (CCB) Guide (Effective 10/2/2015)
CHAPTER 500 - ETHICAL CONDUCT AND RESPONSIBILITIES

This Chapter sets forth the responsibilities and standards of ethical conduct expected of OIG employees. By virtue of the unique position and charter of the OIG, and the need for credibility and discretion in handling sensitive issues and information, OIG employees are expected to conduct themselves in accordance with the standards and guidelines that govern the ethical behavior of GSA employees.

Effective Date 3/13/2015

501.00 STANDARDS OF ETHICAL CONDUCT

Two sets of ethics standards apply to GSA employees. The first set, the Standards of Ethical Conduct for Employees of the Executive Branch, can be found at 5 C.F.R. Part 2635 (also available at https://insite.gsa.gov/portal/content/502440). The standards apply to all employees of the Executive Branch of the Federal Government. The standards discuss gifts from outside sources, gifts between employees, conflicting financial interests, impartiality in performing official duties, seeking other employment, misuse of position and outside activities.

The second set of standards, the Supplemental Standards of Ethical Conduct for Employees of the General Services Administration, is a supplement to the government-wide standards which are described above. These standards apply only to GSA employees and are codified at 5 C.F.R. Part 6701).

The GSA supplemental regulations generally prohibit (1) solicited sales to subordinates by GSA employees; (2) the purchase of real and personal property sold by GSA; (3) the purchase of real estate by certain GSA employees; and (4) the taking and disposal of government property. The supplemental regulations also requires employees to obtain approval before engaging in certain outside employment, and identifies appropriate officials to whom waste, fraud, abuse and corruption are to be reported.

501.01 Role of the Office of Counsel in Implementing Ethics Standards

The Office of Counsel to the IG is responsible for providing advice and assistance to OIG employees on all questions regarding the application and intent of the GSA and government-wide standards of conduct. The advice may be provided either in writing or orally. In addition, the office is responsible for providing annual ethics training, reviewing financial disclosure reports and as necessary reviewing outside employment requests. However, the OIG Office of Counsel cannot independently provide controlling ethics advice pursuant to 5 CFR § 2635.107(b), make determinations concerning whether an event attended by an employee constitutes a widely attended gathering for purposes of an exception to the gift rules under 5 CFR § 2635.204(g), or handle SES ethics matters.
501.02 Ethics Training

The Office of Counsel to the IG implements the Office of Government Ethics (OGE) training regulation at 5 C.F.R. Part 2638, Subpart G, which requires agencies to provide a minimum of one hour of ethics training annually to all covered employees. Because of the particularly sensitive role played by each OIG employee, the Inspector General has determined that all employees will receive the annual briefing. Currently, the training program provides for one-hour "verbal" (meaning "oral") training, by a trainer who is present, every three years. The remainder of the training is in a written, electronic format. The onsite training generally includes a video presentation, summary of the ethics standards along with the conflict of interest statutes and any recent ethics regulations, and discussion of examples of ethics questions from employees. A form which indicates that employees received the annual training must be executed by each employee and kept on file.

Effective Date 3/13/2015

502.00 USE OF AGENCY OFFICE EQUIPMENT

Pursuant to a GSA Order, ADM 7800.11, (link made) GSA employees are authorized to use agency office equipment for personal use under certain conditions. Specifically, an employee can use office equipment on an occasional basis if the use involves minimal additional expense to the Government (for example, small amounts of paper) and does not interfere with official business. The personal use of agency equipment should occur during personal time and not during official time. An employee who exceeds the limits for personal use of agency equipment as set out in the Order may violate the government-wide standard of conduct relating to misuse of position. Employees should also understand that, notwithstanding the policy allowing some personal use of office equipment, there is no expectation of privacy with regard to any electronic message sent through Government-provided messaging services.

Effective Date 3/13/2015

503.00 OUTSIDE EMPLOYMENT

The guidelines for outside employment are set out in 5 C.F.R. § 6701.106 of the GSA supplemental standards. Generally, that standard requires a GSA employee to obtain written approval from his immediate supervisor prior to engaging in outside employment, with or without compensation, with a prohibited source.
504.00 REPORTING FINANCIAL INTERESTS

The Office of Counsel to the IG is responsible for disseminating and reviewing GSA Form 450, Executive Branch Confidential Financial Disclosure Report. The report requires filers to disclose particular assets and income, liabilities, outside positions, agreements and arrangements, and gifts and travel reimbursements. The purpose of the report is to assist employees and their agencies in avoiding conflicts between duties and private financial interests or affiliations. The OIG has designated as filers all OIG auditors, investigators, attorneys, and contracting warrant officers, as well as all other OIG employees in grades 13 through 15. The report is reviewed by an employee’s supervisor and a Deputy Standards of Conduct Counselor.

505.00 MANAGING PRIVILEGED AND SENSITIVE INFORMATION

OIG employees have access to privileged or sensitive information not generally available to other GSA employees or the public. OIG employees must therefore exercise extreme care in the use and handling of information to prevent its unauthorized disclosure.

Government-wide requirements in this area include the following:

- Employees are not permitted to disclose confidential, privileged, or sensitive information to unauthorized persons, or make copies of any part of an official file for other than official purposes.
- Information obtained during the course of business because of the employee's position, is official information and is not a possession of the employee.

Specialized requirements relating to the OIG’s handling of privileged and sensitive information include the following:

- Much of the information processed within the OIG is maintained in a Privacy Act system of records; contains proprietary information; or requires protection or special handling in accordance with:
  - the Right to Financial Privacy Act;
  - the Federal Rules of Criminal Procedure;
  - the Federal Acquisition Regulation; or

- The Comptroller General's standards contained in the "Government Auditing Standards," address the issue of privileged and confidential information and the auditor's responsibility to disclose "certain operating information on a need-to-know basis only to persons authorized by law or regulation to receive it."
- The protection and professional handling of information by investigators -- including the concept of "need-to-know" in all aspects of operations -- is generally addressed in: (1) the position classification standards for GS-1811 investigators (link to: www.opm.gov/fedclass/html/gsseries.htm#1800); (2) the Freedom of Information Act, which exempts certain investigation matters from disclosure; and (3) the Privacy Act, which ensure the protection of information relating to certain individuals.

OIG employees are expected to exercise due professional care and apply the following guidelines to prevent the compromise of OIG/Agency information:

- Discussions involving ongoing jobs or information obtained as the result of the employee's position with the OIG are limited to management officials and OIG employees who have a need to know.
- Existing procedures for the dissemination and release of information are followed. For example: (1) RIGAs/SACs and AIGs are, within certain limits, authorized to issue reports and generate correspondence; (2) Privacy Act and Freedom of Information Act requests must be processed through JC and in accordance with applicable laws and regulations; and (3) budget and other information furnished to the Congress often requires coordination and special handling.
- Certain sensitive information may be best disclosed by OIG supervisory personnel.
- The utmost tact and discretion must be exercised in dealing with Agency employees and the public.
- If in doubt, guidance is obtained from the OIG supervisor before disclosure or dissemination of information received as a result of an employee's position with the OIG, or through the conduct of OIG business.

Effective Date 3/13/2015

506.00 OBLIGATIONS OF PERSONNEL APPOINTED AS AGENTS OF A GRAND JURY

The policies and procedures for grand jury information are contained in section 910 of this manual.
507.00 ATTENDANCE AT MEETINGS AND CONFERENCES OUTSIDE GSA

Approval by the responsible office head is required for a member of the OIG to represent GSA or the OIG as a speaker or participant in activities outside GSA. Also, such participation in outside events by OIG personnel acting as representatives of GSA or the OIG is reported to the IG, through channels, as a matter of information.

Numerous laws, regulations, and executive orders apply to the participation of Federal employees in outside activities and events. Generally, Federal employees are prohibited from receiving, accepting, or obtaining any honorarium, fee, supplemental salary, compensation, or item of value from private sources for speeches given, articles written, and participation provided as a result of their OIG employment. OIG employees participating in or attending meetings and conferences outside of GSA should consult with JC regarding any activity that may result in the employee receiving any remuneration or item of value, or participating in an activity that may result in any real or apparent conflict of interest.

508.00 FINANCIAL LIABILITY FOR STOLEN, DAMAGED, LOST OR DESTROYED GOVERNMENT PROPERTY

This policy applies to all government property issued to OIG employees. This policy supplements GSA’s policy on managing internal government property, ADM 7800.12 and personal use of agency office equipment, ADM 7800.11A. Government property includes but is not limited to government issued laptops, phones, iPhones, tablets, firearms, body armor, vehicles and radios. The following sets forth procedures the OIG will follow to determine whether an employee should be held financially responsible for government property that is stolen, damaged, lost or destroyed as a result of the employee’s negligence, improper use, or willful actions.

508.01 Assistant Inspector General (AIG) or Component Head Determination to Proceed

Before an OIG employee is held financially liable for stolen, damaged, lost or destroyed GSA property, the employee shall be afforded due process through a proceeding that permits facts to be gathered and provides the employee an opportunity to reply. Accordingly, the relevant AIG or component head shall first consider whether to institute a proceeding to determine if an employee should be held financially liable for
stolen, damaged, lost or destroyed property. Factors that may be considered include but are not limited to:

1. The current financial value of the property, if it is possible to determine, and the replacement value of the property;
2. The intrinsic value of the equipment, if any (e.g. if the equipment contained sensitive or confidential information); and
3. The apparent cause of the damage or loss.

508.02 Financial Liability Proceeding

Where the AIG or component head believes a proceeding should be initiated, he or she shall consult with the Deputy Inspector General. If it is determined that a proceeding should occur, the AIG or component head shall appoint an "investigating authority" to conduct an investigation into the matter. The investigating authority may be anyone. The AIG or component head may also appoint a "deciding official," the person responsible for making the final determination on whether the employee should be held financially liable for the government property, or choose to serve in that role themselves.

The following procedures must be followed:

a. The investigating authority will gather relevant evidence regarding the government property that is stolen, lost, damaged, or destroyed and will record, in writing, the information gathered during the investigation, including summaries of any interviews. As part of the investigation, the investigating authority will provide the employee an opportunity to make a statement or present any relevant evidence.

b. The investigating authority will provide a written report of the results of his or her investigation to the AIG or the component head who requested the investigation and the deciding official, if applicable.

c. The deciding official shall review the information compiled by the investigating authority to determine whether the government property was stolen, lost, damaged or destroyed as a result of the employee's negligence, improper use, or willful actions; the extent of the loss to the government; and, as appropriate, the amount for which the employee should be held financially liable.
d. The base amount of liability is the replacement value of the property. The deciding official should consider the following in determining if the employee's financial liability should be modified. This list is not exclusive. The deciding official may consider other factors as well, including the following.

i. Any evidence presented by the employee that demonstrates that the employee is unable to pay the replacement value of the property.

ii. Any evidence that demonstrates that the replacement value of the property is not an appropriate measure of liability.

iii. If the government property was stolen, lost, damaged, or destroyed as the result of multiple employees' negligence, improper use, or willful actions, the deciding official shall determine what percentage of the total liability each employee is responsible for and apportion the damages accordingly.

e. If the deciding official concludes the employee should be held financially liable, the deciding official will provide the employee with an initial decision and 15 business days to provide written comments on that decision. All information or evidence considered by the deciding official must be disclosed and/or provided to the employee at the time the initial decision is issued to allow the employee a reasonable time to respond to that evidence.

f. Upon the expiration of the 15 days or the receipt of the employee's written comments, the deciding official will review the evidence, including any additional statement or evidence presented by the employee, and issue a written final decision to the employee.

g. The deciding official shall provide a copy of the entire written record (i.e. the investigating authority's report, initial decision, employee comments, final decision and all other documents considered) to JPH for retention purposes.
h. If the deciding official determines that the employee should be held financially liable for the stolen, damaged, lost or destroyed government property, they shall also forward a copy of the final decision to JP so that management can initiate the process to recover the funds from the employee.
CHAPTER 600 - RELATIONSHIPS WITH EXTERNAL ORGANIZATIONS

Effective Date 5/7/2015

601.00 SEEKING REPRESENTATION FROM THE DEPARTMENT OF JUSTICE (DOJ)

Federal employees, including former federal officials and employees, may receive representation in civil, criminal and Congressional proceedings in which they are sued, subpoenaed, or charged in their individual capacity pursuant to regulations established by the Attorney General. 28 CFR §50.15.

When an OIG employee believes he is entitled to representation by the Department of Justice in a proceeding covered by 28 CFR §50.15, he must submit forthwith a written request for the representation, including all process and pleadings served upon him, to the Counsel to the Inspector General and the employee's immediate supervisor. The procedures for requesting such representation are found at 28 CFR §50.15. The Counsel will assign the request to an appropriate JC attorney, who along with any other OIG attorney designated as reviewer shall undertake a full and traditional attorney-client relationship with the employee with respect to application of the attorney-client privilege. With DIG concurrence, the Counsel in accordance with 28 CFR §50.15 shall submit in a timely manner to DOJ a statement containing the findings as to whether the employee was acting with the scope of his employment and a recommendation for or against providing representation. Where there is any conflict, the provisions of 28 CFR Part 50 control.

602.00 RESERVED

Effective Date 3/13/2015

603.00 OIG LIAISON WITH THE OFFICE OF THE SPECIAL COUNSEL

603.01 Responsibilities of the Office of the Special Counsel

The Office of Special Counsel is an independent Federal investigative and prosecutorial agency. Its primary mission involves safeguarding the merit system by protecting Federal employees and applicants from prohibited personnel practices, especially reprisal for whistleblowing. In addition, the Office of Special Counsel enforces and provides advisory opinions regarding the Hatch Act, and the Office of Special Counsel protects the rights of Federal employee military veterans and reservists under the Uniformed Services Employment and Reemployment Rights Act of 1994.
The Office of Special Counsel, in addition to the Office of Inspector General, serves as a safe and secure channel for Federal workers who wish to disclose wrongdoing. The Office of Special Counsel reviews five types of disclosures: 1) a violation of law, rule, or regulation; 2) gross mismanagement; 3) a gross waste of funds; 4) an abuse of authority; or 5) a substantial and specific danger to public health or safety. The Office of Special Counsel will, under most circumstances, guarantee the whistleblower’s confidentiality. Information about the Office of Special Counsel and the whistleblower complaint process can be obtained at the public GSA OIG webpage, under Whistleblower Protection.

603.02 OIG Liaison with the Office of the Special Counsel

The AIGI acts as the OIG liaison with the Office of Special Counsel concerning allegations of prohibited personnel practices, unless the allegation involves alleged wrongdoing by an OIG employee, in which case the Counsel to the Inspector General acts as the OIG liaison with the Office of Special Counsel.

Except as noted above, the AIGI coordinates matters reported to the Office of Special Counsel concerning allegations of prohibited personnel practices. The AIGI ensures that the IG receives prior notification of all such matters referred to the Office of Special Counsel. After such notification, the AIGI contacts the Office of Special Counsel as circumstances dictate.

Effective Date 3/13/2015

604.00 CONGRESSIONAL CONTACTS, MEDIA CONTACTS AND PRESS RELEASES

The policies and procedures to be followed in responding to congressional and media inquiries and in processing press releases are designed to ensure timely notification to the IG and maximum coordination with Agency public information specialists on media issues.

604.01 Congressional Contacts

The policies and procedures governing OIG responses to congressional inquiries are set forth in Subchapter 713 of this Manual. Procedures for handling requests for information from the GSA Office of Congressional and Intergovernmental Affairs are set forth in Section 606.00.
604.02 Media Contacts, Web Postings, and Press Releases

The Inspector General as the office head has authority over all media contacts, web postings, and press releases. While the policy below is applicable to OIG employees, the Inspector General may depart from it, or delegate to others the authority to depart from it, whenever in his judgment such action is appropriate. The Inspector General also may take any other action he/she deems appropriate, consistent with applicable laws, in connection with OIG public communications.

1. Media Contacts

The communications and public affairs liaison ("communications liaison") is the focal point for all media communications, and any contact with the media by any OIG employee must be reported to the communications liaison.

The general authorizations for OIG individuals to answer media inquiries are as follows.

- Inquiries involving sensitive or highly publicized investigations or other reviews, and investigations being conducted jointly between an OIG field office and headquarters, between two or more OIG field offices, with another OIG, or with State or local law enforcement organizations, should be referred to the communications liaison, who will coordinate responses to media inquiries with the appropriate office prior to release.

- For routine operations or non-sensitive matters, the AIGs, DAIGs, RIGAs, SACs, and other OIG staff/division directors are authorized to answer general media inquiries when in their judgment it is appropriate to do so. If other employees are contacted, they should refer the caller to the appropriate OIG manager. The AIGs are responsible for ensuring the SACs and RIGAs receive appropriate training before talking to the media.

- Special agents who are approached by the media during an enforcement action (search warrant or arrest) are authorized to speak with the press generally about the OIG and that they are participating in a search warrant/arrest, but they are not to disclose any information about the case or identify any subject. They can tell the press to contact the respective Assistant United States Attorney or the communications liaison, and they can hand out their business card and a brochure. The SAC is responsible for ensuring special agents receive appropriate training before talking to the media.

2. Web Postings. The OIG will post to its website reports, congressional testimony and statements of the Inspector General and OIG staff, news releases, and other items that pertain to the OIG. The OIG generally will post any Department of Justice press release that pertains to OIG work when available. All postings must be consistent with applicable laws, including the Privacy Act, the Freedom of Information Act, and the
Trade Secrets Act.


The OIG will designate individuals with authority to post content to the OIG web page. The communications liaison is responsible for ensuring those individuals receive training before they begin posting content to the OIG web page. Those designated individuals are authorized to post routine operational matters, organizational information, and press releases from other agencies, such as the Department of Justice, without further review. Copies of such posting should be forwarded to the communications liaison when posted.

Any final audit or other report must be reviewed by JC before posting to ensure any required redactions are made. Any non-routine matter, including information about specific audits, inspections, or investigations, must be coordinated with the communications liaison and receive legal review from JC before being posted. The designated individuals will post the material once the communications liaison and JC have concurred.

b. General guidance for OIG web postings.

The following general guidance is applicable to all OIG web postings. However, this guidance does not alter any existing legal requirements.

• All investigative material posted to the OIG webpage will comply with the Privacy Act and Department of Justice policy. More specifically, information from an OIG investigative file cannot be publicly disclosed absent an authorization under the provisions of the Privacy Act. In addition, the OIG must comply with Department of Justice regulations at 28 CFR 50.2, which can be found at the following link:


• As a general rule, the OIG will make information from an investigative file public only if it is already a matter of public record, e.g., information that has been offered in open court or made part of a guilty plea.

• Information about the subject generally will not be made public in administrative investigations or in cases where DOJ has declined.

• The Inspector General, or Deputy Inspector General, can decide to disclose non-public information when he/she determines there exists a legitimate public interest to do so, and release of that information would not constitute an unwarranted invasion of personal privacy.
3. Press Releases. To the extent possible, the OIG relies upon web postings and the local U.S. Attorney or other prosecutive authority, such as a representative of the Department of Justice (hereinafter collectively referred to as the U.S. Attorney), to issue press releases on significant activities resulting from OIG investigations. OIG field offices should encourage the local U.S. Attorney to seek concurrent issuance by DOJ.

The OIG may draft a press release on its activities when a U.S. Attorney or DOJ does not intend to do so, or whenever the Inspector General or Deputy Inspector General decides it would be appropriate to do so. OIG press releases in general:

° address only completed work efforts, i.e., fully executed legal actions;

° adhere to the pre-trial publicity guidelines of DOJ (28.C.F.R. § 50.2, Release of information by personnel of the Department of Justice relating to criminal and civil proceedings);

° include only information that is a matter of public record (material designated as "For Official Use Only" or personal information protected by the Privacy Act of 1974 is not used); and

° receive the concurrence of the IG, DIG, Counsel to the IG, the communications liaison, and, as appropriate, the AIGI and/or AIGA.

a. Procedures for Issuance of Press Releases. When the cognizant OIG official (e.g., RIGA, SAC, or staff/division director) believes a press release is appropriate, and the U.S. Attorney or DOJ representative is not going to issue a press release, the cognizant OIG official will draft a press release, in coordination with the U.S. Attorney as appropriate. The OIG official immediately forwards it to the communications liaison through the cognizant AIG or Counsel.

b. Information to be Included in OIG Press Release Submissions. Submissions for OIG press releases should generally include the following:

° the name, office address, and telephone number of the person who developed the submission or who is most familiar with the action;

° suggested release time, including the date and a designation of the release time as a.m., p.m., or immediate. In those situations where the appropriate time is not known, the material should be marked with the caption "Do Not Release Until Notified."

As general guidance, press releases may include the following types of information:

° a profile of the individual or firm involved, including complete name, city/state location, and nature of relationship to the GSA; for individuals, age, DOB, title, name of employer, and length of employment, if known; for firms, the type of service or product
they provide, and the term of the contract;

° time frame of activity, i.e., the period of operations covered by the audit or inspection, or time period during which the wrongdoing occurred;

° all relevant dates, e.g., the date of the report, indictment/information, guilty plea, trial, sentencing, settlement, and judgment;

° synopsis of the matter reported and issues involved, including detailed information such as types of violations committed, dollars involved, number of counts; and potential outcomes such as maximum sentencing or fines that can be imposed;

° identification of any other agency that worked on this audit, inspection, or case;

° the name of the Assistant U.S. Attorney handling the case, as appropriate; and

° identification of other remedies pursued as a result of this audit or investigation.

Effective Date 3/13/2015

605.00 OIG LIAISON WITH THE GSA BOARD OF CONTRACT APPEALS

605.01 Responsibilities of the GSA Board of Contract Appeals

The GSA Board of Contract Appeals is delegated authority to adjudicate cases arising under the Contract Disputes Act of 1978, and to make findings of fact regarding contractor suspensions and debarments in cases referred to it. The cases heard by the GSA Board of Contract Appeals often result from the audit and investigative activities of the OIG.

605.02 OIG Liaison with the GSA Board of Contract Appeals

The Counsel to the IG acts as the OIG liaison with the GSA Board of Contract Appeals. While the AIGA, AIGI, and Director of Inspections and Forensic Auditing retain full authority over their respective areas of responsibility, all OIG offices notify JC prior to initiating any inquiry, audit, or investigation involving the GSA Board of Contract Appeals. This notification requirement specifically includes, but is not limited to, matters relating to hotline complaints, inspections, investigations, and audits. In addition, the appropriate office head promptly advises JC of OIG audit or investigative matters that have been docketed for trial or other proceedings before the GSA Board of Contract Appeals.

In order to ensure that JC receives prior notification, each headquarters and field OIG
employee is responsible for advising the head of his/her office prior to initiating any inquiry, audit, or investigation involving the GSA Board of Contract Appeals. It is then the responsibility of that office head to notify JC. Such notification is written, unless time constraints indicate otherwise. In that case, oral notice is confirmed in writing at the earliest possible time. With regard to OIG matters docketed before the GSA Board of Contract Appeals, the appropriate office provides immediate notification to JC. Notification in such cases may be verbal.

Effective Date 3/13/2015

606.00 OIG LIAISON WITH THE OFFICE OF CONGRESSIONAL AND INTERGOVERNMENTAL AFFAIRS

The OIG Congressional Affairs Liaison is responsible for coordinating contacts between the OIG and the GSA Office of Congressional and Intergovernmental Affairs (formerly the Office of Legislative Affairs). In support of this policy, all correspondence from or to the Office of Congressional and Intergovernmental Affairs is routed through the Congressional Affairs Liaison.

Special practices and procedures govern the coordination of the congressional and legislative activities of the Office of Congressional and Intergovernmental Affairs and the OIG. The understanding covers GSA responses to OMB requests for comments, congressional hearings and testimony, contact with members and congressional committees, congressional inquiries and requests for IG information, and the agency legislative program.

Effective Date 3/13/2015

607.00 OIG RELATIONSHIPS WITH GSA OFFICIALS

Ongoing OIG relationships with GSA officials are coordinated and OIG activities are conducted in accordance with guidance contained in this Manual. However, because this Manual is available only to OIG personnel, GSA management officials rely upon the GSA Administrative Manual (5410.1 OAD P), Chapters 3 and 9, as the primary source for information regarding OIG, audit and investigative activities.

Chapter 9, Audit and Investigative Services, outlines OIG access to records, types of audits and investigations, procedures for requesting audits and investigations, and follow-up actions.

Chapter 3, Personnel Services, contains the GSA Penalty Guide. Table I of the Penalty
Guide lists offenses that normally should be the subject of management inquiry and action. Table II lists suspected irregularities that must be reported to the OIG for review.

Effective Date 3/13/2015

608.00 OIG RECOGNITION PROGRAM FOR GSA EMPLOYEES

The OIG seeks to recognize individuals within GSA who (1) proactively present OIG with information that shows waste, fraud, or abuse involving GSA programs and operations; (2) are more than helpful to the OIG during the course of an OIG review; or (3) are found, during the course of an OIG review, to have met legal requirements in an exemplary manner. This policy provides for non-monetary recognition only. Any requests for monetary recognition should be made to the Deputy IG as a separate matter.

608.01 Eligibility

Recognition authorized under this program may be given to any GSA employee, except current OIG employees.

608.02 Recognition Process

OIG employees will forward all recommendations for recognition under this policy to the AIG for Administration. The transmittal will include the name and title of the individual, which of the above categories apply, a synopsis of the reason for the recommendation, the proposed written recognition, and a proposed method for delivery. The AIG for Administration will provide the recommendations to the Deputy Inspector General on at least a quarterly basis for a final decision.

608.03 Recognition

An individual may be recognized under this program through any written letter of appreciation or commendation, including in either of the following ways:

Certificate of Appreciation
The individual may be given a Certificate of Appreciation in person from the IG, Deputy IG, or other appropriate OIG official; normally the individual also will be given a photograph of the presentation.

Letter of Commendation
The individual may receive a letter of commendation from the IG that will be sent down through his or her chain of command in order to recognize their contribution. The letter will be tailored to the particular facts of each case.
CHAPTER 700 - OPERATIONAL POLICIES AND PROCEDURES

701.00 RESERVED

Effective Date 6/7/2013

702.00 OIG REVIEW OF LEGISLATION, REGULATIONS, AND DIRECTIVES

702.01 Requirements for OIG Review of Legislation, Regulations, and Directives

Section 4(a)(2) of the Inspector General Act of 1978, as amended, requires that the OIG review existing and proposed legislation and regulations relating to agency programs and operations. As a result, all GSA regulations and internal directives concerning new or changed operating policies and procedures are forwarded to the OIG for review. Legislative items are forwarded to the OIG for review by the GSA Office of Congressional and Intergovernmental Affairs.

702.02 Responsibilities for Coordinating OIG Review of Legislation, Regulations, and Directives

In connection with the duties and responsibilities mentioned above, the IG has designated the Director, Administrative and Financial Management Services Division (JPF) as the OIG’s Clearance Officer. The Publications and Special Projects Branch (JPFP) is responsible for the processing and response preparation within JPF. The Clearance Officer is responsible for coordinating review of all regulations and directives. These include GSA orders, Federal Property Management Regulations/Federal Acquisition Regulations amendments, GSA organizational changes, and GSA training material. The Counsel to the IG has been designated as the responsible official for coordinating review of existing and proposed legislation and non-GSA agency regulations for the OIG.

702.03 OIG Review of Regulations and Directives
702.03A Clearance Officer Role in Coordinating OIG Review

The Clearance Officer is responsible for processing and coordinating all OIG comments on regulations and directives. This includes: (1) receipt of issuances; (2) maintenance of a control register; (3) routing issuances to cognizant offices for review; (4) consolidation of replies, when necessary, for the signature of the IG; and (5) distributing comments internally and externally to appropriate offices and officials.

In determining the appropriate level of review for proposed regulations/directives, the Clearance Officer determines:
The Clearance Officer then prepares a Clearance Routing Slip showing the response due dates of the various OIG offices and the date for return to JPFP. The return date allows sufficient time for the Clearance Officer to finalize a reply to the issuance.

**702.03B Review of Regulations and Directives by OIG Components**

When more than one OIG component is tasked with reviewing the issuance, each reviewing office either signs the routing slip indicating "no comment" or submits its comments separately to JPFP.

When one OIG component has been explicitly tasked with preparing the final reply for the IG, this reviewing office prepares a memorandum stating OIG comments. The memorandum is addressed to the originator of the issuance and prepared for the signature of the IG.

**702.03C Summarizing Review Comments**

JPFP is responsible for combining comments, reviewing comments for clarity and readability, and finalizing the response. If more than one selected office has submitted comments, the Clearance Officer consolidates and/or reconciles the comments and prepares a memorandum for the signature of the IG or the appropriate OIG official. When the Clearance Officer makes changes to the original submission or prepares a consolidated response, the revised comments are provided to or discussed with the commenting office(s) prior being circulated for concurrence in final form, time permitting. The final memorandum should provide for review and concurrence by the division/staff originating the comments, concerned OIG offices, the Clearance Officer, the AIGP, and DIG. In all cases, JPFP retains copies of the documentation and any comments thereon.

If the Clearance Officer received no comments and has none to offer, the GSA Form 1, Directive Clearance Sheet, is marked “noted” and signed, dated, and returned to the originator.

**702.03D Distributing Comments within the OIG**

Distribution of replies to proposed regulations and directives within the OIG is as follows:

- IG;
Counsel to the IG; and

Interested OIG components

702.04 OIG Review of Legislation and Non-GSA Regulations

JC reviews legislation and non-GSA regulations, including legislation provided by the GSA Office of Congressional and Intergovernmental Affairs and the President's Council on Integrity and Efficiency (PCIE).

702.04A JC's Role in Coordinating OIG Review

JC is responsible for processing and coordinating comments on all proposed legislation. This includes: (1) receipt of proposed legislation; (2) maintenance of a control register; (3) routing legislation to cognizant offices for review; (4) and preparation of/drafting comments for the signature of the IG.

702.04B Procedures for Coordination of OIG Review

JC solicits comments on legislative matters and non-GSA regulations from other OIG components as appropriate. Components must provide timely responses to enable JC to prepare final comments in accordance with the often short time frames established for legislative matters. Comments prepared for the signature of the IG should provide for review and concurrence by the division/staff originating the comments, concerned OIG offices, the Counsel to the IG, and the DIG. Copies of OIG comments on proposed legislation are maintained by JC.

702.04C Distribution of Comments within the OIG

Distribution of comments on proposed legislation within the OIG is as follows:

° IG;

° Counsel to the IG; and

° Interested OIG components.

702.04D Clearance Officer Role in Coordinating OIG Review

The Clearance Officer is responsible for processing and coordinating all OIG comments on regulations and directives. This includes: (1) receipt of issuances; (2) maintenance of a control register; (3) routing issuances to cognizant offices for review; and (4) consolidation of replies, when necessary, for the signature of the AIG for Administration.
704.00 TAX RETURN INFORMATION

704.01 Obtaining Tax Return Information from the IRS for Use in Criminal Investigations

Under 26 U.S.C. § 6103(i)(2), the IG may request certain limited tax return information from the Internal Revenue Service (IRS) for use in investigations of federal criminal statutes (except tax administration statutes). The IRS refers to such requests as “I-2” requests.


704.02 Review of Requests of Tax Return Information

Special agents must submit requests for tax return information through channels to JC for review and concurrence. See 922.02. Once JC determines that a request meets the legal sufficiency standards set forth in 26 U.S.C. § 6103(i)(2), JC will prepare for the IG’s signature a letter to the IRS requesting tax return information. In addition to including the information required by 26 U.S.C. § 6103(i)(2)(B), the letter shall specify that the IRS provide the information directly to the agent who generated the initiating request.

704.03 Records and Reporting Requirements Relative to Tax Return Information

The IRS requires that agencies in receipt of tax return information track requests for disclosures of tax return information and actual disclosures of tax return information. For this purpose, the OIG Manual requires special agents to report in writing to JC all disclosures made to DOJ trial attorneys or Assistant United States Attorneys in the course of prosecution discussions. See 905.09C. (Because of strict nondisclosure provisions, special agents should not provide copies of the tax return information itself to JC.)
To comply with this IRS requirement, JC should maintain a separate file associated with each request for tax return information. The file should include the following:

- the JI generated request for tax return information;
- a copy of the IG’s letter to the IRS;
- a notation of any disclosures made by JI to DOJ trial attorneys or Assistant United States Attorneys in the course of prosecution discussions; and
- a copy of JI’s letter to the IRS sending back the tax return information.

Additionally, when the OIG has tax return information in its possession, JC must provide a report to the IRS containing a description of any significant changes in OIG procedures for safeguarding tax return information and the results of any internal inspections relating to adherence to these security guidelines. JC must make this report as of January 31 of each year.

Effective Date 6/7/2013

705.00 AUDIT REFERRALS OF POTENTIAL IRREGULARITIES TO JI

705.01 Definition of Suspicion of Irregularity Document

The Suspicion of Irregularity (SOI) document is the means used by JA to advise JI of suspected wrongdoing discovered as a direct result of an audit assignment. Discovery of a suspected wrongdoing not related directly to audit assignments is reported to JI in accordance with the GSA Supplemental Standards of Conduct.

705.02 Policy on Referring SOIs

In carrying out their audit responsibilities, JA staff must be alert to any information indicating potential wrongdoing (e.g., violation of law or regulation, or a matter that would lead to a contractor’s suspension or debarment). Such information is promptly referred to JI for evaluation and appropriate action.

Once an SOI has been referred to JI, the related audit activity should continue to the extent that the audit work and/or the issuance of the report will not significantly impede the conduct of an investigation or the likelihood of a successful prosecution. It is the responsibility of the cognizant audit and investigative personnel to ensure that:

- a determination is made on the specific aspects of the audit activity that would
significantly impede the conduct of an investigation or the likelihood of a successful prosecution; and

work on other significant aspects of the audit activity, if any, continues.

These policies, and the procedures detailed below, apply to situations where auditors have developed some empirical evidence that wrongdoing has occurred, or could have occurred. They should not be construed as limiting the free flow of information and dialogue between auditors and investigators in cases where such evidence has not been developed. To the contrary, ongoing dialogue between auditors and investigators is a prerequisite for successful OIG operations.

705.03 Procedures for Processing and Preparing SOIs
705.03A Processing Irregularities Discovered during an Audit

Upon discovery of a potential investigative matter, the Audit Manager and/or Auditor-in-Charge promptly notifies the RIGA in accordance with Section 705.03C. The RIGA advises JAO of the general nature of the suspected irregularity, and then discusses the matter with the RIGI. Discussions between the RIGA and the RIGI may result in: (1) agreement that a formal investigation is not required; (2) agreement that an SOI should be prepared and the audit continued; (3) agreement that an SOI should be prepared and the audit suspended or curtailed; (4) agreement that an SOI should be prepared, but disagreement on whether or to what extent the audit should be suspended; or (5) disagreement on the need for an investigation. All discussions between the RIGA and the RIGI involving potential investigative matters should be documented and included in the audit workpapers whether or not an SOI is issued or a formal referral is made to JI.

Each of these situations is discussed in the following paragraphs. In each instance when a decision is made to suspend or curtail an audit, the RIGA responsible for this decision notifies JAO. JAO will then be able to determine the impact of this decision on related audits in other locations. The RIGA is responsible for ensuring that entries are made in the appropriate information system for SOIs originating in his/her office.

1. Agreement That a Formal Investigation is Not Required. When the RIGA and RIGI conclude that there is insufficient evidence to warrant an investigation, documentation of the following is included in the audit workpapers: (1) the condition found, (2) the discussions held, and (3) the basis for concluding that an SOI is not required. The RIGI must obtain a zero file number for this information so that it can be indexed and retrieved if needed by JI.

2. Agreement That an SOI Should Be Prepared and the Audit Continued. When the RIGA and the RIGI agree that an SOI is warranted, but conclude that the nature of the irregularity is such that continuing the audit would not hinder the investigation, the SOI is prepared and submitted in accordance with Section 705.03C on preparation of SOIs. The RIGA, after consultation or in conjunction with the RIGI, is responsible for advising the auditor-in-charge of the types of information relevant to the investigation.
that may be found while the audit continues, and any issues that, if found, could affect the decision to continue the audit.

3. Agreement That an SOI Should Be Prepared and the Audit Suspended or Curtailed. When the RIGA and the RIGI agree that the planned scope of future audit work may compromise or impede the investigation, the audit is suspended or curtailed and the basis for such action is documented in the workpaper files. During the suspension or curtailment period, the RIGI must comply with the requirements of Section 705.03E.

4. Agreement That an SOI Should Be Prepared, but Disagreement on Whether or to What Extent the Audit Should Be Suspended. If the RIGA and the RIGI disagree on whether or to what extent the audit should be suspended, the RIGA prepares and distributes the SOI in accordance with the instructions in Section 705.03C. The audit is temporarily suspended during the period outlined in Section 705.03D for resolution of the disagreement at the necessary level by headquarters personnel.

5. Disagreement on the Need for an Investigation. If the RIGA and the RIGI disagree on the need for an investigation, the RIGA can have his/her request considered at a higher level. Under such circumstances, the RIGA prepares and distributes the SOI in accordance with Section 705.03C.

705.03B RESERVED

705.03C Preparation and Processing of SOIs

1. Preparation of SOIs. When it has been determined that an SOI is warranted, the auditor-in-charge prepares an SOI using the format and content guidance shown in Figure 705-01. This memorandum includes all available pertinent information on the matter, including monetary amounts if determinable. The SOI is issued by the RIGA within 5 working days of the discussion between the RIGI and the RIGA.

2. Distribution of SOIs. SOIs are distributed by transmittal letter. The RIGA provides the original and one copy of the SOI to the RIGI and two copies to JAO, with another copy to JC. JAO keeps one copy for its file and forwards one copy to the AIGA. The RIGI provides one copy of the SOI to headquarters for inclusion in the case file.

705.03D Headquarters Resolution of Disagreements

In instances where the RIGI and RIGA disagree on suspension of an audit or the need for an investigation, the matter is submitted to headquarters for resolution. The RIGA submits, to JAO and the RIGI, a memorandum containing an explanation of the areas of disagreement and summarizing the positions of the RIGI and RIGA. The number of copies of the SOI provided with the memorandum is the same as outlined in Section 705.03C.
The appropriate staff directors in JI and JA resolve any such disagreements. If it becomes necessary, the AIGA and AIGI render a decision on the matter, with the IG becoming involved only as a final resort. The referral of such disagreements to headquarters are acted on within 10 working days after receipt of the SOI package.

The results of headquarters resolution of disagreements between the RIGI and RIGA are provided to both parties in writing. Telephonic notification may be made, but must be followed by written confirmation.

705.03E Status Reporting on Investigations Related to Suspended or Curtailed Audits

JI provides JA periodic summary status reports on SOI-initiated investigations that have resulted in audits being suspended or curtailed. These reports are not intended to reveal information on the status of investigations, but rather permit JA to plan for the resumption of the audit process. In March and September, JI provides status reports to JA so that audit status in the automated audit information system can be updated for semiannual reporting to the Congress.

If it appears that the issuance of the audit report is not possible in the foreseeable future, the RIGI may recommend that the audit be cancelled. Such recommendation, including the reasoning therefore, is made in writing to the RIGA. If a RIGA reviews such a recommendation and disagrees with the suggestion to cancel, he/she forwards his/her reasons to the AIGA, who resolves the matter with the AIGI. The matter is processed in the same manner as disagreements outlined in Section 705.03D. The RIGA need not repeat the position of the RIGI, but attaches a copy of the memorandum written by the RIGI.

JA and JI are responsible for tracking investigations initiated through the SOI mechanism. As part of the Interdisciplinary Meeting agenda in each region, JA and JI representatives discuss investigations resulting from SOIs that have: (1) been active for more than 6 months; or (2) resulted in an audit being suspended or curtailed. When possible, the RIGI verbally provides an estimate as to when audit activity can be resumed.

Upon completion of an investigation initiated through the SOI mechanism, the RIGI promptly notifies RIGA of the disposition of the case and actions that can/cannot be taken regarding the audit that had been suspended or curtailed.

705.04 Reporting Standards of Conduct Violations Disclosed By Audits
705.04A OIG Policy on Reporting Standards of Conduct Violations Disclosed by Audits

Violations of the GSA Standards of Conduct are never reported in OIG audit reports. Instead, audit findings of actual or apparent misconduct are always referred to the Office of Investigations for handling.
705.04B Procedures for Reporting Standards of Conduct Violations Disclosed by Audits

When an audit discloses an actual or apparent violation of the GSA Standards of Conduct, the following actions are taken:

- The RIGA consults with the RIGI (AIGI on Central Office matters) about the need for investigation, and provides the RIGI (AIGI), by separate memorandum, a description of the actual or apparent misconduct.

- The RIGI (AIGI) handles the misconduct referral in accordance with the provisions of Chapter 900 of the OIG Manual. If the decision is made to refer the matter to management instead of conducting an investigation, the RIGI (AIGI) is responsible for preparing the referral memo and transmitting it to the party(ies) with an official need to know under a “For Official Use Only” cover.

- The misconduct finding is not discussed in the audit report or related transmittal memorandum.

- The AIGI/RIGI notifies the RIGA on the disposition of the referral.

**NOTE:** Discovery of suspected wrongdoing not related directly to audit assignments is reported to the Office of Investigations in accordance with the GSA Standards of Conduct.

**Effective Date 3/27/2013**

706.00 JI Referrals of Possible Management Deficiencies to JA

706.01 Policy on JI Referrals to JA

In conducting investigations, OIG special agents need to be alert to possible management deficiencies, especially weaknesses in accounting and/or administrative control, that allow fraud or abuse to occur. In order to maximize the use of information acquired during investigations, JI reports such information to JA for audit followup. The JA followup action involves transmitting the information to management, asking JC or JP to take some internal OIG action, and/or scheduling an audit.

When investigation discloses the possibility of specific management deficiencies, JI referrals to JA are in the form of referral memoranda prepared by the case agents. When investigation does not disclose specific management weaknesses, but the investigative findings might nonetheless be of operational interest to JA, the DAIGI forwards a copy of the Synopsis section of the Report of Investigation to JAO.

When the AIGA and/or a staff director request additional information about a referral
memorandum or a synopsis, JI either allows them to review the case file or requests that the case agent provide the additional information.

706.02 JI Referral Memoranda
706.02A Preparation of JI Referral Memoranda

JI reports the possibility of specific management deficiencies to JA through referral memoranda. Each referral memorandum:
(1) describes the possible management deficiency; (2) details the reasons for believing the deficiency exists; and (3) provides available supporting documentation. The referral memorandum to the AIGA is prepared by the special agent conducting the investigation. It is reviewed by the RIGI, then forwarded to the AIGI for signature, with a copy provided to the RIGA. The AIGI makes the formal referral to the AIGA.

During post case file reviews, the DAIGI verifies that case agents have prepared referral memoranda on all investigative results that disclosed the possibility of specific management deficiencies.

706.02B Review for Sensitive Information in JI Referral Memoranda

The RIGI and AIGI carefully review the referral memorandum and supporting documents to ensure that sensitive, privileged, protected, and/or grand jury material is not inadvertently disclosed.

706.02C Notifications to GSA Management

All notifications of potential management deficiencies are reported to the appropriate level of GSA management by JA, either through an audit report or memorandum, as appropriate.

706.02D Tracking of JI Referral Memoranda

The RIGI submits copies of all referral memoranda to headquarters for inclusion in the appropriate case files. JA is not required to keep JI formally apprised of the audit or review steps taken as a result of referrals; however, JA informally apprises JI of the results of its reviews. JI is not responsible for tracking or following up on JA actions resulting from JI referrals.

706.02E Disclosure of Management Deficiencies Affecting Investigative Cases

If the RIGI determines that the disclosure of a management deficiency could have an adverse impact on the investigation, he/she first discusses the seriousness of the deficiency with the RIGA. If the RIGA agrees that disclosure of the deficiency can await completion of the investigation, submission of the referral memorandum awaits such completion. The RIGI notifies the AIGI of such instances by way of a memorandum,
with a copy to the RIGA for the workpaper files.

If the RIGI discovers a management deficiency that could result in significant and immediate dollar losses to the Government or have some imminent adverse impact on a GSA program or operation, but its disclosure could adversely affect the conduct of the investigation, the RIGI consults with the RIGA prior to submitting the referral memorandum. The purpose of this consultation is to formulate actions and procedures to be followed to protect the integrity of the investigation and prevent losses or damage to the Government. These actions and procedures are then set forth in the referral memorandum.

Disagreements between the RIGI and the RIGA are resolved by the AIGA and AIGA or, finally, by the IG.

706.03 JI Referrals of Synopses of Investigation

When the DAIGI post investigation case file review does not disclose the possibility of specific management deficiencies, but JI determines that the investigative findings may still be of operational interest to JA, JI forwards to JA, via GSA routing slip, the Synopsis section of the Report of Investigation. In cases where individual identities should be protected from disclosure, JI deletes the names and any identifying references from the copy of the Synopsis.

Effective Date 3/27/2013

707.00 SUBPOENAS

707.01 OIG Subpoena Authority

Section 6(a)(1) of the IG Act empowers the OIG to require by subpoena the production of all information, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions assigned the OIG by the IG Act.

Generally, this subpoena power applies to four basic categories of records.

707.01A Business Records

The IG Act enables the OIG to require production of any business record, even those that are not normally made available under the audit clause of a contract. Furthermore, records may be obtained from businesses, subcontractors, and others who may not be subject to the audit clause provisions of a particular contract.

707.01B Personal Records

An individual can be required to produce records within his/her personal possession,
including tax returns, bank statements, and employment records. For example, personal records of a corporate officer can be obtained in addition to business records of the corporation.

707.01C Financial Institution Records

Banks, savings institutions, credit unions, loan companies, and credit card companies can be required to produce their records and those of their customers. In many such situations, however, the Right to Financial Privacy Act of 1978 is applicable. Generally, the Act requires that specific advance notice of the subpoena be provided to an individual (non-corporate) customer. The statutory notice requirements of the Act must be strictly observed and fully complied with in subpoenaing an individual’s records from financial institutions. Delayed notice provisions are available in emergency situations to prevent the destruction of evidence or flight from prosecution (Section 707.08B). The requirements of this Act make it especially important that such cases be closely coordinated with JC.

707.01D Government Records

A State, municipal, or quasi-governmental body or agency can be required to produce relevant documents. The OIG subpoena power is not available to obtain records and information from other Federal agencies.

707.02 Responsibility Within OIG for Processing Subpoenas

JC serves as the focal point for all matters relating to the use and issuance of OIG subpoenas. All requests for subpoenas must be processed in accordance with the procedures set forth herein and must be reviewed and approved by JC prior to being forwarded to the IG.

707.03 Policy on Use of Subpoenas

Under normal circumstances, if a document or record is available under the audit clause of a contract, or if an individual has a contractual obligation to provide certain documents, attempts are first made to obtain the documents by reference to such authority. Also, if there is no evidence of wrongdoing by an individual or corporation, the auditor/investigator should attempt to obtain the records through voluntary means.

In routine cases, a subpoena normally is not requested until information obtainable by other means has been examined and analyzed. This enables the requesting auditor/investigator to define with particularity those documents needed to complement existing information. Furthermore, if the receiving party files a motion to quash the subpoena, the OIG will be able to demonstrate that the information cannot be obtained through normal procedures. However, a variety of circumstances could justify the issuance of a subpoena at an earlier stage of the audit/investigation. These circumstances may include the immediate need to obtain documents to prevent their
loss, alteration, or destruction. In complex audits/investigations, numerous subpoenas may be issued, as needed, at various stages of the audit/investigation in order to fully develop the case.

Auditors/investigators should consult with JC as early as possible when considering use of a subpoena. Such early consultation can help significantly in determining the appropriateness of a subpoena, in considering alternative means of acquiring needed materials, and in framing and processing the subpoena request and subpoena itself.

707.04 Procedures for Requesting Subpoenas

Whenever documentary information or records needed in connection with official OIG activities and operations are not otherwise provided, a subpoena request may be considered. Requests contain the following information:

- **Background of Subject Matter Under Audit/Investigation.** This section sets forth a concise history of the audit/investigation to date. It includes the authority for the audit/investigation, an identification of the contracts and individuals involved, the ultimate goal of the audit/investigation, a summary of the audit/investigation completed to date, and identification of all known agencies that may be conducting a similar or joint audit/investigation.

- **Justification for Subpoena Request.** This section generally describes the items sought by subpoena and explains why these documents cannot be obtained by other means. Any lack of cooperation by the party under audit/investigation or the holder of records is discussed. The request specifies the particular audit/investigative goals that will be furthered by the subpoena. In requiring the production of documents and information by subpoena, the OIG is not required to determine that there is probable cause to believe that a violation of a criminal or civil statute or administrative regulation has been committed and/or that the materials sought constitute evidence of such violation. Instead, it need only be determined that the items sought are reasonably necessary to further proper OIG investigative, audit, or related activities.

- **Description of Items.** This section describes as precisely as possible those items that are to be obtained by the subpoena. While individual documents need not be identified, documents should be divided into certain categories, e.g., payroll records, payment invoices, bank statements, or income tax returns, and are identified as completely as possible by date and party. In some cases, certain individual documents should be identified.

In consultation with JC, consideration should be given to the use of “including but not limited to . . . ” language to assure that both specific known documents and other relevant materials that may not be individually known or identifiable are obtained. If applicable, the document categories are cross-referenced to a particular contract. The auditor or investigator should remember that a subpoena request need not be all inclusive. If subsequent audit/investigation determines that other documents are
needed or that other parties are involved, additional subpoenas may be issued.

This section also identifies the recipient of the subpoena. If the documents are to be obtained from a corporation, a corporate officer, appropriate regional official, or custodian of records of the corporation, that person or entity is set forth as the named recipient. A subpoena of partnership records is directed to a partner. A subpoena for the records of a financial institution is directed to either the president or the appropriate branch manager. If records are sought from a State or municipal agency, the head of the agency is identified.

° Time and Place for Return of Service. The requestor should establish a location for the return of service. While the field audit or investigation office should normally be selected, the location should be within a reasonable distance from the location of the records. Where return of service at the field office is impractical, arrangements are made to allow return at an appropriate Federal facility. In unusual circumstances, e.g., involving voluminous documents, arrangements may be made to allow a return on the premises of the recipient of the subpoena.

707.05 Approval and Processing of Subpoenas

Subpoena requests, upon approval of the appropriate RIGA or RIGI, are sent through the AIGA/AIGI to JC. JC reviews the subpoena request for completeness, legality, and validity. If necessary, a JC attorney identifies further areas of audit/investigation that should be undertaken before the subpoena can be justified, or may require the auditor/investigator to provide further elaboration or material in support of the request.

Upon determination by JC that issuance of a subpoena is appropriate, JC prepares necessary subpoena documentation; Privacy Act Notice; appropriate correspondence; and a memorandum to the IG recommending approval of the subpoena. Subpoenas are issued only upon approval and signature of the IG or DIG.

707.06 Service of Subpoenas

JC, in consultation with the requesting auditor/investigator, selects a date for compliance with the subpoena. In most instances, this date is at least 10 calendar days after the date of service. The attorney and the auditor/investigator determine the most appropriate method for service to be accomplished: personal service at the corporate location or private dwelling, or by registered or certified mail.

If service is effected by mail, JC mails the subpoena with attachments to the parties concerned. If personal service is chosen, the subpoena is sent to the requesting auditor/investigator to serve. The RIGA/RIGI determines the appropriate staff member to serve the subpoena. (A copy of the subpoena is also sent to the requesting field office for inclusion in the audit/investigative file.) The auditor/investigator then delivers the subpoena, with attachments, to the addressee as expeditiously as possible.
Service upon a corporation is made during business hours and to the addressee. If the addressee is unavailable, a corporate officer or registered agent for service of process will suffice. If an individual other than the addressee receives the subpoena, the auditor/investigator obtains a receipt, setting forth the recipient’s name and position. The auditor/investigator then executes the remaining portions of the Certificate of Return of Service and returns it to JC.

Any modifications of the subpoena sought by the subpoenaed party or any dealings where the party is represented by counsel are referred to JC. In all cases involving a subpoena, close coordination and consultation between the auditor/investigator and JC are maintained. Modifications in the scope and location of return of the subpoena may be accomplished by mutual agreement between the recipient and the OIG. Prior to the date of return, the auditor/investigator may be asked to examine the documents upon the premises of the recipient to verify the existence and volume of the documents sought.

707.07 Return of Service
707.07A Location of Return of Service and Nature of Production

No later than on the day and time appointed, the recipient of the subpoena is required to mail the documents to the OIG or make them available at the corporate office. In most cases, the location of the return is the field audit or investigation office.

The subpoenaed party may provide copies in the place of originals. However, the original records must be made available for verification if required. Any questions concerning this area are referred to JC.

The cover letter also directs the recipient to prepare an index of the documents provided. While this index is helpful to the auditor/investigator, the respondent cannot be compelled to prepare it.

707.07B Return Proceedings and Subsequent Questioning

In many instances, the production of the documents is a relatively simple matter. The subpoenaed party produces the documents, indicates his/her capacity to certify the documents, and a sworn statement is made indicating that the records are accurate, complete, and in full compliance with the subpoena. If the auditor/investigator believes, however, that the documents are not complete or in full compliance with the subpoena, the respondent may be placed under oath and questioned. The subpoenaed party has the right to be represented by an attorney when s/he is questioned.

707.07C Fifth Amendment Privilege

The limitations imposed upon questioning during an OIG subpoena return proceeding decrease the likelihood of improperly obtaining an incriminating statement from a
respondent. In some instances, however, a question may arise as to the need to advise the respondent of his/her right against self-incrimination. A corporation does not have a Fifth Amendment privilege against self-incrimination. Therefore, only questions concerning the personal records or actions of the respondent could lead to an element of self-incrimination. If, at any time during the proceeding, the auditor/investigator believes that a question, properly within the scope of the subpoena return proceeding, could lead to an improperly compelled self-incrimination of the respondent, an appropriate warning is given immediately.

707.07D Handling of Documents

In using subpoenaed records, the auditor/investigator must be aware of the need to maintain a chain of custody. At the outset of any examination of the documents, it may be difficult to determine which, if any, of the documents will be used as evidence in a subsequent civil, criminal, or administrative proceedings. Therefore, evidentiary control is maintained over all documents and access to the documents is carefully controlled in accordance with standard evidentiary custodial procedures.

Upon the completion of the examination, the auditor/investigator determines which records are kept for later use, and which records may be returned to the respondent. A receipt is obtained for all documents returned to the respondent. Any record that may serve as evidence in a subsequent criminal, civil, or administrative proceeding is retained until all proceedings have been exhausted. Documents referred to another agency, such as the DOJ, the Small Business Administration, or the Department of Labor, are accounted for as evidence.

707.07E Failure to Comply

When a subpoenaed party refuses to comply, fails to appear, or fails to provide documents as required by the subpoena, the auditor/investigator consults with JC immediately. JC is responsible for resolving such cases and for initiating subpoena enforcement actions where necessary.

707.08 Subpoenas to Financial Institutions
707.08A Applicability of Right to Financial Privacy Act of 1978

Subpoenas directed to financial institutions calling for production of financial records of their customers may necessitate strict compliance with the Right to Financial Privacy Act of 1978, 12 U.S.C. § 3401-3422. This statute requires prior or contemporaneous written notice to the customer that his/her financial records have been subpoenaed, thereby affording him/her an opportunity to challenge the subpoena in court. The Act applies only when the customer is an individual or a partnership of five or fewer individuals. It has no application where the financial records sought are those of a corporation, business trust, or partnership comprised of six or more individuals. Because of the burdens imposed by this Act and the sanctions that may be levied for violators, subpoena requests involving financial records from financial
institutions must fully document the precise nature of the business entity involved. Appropriate public records, contracts, and other documents are examined to confirm a business entity’s status as a corporation, proprietorship, general or limited partnership, or joint venture.

Section 3403 of the Act prohibits a financial institution from disclosing financial records of a “customer” (i.e., an individual or partnership of five or fewer individuals) except in accordance with the Act and upon receipt of a written certification by the Government authority that it has complied with all applicable provisions of the Act. However, Section 3402(l) of the Act allows a financial institution to disclose financial records when the customer authorizes it in writing. This written authorization must be limited to 3 months duration, must be revocable by the customer at any time prior to disclosure, must identify the financial records authorized to be disclosed, and must state the purpose for disclosure and the customer’s rights under the Act. If such an authorization is submitted to the financial institution, no subpoena is required.

707.08B OIG Policy on Advance Customer Authorization

In situations where the Act is applicable, written customer authorization is sought before subpoenas to financial institutions are requested. One exception to this policy is where secrecy or surprise is essential. As a practical matter, secrecy or surprise can be achieved only when the delayed notice provisions of Section 3409 of the Act are utilized. Under this section, if an appropriate court finds that prior notice to the customer will seriously jeopardize the audit/investigation, or that there is reason to believe that other specified events will occur, the court may issue an ex parte order delaying for up to 90 days the service of notice upon the customer, and prohibiting the financial institution from informing the customer that financial records have been subpoenaed.

707.08C Notice Requirements

Full compliance with the Act requires that the customer be served, personally or by mail, on or before the date the subpoena is served upon the financial institution, with:

- a copy of the subpoena;

- a notice specifying the reasons why the financial records are being sought and setting forth the customer’s rights under the Act;

- a customer consent and authorization form for access to financial records;

- a motion paper that the customer may complete and file with the appropriate court in order to challenge the subpoena; and

- a sworn statement form, which the customer may complete and file in support of this motion.
To perfect his/her challenge, the customer must file the motion and sworn statement within 10 days from the date of service or 14 days from the date of mailing of the notice. The certificate of compliance is not provided to the financial institution until the time for customer challenge has expired.

707.08D Limitations on Transferring Financial Records

There are special limitations on transferring the financial information that is obtained through an RFPA subpoena. Consult with JC before providing such information to another agency. Please note that this applies even to transfers to the Department of Justice/U.S. Attorney’s Offices.

707.08E Reimbursement to Financial Institutions for Costs Incurred

The OIG is required to reimburse financial institutions for costs incurred in gathering, reproducing, and transporting financial records subpoenaed under the RFPA. The reimbursement is at such rates and under such conditions as the Board of Governors of the Federal Reserve System prescribes, as set out in 12 C.F.R. Part 219, Subpart A.

707.09 Subpoena Enforcement Actions
707.09A Responsibility for OIG Subpoena Enforcement Actions

JC is responsible for initiating judicial enforcement of OIG subpoenas in those instances where subpoenaed parties refuse to produce, in whole or in part, documents required by those subpoenas. In situations where difficulty in obtaining compliance is anticipated, early coordination with JC is required.

707.09B Elements of Subpoena Enforcement Actions

The following elements must be established by the Government in order to obtain judicial enforcement of OIG subpoenas:

1. Proof of service. This element is established by completion of the certificate of return of service on the reverse side of the subpoena.

2. Proof of failure to comply. Unless the subpoenaed party expresses in writing his/her intention not to comply with the subpoena, an affidavit is prepared for the signature of the officer before whom that party was to appear, stating that said party failed to appear (or otherwise comply) at the designated time and place.

3. The issuance of the subpoena and the investigation to which it relates are within the authority of the OIG. To the extent that such a question does arise, the responsibility for its resolution lies with JC. If a question arises about the authority and jurisdiction of the OIG in a particular matter, JC is responsible for addressing and resolving the issue.

4. The documents sought are reasonably relevant to
the inquiry. To be relevant, a document must tend to make the existence of a fact of consequence in the investigation more or less probable than it would be without the document. Material that is itself relevant or that may lead to the identification of relevant evidence is within the proper scope of an OIG subpoena.

5. The demand for documents is neither “unduly burdensome” nor “overly broad.” Mere difficulty in compliance or the broad scope of the demand will not, standing alone, prevent judicial enforcement of an OIG subpoena. The demand must be unduly burdensome or unreasonably broad, and the burden of establishing this is upon the subpoenaed party.

Effective Date 3/27/2013

708.00 CIVIL FRAUD AND OTHER CIVIL LITIGATION

708.01 OIG Policy on Civil Litigation

It is the policy of the OIG that, to the extent possible, civil aspects of fraud cases be pursued as vigorously as criminal aspects. In all cases involving criminal conduct, consideration must be given to civil aspects of the case that may warrant audit or investigative effort. It is important that these civil aspects (e.g., quantifying damages) be developed fully, and as early as possible, due to the potential legal problems involved in continuing or initiating an investigation in support of a proposed civil action at the same time that a grand jury is conducting a criminal investigation.

Whenever it is apparent that audit or investigative activity is needed in support of a potential civil action after a criminal referral has been made (and while a criminal investigation or prosecution is still pending), consultation with JC is required to protect against parallel proceedings problems. See manual section on OIG personnel as grand jury agents, Subchapter 506.00.

708.02 Responsibility for OIG Development and Referral of Civil Fraud and Other Civil Cases

JC has overall responsibility for the coordination and control of civil fraud and other civil litigation and related matters involving the OIG. JC has responsibility for providing guidance on the civil potential of matters disclosed through audit and investigation. JC refers all cases that are exclusively civil to DOJ or the U.S. Attorneys’ Offices and coordinates OIG support and assistance to those offices after referral. Where appropriate, JC participates with DOJ or the U.S. Attorneys’ Offices in the handling of civil litigation and related matters involving the OIG. Also JC participates with and assists in all civil/administrative cases handled by the Office of General Counsel.

JI and JA will promptly advise JC of any matters or cases in process having potential for
civil recovery, including cases under current criminal investigation. JC will participate with JI in any civil referral of cases also having criminal potential. If DOJ’s Criminal Division or the U.S. Attorneys’ Offices forwards a criminal referral for civil consideration, JI will promptly notify JC.

708.03 Special Procedures for Defective Pricing/Price Reduction Cases

Upon completion of an audit report that contains a finding of defective pricing/price reductions, the report will be referred to JC. JC, in consultation with JA, will evaluate the audit report. The evaluation process will include reviewing the contract file and any other relevant documents, reviewing any contractor response to the audit report, and conducting any interviews (e.g., the Contracting Officer and contract negotiator) as are necessary to make a determination as to the disposition of the matter.

If, as a result of the evaluation process, JC and JA determine that referral of the audit report to the Contracting Officer for administrative action is appropriate, then the referral will be made by JA. JA and JC will render assistance to the Contracting Officer as is appropriate until a contractual resolution of the matter is achieved.

If, as a result of the evaluation process, JC and JA determine that there is evidence of potential fraud and that investigative assistance is required, they will request such assistance from JI. JI will make a decision whether to investigate the matter in consultation with JA and JC. If JI decides to investigate the matter, it will be jointly handled by JI, JA and JC.

If it is determined, either upon the initial evaluation or after further investigation, that a defective pricing/price reduction allegation has civil litigative merit, JC, after coordination with the relevant components, will refer the matter to the Department of Justice or the United States Attorney’s Office as is appropriate. Once referral is made, JC, JA, and JI will render whatever appropriate and necessary legal, investigative and audit assistance is requested by the Department of Justice or United States Attorney’s Office until the matter is resolved.

If at any time during the course of an audit or the evaluation process for a defective pricing/price reduction matter, JA or JC discovers evidence of criminal activity, JI will be notified immediately.

708.04 Special Procedures for Qui Tam Actions

The qui tam provisions of the civil False Claims Act (see Section 708.07 below) allow private citizens to bring fraud actions on behalf of the Government. Depending on whether the Government takes over the suit from the private citizen (called “the relator”) and proceeds with the action itself, the relator may receive anywhere from 15 percent to 30 percent of any fraud recovery, whether by settlement or judgment.

The statute has been set up to put these cases on a fast track that necessarily impacts
any investigative or audit effort. The relator is required to file his suit under seal, which means that only the Government and the relator know about it. Although the filing of the lawsuit itself is sealed, the existence of the investigation is not necessarily required to be kept a secret. A copy of the complaint is served on both the U.S. Attorney’s office and the Civil Division of the Department of Justice and those two offices will work out who will handle the case and who will arrange for any audit or investigation. The Government has 60 days from the time the complaint is served to investigate the complaint and decide whether to intervene in the suit, in which case the Government would take control of the suit from the relator. The Government can seek an extension of the 60-day limit from the court.

Usually, JC will be notified by DOJ or the U.S. Attorney’s Office of the filing of any qui tam action. In the event JI receives notification of any such action directly from DOJ or the U.S. Attorney’s Office, it will immediately notify JC. JC will provide JI and JA with copies of the materials filed in the suit and will coordinate any audit and investigative effort needed in the matter. JC has the responsibility for notifying DOJ or the U.S. Attorney’s Office of the agency’s recommendation to intervene or not intervene in the qui tam action.

708.05 Settlement of Civil Fraud Cases

Generally, agency approval must be obtained prior to any settlement of a civil case by DOJ or the U.S. Attorney’s Office. For matters arising under the civil False Claims Act or other civil fraud statutes, as long as a prospective settlement does not cause a change in the agency’s policies and procedures, Counsel to the Inspector General is the settlement authority on behalf of the agency (February 3, 1997 Memorandum of Emily Hewitt, General Counsel). For any fraud cases that would cause a change in the agency’s policies and procedures, the GSA General Counsel is the settlement authority. JC has responsibility for coordinating approval of such settlements with General Counsel’s Office.

708.06 Discovery Requests

The OIG often receives requests for documents (particularly audit reports, workpapers, and investigative files) and requests for testimony of OIG personnel sought in discovery in litigation to which GSA is a party. All such requests should be brought immediately to the attention of JC. For documents, JC will determine any applicable privileges and will coordinate the release of the requested materials to the litigating office (OGC or DOJ/U.S. Attorney). For testimony, JC will coordinate the need for and timing of the requested OIG personnel. Generally, subpoenas and other similar demands for official GSA information through either documents or testimony of present or former GSA employees need to be handled in accordance with the agency’s Touhy regulations found at 41 C.F.R. Subpart 105-60.6. Only the Inspector General or the Counsel to the Inspector General may accept service of a subpoena or other legal demand related to information, which is the responsibility of the OIG. For discovery requests in criminal relating to impeachment information concerning OIG special agents, see the section on
the OIG’s Giglio/Henthorn policy at Subchapter 901.05.

**708.07 Civil and Administrative Fraud Remedies**

In addition to the criminal statutes, there are a variety of civil and administrative remedies used by the appropriate Government authorities to pursue OIG-developed cases involving fraud in GSA’s contracting programs.

Civil Fraud

Civil False Claims Act--The Civil False Claims Act, 31 U.S.C. §§ 3729 et seq., has always been the Government’s primary vehicle for pursuing civil fraud cases. The Act imposes liability for seven enumerated acts, including knowingly presenting a false record or statement to get a false or fraudulent claim paid or approved by the government. A knowing submission may be shown by either (1) actual knowledge of the false information, (2) a deliberate ignorance of the information or (3) a reckless disregard of the truth or falsity of the information. The United States need only prove its fraud case by a preponderance of the evidence and as of September 29, 1999, may recover up to three times the amount of damages and additional civil penalties of between $5,500 and $11,000 for each violation. 31 U.S.C. § 3729(a). The civil False Claims Act has two alternative statutes of limitations. A civil fraud suit must be filed either (1) within 6 years after a false claim has been submitted or a false statement in support of a false claim has been made or (2) within 3 years after the material facts are known to the Government, but in no event later than 10 years after the false claims or statements were made.

Contract Disputes Act--The Contract Disputes Act (CDA), 41 U.S.C. §§ 601-613, provides a process for resolution of contractual disputes generally. Section 604 of the CDA provides a specific remedy against fraudulent claims brought by contractors under Government contracts. Section 604 provides that contractors who are unable to support a portion of a claim they have submitted to the Government for payment, because of misrepresentations of fact or fraud, may be liable to the Government for the amount of the unsupported portion of the fraudulent claim together with any costs to the Government of reviewing the unsupported claim. This remedy, which is intended to prevent contractors from submitting inflated claims, carries with it a six-year statute of limitations and, unlike standard CDA claims, is required to be asserted by the Department of Justice in either federal district court or the Court of Federal Claims.

Special Plea in Fraud (Forfeiture)--The Special Plea in Fraud provision, at 28 U.S.C. § 2514, provides for the forfeiture of claims against the United States if the submitter of the claim corruptly practices or attempts to practice any fraud against the United States in the proof, statement, establishment or allowance of the claim. This remedy, which allows for forfeiture of the entire claim (including nonfraudulent portions), is only available to the Government in the Court of Federal Claims.

Administrative Remedies
Program Fraud Civil Remedies Act - The Program Fraud Civil Remedies Act, 31 U.S.C. §§ 3801 et seq. (PFCRA). The PFCRA was designed to cover small dollar frauds that were not economical for the Department of Justice to bring or for the district courts to decide. The Act applies to cases involving $150,000 or less and its provisions essentially track those of the civil False Claims Act, except that the PFCRA also provides for the imposition of a civil penalty for the submission of a false statement unrelated to a claim for payment which is accompanied by an express certification. Under the PFCRA, the Government may recover up to double damages and a civil penalty of up to $5,500 (as of September 29, 1999) for each claim.

PFCRA cases are handled by the Office of General Counsel, with the Department of Justice providing some general oversight. By regulation, the OIG (JI) handles investigations of PFRCA cases. 41 C.F.R. Part 105-70. JI should consult with JC before making any referrals of PFRCA cases. JC is responsible for providing legal advice and support to OGC in the litigation of these cases. Counsel to the IG must approve any settlements of PFRCA cases.

Progress Payment Fraud - This provision, found at 41 U.S.C. § 255(g), provides that if a federal agency finds there is substantial evidence that a contractor’s request for advance, partial or progress payments is based on fraud, it can suspend or reduce the contractor’s request for further payments. The regulations implementing this provision are found at 48 C.F.R. § 32.006.

Subcontractor Payment Protections - Statutory and regulatory requirements generally give the contracting officer an oversight role in ensuring proper payment by prime contractors to subcontractors and suppliers. 31 U.S.C. § 3903; 48 C.F.R. § 32.112. The regulations require a contracting officer to investigate assertions by a subcontractor or supplier that it was not being paid in accordance with its subcontract or other agreement and take remedial action if appropriate. If a contracting officer determines that a contractor’s certification of payment to its subcontractors and suppliers is inaccurate in any material respect, he or she must initiate administrative or remedial proceedings. 48 C.F.R. § 112-1(c). At GSA, the contracting officer is required to report any material inaccuracy in such a certification to the Office of Inspector General. GSAR § 532.112-1.

Effective Date 7/9/2014

709.00 PROCESSING OF CONTRACTOR SELF-DISCLOSURES

The OIG views disclosure reviews as a critical part of the OIG mission to detect and prevent fraud, waste, and abuse. Accordingly, we will provide incentives to contractors to encourage their use of the disclosure program, as the alternative means of collection are much costlier to both the Government and industry. While we will not provide a safe
harbor or otherwise protect a disclosing contractor from the appropriate civil or criminal remedies, if warranted, we accept that disclosures are made in good faith on the part of the disclosing contractor. Barring other factors, our review will expeditiously verify the information provided by the contractor's internal investigation, to the extent that investigation is complete and accurate. 709.01 Status Reports Regarding Contractor Self-Disclosures

Effective December 12, 2008, federal contractors are required by FAR 9.406-2, 9.407-2, and 52.203-13 to self-disclose to the OIG when they have credible evidence of a violation of the federal civil False Claims Act or a criminal violation under title 18 of the United States Code involving fraud, bribery, conflicts of interest, and gratuities. To encourage contractors to be forthcoming, the OIG will provide periodic status reports, as appropriate, to contractors that make disclosures.

709.01A Report of Receipt

After the OIG receives a self-disclosure from a contractor, JA will prepare a letter confirming receipt of the self-disclosure to be sent to the contractor under JC letterhead, including the disclosure tracking number, and the OIG point of contact regarding the disclosure. If the disclosure was not made via the OIG electronic reporting form, JA will ensure the Department of Justice is notified of the disclosure.

If the disclosure appears on its face to contain inadequate information to identify the nature and extent of the offense disclosed, the OIG will follow the letter confirming receipt with a letter detailing the further information that is required.

For procedures on obtaining further information regarding disclosures generally, see Part 709.02A.

709.01B Interim Status Report

After the receipt of a self-disclosure and prior to the resolution of any audit, investigation, or other action related to the disclosure, if the OIG has not been in contact with representatives of the disclosing contractor, the OIG may send an interim status report or reports to inform the contractor of the disclosure’s status in the review process.

Any interim status report will be sent by JA. Interim status reports will not be sent if JI, JA, or JC objects for any reason, including (1) an OIG representative is in communication with the contractor about the disclosure; (2) the Department of Justice asks that no interim report be sent; or (3) other good cause exists for not providing an interim report.

The status report will state that the OIG is continuing to review the disclosure, and include the date and tracking number of the initial disclosure and the OIG point of contact for any further questions.
709.01C Closeout Report

The closeout report is a communication with the contractor, whether by letter or email, informing the contractor that the OIG has concluded its review of the disclosure, and that no further OIG action is anticipated based on the information available at the time. The communication will include the date and tracking number of the initial disclosure, and a point of contact for any further questions. All closeout reports will be sent by JA.

For disclosures that the OIG has pursued as civil or criminal violations, the project will be closed out upon notification that legal proceedings have been concluded.

For disclosures that the OIG determined to be overpayments, with no civil or criminal implications, the project will be closed out upon either JA’s determination that no further OIG action is anticipated or upon notification by the Contracting Officer (CO) of resolution of the JA findings.

For those reviews that have concluded without a finding of civil or criminal violation, or the need for additional action by the CO, the project will be closed and the contractor will be notified that the OIG has concluded its review of the disclosure, and that based on the information available at the time, no further OIG action is anticipated.

The Department of Justice also will be notified in writing when a disclosure is closed out without DOJ involvement.

709.01D Responsibilities

JA will initially process all disclosures and ensure a copy is provided to JI and relevant personnel in DOJ.

JI will determine whether an investigation is warranted, and provide a copy of the disclosure to the relevant CO, if known.

JC maintains a telephone line, with the number posted on the OIG website that contractors can call with any questions. JC is also responsible for reviewing and signing all receipt reports.

JPM maintains the electronic self-reporting form on the OIG website. Submissions using that form will be made available to JA, JI, and JC, and to the Department of Justice, as it has requested.

709.02 Involving Stakeholders and Accepting Settlements
709.02A Initial Disclosure Meetings

Unless the information in the disclosure indicates that a meeting would be unwarranted, after receiving a contractor disclosure, a representative of JI, JA, or JC will contact the disclosing party and arrange an in-person meeting between representatives of the
contractor, OIG representatives, and other relevant stakeholders, defined more particularly below.

At this meeting, the OIG will request from the contractor any information that is known at the time to be necessary to evaluate and resolve the disclosure. Representatives of the OIG and the disclosing contractor will establish points of contact for future communication necessary to resolve the disclosure. Following the meeting, the OIG will determine whether an audit or investigation will be opened in order to verify and resolve the disclosure.

If the contractor proposes at the meeting an amount that it has calculated is owed to the government, OIG representatives may, at this time, suggest that the contractor promptly contact the appropriate Contracting Officer (CO) and pay the stated amount before the OIG performs further review. However, the OIG may not request or accept any immediate payment. Rather, that function belongs to the CO and the relevant payment office. The OIG should contact the CO under these circumstances to ensure the CO is aware of the issue and possible payment, and to ensure the CO accepts the payment without providing the contractor a release of liability. A release of liability should only be provided once the OIG has independently verified, and relevant stakeholders have concurred with, the amount owed to the government.

709.02B Participation of the Department of Justice

Officials of the Department of Justice (DOJ)’s Criminal and Civil Fraud Sections have requested notification of all disclosures received by the OIG. Upon receiving copies of disclosures, Criminal and Civil Fraud attorneys may decline the matter immediately; accept the matter for further investigation and possible judicial proceedings; or reserve judgment on the disclosure until further facts have been developed.

709.02C Notification of Contracting Officers

As discussed in Part 709.01D, JI will notify the responsible CO, if known, regarding receipt of a contractor disclosure. When the disclosure involves potential wrongdoing on the part of federal employees, JI-based on consultation with JA and JC-will determine when it would be appropriate to notify the CO. The OIG may determine in other circumstances that it is appropriate to delay notification of the CO, for example, in order to avoid possible disclosure of an ongoing covert criminal investigation, by the OIG or another law enforcement organization.

When appropriate, COs will also be invited to participate in initial disclosure meetings.

As discussed further in Part 709.02E, below, the CO responsible for a current contract is an official authorized to demand payments from disclosing contractors. Therefore, if a disclosure involves an ongoing contract and the CO does not participate in the initial disclosure meeting, after the initial meeting, a representative of JC, JI, or JA will contact the CO. The representative will inform the CO of the information provided by the
contractor; the OIG’s impressions regarding the accuracy of the information and the possibility of further amounts involved; and the OIG’s audit and investigation plan for resolving the disclosure.

709.02D Resolution Through Litigation

The OIG will determine whether to refer disclosure matters to the Department of Justice (DOJ) for resolution by litigation under the civil False Claims Act (FCA) if, under the circumstances of a particular disclosure, this is the most appropriate manner of resolution. In making this determination, the OIG will consider appropriate relevant factors as determined by JC, in consultation with JI and JA.

In the event that a disclosure is resolved under the FCA or the Truth in Negotiations Act (TINA), the Office of Inspector General has the authority to approve settlement agreements on behalf of the General Services Administration, if it is clear that the proposed settlement will not cause a change in GSA’s policies or program activities. See Memorandum from Emily C. Hewitt, General Counsel, General Services Administration, to Kathleen Tighe, Counsel to the Inspector General, General Services Administration (Feb. 3, 1997). The OIG does not accept payments itself.

Therefore, if GSA has referred and DOJ has accepted a disclosure for resolution under the FCA or TINA, the CO should be advised not to accept any interim payment without DOJ concurrence. DOJ representatives, in conjunction with OIG representatives, may also undertake negotiations with a disclosing contractor when there is not agreement regarding the amount owed. After a final amount owed has been determined, DOJ attorneys may accept payment from a disclosing contractor of the amount owed in settlement of potential FCA or TINA claims.

709.02E Administrative Resolution

If a disclosure is not resolved through FCA or TINA litigation or criminal prosecution, it must be resolved administratively under the authority of the Contracting Officer. (In administrative matters, the OIG may not concur in a settlement amount on behalf of the agency.)

In such a situation, the relevant GSA payment office may accept a payment offered by a contractor. The CO may issue a demand for payment and use the procedures in FAR Subpart 32.6 if the contractor does not agree on the amount owed; these payments are also collected by the finance office. See GSA Order ADM P 2030.2C, Audit Resolution and Followup System, ch. 4, ¶ 4(i); ch. 5, pt. 3.

In order that the OIG and the CO have a consistent understanding of the contractor’s conduct and the amount owed, JI or JA representatives will periodically inform the responsible CO of the progress of OIG review of disclosures that have not been referred to and accepted by DOJ and that pertain to current GSA contracts.
In the event that a disclosing contractor offers payment of an amount owed with its initial disclosure, the decision on whether to accept that offer rests with the contracting officer. The OIG will not object (if asked) to a Contracting Officer accepting that payment insofar as (1) the contracting officer’s actions do not constitute the Government’s agreement as to the contractor’s ultimate civil or criminal liability for the matter(s) disclosed, and (2) acceptance shall not prejudice the Government’s right to obtain additional damages, fines, and penalties for the matter(s) disclosed. If subsequent review of the disclosure indicates that the initial payment was less than the amount owed, the OIG will recommend that the CO collect the unpaid amount. The OIG will work with the CO to ensure that the disclosing entity understands that acceptance of the initial payment does not waive the government’s right to collect any amounts owed in excess of the initial payment.

If the contract has been closed out, or if the CO last assigned to the contract is no longer available, the GSA program office that issued the original contract can assign another CO to the contract to issue a demand letter and coordinate collection of any post-closeout amounts due with the finance office.

710.00 RESERVED

Effective Date 3/28/2013

711.00 FREEDOM OF INFORMATION ACT REQUESTS

Unless otherwise stipulated by this Manual or otherwise required by law, all requests for documents that have been developed by, or are under the control of the OIG, are processed in accordance with the Freedom of Information Act (FOIA) (5 U.S.C. § 552).

711.01 OIG Policy on FOIA Requests

The FOIA requires the disclosure of documents maintained by Federal agencies upon request, unless the requested documents, or portions thereof, fall within certain specific exemptions to the basic disclosure requirement. The assertion of an appropriate FOIA exemption in order to deny disclosure is discretionary on the part of the agency deciding official(s).

With respect to records developed and/or maintained by the OIG, the IG, DIG, and Counsel to the IG are the only Agency officials who may sign a FOIA disclosure or initial denial letter to a requestor.

Because of the specific statutory requirements governing FOIA matters, consultation with JC and adherence to the procedures set forth herein are essential in all such
matters.

711.01A New Requirements Regarding Electronic Records

The Electronic FOIA Amendments of 1996, Pub. L. No. 104-231, addresses the subject of electronic records created and/or maintained by an agency. The statute defines the term “record” as including records “maintained by an agency in any format, including an electronic format.” The statute establishes the requirement for agencies to maintain “electronic reading rooms” for certain documents, including records processed and disclosed in response to a FOIA request that the agency determines “have become or are likely to become the subject of subsequent requests for substantially the same records.”

The statute also requires that agency records created after November 1, 1996, must be made available to the public by electronic means. It requires agencies to provide requested records “in any form or format requested . . . if the record is readily reproducible by the agency in that form or format.” The statute also requires agencies to “make reasonable efforts to search for [electronic] records in electronic form or format, except where such efforts would significantly interfere with the operation of the agency’s automated information system.”

711.02 Responsibility for OIG Processing of FOIA Requests

JC serves as the OIG focal point for all FOIA policy and related matters, and is responsible for coordinating the processing of each FOIA request within the OIG and for dealing with Agency personnel on such matters.

711.03 OIG Procedures for Processing FOIA Requests

711.03A Referral of FOIA Requests to JC

Each request for information received by an OIG headquarters or field unit is immediately forwarded to JC. The requestor is notified by the receiving unit that the request has been forwarded for review and processing. JC examines each information request to: ascertain the nature of the request; identify statutory provisions governing release; and determine the appropriate method of handling.

711.03B Processing of FOIA Requests by OIG Components

JC provides a copy of the request to the OIG component that has possession or control of the requested material. The component processes (reviewing and redacting as necessary) the requested material by the date assigned, and returns the same to JC for review and concurrence.

711.03C FOIA Disclosure/Denial Decision and Transmittal of OIG Reply

JC reviews the disclosure/withholding as proposed by the OIG component to determine
the appropriateness and legality of the proposed disclosure/withholding.

A final transmittal letter to the requestor is prepared by JC and signed by the Counsel to the Inspector General, if the request is an initial request. An appeal from a denial of an initial request is signed by the IG or the DIG.

711.03D Time Deadlines for Responding to FOIA Requests

The Electronic FOIA Amendments of 1996 extended the previous time limit for responses to initial FOIA requests to 20 working days after receipt of a request. Requesters have 120 days to appeal a denial of an initial request for disclosure, and the OIG must make determinations on appeals within 20 working days after receipt of an appeal. The OIG may take an additional 10 days to respond to an initial request based upon “unusual circumstances” relating to the request itself, e.g., the volume of records sought. This additional time may not be taken due to predictable agency OIG backlogs of FOIA requests.

711.03E Web Links to GSA/OIG FOIA/PA Procedures/Regulations

GSA’s internal procedures for handling FOIA requests may be found at:

http://www.gsa.gov/portal/content/105305

GSA’s regulations for the implementation of FOIA are found at 41 C.F.R. Part 105-60, and may be accessed by linking to:

http://www.gsa.gov/portal/directive/d0/content/526106

The OIG’s procedures for FOIA/PA requests may be accessed by linking to:

http://www.gsa.gov/portal/content/105305

Effective Date 3/28/2013

712.00 PRIVACY ACT REQUESTS AND NOTICES
712.01 Privacy Act of 1974

The Privacy Act of 1974 (5 U.S.C. § 552a) provides for the safeguarding of documents maintained by Federal agencies that contain information about individuals. Further, this statute requires that access to such records be granted on request to the individual about whom such information is maintained unless a specific statutory exception exists.

Information about individuals that can be retrieved by some personal identifier must be
maintained within a system of records as prescribed by the provisions of the Privacy Act. All GSA/OIG investigative reports and related materials are maintained in the GSA System of Records titled “Investigation Case Files (GSA/ADM-24).” All such materials must continue to be maintained within this System of Records in order to ensure compliance with the Privacy Act.

GSA/OIG materials otherwise protected from disclosure under the Privacy Act may be disclosed under any one of 12 statutory exceptions: 1) “need to know” within the agency; 2) disclosures required under FOIA; 3) routine uses; 4) disclosure to the Bureau of the Census; 5) disclosure for statistical research; 6) disclosure to the National Archives; 7) disclosure to another agency or governmental unit for civil or criminal law enforcement activity; 8) disclosure for the health or safety of an individual; 9) disclosure to Congress; 10) disclosure to the General Accounting Office; 11) disclosure “pursuant to the order of a court of competent jurisdiction”; and 12) disclosure to a consumer reporting agency in accordance with the provisions of the Debt Collection Act.

712.02 OIG Policy on Privacy Act Requests

All requests made by a specific person for access to OIG documents that pertain specifically to that individual are processed under the access provisions of the Privacy Act. However, in the case of OIG documents maintained in GSA/ADM-24, materials maintained in this System of Records are exempt from the access provisions of the Privacy Act pursuant to 5 U.S.C. § 552a(j)(2) and (k)(2). If, however, greater disclosure would be provided to the requestor under the FOIA, rather than under the Privacy Act, then such a request will be processed under the provisions of the FOIA.

712.03 Responsibility for OIG Processing of Privacy Act Requests

JC serves as the focal point for all Privacy Act policy matters, and is responsible for coordinating the processing of each Privacy Act request within the OIG and for dealing with Agency personnel on such matters.

712.04 Procedures for OIG Processing of Privacy Act Requests
712.04A Referral to JC

Each request for information under the Privacy Act received by an OIG headquarters or field office is immediately forwarded to JC. The requestor is notified by the receiving unit that the request has been forwarded for review and processing. JC examines each request to determine the appropriate method of handling.

712.04B Processing of Privacy Act Requests by OIG Components

JC provides a copy of the request to the OIG component that has possession or control of the requested material. The component processes the requested material, reviewing and redacting as necessary, by the date assigned and returns the same, along with a draft transmittal letter, to JC for review and concurrence.
712.04C Disclosure/Denial Decision and Transmittal of OIG Reply

JC reviews the disclosure/withholding as proposed by the component to determine the appropriateness and legality of the proposed disclosure/withholding.

A final transmittal letter is prepared by JC. The Counsel to the Inspector General signs the letter, if the request is an initial request for information. An appeal from a denial of an initial request is signed by the IG or the DIG.

712.05 Privacy Act Notice Provisions

The Privacy Act also contains explicit notice provisions that must be complied with in conducting OIG investigations, audits, and inspections, unless specifically exempted by rules promulgated by the Administrator.

Whenever an official of the OIG conducts an interview or requests information from an individual, the results of that interview or the information obtained is maintained in the Privacy Act System of Records controlled by the OIG (Investigative Case Files, GSA/ADM-24). This Act requires that the individual be informed in writing of the authority for the solicitation, the principal purpose of the solicitation, the routine uses of the information obtained, the effects of nondisclosure, and whether disclosure is mandatory or voluntary. In such cases, individuals are provided with a copy of the Notice Pursuant to the Privacy Act of 1974. The individual conducting the interview notes in his/her report that a copy of this Privacy Act notice was provided.

With respect to this System of Records, an exemption from this notice requirement has been established for interviews conducted and information requests made in the course of a criminal investigation. Thus, to the extent that information is being sought directly in connection with a criminal investigation and/or the enforcement of criminal laws, a Privacy Act notice is not required.

Effective Date 6/15/2015

713.00 CONGRESSIONAL REQUESTS FOR INFORMATION

713.01 OIG Policy on Congressional Requests for Information

All congressional inquiries or requests for OIG information or documents are handled in the manner provided for under this section, unless otherwise directed by the IG, the DIG, an AIG, the Associate IG, or the Counsel to the IG. Congressional inquiries or requests for information are handled as responsibly and promptly as circumstances
permit. As a general matter, the Congressional Liaison acts for the OIG on all congressional requests for information.

Inquiries or requests for information or documents are regarded as “congressional” if they are official requests made by or on behalf of a Senator, Representative, committee, subcommittee, or other organizational body or unit of the Congress, including the GAO and the Library of Congress. For purposes of FOIA or Privacy Act exemptions, an inquiry or request by a Senator or Representative that is clearly being made as an individual and not on behalf of a Committee is handled in the same manner as a request from any other individual.

Accordingly, in such situations any applicable FOIA or Privacy Act exemptions that would otherwise be asserted are asserted to a member of Congress seeking information as an individual (See 713.04).

713.02 OIG Control of Congressional Requests for Information

Any congressional inquiry or request for information is promptly referred to the Office of the Inspector General (J) for control purposes, with simultaneous notice to the Congressional Liaison. Any oral inquiry should be brought to the attention of the IG, DIG, and the Congressional Liaison.

713.03 Responsibilities of OIG Components for Processing Congressional Requests for Information

Congressional inquiries and requests for information are generally coordinated by the Office of the Inspector General (J), with notice to the Congressional Liaison. OIG components compile information, materials, and draft responses in strict compliance with established due dates.

Any proposed nondisclosure of information (e.g., where the material requested is extremely sensitive due to an ongoing investigation) is coordinated with JC. Final determinations on nondisclosure of information can be made only by the IG or the DIG.

713.04 Constituent-Based Requests for Information

If a congressional request for OIG information or documents is being made on behalf of a constituent, then the request is treated in the same manner as if the constituent had directly requested the material under either the FOIA or the Privacy Act. Any such requests should be forwarded to the Congressional Liaison and to JC for processing.
713.05 Protective Marking of Proprietary Data and Other Sensitive Material

When a response to a congressional request for information involves the disclosure of proprietary or other sensitive information, protective markings may be placed on each released page containing such material. The Congressional Liaison and JC will as necessary develop such markings.

All controlled unclassified information (sensitive material) provided to the Congress is transmitted with a cover letter that specifically references the inclusion of the sensitive data and includes a statement cautioning against unauthorized disclosure and, as appropriate, warning of the potential penalties.

714.00 RESERVED

Effective Date 3/28/2013

715.00 OBTAINING DUN AND BRADSTREET REPORTS

Printed Dun and Bradstreet reports can be obtained by calling 800-352-3425. Computerized reports can be obtained using “Crosstalk” applications on designated OIG computers. Questions should be referred to the Investigations Operations Division.

Effective Date 3/28/2013

716.00 OIG ACTION WHEN COMPANIES OR INDIVIDUALS UNDER AUDIT OR INVESTIGATION FILE FOR BANKRUPTCY

716.01 Procedures for Situations when Companies or Individuals Under Audit or Investigation File for Bankruptcy

The following procedures apply when OIG personnel receive indications of bankruptcy proceedings involving companies or individuals under audit or investigation:

- The auditor or investigator makes a reasonable attempt to confirm or deny any suspicions, rumors, or leads that the company or individual has filed for
bankruptcy. Methods may include: (1) discreet inquiries to employees; (2) checks of bankruptcy court records; and (3) regular checks of the business section of the local newspaper.

○ After verifying that a bankruptcy filing has been made or is planned, the auditor or investigator immediately contacts Central Office JA or JL, through regional channels, by telephone to brief them on the situation. The Central Office contact then immediately notifies JC of pertinent facts.

○ Based upon the facts and urgency of the situation, JC asks JA or JL to provide a memorandum summarizing the nature and scope of the audit or investigation, its status and estimated completion date, the estimated potential dollar loss to the Government (if known), information and documentation concerning the bankruptcy filing, and the status of that proceeding. JC requests the minimum information necessary for GSA to file a proof of claim.

○ JC then reviews all information provided and, when appropriate, refers the matter to either the Department of Justice or United States Attorney’s Office (for fraud matters referred to DOJ) or to the GSA Office of General Counsel (for non-fraud matters), for the filing of a proof of claim.

○ If determined by JC and the GSA Office of General Counsel to be necessary, JL checks into the possibility that the company or individual may have fraudulently transferred assets before filing for bankruptcy.

○ If a case has already been referred to DOJ for criminal or civil action, then JC (in civil cases) or JL (in criminal cases) seeks the concurrence of DOJ (or the U.S. Attorney) before releasing information to the GSA Office of General Counsel. This is to avoid compromising a potential criminal or civil action because of the premature disclosure of critical information.

○ JA and JL provide additional information to JC, if necessary, to ensure that the Government’s claims in connection with the bankruptcy proceeding are aggressively pursued, without compromising the integrity of future criminal or civil litigation.

717.00 RESERVED

Effective Date 5/7/2015

718.00 OIG GOVERNMENT PURCHASE CARD POLICY

718.01 Purpose
The objective of this policy is to ensure that all OIG authorized Government Purchase Card (GPC) users are aware of their responsibilities. Specific guidance governing the Government Purchase Card Program (also known as the GSA SmartPay program) can be found in:

1. GSA Order CFO 4200.1A (Use of the GSA Purchase Card);

2. Federal Acquisition Regulation, 48 C.F.R. Parts 2 (Definitions), 8 (Required Sources of Supplies and Services) and 13 (Simplified Acquisition Procedures);

3. Treasury Regulations, 5 C.F.R. Part 1315 (Prompt Payment);

4. Treasury Financial Manual, Vol. 1, Part 4, Chapter 4500 (Government Purchase Cards); and


With the exception of the provisions discussed below, the OIG adopts GSA Order CFO 4200.1A (“the GSA Purchase Card Policy”) in its entirety. As such, all OIG Cardholders must comply with the requirements contained in the GSA Purchase Card Policy and other authorities listed above, including the requirement to complete refresher training every two years, to purchase from required sources as stated in FAR 8.002 before purchasing on the open market, and to re-certify as required.

718.02 Designating OIG Card Holders

Assistant Inspector Generals (AIG) and Office Directors are responsible for appointing cardholders and/or designating approving officials (AO) in their respective components. See also GSA Order CFO 4200.1A, Paragraph 3.e. Neither AIGs nor Office Directors may serve as both requesting officials and AOs.

718.03 Requesting OIG Government Purchase Cards

All requests for Government Purchase Cards must be made through the Office of Administration’s Contracting Office (JPC). See also GSA Order CFO 4200.1A, Paragraph 7. JPC will coordinate applications for setup, maintenance and cancellation of charge card accounts for all OIG cardholders and AOs.
718.04 OIG Purchase Card Program Coordinator

The OIG Government Purchase Card Program Coordinator is the OIG Lead Contracting Officer. GSA Order CFO 4200.1A, Paragraph 3.b. S/he will oversee the Purchase Card Program.

718.05 Prohibited Purchases

In addition to prohibited purchases noted in GSA Order CFO 4200.1A, Paragraphs 12 and 13, the OIG purchase card may not be used for the following purchases:

1. Services which are more suitably obtained through a Purchase Order, such as recurring services, maintenance plans, software renewals, and services requiring a statement of work;

2. Information Technology Equipment or software (except for consumable supplies such as those listed in the attachment, and purchases made by JI in exigent circumstances to support an investigation or mission which are not to be connected to the OIG network);

3. Smartphones;

4. Local Travel;

5. Furniture requests, regardless of price must be forwarded to JPC. Furniture includes non-consumable office items such as desks, chairs, tables, lamps, filing cabinets, storage units, safes, and systems with locking and interconnecting panels;

6. Building services and construction;

7. Contracts with hotels and event venues;

8. Any type of clothing items including bullet proof vests (use OIG Blanket Purchase Agreement (BPA)), jackets, shirts and pants; and

9. Firearms and ammunition (excluding wearable parts).

Although AOs may issue written blanket authorizations for supplies routinely needed, per GSA Order CFO 4200.1A, Paragraph 10.d.2, the authorization limitations for each OIG cardholder shall not exceed $250 per month.
718.06 Strategic Sourcing & Green Purchasing

Strategic sourcing is the process of continually analyzing the way agencies spend funds through contracts, delivery orders and through the government purchase card program in order to ensure that agencies are leveraging their sourcing power to achieve discounts on commonly purchased goods and services. In 2005, the Office of Management and Budget (OMB) directed agencies to use strategic sourcing and established the Federal Strategic Sourcing Initiative (FSSI) program, and in August 2014, GSA awarded Blanket Purchase Agreements (BPAs) for Third Generation Federal Strategic Sourcing Initiative Office Supplies (FSSI OS3). Per the Administrator’s July 2012 mandate, GSA employees must order all office supplies, if available, under the FSSI OS3 BPAs. Similarly, GSA requires employees to purchase products in accordance with GSA’s Green Purchasing Plan (i.e. products with certain environmentally preferable attributes).

The OIG does not consider the FSSI OS3 BPAs as mandatory contracting vehicles. Nevertheless, all OIG government purchase card holders must utilize the FSSI BPAs unless a better value can be obtained. OIG cardholders must properly document any “better value” determinations in the purchase card file. Similarly, while the OIG encourages employees to purchase “green” products, compliance with GSA’s Green Purchasing Plan is not mandatory at this time.

718.07 Mandatory Logging of Transactions

When logging purchases, the cardholder should include as much detail regarding the purchase as possible in the description field of the Pegasys document. OIG cardholders must specify the items being purchased, e.g., simply stating “office supplies” is not sufficient. Furthermore, OIG cardholders must keep and upload supporting documentation in Pegasys for purchases over $75.

718.08 Acceptance of Training Services

In addition to the documentation requirements contained in GSA Order CFO 4200.1A, for all purchases of training services, OIG cardholders and AOs must obtain documentation showing the receipt and acceptance of training attended by an OIG employee and paid for through the use of the government purchase card. Attendees must submit an email certifying their attendance or a copy of the training certificate to the cardholder.
718.09 Convenience Checks

This policy permits only the OIG Program Coordinator to issue convenience checks. Because the OIG has independent purchasing authority under the IG Act, the OIG Program Coordinator is not required to seek approval from GSA’s Chief Administrative Officer prior to issuing such checks. If a needed service or supply can only be purchased with a check (i.e. the vendor does not accept the Government Purchase Card), the OIG cardholder must contact JPC.

Effective Date 4/3/2015

719.00 TRANSMITTAL OF SENSITIVE INFORMATION VIA EMAIL

The policy addresses Office of Inspector General (OIG) encryption of any email transmission that contains or attaches sensitive information where that transmission is to a location outside the OIG network.

719.01 Background

The OIG follows applicable laws, regulations, and policies governing protection of sensitive information. See, e.g., GSA IT Security Policy Handbook, CIO P 2100.1I (October 23, 2014).

Because the OIG has its own network and IT responsibilities and operates outside the GSA firewall, the OIG has adopted the following policy regarding email transmittals of sensitive information.

719.02 Applicability

This policy applies to all sensitive information, including PII. While individual offices may designate specific information as sensitive, that term generally encompasses, but is not limited to:

(1) confidential business or commercial information, including trade secrets, processes, operations, style of work, or apparatus, security controls, confidential statistical data, or amount or source of any income, profits, losses, or expenditures, belonging to any person, firm, partnership, corporation, or association;

(2) any restricted work products;

(3) information about any person that includes a) his or her name or other identifier, and
b) sensitive, confidential, or personal information regarding that person, such as medical or genetic information; performance, disciplinary, or other personnel information; the fact of that person’s involvement (as a subject or a witness) in a criminal investigation; or the person’s personal telephone number or address; or
(4) a full Social Security number or personally-owned credit card number (regardless of whether other identifying information is included).

719.03 Policy

All sensitive information transmitted through the OIG’s email network must be encrypted when sent outside the OIG. If either the email or the attachment contains sensitive information, the user must encrypt both. This policy includes transmission to employees of GSA, other government agencies, and non-government entities. Procedures for encryption and guidance for assisting email recipients outside the OIG will be provided separately.

[1] The term “Personally Identifiable Information (PII), as defined in OMB Memorandum M-07-16, refers to information that can be used to distinguish or trace an individual’s identity (e.g., their name, social security number, etc.), either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

Effective Date 5/27/2015

720.00 CONTRACTOR ACCESS TO SENSITIVE DATA OR USE OF INFORMATION TECHNOLOGY RESOURCES

720.01 Purpose

The objective of this policy is to ensure that OIG contracts involving information technology (IT) resources and handling of sensitive data (for a definition, please see Chapter 719.02 of this policy manual) are compliant with Federal security standards, policies and reporting requirements, including the Federal Information Security Management Act (FISMA), the Office of Management and Budget (OMB) Circular A-130, OMB Memorandum M-15-01 and National Institute of Standards and Technology (NIST) Standard SP 800-137.

720.02 Applicability

This requirement applies to all contracts, regardless of dollar value, awarded by or on behalf of the OIG that involve access to sensitive data and IT resources to conduct OIG
business. Affected contracts include, but are not limited to, contracts for financial management support or analysis, accounting support or analysis, auditing, data collection, data entry, data backup and storage, cybersecurity, physical security and badging, background investigation, personal property management and personal services contracts.

720.03 Responsibilities

Contracting personnel must ensure that the following clauses are incorporated into any existing contacts (via bilateral modification) and future contracts (via amendments to the solicitation) where contractor personnel have or will have access to sensitive information or use OIG IT resources:

• FAR Clause 52.204-2, Security Requirements
• FAR Clause 52.204-9, Personal Identity Verification of Contractor Personnel
• FAR Clause 52.224-1, Privacy Act Notification
• FAR Clause 52.224-2, Privacy Act
• FAR Clause 52.239-1, Privacy or Security Safeguards
• GSAR Clause 552.204-9, Personal Identity Verification Requirements
• GSAR Clause 552.236-75, Use of Premises
• GSAR Clause 552.239-70, Information Technology Security Plan and Security Authorization
• GSAR Clause 552.239-71, Security Requirements for Unclassified Information

Technology Resources

Per FAR 39.105, contracting personnel must also include solicitation language which specifies and describes the agency rules of conduct that the contractor and contractor employees must follow, any anticipated threats and hazards to guard against, contractor safeguards and Government inspection requirements to ensure continued efficacy and efficiency of safeguards and the discovery and countering of new threats and hazards.

Contracting personnel must also ensure that all users of sensitive data and IT resources – including awardees, contractors, subcontractors, lessors, suppliers and manufacturers – are aware of applicable agency policies that must be followed. They include:
1. CIO P 2100.1 GSA Information Technology (IT) Security Policy
2. CIO P 2100.2B GSA Wireless Local Area Network (LAN) Security
3. CIO 2100.3B Mandatory Information Technology (IT) Security Training Requirement for Agency and Contractor Employees with Significant Security Responsibilities
4. CIO 2104.1A GSA Information Technology IT General Rules of Behavior
5. CIO 2105.1 B GSA Section 508: Managing Electronic and Information Technology for Individuals with Disabilities
6. CIO 2106.1 GSA Social Media Policy
7. CIO 2107.1 Implementation of the Online Resource Reservation Software
8. CIO 2160.4 Provisioning of Information Technology (IT) Devices
9. CIO 2162.1 Digital Signatures
10. CIO P 2165.2 GSA Telecommunications Policy
11. CIO P 2180.1 GSA Rules of Behavior for Handling Personally Identifiable Information (PII)
12. CIO 2182.2 Mandatory Use of Personal Identity Verification (PIV) Credentials
13. CIO P 1878.2A Conducting Privacy Impact Assessments (PIAs) in GSA
14. CIO IL-13-01 Mobile Devices and Applications
15. CIO IL-14-03 Information Technology (IT) Integration Policy
16. HCO 9297.1 GSA Data Release Policy
17. HCO 9297.2B GSA Information Breach Notification Policy
18. ADM P 9732.1 D Suitability and Personnel Security
19. OIG P 5410.1B OIG Procedures and Policies, Sections 420.00 (Collaborative Resources and Social Media) and 434 (OIG IT Security Policy)
CHAPTER 800 - AUDIT POLICIES AND PROCEDURES

801.00 OFFICE OF AUDITS RESPONSIBILITIES AND ORGANIZATION

801.01 Audit Responsibilities and Standards

The Inspector General (IG) Act establishes the fundamental responsibilities for conducting auditing activities. Also, Office of Management and Budget’s (OMB) Circular A-50 contains policies for the audit of Federal operations and programs. Both the IG Act and OMB Circular A-50 require that audits of Federal operations and programs be performed in accordance with generally accepted government auditing standards (GAGAS), issued by the Comptroller General of the United States. The IG Act further requires the appointment of an Assistant Inspector General for Auditing (AIGA).

Within GSA, the AIGA heads the Office of Audits (JA) with responsibilities for auditing activities and conducting reviews that cover GSA’s management structure, operating programs, financial activities, companies with contractual relationships with GSA, and special mandates. As needed, JA also provides its expertise to other components of the Office of Inspector General (OIG).

801.02 Audit Mission

JA provides timely, cost effective, useful, and professional services to Agency officials. As such, JA uses authorized resources to provide audit and other products that contribute to the effective management of GSA’s operations. In doing so, JA professionals perform all work in accordance with applicable standards, while seeking to complete projects within established or agreed upon time frames. Projects can include financial and performance audits, preaward and postaward external reviews, and other related products. The resultant products are provided to GSA managers and contracting officials; Congress; the Office of Management and Budget (OMB); the Government Accountability Office (GAO); the Department of Justice; and the public.

801.03 Organizational Structure and Assigned Roles

As depicted by the organizational chart below, the JA organization is comprised of Central Office management and staff offices, and national and regional managers.
Assistant Inspector General for Auditing (AIGA) and Principal Deputy Assistant Inspector General for Auditing (PDAIGA) are responsible for all activities within the Office of Audits. They provide national direction and management oversight for all professionals within the Office of Audits. Formalized direction is not only contained within this chapter but can be supplemented with staff memoranda and/or technical guidance released from the immediate office of JA.

Staff Directors from the Special Projects (JA), Audit Planning, Policy, and Operations Staff (JAO) and Administration and Data Systems Staff (JAS) support and assist the AIGA and the PDAIGA with new initiatives, planning, operational oversight, quality assurance reviews, and administrative activities.
Deputy Assistant Inspectors General for Auditing (DAIGAs) have general audit responsibility specific to each of the five major functions in GSA:

1. Internal Audits
   a. Acquisition (JA-A)
   b. Finance and Administrative (JA-F)
   c. Real Property (JA-R)
   d. Information Technology (JA-T)

2. External Reviews
   a. Contract (JA-C)

As listed above, DAIGAs are responsible for overseeing four major internal areas and one external review function. JA-A is responsible for performance audits of all program activities of the Federal Acquisition Service. JA-F has responsibility for audits of GSA’s financial and administrative functions. JA-R is responsible for performance audits of the real property programs of the Public Buildings Service. JA-T is responsible for all audits of GSA information technology systems and controls. Finally, JA-C is responsible for external attestation reviews of proposed and awarded contracts, including claims.

DAIGAs support the AIGA and PDAIGA in planning, coordinating, and facilitating nationwide audit activities within their area of responsibility. DAIGA responsibilities include serving as audit committee leaders, developing annual audit plans, and carrying out audit assignments with immediate staff members. In addition, they maintain continuing contacts and relationships with Agency officials. They monitor ongoing audit work including proposed recommendations as well as resolution decisions for sensitive, controversial, and significant audit efforts impacting their area of responsibility.

DAIGAs are the human resource managers for their office activities. They are responsible for overall management of audit operations and accomplishment of the portions of the annual audit program assigned to them. In this capacity, they serve as expert advisors to audit managers and performance teams. They ensure compliance with auditing standards and monitor compliance with established milestones. In addition, they transmit final reports to Heads of Service and Staff Offices (HSSOs) and Regional Administrators (RAs). DAIGAs also control the allocation of audit resources, as well as the assignment of annual workload requirements. Finally, they sign all non-routine correspondence addressed to HSSOs, RAs, and OIG components.

Regional Inspectors General for Auditing (RIGAs) carry out the AIGA’s internal audit and external review plans and serve as the JA representative in the region they are located. RIGAs provide liaison with regional or headquarters officials, and assist in both long-term resource utilization planning and policy formulation.

RIGAs are to notify DAIGAs of entrance, exit, and story conferences for performance audits not performed by the DAIGA’s staff and within the DAIGA’s area of responsibility. RIGAs should also provide copies of engagement letters and audit objectives. In addition, to ensure a consistent audit position, RIGAs should afford the
DAIGA an opportunity to review draft reports prior to issuance. Like the DAIGAs, RIGAs are responsible for overall management of their offices. RIGAs are responsible for managing human resources, accomplishing their portion of the annual audit plan, providing expert advice, ensuring compliance with auditing standards, and signing all non-routine correspondence to GSA managers.

- Audit Managers are responsible for all phases of the audit/review process. This includes the performance of fieldwork and the preparation of reports by JA professionals. As the principal manager of the performance team, the audit manager develops both team capabilities and individual competencies. They approve audit/review plans and finalize objectives. In addition, audit managers assign work and provide technical direction. They review supporting evidence throughout the fieldwork process, as well as, ensure that all documented evidence that supports the report’s findings and conclusions is reviewed prior to report issuance. They also review and sign internal and external reports. Finally, audit managers sign routine requests for information, and request legal opinions.

801.04 Performance Team Member Responsibilities

Typically, performance teams are comprised of professional employees within the Office of Audits. Led by an audit manager, these team members conduct audits or external reviews. The team members are collectively responsible for work performance. Structured team meetings are used to encourage open discussion of objectives, scope, and methodologies. In addition, the meetings ensure that expectations and milestones are understood.

Team members are responsible for performing assigned duties in accordance with OIG policies and procedures, GAGAS, and established performance plans. Besides ensuring that individual assignments are professionally accomplished, JA professionals’ responsibilities include working with team members and managers collegially. Auditors, management analysts, and information technology specialists are responsible for sharing technical knowledge and expertise openly.

On occasion, a performance team member is assigned to assist another team or office. In these instances, the JA activity to which the team member is assigned has responsibility for audit management responsibilities. This includes the approval of leave and training requests. For lengthy assignments, the manager for whom the team member is working for is responsible for preparing a written evaluation of the team member's performance. Professionals assigned to other OIG activities will be supervised by an audit manager and DAIGA/RIGA in the permanent duty station.

801.05 Audit Independence and Personal Impairments

Under GAGAS, JA professionals have a responsibility to maintain personal independence so that their opinions, findings, conclusions, judgments, and recommendations are viewed as impartial by objective third parties with knowledge of
the relevant information. Towards this end, JA professionals attend ethics briefings and annually complete a financial disclosure statement and a Statement of Independence. This ensures that they are free from personal and external impairments to independence, and have no reason to believe that a knowledgeable person would perceive them as not being independent.

As part of the planning process for every assignment, the entire team must address the issue of impairments and document those results in the Statement of Conformance. The same process is repeated for an individual who joins a project already in progress.

If potential impairments do exist, JA professionals are responsible for notifying their audit manager and DAIGA/RIGA of any potential impairment issues. The cognizant DAIGA/RIGA, in consultation with the responsible audit manager, is the designated official that will make “impairment determinations” on a case-by-case basis. Such determinations would be based on the employee’s prior work experiences, relationships, and/or ideas or biases that might taint the conclusions reached on the impending work assignment.

Personal impairments generally result from relationships or beliefs that might cause a JA professional to limit the extent of inquiry, limit disclosure, or weaken or slant audit findings in any way. The GAGAS cites several of the generally recognized personal impairments, including when a professional has:

- A close family member who is an officer, employee, or person of influence over a program or entity under audit;
- A personal financial interest that is direct, or significant/material though indirect, in an audited entity or program;
- Prior responsibility for management or decision making that could affect the operations of the organization being audited, prior performance of accounting functions of the audited organization, or sought employment with the organization; and,
- Preconceived ideas toward individuals, groups, organizations, or objectives of a program that could bias the review, including biases induced by political and social convictions.

The Statement of Conformance must record that no impairments exist or how the DAIGA/RIGA resolved the potential impairment. The statement and supporting evidence should be maintained in the internal audit or external review’s official file.

801.06 Access to Records

The Office of Inspector General’s professional employees have unrestricted access to all GSA documents, records, reports, papers, and other relevant information available to
GSA personnel. This includes full explanations regarding management actions and decisions for the area under audit or review (GSA Administrative Manual, OAD P 5410.1, Chapter 9). Any denial of records or explanations should be immediately reported to JA management officials (AIGA, PDAIGA, and cognizant DAIGA). If not resolved, the issue will be reported to the Administrator and the Congress as a violation of the Inspector General Act.

801.07 FAR Rule for Contractor Disclosure

FAR 52.203-13, Contractor Code of Business Ethics and Conduct, requires contractors to provide timely notification to the Government when credible evidence exists of certain violations of criminal law, violations of the civil False Claims Act, bribery, gratuity, fraud, conflicts of interest or significant overpayments. The rule provides for suspension or debarment of a contractor for knowing failure by a principal to disclose in a timely manner in writing to the agency OIG, with a copy to the contracting officer, these types of violations. The Office of Counsel to the Inspector General has developed a policy for processing these self-disclosures. Any disclosures provided to JA will be forwarded to JA-C for evaluation to determine if the disclosure involves audit issues.JA-C will provide the results of this evaluation to JA for appropriate action.

Effective Date 1/22/2010

802.00 AUDIT AND ATTESTATION ENGAGEMENT PLANNING

802.01 Planning Requirements

The Office of Audits annually plans its audits and reviews in order to identify and establish the workload for the fiscal year. The plan has two components: internal audits and contract reviews. In addition, as part of this effort, we identify and develop our management challenges for the upcoming year.

802.02 Planning Responsibilities

Overall planning is a shared responsibility. JAO has overall responsibility for maintaining the audit planning system and issuing the annual audit plan. Input for the annual audit plan is provided by the various program offices (i.e., JA-A, JA-F, JA-R, and JA-T) in conjunctions with the JA Information Networks. The Contract Audit Office (JA-C) is responsible for identifying, coordinating and executing JA’s external reviews. Both offices prepare their respective plans in consultation with JA’s major components. Specific responsibilities include:

AIGA and PDAIGA

• Provide overall planning guidance and direction;
• Establish JA’s goals, objectives and priorities for the year;

• Approve the specific planning process to be used each fiscal year;

• To the extent necessary, participate in the planning process through meetings and discussions;

• Solicit input for the plan from the Administrator and Deputy Administrator, the IG and Deputy IG;

• Authorize the annual audit plan for issuance; and,

• Approve changes to the priority audits established in the annual audit plan.

JAO

• Formulates office-wide audit planning policies to assure the development of an annual audit plan;

• Consults with the AIGA and PDAIGA on the specific JA objectives, goals and priorities for the planning year;

• Defines the specific process to be followed each year, including responsibilities, milestones and timetables for preparing the annual audit plan;

• Estimates available direct audit resources and establishes both direct and indirect time standards based on the prior three years of historical data contained in the GPRA reports;

• Maintains a listing of historical audits by service and by focus area which is provided to the DAIGAs/RIGAs for use in determining auditable areas;

• Maintains a listing of audits issued that includes the hours and days needed to complete each audit by audit type (program, system, MCR, etc.) for both internal audits and external reviews that allows for the establishment of time standards;

• Transmits memoranda to GSA’s HSSOs and Regional Administrators informing them: that the audit planning process is underway, of the importance of their input, and that the cognizant DAIGA/RIGA will be contacting them to discuss how JA may assist them;

• Consults with the field audit offices and audit committees throughout the process, providing guidance and direction as required;

• Approves changes, as delegated from the PDAIGA, to the priority workload
established in the audit plan;

• Prepares the formal audit plan for issuance to GSA management and OIG officials as well as the operating plan, including business plan data, for issuance to JA professionals;

• Maintains historical files on the development of the annual audit plan; and,

• Monitors the annual audit plan’s implementation progress.

JA-C

• Establishes, with JAO, the time available for external reviews;

• Works with the RIGAs and the Federal Acquisition Service (FAS) to identify the specific Multiple Award Schedule contracts to be reviewed. The process is explained more fully in Subchapter 804, External Reviews; and,

DAIGAs and RIGAs

• Solicit input for the plan and management challenges from HSSOs and regional management;

• Solicit input from the Information Network (committees of JA professionals with experience in selected areas of expertise);

• Prepare risk assessments for their areas of responsibility to define the most significant vulnerabilities and challenges;

• Establish an inventory of potential audits that can be performed locally or nationally during the upcoming fiscal year;

• Recommend audit areas for inclusion in the annual audit plan, prioritizing recommended projects and preparing Audit Assignment Records as needed; and,

• Participate in planning meetings.

In addition, DAIGAs can approve changes to local audits on the plan and specific objectives for each audit.

802.03 Annual Plan Preparation

To meet the needs of GSA’s fluid operating environment, each year JA will review and adjust the audit plan’s development process as needed before the planning process begins. The process will remain within the broad outline of this policy.
There are five broad phases of the planning cycle; Planning Strategy Development, Information Gathering, Project Development, Plan Consolidation, and Plan Issuance.

Planning Strategy Development - The annual audit plan is developed through collaborative participation of each of JA’s organizational components. At the beginning of the process, the AIGA, PDAIGA, DAIGAs, and JAO discuss planning strategies for the upcoming year. The AIGA/PDAIGA’s concerns and requirements are determined and emphasized at the outset of the plan’s development. Specific steps include identifying: the basic approach to be used to develop the plan, key duties and responsibilities of audit staff, timeframes for the process, preliminary data needed for plan development, and potential audit areas and any GSA management challenges.

Information Gathering - The primary sources of information come from GSA management and OIG components. In particular, JA’s experienced professionals, especially those associated with the Office of Audit’s Information Network, offer unique insights and perspectives into GSA operations and management. This Network consists of the DAIGAs, RIGAs, audit managers and key JA professionals throughout the country. Its mission is to enhance communications and build a continual relationship with management in order to keep current with GSA’s ongoing programs, initiatives, and any associated management challenges.

Documentary information should also be used to help formulate the plan. Examples of such information include the OIG Strategic Plan, GSA’s and OIG’s management challenges, GSA budget and financial statement information, prior audit reports, and other OIG publications. It should also consider GSA business line information, GSA public information, such as newsletters, Government Accountability Office (GAO) reports, and information from other outside parties, such as the Office of Management and Budget and Congress.

Project Development – The information gathered from all sources must be properly organized and assembled for further evaluation. The audit assignment record not only serves this purpose but provides the preliminary basis used to identify, select and support new audit assignments. The assignment record contains the following information: audit subject, type, audited GSA service, performing audit office(s), SAR due date, applicable management challenge, audit focus, background information about the audit subject, key issues, and any special instructions.

Plan Consolidation – This phase takes place once the Audit Assignment Records have been completed and assembled. The assignment records should contain all relevant data/input obtained during the information-gathering phase, including any Inspector General priority. The records are then prioritized during the audit selection process, providing the decision makers with the documented support needed to consider audits for the audit plan.

The audit selection process considers the DAIGAs’ and planning committees’ advice,
the JAO Director’s judgment and the audit field offices’ recommended priorities. The selection of audit assignments must also take into account the availability of JA resources in the upcoming fiscal year.

Towards this end, time projections are developed to determine the resource requirements for each audit office. The available time developed for each office is based on several factors, including the number of JA professionals in each audit office, the time needed to complete carryover audit work, administrative requirements, and other considerations (i.e., employee leave, job training requirements, etc.).

After careful consideration of the information obtained in the aforementioned phases, the audits can be selected and the audit plan prepared. Once the plan is prepared, draft copies are submitted to HSSOs, RAs, and audit field offices for comment. JAO evaluates the comments and adjusts the audit plan as necessary.

Plan Issuance - The Office of Audits issues the final audit plan for internal reviews for the subsequent fiscal year by September 30 of each year. A copy of the internal audit plan is given to GSA management. The operating version of the plan is given to all components of the OIG on-line. The external review plan, which spans a two-year period, is provided to the RIGAs and is maintained by JA-C.

Effective Date 1/22/2010

803.00 INTERNAL AUDITS

803.01 General

The Office of Audits conducts internal audits of GSA’s functions, with particular attention given to Acquisition, Finance and Administrative, Information Technology, and Real Property. Internal audits generally cover either performance or financial aspects of GSA’s functions.

Such audits conform to the Government Accountability Office’s GAGAS requirements, and integrate, when needed, guidance from the Council of Inspectors General on Integrity and Efficiency (CIGIE) and the Office of Management and Budget (OMB).

803.02 Nature of Performance and Financial Auditing

Performance Audits focus on improving Agency operations by providing information and recommendations to management and decision-makers responsible for delivery of services and public accountability. They also seek to ensure that Government assets and programs are reasonably protected against fraud, waste, and abuse. In addition, the audits attempt to verify that Government assets and programs are used efficiently and effectively.
This subchapter is intended to supplement GAGAS by providing additional guidance for specific audit processes. In addition, it will provide guidance and the methodology for: surveying review areas, establishing audit objectives and scope, planning and conducting fieldwork, developing findings and recommendations, and preparing draft and final reports.

Financial Audits primarily focus on the design and performance of oversight procedures when using Independent Public Accountants (IPAs) and other specialists in the audit of Agency financial statements. The Chief Financial Officers’ (CFO) Act of 1990 requires the Inspector General or an independent external auditor (as determined by the Inspector General) to audit the Agency’s financial statements. This audit must be performed in accordance with Government Auditing Standards issued by the Comptroller General of the United States. GSA OIG contracts with an IPA to conduct GSA’s financial statement audits. To fulfill its audit responsibilities under the CFO Act, JA reviews the IPA’s audit work to ensure that GSA’s annual financial statement audits are performed in accordance with the standards for financial audits contained in the generally accepted government auditing standards and requirements of OMB Bulletin Number 07-04, “Audit Requirements for Federal Financial Statements.”

803.03 Types of Performance and Financial Audits

Performance audits consist of an independent, objective assessment of economy and efficiency of operations, program effectiveness of results, compliance with legal requirements, and the adequacy of internal controls. These audits are commonly defined as follows:

• Program Audits are broad-based evaluations of Agency programs, operations, or activities. They can assess how well legislative, Agency, and customer requirements and expectations are being met; if the area is operated in a cost-responsible manner, or whether the program under review could be accomplished more effectively;

• Management Control Audits examine whether the existing system of management controls can reasonably ensure that program assets are safeguarded, efficiently used, appropriately monitored, and used to achieve expected outcomes;

• System Audits evaluate whether automated information systems assist the Agency in meeting customer needs, help management to achieve efficient and effective operations, contain adequate system controls, are properly secured, and meet user requirements;

• Compliance Audits are designed to evaluate the conformance of Agency operations and activities to applicable laws, regulations, policies, and procedures, as well as ensure that reasonable safeguards exist to mitigate against the occurrence of fraudulent activities; and,
• Regulatory Audits include reviews, other than financially related audits, that are mandated by law or regulation.

Financial audits are primarily concerned with providing an independent assessment of and reasonable assurance about whether the agency’s financial condition, results, and use of resources are presented fairly in accordance with recognized criteria. This type of audit may also include assessments on financially-related information and processes, and determining compliance with financial regulations, as well as, providing special reports such as specified accounts of a financial statement.

803.04 Auditing Methodology

Performance audits are usually completed in four phases. Each phase is initiated with a story conference. The conferences focus the team’s expectations for the forthcoming audit phase. They ensure that team members clearly understand individual assignments, milestones, and team performance requirements. The conferences usually involve all team members, are facilitated by a team member or a JA professional from another audit office, and are conducted in an open forum environment. This structured process ensures that all team members have the opportunity to raise issues and offer suggestions.

During such conferences, the Statement of Conformance will be completed and/or updated as needed to ensure the audit team documents its compliance with GAGAS throughout the performance audit process.

DAIGAs are routinely invited to attend story conferences involving audit work in their area of responsibility. Audit offices should provide sufficient advance notice to the cognizant DAIGA.

The four story conference meetings and principal audit processes accomplished in the subsequent phases are:

• Preliminary Project Meeting is used to plan the survey work and to review team capabilities and responsibilities. The survey is meant to be a fact-finding process that gathers readily available information from as many sources as possible without detailed data examination. This meeting confirms the areas of the review, type of audit, and initial scope parameters. The meeting results in the assignment of survey responsibilities and establishment of completion milestones. The purpose of the survey is to gather enough information to be able to reach a decision on whether to continue with the audit and, if so, in what areas. The use of a facilitator at this preliminary meeting is optional at the discretion of the DAIGA or RIGA.

The preliminary project meeting is also used to ensure all team members (1) are free from impairments to independence; (2) understand the concepts of reasonable care and professional skepticism; and (3) possess the collective knowledge, skills, and abilities to accomplish the audit objectives (Statement of Conformance).
Following the meeting, audit team members hold an entrance conference with management and begin gathering survey data. (See Section 803.06 for additional information on audit surveys.)

• Survey Assessment Meeting is held upon survey completion. The purpose of this meeting is to thoroughly assess the results and reach a decision regarding the need to continue the audit. Generally, a decision to continue the program review would stem from the identification of potentially material program management weaknesses or significant opportunities for program improvements.

If a decision is made to continue the audit, then the audit team establishes the audit objectives, scope and audit steps. During this meeting, the team discusses and assesses internal controls, information system controls, legal and regulatory requirements, fraud risks, the potential for abuse, and audit criteria that are relevant to the audit objectives. Following this meeting, the performance team formalizes the audit plan, holds an entrance conference with Agency management, and initiates fieldwork testing. (See Section 803.07 for additional information on audit plans).

If the decision is made not to continue the audit, a letter report can be developed to management outlining the nature, scope, and results of the survey work advising that no further audit effort is contemplated. The report should address any specific areas of concern raised by management officials during the survey process. The scope section of the report should note that while critical aspects of the program’s management processes were identified, the survey did not assess the effectiveness of the program’s management control structure. The report should also state that the survey efforts were performed in accordance with GAGAS.

• Fieldwork Verification Meeting is used to confirm that the results of the fieldwork provide reasonable assurance that the evidence is sufficient, appropriate, and significant to support the audit team’s findings and conclusions, and considers audit risk in accordance with GAGAS. In addition, the audit team should obtain an understanding of internal controls and information system controls within the context of the audit objectives. For those controls that are deemed significant, auditors should assess whether the controls have been properly designed and implemented and sufficient, appropriate evidence is obtained to support the assessment of the effectiveness of those controls. Furthermore, the audit team should gather and assess information to identify risks of fraud that are significant within the scope of the audit objectives or that could affect the findings and conclusions. Following this meeting, team members either conduct more fieldwork or move directly to the report-planning meeting.

• Report Planning Meeting is used to formulate the presentation strategy for preparing the audit report, including the development of an outline for each major section of the audit report. Following the meeting, team members draft sections of the audit report for consolidation, editing, and supervisory review. (See Section 803.10 for additional information on audit results and recommendations, and Subchapter 806 for preparing
Financial audits follow some of the same general procedures in performing reviews of the IPA's work that are used in conducting performance audits, however, not all GAGAS requirements apply because the standards address audits and attestation engagements, not reviews of audits performed by others. Specifically, the performance team conducting the review will be independent and competent and will use professional judgment. Also, the review will be adequately planned and properly supervised. Further, the performance team will obtain and document in the audit documentation sufficient, competent, and relevant evidence to support any findings and conclusions. Finally, results of the review may be communicated to appropriate GSA officials.

The extent of the review of the IPA’s audit documentation and supplemental testing will be based on (1) any standards or requirements pertaining to the Chief Financial Officer (CFO) audit, (2) results of prior reviews, and (3) concerns of OIG management.

803.05 Engagement Letter

For audits identified in the annual audit plan, engagement letters are issued to Agency program officials several weeks prior to project initiation. For regional audits not in the annual audit plan, the project must be coordinated with the respective DAIGA prior to being initiated. This will ensure the review is consistent with existing priorities. Engagement letters are issued for all audits, except where the nature of the audit requires that the JA professional’s presence not be disclosed in advance. Engagement letters are generally addressed to Heads of Services and Staff Offices (HSSOs), Regional Administrators (RAs), or their designee, and are signed by the responsible DAIGA or RIGA. (If appropriate, the letter may be addressed to the Regional Commissioner.

The engagement letter for financial statement audits is signed by the Inspector General and issued to the Administrator and the Chief Financial Officer several weeks prior to audit initiation. Per GAGAS, each OIG is required to communicate with the legislative committees having oversight of their Agency whenever an audit is performed pursuant to a law or regulation. Thus, a notification letter is issued to the appropriate Congressional committees announcing the audit engagement. In addition, a memorandum is issued to the CFO and the Associate Administrator of the Office of Congressional and Inter-Governmental Affairs, notifying them that such letters are sent.

803.06 Audit Survey

Audit surveys are fact-finding processes to quickly gather readily available operational, performance, financial, and other program activity information. The information does not contain detailed data verification of supporting information. The audit team should determine the breadth and scope of the audit with awareness of GAGAS requirements. In cases where the audit team considers previously prepared audit
guides, the audit team gathers sufficient survey information to ensure that the objectives, scope, and methodology applied by the audit guide are appropriate.

803.07 Audit Plan

Using the information gathered during the audit survey, the audit team identifies the areas with the highest potential return considering the expenditure of audit resources. For the selected areas, audit objectives, scope determinations, and field-testing methodologies are developed and incorporated into a written audit guide. Audit objectives should be stated in a question format. Audit guides broadly address the testing methodologies the audit team applies as the review progresses. As the performance team obtains information during the survey and fieldwork phases of the review, the team should formulate more specific testing methods. The written audit plan for conducting reviews contains: audit objectives, scope determinations, testing methodologies contained in the audit guide, recorded performance milestones, and staff assignments.

The audit team should send the proposed audit objectives, milestone completion dates, and subsequent changes to the respective DAIGA for review and approval.

For financial statement reviews, the performing team should develop a program that provides for the:

- Evaluation of the IPA’s independence and objectivity,
- Evaluation of the IPA’s qualifications,
- Evaluation of the IPA’s system of quality controls,
- Review of the IPA’s audit documentation,
  - A hybrid of a low and a moderate level of review of audit documentation will be performed in accordance with the Government Accountability Office’s (GAO) Financial Audit Manual, Section 650 entitled “Using the Work of Others.”
- Performance of supplemental tests (if required).

803.08 Entrance Conference

Performance audit entrance conferences are held with program officials when survey efforts are initiated to ensure agreement regarding the focus of the review, the audit process, contact points for status reporting, and any specific areas of management concern or audit emphasis. DAIGAs are routinely notified several days in advance of each entrance conference so they have the opportunity to participate. Following the survey phase of the review, the audit team should meet with program officials to discuss the audit objectives, scope, and field-testing methodologies. In addition, they will discuss milestones for issuance of the draft report. The audit team should inform the
cognizant HSSO or RA of the audit objectives if they are not attending the post survey conference.

Financial audit entrance conferences are held with the IPA and management when the audits are initiated. The OIG/IPA discusses the audit process, contact points for status reporting or Notification of Findings, and any specific areas of management concern or audit emphasis. The OIG/IPA should discuss audit objectives, scope, and field-testing methodologies, as well as milestones for issuance of the draft report.

803.09 Communications with Agency and Other Officials

Audit and oversight team members should maintain a continuing dialogue with management and IPA officials as the audit progresses and hold periodic status meetings with the designated contact point. This dialogue ensures that Agency management is kept informed of the audit progress and any issues that are under audit. The periodic meetings allow for early discussion of potential findings and conclusions, afford managers the opportunity to provide additional information that could be pertinent to the audit results, and allow Agency officials to promptly initiate corrective action. Issues having material impact upon GSA operations should be immediately brought to the attention of Agency officials using Alert Reports (See Section 806.04) or interim reporting techniques.

803.10 Audit Results and Recommendations

When conducting fieldwork, the performance team collects extensive amounts of evidence. The audit team’s analysis and conclusions of the evidence serve as the foundation for audit results and recommendations. Conclusions can either support management’s actions or show that an activity’s operations should be revised.

Reportable results need to be significant and material to warrant inclusion in formal audit reports, which are subject to an extensive resolution process. The elements of a reportable result are: condition, criteria, cause, effect, and recommendation. Audit recommendations should be constructive and directed toward significant performance problems, potential improvements in operations, or instances of noncompliance.

Tracking the Independent Public Accountant’s (IPA) Audit Results

In addition to its audit reports, the IPA is also required to report various matters concerning GSA’s internal control structure noted during the audit. The IPA reports its results in the Report on Internal Control, the Report on Compliance with Laws and Regulations, and in management letters. The IPA classifies these results as material weaknesses, significant deficiencies, or control deficiencies. As part of its oversight responsibilities, JA monitors and reports on management’s progress in resolving prior year audit findings via the subsequent IPA audit. The Agency’s Internal Control and Audit Division tracks IPA recommendations.
803.11 Fraud, Illegal Acts, Abuse and Noncompliance with Laws and Regulations

The JA team should not discuss with GSA or contractor officials potentially illegal or improper activities disclosed during audits and reviews. Instead, the team members should refer such activities to the appropriate components, in accordance with the procedures in the OIG Policy and Procedures Manual, Subchapter 705, entitled “Audit Referrals of Potential Irregularities to JI.” In addition, possible noncompliance with laws and regulations should be referred to the respective DAIGA or JAO, as appropriate, in order that alternative approaches can be pursued.

IPA Assessment of Fraud and Illegal Acts, and Noncompliance with Laws and Regulations

The IPA is responsible for properly assessing and evaluating fraud and illegal activities in accordance with Statements on Auditing Standards (SAS) 99, Consideration of Fraud in a Financial Statement Audit. Potentially illegal or improper activities identified during IPA audits should be brought to JA-F’s attention, which will then follow the policies outlined in this section.

803.12 Computing Funds Put to Better Use and Questioned Costs

Savings that could result from audit efforts should be quantified using the guidance from GSA’s Internal Audit Followup Handbook (ADM P 2030.2C), and from JA position papers.

The calculation of funds put to better use should be based on one-time savings for operational improvements or single year savings for multiyear improvements identified from performance audits. Also, the potential impact of the calculated funds put to better use on the Agency’s budget should be determined. Questioned costs refer to a computed refund amount that is owed the Government.

The calculation and amount of the funds put to better use and questioned costs are shown in the Management Decision Record for Internal Audit. This document becomes part of the audit resolution process that the Agency and the OIG are responsible for monitoring.

803.13 Exit Conference

Although a continuing dialogue during the audit should minimize any surprises, the audit team holds exit conferences with management officials at the conclusion of the audit. At the exit conference, the audit team communicates the results of the audit, including potential results and recommendations. The conference also serves as a forum to elicit management’s views regarding reported facts, potential results, and recommendations. The conference offers officials the opportunity to provide information that may affect the conclusions reached by the audit team. While the HSSO, RA, and
program managers are usually invited to or receive exit conference materials, regional protocols should be considered to the extent possible. To ensure his/her participation, the respective DAIGA should also be given ample advanced notice of all exit conferences.

Audit results can be communicated using a fact sheet/PowerPoint briefing, or by providing management an "advance draft" of the report. If the "advance draft" is used, then the respective DAIGA should review it prior to the exit conference. Advance drafts should be transmitted via email or hand delivered with a routing slip prior to the exit conference, noting that the OIG is soliciting management’s oral comments at the exit conference prior to finalizing the official draft report for formal written comments.

The financial audit oversight team holds exit conferences with the IPA and management officials at the conclusion of the audit to communicate the audit results and recommendations. The conference also serves as a forum to elicit management’s views regarding reported facts and potential findings and recommendations, and provide officials the opportunity to provide information that may impact the IPA’s conclusions.

803.14 Project Cancellation

If at any time during the review process the audit team concludes that a project should be canceled, the RIGA should inform the respective DAIGA to the rationale for canceling the project. The DAIGA will notify the PDAIGA and JAO Director of the cancellation. The audit team will issue a closeout report to management outlining the nature, scope, and results of the work performed, and advising that no further effort is contemplated. In addition, the report should respond to any concerns raised by management officials during the audit.

Effective Date 1/22/2010

804.00 EXTERNAL REVIEWS

804.01 General

The Office of Audits performs external reviews (also referred to as contract reviews) to assist contracting officials in the negotiation, award, re-pricing, administration, and settlement of contracts. External reviews generally follow GAGAS, the American Institute of Certified Public Accountants (AICPA) Standards for Attestation Engagements, as well as the policies and procedures described herein. GAGAS incorporates and expands on the AICPA’s general, fieldwork, and reporting standards for attestation engagements.

Attestation engagement standards from GAGAS are summarized as follows:
The general standard states that the subject matter is capable of evaluation against suitable and available criteria.

The eight fieldwork standards cover adequate planning and supervision; sufficiency of evidence; auditor communications with responsible parties; evaluating previous audits and attestations; requiring an understanding of internal controls for examination level engagements; requiring reasonable assurance for examination level engagements; developing elements of the findings; and, documentation.

The nine reporting standards cover what needs to be included in the attestation report. These are: identification of the subject matter; auditor’s conclusion about the subject matter; the auditor’s significant reservations (if any) about the subject matter; who the report is intended to be used by; cite auditor’s compliance with GAGAS; reporting deficiencies in internal controls, fraud, illegal acts, contract violations, and abuse; reporting views of responsible officials; how to report confidential/sensitive information; and, distribution of the report.

Most of the GAGAS standards listed above are based on the AICPA Statement on Standards for Attestation Engagements (SSAE) No. 11, effective June 1, 2001. SSAE No. 11 describes the types of attestation engagements, and limits what can be done under each attestation type or level. An attestation engagement can be performed at one of three levels (from highest to lowest): examination, review, or agreed-upon procedures.

JA currently performs all contract work at the review but will change to the examination level effective for audits starting April 2010. Specific guidance will be issued at a later date.

804.02 Types of External Reviews

The Office of Audits’ external reviews include:

Preaward reviews are performed to assist contracting officers in negotiating prices for goods and services acquired by the Government. Preaward reviews include claims.

Postaward reviews are performed to assist contracting officials in administering contracts and ensuring that the Government receives contracted goods and services from suppliers. Accordingly, these reviews seek to determine the propriety, validity, and reasonableness of reimbursable cost submissions, the accuracy of contract information provided by the contractor, or compliance of the contractor with contract provisions. Included in this category are limited scope overbilling reports that could be prepared as a separate report from the main preaward report.

804.03 Identification of External Reviews to be Performed

The process of identifying the external reviews to be performed is the responsibility of
the Contract Audit Office. JA-C also has oversight responsibility for the coordination and execution of all external reviews performed in the Office of Audits.

The process for selecting which reviews will be accomplished varies depending on the type of external review. Preaward MAS reviews are identified by JA-C in coordination with JAO, RIGAs, and the Federal Acquisition Service (FAS). The list of preaward MAS reviews scheduled to be performed is distributed by JA-C to JAO, RIGAs and FAS. Postaward reviews, claims reviews, qui tams, hotline complaints, Congressional inquiries, and additional preaward reviews are typically performed as they are identified. Postaward reviews can be initiated by JA, or can be requested by contracting officers. In addition, GSA’s Office of General Counsel can request that JA review contractors’ claims. Generally, the decision to perform an external review is made by the RIGA in coordination with JA-C, keeping in mind the organizational goal for resource allocation to external reviews.

Occasionally, JA receives additional requests for external reviews not previously identified or planned. These requests originate from FAS officials, contracting officers and other sources. JA-C coordinates these unplanned requests to determine if they can be supported. When evaluating these requests, JA-C considers the following options: (1) coordinate with RIGAs to reprogram JA resources to perform the review; (2) coordinate with the Defense Contract Audit Agency (DCAA) to perform the review (this option will be considered only if DCAA has the expertise to perform the type of review requested); or (3) waiving the review.

804.04 Initiating External Reviews

Contracting officials and JA professionals generally initiate MAS preaward reviews 210 days prior to the expiration date of the contract option. JA professionals work closely with FAS contracting officials while conducting preaward reviews. FAS has issued Procurement Information Notices (PIN) to its contracting staff (e.g., PIN 2006-02 dated September 22, 2006) that explain the contracting officer’s responsibilities in the preaward review process.

Other external reviews are initiated at the discretion of the RIGA, in coordination with JA-C, keeping in mind the organizational goal for resource allocation to external reviews.

Before commencing an external review, the JA professional should determine if the contractor’s submission is complete. If not complete, the JA professional should work with the contractor and contracting officials to obtain the information necessary to perform the review. Refer to JA audit guides and JA position papers for specific guidance in these areas.

804.05 Engagement Meetings and Discussions with Contracting Officials
Once the decision is made to commence a review, an engagement meeting or discussion is held with contracting officials to clarify the focus of the review effort, determine any special requirements or areas of interest, establish due dates for providing results, and request any technical assistance or analysis needed. While a formal meeting with contracting officials is preferable, telephone or video conferences are acceptable if a face-to-face meeting is not practical. The external review proceeds when performance terms agreeable to the audit team and contracting official are achieved.

When performing external reviews, early and continual communication with contracting officials is essential so the impact of material inaccuracies, incomplete submissions, and contractor delays can be considered. However, care should be taken not to discuss potential fraud, illegal acts, noncompliance matters and abuse. In accordance with OIG Policy and Procedures Manual, Subchapter 705, entitled “Audit Referrals of Potential Irregularities to JI,” these issues should be referred. Contracting officials can provide valuable pricing information and help identify issues that may enhance the value of the external review results during negotiations.

804.06 Conferences with Contractor Personnel

Entrance conferences are held with the contractor to discuss the external review process, arrange for access to required records, and determine a point of contact for data requests. During the review, meetings are held with contractor personnel to obtain a complete understanding of proposed and disclosed pricing and to determine whether deficiencies exist. While the JA professional should disclose material duplications, omissions, or math errors, the JA professional should not prematurely discuss material inaccuracies or other exceptions with the contractor.

Upon completion of the fieldwork, an exit conference is held with the contractor. At this conference, the JA professional discusses the factual information obtained during the review and any outstanding issues, and obtains the contractor’s comments to the areas discussed. However, information impacting negotiations or indications of potential fraud or abuse should not be discussed.

804.07 Access to Contractor Records

Access to the contractor’s records is provided for by statute, contract terms, and agreement between the contractor and contracting officials. In addition to specific access provisions contained in the contract under review, the General Services Administration Acquisition Manual outlines the examination clauses for contracts subject to review.

In instances where the contractor denies access to accounting and other records, the JA professional should immediately contact the audit manager so that appropriate actions can be taken. Actions to be considered include contacting other company officials, GSA contracting officials, JA-C, and the Counsel to the Inspector General.
804.08  Standard Report Objectives for External Reviews

Preaward MAS (Products): The objectives of the review were to determine whether: (1) the Commercial Sales Practices (CSP) information submitted by the company is current, accurate and complete; (2) the company’s sales monitoring and billing systems ensure proper administration of the price reduction provisions and billing terms of the contract; and, (3) the company adequately accumulates and reports schedule sales for Industrial Funding Fee (IFF) payment purposes.

Preaward MAS (Services): In addition to the three listed objectives for preawards of products, preawards of services contracts add the following objectives:

(4) employees assigned to work on task orders placed under the GSA schedule are qualified for the billable positions; and (5) the company has an adequate accounting system for the segregation and accumulation of labor hours, material costs, and other direct costs on time and material task orders.

Postaward MAS (Products): The objectives of the review were to determine whether: (1) the company complied with the price reduction clause and billing provisions of the contract; and (2) all GSA schedule sales were accurately compiled and reported in accordance with the Industrial Funding Fee (IFF) provisions of the contract.

Postaward MAS (Services): In addition to the two listed objectives for postawards of products, postawards of services contracts add the following objectives:

(3) the hours billed to government customers on time and material (T&M) task orders are adequately supported with appropriate labor time-keeping records; and (4) the employees’ qualifications meet or exceed the contractual requirements for the labor disciplines offered and billed on the task orders.

Cost or Pricing Reviews: The objectives of the review were to determine whether the cost or pricing data submitted in the proposal were fairly presented, supported by appropriate cost records, and prepared in accordance with the cost principles set forth in the Federal Acquisition Regulation (FAR) and the provisions of the GSA contract.

Regulation and/or guidance in evaluating specific contract issues may be found in the FAR, Cost Accounting Standards, DCAA Contract Audit Manual, Federal Acquisition Service’s guidance, GSA OIG Audit Guides and JA’s position papers. For example, FAR 31.205-1 to 31.205-52 discusses cost reasonableness and the allowance for and allocation of selected costs.

804.09  Scope of External Reviews

The scope of an external review is based on the subject matter of the review and how it relates to the review objectives. The following two areas can greatly impact the external
review’s scope of work. As of April 2010, the audits will be performed at the examination level and additional instructions will be issued.

Internal Controls

For attestation engagements at the review level, GAGAS does not require an understanding of internal controls, so no review steps are required. As such, no reference to internal controls in the review report is necessary.

Fraud, Illegal Acts, Contract Violations and Abuse

Attestation engagements performed at the review level do not require “reasonable assurance” for detecting fraud, illegal acts, contract violations and abuse. (The terms “reasonable assurance” is based on AICPA auditing standards.) GAGAS also makes it clear that the JA professionals’ general responsibilities include limiting exposure to fraud, waste, mismanagement and abuse. However, the amount of planned work in this area varies depending on the type of audit assignment.

If, however, during the course of the engagement, information comes to the JA professionals’ attention indicating that fraud, illegal acts, or violations of provisions of contracts may have occurred, they should perform additional procedures. These procedures include determining if fraud, illegal acts, or contract violations are likely to have occurred and, if so, determine how these acts affect the review engagement.

JA professionals are responsible for being knowledgeable about fraud indicators and to pursue such indicators in all the work that JA performs. The IG Act of 1978 broadly covers the IG’s responsibility for detecting and preventing fraud and abuse in Agency programs and operations. Where fraud, waste and/or abuse are suspected, the JA professional should follow the procedures described in OIG Policy and Procedures Manual, Subchapter 705, entitled “Audit Referrals of Potential Irregularities to JI.” The potential irregularities should not be discussed with, or disclosed to, Agency or contractor officials. If it appears necessary to discuss such issues with contracting officials, then the Office of Investigations and Office of Counsel to the Inspector General should be contacted to ensure that an appropriate course of action, agreeable to all OIG components, is pursued. Possible noncompliance with laws, regulations, or contract provisions should be referred to JA-C so that alternative approaches can be pursued.

804.10 GAGAS Statement for All External Reviews

The standard GAGAS statement is as follows:

Our review was conducted at (contractor’s name) offices located in (location), in accordance with generally accepted government auditing standards. The scope of a review is less than that of an examination. An examination would require an opinion regarding the acceptability of the offer for negotiation purposes and an assessment of the company’s internal control structure. Accordingly, we are not expressing any such
opinion; instead, we are providing information relative to our review objectives to assist the contracting officer in the negotiation process.

804.11 Negative Assurance Statements

JA professionals perform sufficient testing during external reviews to express a conclusion about whether any information came to their attention that indicates that a contractor’s submission is not presented (or fairly stated) in all material respects. External reviews usually contain negative assurance statements to contracting officials with regard to the material accuracy and completeness of contractor costs, submissions, proposals, or claims.

• Unqualified Negative Assurance – During the course of our review, nothing came to our attention that would affect the contracting officer’s determinations as to whether the proposal is acceptable for negotiation purposes.

• Qualified Negative Assurance – During the course of our review, except as noted above, nothing additional came to our attention that would affect the contracting officer’s determinations as to whether the proposal is acceptable for negotiation purposes.

• Adverse – The cumulative effect of the matters discussed in the following paragraph(s), and detailed in the results section of this report, may impact the contracting officer’s ability to effectively use the contractor’s proposal to negotiate an acceptable contract.

It is important to distinguish between negative assurance and positive assurance. Positive assurance is characterized by the JA professional’s opinion and can only be expressed if the attestation engagement is performed at the examination level. Since we currently conduct review level engagements, the expression of an opinion in our report could be misleading and lead readers to think that the more comprehensive level of an examination engagement was done. Furthermore, work done in accordance with review level standards can only be referred to as a “review”, not as an audit or examination.

804.12 Reporting Views of Contractors

GAGAS provides that the views of responsible officials of the reviewed entity be included in the final report. For external reviews the discussion of certain results are limited in accordance with 804.06. The discussion is limited to factual information obtained during the review, outstanding issues, and the contractor’s comments. The contractor’s comments should be incorporated into the final report for the contracting officer to address. Verbal comments are acceptable as long as adequately documented. Section 806.01 addresses instances where draft reports are used to obtain formal written comments for postaward review results.
804.13 Referring Preliminary Results to Contracting Officials

When a contracting officer requests review results before a report can be finalized, preliminary information can be furnished orally by the audit manager and supplemented by reviewed draft report appendices or copies of fieldwork documentation (see section 805.06). If a decision is made to provide a preliminary draft of the review report, the JA professional should ensure that the contracting officer understands that the draft is not a final product and therefore subject to change. All pages of a preliminary draft report and any preliminary information provided to the contracting officer should be clearly labeled as draft.

804.14 Computing Funds Put to Better Use and Questioned Costs

Savings that could result from review efforts should be quantified using the guidance from GSA’s Internal Audit Followup Handbook (ADM P 2030.2C) and JA position papers.

When determining potential funds put to better use savings, the calculation should be based on savings over the remaining contract period covered by the review report. The computation is based on what the Government could save in the future if the contract pricing was negotiated to reflect the information in the review report.

Questioned costs refer to a computed refund amount that the contractor owes the Government. Questioned costs result from postaward or overbillings review reports.

The calculation and amount of the funds put to better use and questioned costs are shown in the Decision Record for External Review. The basis for these amounts should be explained in the report and clearly shown in the decision record. This document becomes part of the audit resolution process that the Agency and the OIG are responsible for monitoring.

Effective Date 1/22/2010

805.00 DOCUMENTATION SUPPORTING AUDITS AND REVIEWS

805.01 Definition and Purpose of Documentation

Audit documentation is recorded information showing the planning, performance, and reporting of an audit or external review. It constitutes the principal record of the work that JA professionals have performed in accordance with standards and the conclusions that these professionals have reached. Documentation can include schedules, papers, analyses, interviews, correspondence, and other materials obtained, prepared, or collected during the review process. These materials become documentation when the
reviewer approves and signs off on them. They can be in an electronic form or contained in a paper-based documentation file.

Documentation is the link between project planning, fieldwork execution, and the final report product. As such, documentation is a record of the audit procedures applied during the audit assignment. The form and content of documentation should be designed based upon the circumstances of the particular audit assignment. Documentation also serves as the essential element of audit quality by: providing the principal support for JA professionals' report, aiding the professionals in conducting and supervising the audit, and allowing for the review of audit quality. As such, documentation should contain sufficient information to enable an experienced JA professional, having no previous connection with the audit or review, to ascertain that the evidence supports the judgments and conclusions included in issued reports.

805.02 Electronic Documentation

JA uses CCH® TeamMate (TeamMate) as the method for documenting audit evidence in electronic format. The use of TeamMate is required for all performance audits, financial audits, and external reviews. Exceptions to this policy must be approved by the PDAIGA and should be submitted through the JAS Director for consideration.

The following discusses the policies related to performing backups of electronic audit documentation in TeamMate, indexing paper-based (or hardcopy) documentation that is used in conjunction with TeamMate, and the finalization of TeamMate files. More specific TeamMate guidance can be found in JA's document entitled “Protocol for Using TeamMate EWP.”

Backing up electronic audit documentation is essential. TeamMate will allow several versions of backups. JA professionals will maintain at least two backup versions. When working in the field remotely, the JA professional will back-up the audit or review (replica) daily and keep the backup file in a location separate from the replica file. In the office, the JA professional will back up the audit daily to a file location separate from the master file location. Teams may need to maintain some hardcopy (HC) documentation outside of TeamMate. HC documents might include regulations, contracts, sensitive documents, large graphic files, or databases. In the case of HC documents maintained outside of TeamMate, use the following naming convention: preface the document index with "HC-".

TeamMate files are to be finalized within five working days after issuance of the final report. The TeamMate file should be backed up, finalized, and moved to the Finalized tab. The finalized TeamMate file should contain all of the information and analyses supporting the issued report. Any activity subsequent to report issuance, including additional analysis, copies of signed MDR, DR, price negotiation memorandum (PNM), agency action plan, etc., will be maintained in a separate file – a backup copy of the finalized file – which will then become the current “working” file.
805.03 Instant Messaging

Instant Messaging shall not be used to conduct official business. Further, instant messages shall not be maintained in our official system of records. Instant messages and instant messaging histories should be deleted (see Section XXX).

805.04 Paper-Based Documentation

When using paper-based methods to document audit evidence, either in conjunction with TeamMate or in a standalone fashion when authorized, the following should be observed.

Documentation files should be consistent in physical size, binding methods, sectional identification, and exterior labeling techniques.

Each page of documentation should contain a project number and title; each page should show the preparer and preparation date, reviewer and review date; and show the source of documentation data.

Major documentation sections should explain the purpose and scope of the review effort and summarize the conclusions or judgments reached.

805.05 Paper-Based Documentation Index Format

The index format described herein is to be used only when TeamMate is not used as the primary methodology for documenting audit/review evidence. The format follows a sectional methodology, where the first four sections of the paper-based evidence trail are considered mandatory. These mandatory sections contain materials that are common to all work projects and are indexed as follows:

<table>
<thead>
<tr>
<th>Documentation Section</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit/Project/Review Reports</td>
<td>A</td>
</tr>
<tr>
<td>Conferences and Correspondence</td>
<td>B</td>
</tr>
<tr>
<td>Audit/Project/Review Guidance</td>
<td>C</td>
</tr>
<tr>
<td>Audit/Project/Review Follow-up</td>
<td>D</td>
</tr>
</tbody>
</table>

Optional documentation sections should continue the alphabetical index and as such follow the mandatory sections. The optional sections address the specific review objectives by recording the work conducted, such as: materials gathered, analyses performed, conclusions reached, etc.

Any data maintained by the JA professional during the audit or external review outside of the stored methodologies described herein are considered “administrative.” Such administrative data, which may contain useful information for the duration of the JA assignment, is not considered part of the official documentation file. However, if the
audit or external review has been identified by the U.S. Department of Justice as part of a litigation hold, this information must be retained (see section 805.07).

805.06 Supervisory Review of Documentation

Audit managers or designated senior JA professionals monitor work efforts and review documentation prepared by team members throughout the fieldwork process. This includes working with performance team members to ensure that instructions are fully understood and followed for gathering data; analyses and tests are adequately performed; and finalized results are recorded as documentation, as described in sections 805.2 through 805.4. Supervisors should record decisions made and instructions given regarding the review process. This ensures that compliance can be validated during subsequent supervisory or quality control reviews.

Supervisory reviews of completed analyses, tests, and determinations should ensure that appropriate evidence or information exists to support significant findings, conclusions, observations, recommendations and/or alternatives. Managers and senior JA professionals should record supervisory reviews in either the electronic (TeamMate) or paper-based documentation formats. The document should include responses by the team members and final determinations by the supervisory reviewer. Supervisory review must be completed for all documented evidence that supports the report’s findings and conclusions prior to report issuance. All other documented evidence must be reviewed prior to final report issuance.

805.07 Access to Documentation and Safeguarding Information

Documentation, prepared in accordance with sections 805.2 through 805.4, is considered an official government record and team members must safeguard it in accordance with existing legal and administrative requirements. They must take care to ensure that documentation is not lost, stolen, altered, destroyed, or accessed by unauthorized persons. Material obtained during the review may be proprietary contractor information or contain sensitive program data. Team members should not leave documentation unattended or unsecured. In addition, team members should not make the documentation available outside of JA without the knowledge of JA management. Additional guidance is provided in the OIG Policy and Procedures Manual, Subchapter 505.

If documentation must be released, the audit team should stamp each individual page of documentation or file section released “AUDIT CONFIDENTIAL.” Then the audit team should transmit a memorandum advising that the materials should not be disclosed without written approval from the releasing OIG official.

805.08 Maintenance and Disposition of Official Files

Electronic Documentation - TeamMate files are electronic records. As such the
maintenance and disposition of the files must be in accordance with Title 36, Code of Federal Regulations, Part 1234 – Electronic Records Management, and GSA Order OAD P 1820.1, GSA Records Maintenance and Disposition System, or its successor.

Once the final audit report is issued, the Finalized TeamMate Audit file should be transferred to a CD-ROM through the TeamMate backup process. Two additional backups on CD-ROM also should be maintained.

• The first CD-ROM backup of the audit is the official TeamMate version of the audit. Each audit office is responsible for storage of the CD-ROM in a safe and secure environment, for eight years following the end of the fiscal year in which the audit is closed. ScanDisk or similar software should be used on a periodic basis to ensure the integrity of the CD-ROM after the third year of storage and every year thereafter. This CD-ROM can be destroyed eight years after the audit is closed.

• The second CD-ROM backup of the audit is to be forwarded to and maintained by JAS for eight years following the end of the fiscal year in which the audit is closed. ScanDisk or similar software will be used on a periodic basis to ensure the integrity of the CD-ROM after the third year of storage and every year thereafter. This CD-ROM can be destroyed eight years after the audit is closed.

• The third CD-ROM backup of the audit should be filed with the hardcopy documentation. At the end of the fiscal year in which the audit is closed, hold the hardcopy documentation and this CD-ROM for two years and retire to the Federal Records Center. The hardcopy documentation and this CD-ROM will be maintained and destroyed in accordance with Federal Records Center regulations.

Paper-Based Documentation

The field audit offices are responsible for maintaining and disposing of official audit and project files in accordance with GSA Records Schedule 03A025a, or its successor. That schedule is available through the web on Insite at GSA Records Schedule 03A025a or through JC. Official files consist of the final reports, documentation, and related correspondence.

Financial and performance audit project files are closed upon receipt of notification that the action plan has been fully implemented. External review files are closed upon receipt of documentation showing management’s determination to recover funds or avoid their expenditure.

Generally, closed files are retained in the field audit office for two years from the end of the fiscal year in which the case is closed; then files are retired to the Federal Records Center (and destroyed six years later). Closed files will be retained in the field audit office (and not sent to the Federal Records Center) under the following circumstances:

• an implementation review is scheduled or will be scheduled;

• the files relate to an ongoing investigation or ongoing litigation;
• the files relate to a significant audit that is expected to generate continued inquiries from parties outside the OIG; or,

• the files relate to specific audits or reviews that have been identified by the U.S. Department of Justice as part of a litigation hold.

Effective Date 1/22/2010

806.00  DRAFT AND FINAL REPORTS

Draft and final reports are prepared for internal audits. However, while most external reviews only require a final report, there are instances when a draft report is prepared for selected external reviews. The following describes the processes used to prepare draft and final reports for both internal audits and external reviews.

806.01  Draft Reports

Draft Reports for Internal Audits

Discussion draft report (optional) – Even though management officials are normally kept apprised of identified issues during the review, the discussion draft report is the first formal document that provides a written description of the JA audit team’s results and the potential impact to the Agency and/or its operations. Given to management officials prior to the exit conference, the discussion draft is not only used to facilitate discussion at the exit conference but also to elicit verbal or written comments. Since management will have another opportunity to officially comment on the report prior to final report issuance, the comment period for a discussion draft report should be limited to not more than 7 days.

While discussion draft reports do not need to be prepared in the format used for the “official draft report,” doing so allows management to identify any misperceptions or errors that can easily be corrected when preparing the official draft. Such reports do not normally contain recommendations, a signature page or a distribution appendix. In addition, the title page of the discussion draft report should include the draft restrictive notice (See section 806.05). Also, “DISCUSSION DRAFT - FOR OFFICIAL USE ONLY” should be placed at the top and bottom of every page.

The DAIGA/RIGA should review the discussion draft report and ensure it is referenced before it is released electronically to the appropriate management officials. The discussion draft report is strictly an exit conference tool and should not be further disseminated without the AIGA’s approval.

Official Draft Report (mandatory) - This formal draft report contains recommendations that are transmitted by the DAIGA/RIGA to the Heads of Services and Staff Offices (HSSOs) and/or Regional Administrators (RAs). This allows the audit team to receive
management’s official written comments and incorporate them into the final report. The respective DAIGA/RIGA should review the official draft report and ensure it is referenced before it is released to management officials. The AIGA transmits draft reports to the Administrator or to officials external to the Agency.

Official draft reports are issued with white covers, and transmitted by cover letter requesting that comments be submitted within 30 days. Unlike final reports, official draft reports do not contain a signature page or a distribution appendix. If audit results and recommendations are presented in a PowerPoint format, the official draft report should include a title page and letter report summarizing the results with the PowerPoint presentation included as an appendix. In addition, the title page of the official draft report should include a restrictive notice (See section 806.05). Also, “DRAFT - FOR OFFICIAL USE ONLY” should be placed at the top and bottom of every page.

Since final audit results are to be made publicly available (unless restricted by law or regulation), DAIGAs/RIGAs and their respective audit managers are responsible for ensuring that the official draft report does not contain privileged or confidential information. The audit team should present official draft reports in such a manner that non-technical users can readily comprehend the fundamental nature of the reported facts, analysis, and conclusions. Having a “cold reader” review the official draft report before release is an effective and proven technique to improve report quality.

When the DAIGA/RIGA restricts a performance audit report, the audit team should include the determination as part of the audit documentation. The audit team should notify the AIGA of the determination before the final report is issued.

Draft Report for Selected External Reviews

Two scenarios typically arise that call for the issuance of draft reports for specific external reviews.

- Claims that are requested by the GSA’s Office of General Counsel, other litigation authority, or before the Board of Contract Appeals may be issued as a white cover draft report. Copies of the draft report should be issued to the requesting official, the Office of Counsel to the Inspector General and the Contract Audit Office.

- Postaward reviews with indications that potential civil and/or criminal fraud is present are typically issued as a white cover draft report to the Office of Counsel to the Inspector General and the Contract Audit Office. The Office of Counsel to the Inspector General will evaluate the issues identified in the report, and determine if the report should be forwarded to the U.S. Department of Justice. If the decision is made to resolve the issue administratively, the DAIGA/RIGA should discuss the issues with the contracting officer. If the contracting officer has no administrative concerns, a white cover draft report is transmitted to the contractor to obtain a written response, with a copy to the Contract Audit Office.
The format for draft reports is the same as for final reports, except that draft reports do not contain a signature page or a distribution appendix. Such reports are also issued with white cover and include restrictive clauses, as identified in section 806.05. However, the above procedure does not apply to limited scope overbillings reports. These reports are issued in red cover directly to the contracting officer for resolution. They also require electronic distribution to the immediate office of the Inspector General (See section 806.07 for details).

Under both scenarios, when the identified results in the draft report are finally settled or the contractor's response is received, a final red cover report is issued to the cognizant contracting officer together with a Decision Record (DR). Since the contracting officer does not need to respond to results that have been settled, the DR should be noted accordingly. Alternative scenarios should be discussed with the Contract Audit Office.

806.02 Independent Public Accountant (IPA) Draft Reports

IPA audit reports containing recommendations are transmitted by the DAIGA to the Chief Financial Officer in draft form requesting official written comments within three days for incorporation into the final audit report. Draft reports should be reviewed by the cognizant DAIGA.

806.03 Final Reports

Final reports are used to convey internal audit findings and external review results to GSA officials along with recommendations and information for improving Agency operations or contracting activities. Written reports facilitate management actions as well as provide an avenue to follow-up on actions taken. However, unlike internal audits, preaward MAS external reviews are advisory in nature and do not contain recommendations. In addition, as preaward reviews support contract negotiations and re-pricing and costs potentially under litigation, the JA does not issue final reports to the contractor or their representatives. However, contracting officials can release (with the JA's concurrence) these reports to the contractors.

806.04 Types of Final Reports

The results of financial and performance audits are issued in the format of either a standard or letter report. Further, there may be instances when a need arises to communicate quickly with management on an issue. This may be done through an interim or alert audit report. External reviews are issued as standard or letter reports. Standard, letter, interim, and alert reports are defined below.

Standard Reports are issued in accordance with prescribed formats to convey audit and external review results. Standard reports address complex issues or comment upon multiple concerns. Prescribed formats ensure that reported conditions are logically and consistently presented.
Letter Reports are issued in memoranda format when audit or external review results, generally without findings, can be presented in five pages or less (excluding the title page, appendices, and the Management Decision Record). Internal audits and external reviews without recommendations are usually issued as letter reports.

This type of report can also be used to close out a review at the end of the survey phase, when the decision is made not to do further audit/review work. (See Section 803.04 – Survey Assessment Meeting).

Interim or Alert Reports are typically issued when significant internal audit concerns need to be conveyed to GSA officials before the completion of an ongoing audit assignment. Due to the nature of the concern, these reports do not contain formal recommendations, but focus on notifying GSA officials of the weakness or deficiency identified. The final report is issued under orange cover and is required to notify management that the noted weakness or deficiency will be incorporated in the final (green or red cover) audit report.

Such reports go through an expedited draft and final report process. Draft alert reports (white cover) are transmitted to GSA officials shortly before an interim exit conference with management. As with any draft report, it is used to elicit comments from management that will be included into the final alert report.

These reports are issued in either the standard or letter report format, are assigned a sequence number, must comply with GAGAS, and be referenced prior to draft issuance. These reports are distributed in the same manner as unrestricted or restricted reports, except that Management Decision Records are not used. Final unrestricted reports are posted on both the OIG public website and the OIG intranet. Restricted reports are posted to the OIG intranet only.

Other Memoranda – occasionally the need arises to communicate a concern when a full audit has not been conducted. These concerns can be communicated to management through memoranda. This provides management with preliminary observations on matters needing timely attention and action. Compliance with GAGAS and referencing the memoranda contents are decided on a case by case basis with concurrence by JAO.

806.05 Report Format and Content

Report format and content requirements are as follows:

• Required and Optional Sections for standard and letter reports are shown in Figure 807-01. Report sections start on separate pages and, where applicable, are centered, capitalized, and underlined. Subsections are identified by lower case side captions that are not underlined.

• Report Covers distinguish the type of report. All reports with restrictive designation are
issued with red covers.

• “FOR OFFICIAL USE ONLY” is placed at the top and bottom of each page of all draft reports, final external reviews, and final performance/financial reports that contain information that are restricted or should not be distributed to the public.

• Report Titles are centered within the report cover window. The title is capitalized and includes the audit number, sequence number, and issuance date.

External review report titles also identify the solicitation or contract number, and contract period, if appropriate. Standard titles for external reviews are summarized below:

PREAWARD REVIEW OF
MULTIPLE AWARD SCHEDULE
CONTRACT EXTENSION
ABC CORP.
CONTRACT NUMBER GS-35F-1234J
REPORT NUMBER A040000/F/3/X11111

REVIEW OF MULTIPLE AWARD SCHEDULE
CONTRACT NUMBER GS-35F-1234J
FOR THE PERIOD MARCH 14, 1999 TO JULY 31, 2004
ABC CORP.
REPORT NUMBER A040000/F/3/X11112

REVIEW OF A CLAIM
ABC CONSTRUCTION CORP., INC.
CONTRACT NUMBER GS-02P-99-DTC-0006
REPORT NUMBER A040000/P/2/X11111

PREAWARD REVIEW OF CHANGE ORDER PROPOSAL
ABC CONSTRUCTION CORP., INC.
CONTRACT NUMBER GS-02P-99-DTC-0006
REPORT NUMBER A040000/P/2/X11111

PREAWARD REVIEW OF ARCHITECT ENGINEER PROPOSAL
ABC DESIGN INDUSTRIES, INC.
CONTRACT NUMBER GS-02P-99-DTC-0006
REPORT NUMBER A040000/P/2/X11111

PREAWARD REVIEW OF TERMINATION SETTLEMENT PROPOSAL
ABC CONSTRUCTION CORP., INC.
CONTRACT NUMBER GS-02P-99-DTC-0006
REPORT NUMBER A040000/P/2/X11111
• Dissemination Notice for Unrestricted Draft Reports - Draft financial and performance audits, and include the following dissemination notice on the bottom of the title page:

This draft report has been prepared by and is the property of the Office of Audits, Office of Inspector General. It was prepared by the staff as a basis for obtaining advance review and comment by those having responsibilities concerning the subjects addressed in the draft. It has not been fully reviewed within the Office of Inspector General and is, therefore, subject to revision.

Copies of the report are provided to Agency personnel for official purposes only and should not be disseminated further. Agency officials who receive requests to release this report to anyone outside the General Services Administration should refer the requestor to the Office of Inspector General, Office of Counsel – Freedom of Information Officer.

• Restrictive Notices for Draft and Final Reports – Audit reports and other products that are restricted by law, regulation or content that should not be disseminated to the public have restrictive notices placed on the bottom of the report title page. This includes all draft and final external reviews and performance and financial audits, when restricted; and other restricted reports, as follows:

PREAWARD EXTERNAL REVIEWS AND CLAIMS

This report contains information that the Office of Inspector General has determined is *** (use “proprietary and pre-decisional”, “classified” “or other designations, as appropriate) and distribution is restricted to Agency officials and other cognizant Federal officials. The Office of Inspector General has no objection to the release of this report, at the discretion of the contracting officer, to authorized representatives of (insert name of contractor or subcontractor to which the report pertains). Persons disclosing this information publicly or to others not having an official need to know are subject to possible administrative or civil penalties, or criminal penalties pursuant to the Trade Secrets Act (18 U.S.C. Section 1905).

This report should be safeguarded to prevent improper disclosure at all times. Agency officials who receive requests for the report from other than (insert name of contractor or subcontractor to which the report pertains) should refer the requestor to the Office of Inspector General, Office of Counsel – Freedom of Information Officer.

POSTAWARD EXTERNAL REVIEWS

This report contains information that the Office of Inspector General has determined is *** (use “proprietary and pre-decisional”, “classified”, “or other designations, as appropriate) and distribution is restricted to Agency officials and other cognizant Federal officials. Persons disclosing this information publicly or to others not having an official need to know are subject to possible administrative or civil penalties, or criminal
penalties pursuant to the Trade Secrets Act (18 U.S.C. Section 1905).

The Office of Inspector General does not want this report released without prior approval from the Office of Inspector General’s Office of Counsel. Accordingly, this report should be safeguarded to prevent improper disclosure at all times. Agency officials who receive requests to release this report, including requests from (insert name of contractor or subcontractor to which the report pertains), should refer the requestor to the Office of Inspector General, Office of Counsel – Freedom of Information Officer.

DRAFT AND FINAL PERFORMANCE AND FINANCIAL AUDIT REPORTS, AND OTHER AUDIT PRODUCT REPORTS

This report contains information that the Office of Inspector General has determined is *** (use “proprietary and pre-decisional”, “classified”, “or other designations, as appropriate) and distribution is restricted to Agency officials and other cognizant Federal officials. Persons disclosing this information publicly or to others not having an official need to know are subject to possible administrative or civil penalties, or criminal penalties pursuant to the Trade Secrets Act (18 U.S.C. Section 1905).

This report should be safeguarded to prevent improper disclosure at all times. Agency officials who receive requests to release this report should refer the requestor to the Office of Inspector General, Office of Counsel – Freedom of Information Officer.

806.06 Referencing

Referencing is a detailed, documented, independent review of all internal audits and external reviews (both draft and final) and supporting documentation by a JA professional not associated with the assignment.

Referencing confirms that sufficient and appropriate evidence exists as documentation to support reported results and conclusions. The referencer’s primary responsibility is to assure that an experienced JA professional, having no previous connection to the review, could reach the same conclusions based upon an objective interpretation of the data characterized in the audit documentation. It is important to remember that accurate indexing is the responsibility of the audit team, however, it is the referencer’s responsibility to check these indexed cites to ensure they adequately support the facts in the report.

The DAIGA/RIGA designates the referencer and ensures that draft and final reports have been referenced by a grade GS-12 or above JA professional before transmitting them to management officials. If there is a disagreement between the audit team and the referencer that cannot be resolved, the DAIGA/RIGA makes the final decision.

The manual referencing process is documented by completion of a referencing worksheet. This worksheet records the referencer’s points or comments and the audit
team’s response to the points. Upon completion of the referencing process, the referencer and audit manager must physically sign and date the first page of the referencing worksheet.

In those instances where the DAIGA/RIGA had to resolve issues, the decision is annotated on the referencing worksheet, and initialed and dated by the DAIGA/RIGA. The referencing worksheet remains with the documentation file.

When TeamMate is used for the referencing process, the referencer shall embed Coaching Notes into the indexed report located in the TeamMate project file. Once the referencing process is completed, the referencer uses TeamMate to generate a “referencing worksheet” that will be stored in the TeamMate project file. The referencer will annotate the cover of the indexed report located in the TeamMate project file with the statement “All referencing comments have been resolved” and sign off on this report as “preparer.” The Audit Manager will sign the TeamMate referencing worksheet as “reviewer”. In those instances that required DAIGA/RIGA involvement to resolve issues, the DAIGA/RIGA will document in a Coaching Note their reason(s) for accepting or rejecting the audit team’s response.

More specific guidance on referencing can be found in JA’s Referencing Manual.

806.07 Final Report Signature, Distribution, and Posting

In most cases, final reports are signed by the performing audit manager and distributed by transmittal letter signed by the DAIGA/RIGA. When the Administrator or an official outside of GSA is the report addressee, the final report is signed by the AIGA and transmitted by the Inspector General.

Final reports are distributed based on the nature of the review, type of report, and report recipient. In addition, the number of reports distributed to officials varies depending upon the specific circumstances of each review. The distribution of restricted reports must be determined on an individual report basis depending upon the nature of the restriction.

Final audit reports and external reviews are to be posted to the OIG public and/or intranet sites within one business day of final report issuance. More specific guidance on posting can be found on JA’s intranet site.

806.08 Decision Records

The audit team prepares a Management Decision Record (MDR) for financial and performance internal audit reports. For external reviews, the audit team prepares a Decision Record for External Review (DR). The MDR/DR is transmitted along with the final report and sent to HSSOs, RAs, or contracting officials and serve as the instrument for documenting the Agency’s audit resolution process. The performing audit office
completes section A before the MDR/DR is transmitted with the final report to the report addressee. Instructions for completing a MDR/DR are contained in GSA’s Internal Audit Followup Handbook (ADM P 2030.2C).

806.09 DAIGA/RIGA Assessments of Final Internal Audits and External Reviews

Annually, the DAIGA/RIGA should assess the quality of completed work products issued by their respective regions/functional areas during a fiscal year. The reviews are part of JA’s efforts to monitor compliance with its quality control policies and procedures. The reviews should provide evidence that the documentation has been examined for compliance with audit standards and JA policies and procedures. The reviews should be maintained by each DAIGA/RIGA outside of TeamMate. They will be included in JA’s annual summary assessment of its system of quality control, as described in section 806.12 - Quality Assurance Program. In addition, the reviews support the annual certification needed to document compliance with the requirements of the Federal Managers’ Financial Integrity Act.

806.10 Customer Satisfaction Questionnaires

Customer satisfaction questionnaires are provided to the primary recipient of every final internal audit and external review. The questionnaire should be provided electronically with the final work product. Each questionnaire should be returned to the JAO Director.

806.11 Value-Added Assessment Form for Internal Audit

Value-added assessment forms are completed by the AM and sent to the JAS Director upon receipt of the JA resolution letter.

806.12 Quality Assurance Program

The Quality Assurance Program is an internal evaluation program designed to provide reasonable assurance that JA carries out its work in accordance with established policies and procedures, including Government Auditing Standards, applicable OMB and GAO guidance, and statutory provisions applicable to GSA’s Office of Inspector General. Specifically, it addresses: (1) leadership responsibilities for JA’s audit quality, independence, legal, and ethical requirements; (2) the initiation, acceptance, and continuance of audit and attestation engagements; (3) personnel and staffing responsibilities, i.e. adequate skills, education, experience, and knowledge; (4) audit and attestation engagement performance, documentation, and reporting; and (5) the quality of internal monitoring efforts for adhering to professional standards and legal requirements. It is structured to ensure an objective, timely, and comprehensive appraisal of JA operations.

Team Dynamics - On a periodic basis, at least annually, JAO examines completed audits and external reviews. JAO may select a team of auditors/management analysts to assist in performing the reviews. The team leader: plans the review; selects the sample of audits/attestation engagements to review; assigns the selection to the team members; and, provides necessary guidance to team members to complete their
respective reviews.

Sample Selection - A list of completed audits/engagements is identified using the Inspector’s General recent publications of the “Semiannual Report to the Congress.” Selection criteria considers work from all of JA’s audit offices, the knowledge and experience of JA’s professionals, the nature and complexity of the audit/review work, and prior “quality assurance” or “peer review” coverage and results.

Relevant Guidance - The quality assurance reviewers use the Council of Inspectors General on Integrity and Efficiency (CIGIE) Peer Review guidance relevant to the assigned review type, and OIG policy and procedures manual (blue book) to perform quality assurance reviews of the selected audits/engagements. From time to time, the review process also covers other issues or points of interest raised by JA management (i.e., “best practice” situations, assessments of corrective action activity that were based on prior quality assurance reviews or peer reviews.)

Review Results Documentation and Expected Outcome – Team members enter their review results onto the applicable Council of Inspectors General on Integrity and Efficiency (CIGIE) Review Checklist, a CIGIE Checklists Summary form, and when warranted, a JA prepared questionnaire designed to capture issues or points of interest raised by JA management. As needed, the team members also supplement this data with evidence to support their conclusions and comments from the supervisor of the activity being reviewed. The team leader examines the results to assure a complete understanding of the issues or points raised, and may confirm the results with both the quality assurance reviewer and the supervisor of the activity being reviewed. The leader will then compile and share the overall review results with JA management. As needed, the results are used to revise JA practices and/or policies, identify training needs, and share best practices.

On an annual basis, JA will summarize the results of its monitoring procedures, identifying any systemic issues that need improvement and recommendations for corrective action. Such summarization can include the evidence of supervision performed on both internal audits and external reviews as well as the reports stemming from that work (e.g. DAIGA/RIGA reviews, referencing).

Effective Date 1/22/2010

807.00 POST REPORT ACTIONS

807.01 Resolution of Internal Audit Reports and External Reviews

Final audit reports and external reviews are subject to resolution requirements set forth in GSA’s Internal Audit Followup Handbook (ADM P 2030.2C) and in Public Law 104-106. These require the resolution of all report results and recommendations within six months of the report issuance date and completion of corrective actions by management within 12 months of the report issuance date. Reports not meeting the
resolution and final action requirement are required to be reported to the Congress in the Inspector General’s Semiannual Report to the Congress.

Upon receipt of a final audit report or external review, an Agency official completes the accompanying Management Decision Record for Internal or Financial Audit (MDR) or Decision Record for External Review (DR), attaches an action plan (internal audits only), and returns the MDR or DR to the Office of Audits so the management decision process can be completed.

For financial and performance audits, if audit officials find that the proposed action plan is satisfactory, a resolution letter stating that resolution has been accomplished is forwarded to management. If the MDR is not received or the action plan is not satisfactory when received, audit officials from the performing audit office should meet with Agency officials to discuss the issues. In instances where resolution cannot be achieved, the issuing RIGA should initiate the formal resolution process and provide the DAIGA with copies of all pertinent correspondence. The performing audit office is responsible for ensuring compliance with time frames and processing procedures contained in the ADM P 2030.2C.

When reviewing proposed action plans for financial and performance audits, time frames for completing final action more than 12 months from the report issuance date should be carefully considered. If warranted, the RIGA should contact the action office to ascertain whether an accelerated implementation time frame can be achieved. For action packages where final action is planned for more than 12 months, the resolution letter should notify management that the OIG must report incomplete actions to the Congress in the Inspector General’s Semiannual Report to the Congress.

For external reviews, the performing audit office maintains a suspense file for tracking resolution and final action. Appropriate notification should be made to contracting officials regarding resolution and final action deadlines. The performing audit office is responsible for ensuring compliance with time frames and processing procedures contained in the ADM P 2030.2C, Chapter 4, Inspector General External (Contract) Review Reports.

807.02 Implementation Reviews

Implementation reviews are conducted to determine whether appropriate corrective action as stated in the proposed action plan has been taken by management on financial and performance audit reports. The scope of the review is limited to an examination of management’s actions in response to the recommendations, but should include appropriate testing to ensure that reported conditions have been corrected by the actions taken.

Implementation reviews asserting that management’s actions have been implemented in accordance with the action plans should be issued in letter report format. Reviews asserting that actions have not been implemented in accordance with the action plan (or
actions taken have not corrected the reported condition) should be issued in either letter or standard report format, but must include management’s response as an appendix to the report.

In cases where actions are not being implemented or actions taken have not corrected the reported condition, the final report transmittal letter should inform the management action official that a revised action plan should be submitted to GSA’s Internal Control and Audit Division (BEI) within 30 days. A copy of the transmittal letter should be sent to BEI with the final report.

Since implementation reviews are not audits, the report format should be appropriately revised and no sequence number, other than the number of the original audit, should be included in the title. Distribution of the implementation review report is the same as for the original report. Green covers are generally used; however, if any report information needs to be restricted, red covers are used.

807.03  JA Professional’s Role in Contract Negotiations

The negotiation and award of GSA contracts is solely the responsibility of the GSA contracting officer. The GSA contracting officer develops the negotiation position, schedules the negotiations, negotiates the pricing, terms, and conditions of the contract with the vendor, makes the decision that the award is fair and reasonable and awards the contract. The JA professional’s role in the negotiation process is to provide assistance to the contracting officer based on the results of the JA professional’s preaward review of the vendor’s offer and other related analysis performed. This includes providing explanations and clarifications of the reported results and other information provided in our reviews. It can also include providing assistance to the contracting officer regarding any other analysis of any additional information presented by the vendor after the issuance of the external review. The JA professional’s attendance at negotiations and information provided during negotiation is at the invitation of the contracting officer. If requested to attend, the JA professional should make every effort to attend negotiations either in person or by telephone. Immediately following the negotiations, the JA professional should prepare a memorandum documenting the results of the negotiation conference.

807.04  Multiple Award Schedule Assessment Program and Database

The Office of Audits collects data concerning Multiple Award Schedule (MAS) preaward and postaward reviews for the purpose of building a body of evidence. This body of evidence should facilitate the analysis of issues, trends, and changes in the MAS program, as well as provide useful, factual, and timely information to assist the FAS in improving the MAS program. All field audit offices will be responsible for the input of review information to the MAS Assessment Program Database for both pre- and postaward attestation reviews, as soon as possible, but no later than 30 days after report
issuance (including draft post-award reviews). For specific guidance, contact the Contract Audit Office, JA-C.

Effective Date 1/22/2010

808.00 NONAUDIT SERVICES

808.01 Nature of Nonaudit Services

JA occasionally receives requests to perform nonaudit services. These services are not required to be GAGAS compliant. Nonaudit services generally fall under three categories:

- Services that do not impair audit organization independence;
- Services that do not impair audit organization independence as long as supplemental safeguards are taken; and
- Services that impair audit organization independence.

All requests for nonaudit services must be referred to JAO for consideration. JAO will try to be responsive to requests, while ensuring that the Office of Audits and assigned professionals remain independent (both in fact and appearance). When JAO approves a request for nonaudit services, JAO will identify any safeguards that must be taken to ensure compliance with the requirements of GAGAS. JAO will then issue a performance determination outlining the required safeguards. Professionals are not to expend resources on nonaudit services until JAO renders the performance determination.

808.02 Nonaudit Services That Do Not Impair Independence

JA assists management in improving operations and assessing the best ways to carry out Agency activities. The nonaudit services that do not impair the independence of the organization include the following:

- Task Force Participation. JA professional staff assist Agency task forces in an ex-officio capacity;
- Monitoring Services. JA professional staff are assigned to observe ongoing Agency actions and advise management of potential problems, or whether appropriate controls exist; and,
- Speaking at GSA Meetings and Functions. Sharing expertise with Agency employees.

These services involve providing management with advice based upon the JA professional’s technical expertise or knowledge. Such services are often provided verbally, but can be summarized in written form. It may include offering previously prepared materials.
JA professionals should be mindful that they are not permitted to make management decisions, or perform management functions. These actions impair the independence of JA and the JA professional.

808.03 Nonaudit Services If Supplemental Safeguards Are Taken

These nonaudit services represent tasks that audit organizations conduct for Agency officials. They directly support operational activities. They are for the sole benefit of the requesting official or operating entity. These services consist of providing technical advice, or gathering and explaining information requested by Agency officials. These services differ from audits in that JA professionals provide data to managers without verification, analysis, or evaluations. In addition, the effort does not provide a basis for conclusions, recommendations, or opinions. These services may or may not result in a report.

These services can compromise the independence of JA or the JA professional if supplemental safeguards are not taken. When the JA receives a request for such nonaudit services, it is responsibility of JAO to determine what supplemental safeguards team members must take to prevent impairment to independence.

808.04 Nonaudit Services That Impair Independence

JA professionals are not permitted to perform nonaudit services that include efforts where JA professionals perform management functions or make management decisions. An example would be if JA professionals post accounting transactions for the Agency. In addition, JA professionals cannot audit their own work or provide services that could be significant or material to the subject matter of ongoing, planned, or future audit activities. These efforts impair the independence of JA and the JA professional.
CHAPTER 1000 - INSPECTIONS AND FORENSIC AUDITING POLICIES AND PROCEDURES

Effective Date 12/15/2014

1001.00 OFFICE OF INSPECTIONS AND FORENSIC AUDITING (JE)

1001.01 Responsibilities

JE independently and objectively: (1) analyzes and evaluates GSA’s programs and operations through management and programmatic inspections and evaluations (hereinafter inspections) that are intended to provide insight into issues of concern to GSA, Congress, and the American public; (2) reviews and evaluates potentially fraudulent or otherwise criminal activities through the use of forensic auditing skills, tools, techniques, and methodologies, and; (3) formulates, directs, and coordinates quality assurance for the OIG.

The Inspector General Act of 1978 as amended, 5 U.S.C. App. 3 (IG Act), authorizes the OIG to inspect GSA programs and operations. Inspections are neither audits nor investigations; rather, they are systematic and independent assessments of the design, implementation, and/or results of an Agency’s operations, programs, or policies. They provide information that is timely, credible, and useful for agency managers, policymakers, and others. Inspections can be used to determine efficiency, effectiveness, impact, and/or sustainability of agency operations, programs, or polices. They often recommend improvements and identify where administrative action is necessary.

Effective Date 12/15/2014

1002.00 ORGANIZATION

JE generally conducts the following types of activities.

1002.01 Inspections

An inspection examines the efficiency, effectiveness, and impact of a policy, program, function, operation, activity, or practice in order to add value. An inspection may also review a program, function, operation, activity, or practice perceived to be at risk in order to determine the extent to which it adheres to standards, good practices, or criteria, and to identify corrective action as needed. An inspection may also be issued as an "survey report." This is generally the same as an inspection, but is typically narrower in scope.
1002.02 Forensic Auditing

Forensic auditing is the use of data analysis and other new technologies to identify irregularities that may indicate fraud, waste, or abuse in GSA operations. At the direction of the Inspector General, Deputy Inspector General, or the Associate Inspector General, JE:

- Conducts reviews of potentially fraudulent, improper, wasteful, and/or abusive activities;
- Conducts anti-fraud efforts through proactive prevention, early detection, and timely inquiries regarding potential fraud related to GSA operations, and works with other OIG components, as appropriate, in the subsequent pursuit of criminal, civil, and administrative remedies; and
- Engages in computer analysis and other technological strategies intended to bolster traditional audit and investigative practices and procedures.

1002.03 Quality Assurance

The internal evaluation and analysis program was established to provide quality assurance for the OIG organization. The quality assurance program does not replace, but rather supplements, line managers' responsibilities. The quality assurance program is conducted through operational assessments of OIG audit and investigative field offices, as well as Central Office support staffs. The quality assurance function includes responsibility for planning, directing, and coordinating the OIG's reporting requirements under the Federal Managers Financial Integrity Act of 1982 (FMFIA), to include both the Annual Assurance Statement and Internal Control Reviews. The quality assurance function also handles the first line of inquiry regarding OCFO questionable transactions involving OIG purchase cards and travel cards, as well as delinquent balances on travel cards.

Effective Date 12/15/2014

1003.00 ROLES

1003.01 Director

The Director, Office of Inspections and Forensic Auditing (Director), provides supervisory oversight of all JE matters, including personnel; office administration; strategic planning; compliance with OIG policies and procedures; and the planning, production, and maintenance of the JE Plan. The Director reports to the Associate IG.
1003.02 Deputy Director

The Deputy Director serves as second in charge of JE when needed. The Deputy supervises Senior Management Analysts and Senior Auditors, and team leads in the initiation, planning, development, and completion of work assignments to ensure the projects meet the highest quality and professional standards of the Council of the Inspectors General on Integrity and Efficiency *Quality Standards for Inspection and Evaluation* (January 2012) (CIGIE I&E Blue Book). The Deputy Director also ensures resources are focused on high impact/high risk areas.

1003.03 Teams

Senior Management Analysts and Senior Auditors report to the Deputy Director, and provide direction for multiple projects, as assigned, across all JE responsibilities. Team Leads are designated for specific projects, and they are responsible for directing the work of others assigned to the project and for the successful completion of the project.

1003.04 Evaluation Attorney

The JE Evaluation Attorney provides quality assurance for JE’s products through legal research and analysis to identify the legal framework for JE’s forensic audit and inspection products, and ensures any legal issues reflect the views of the OIG’s Office of Counsel. The Evaluation Attorney is also the OIG records management liaison, providing policy, and guidance on records management issues OIG-wide. The Evaluation Attorney reports to the Director.

Effective Date 12/15/2014

1004.00 INSPECTION STANDARDS

The 14 CIGIE I&E Blue Book standards that govern the performance of JE inspections are:

- Competency
- Professional Judgment
- Planning
- Evidence
- Timeliness
- Reporting
- Performance Management
- Independence
- Quality Control
- Data Collection and Analysis
- Records Maintenance
- Fraud, Other Illegal Acts, and Abuse
- Follow-up
- Working Relationships and Communication

In addition to complying with the CIGIE I&E Bluebook requirements, OIG policy for JE is as follows.

**1004.01 Competency**

JE staff members will strive to complete biennially 80 hours of CPE that directly enhances their professional proficiency, and they must biennially complete 40 hours. At least 20 CPE hours per year should be in subjects directly related to the work of JE, and 20 CPE hours should be completed every year. This requirement is independent of, but may overlap with, professional license requirements.

JE supervisors will use the core competencies and general skill levels outlined in Appendices A and B of the CIGIE I&E Blue Book as a guide. In general, skills will be achieved via formal classroom training, online training, on-the-job training (OJT), briefings, training conferences, and seminars.

Each staff member's professional development is the joint responsibility of JE management and the staff member. Skills training for grades GS-05 through GS-12 will be directed by JE management. The Deputy Director functions as the JE Training Officer. Staff members at grades GS-13 and above are responsible for identifying appropriate educational opportunities. The Director is responsible for administering the JE training budget, and approving the Training Officer's plan for education as appropriate.

Each staff member is responsible for the submission of a completed Report of Continuing Professional Education (Appendix A) and supporting documentation, where appropriate. The Training Officer is responsible for ensuring appropriate records of training are kept.
1004.02 Independence

Each JE employee, or subject matter expert who participates in an inspection, including the Director and Deputy Director, must complete the Statement of Independence (Appendix B) on an annual basis.

As part of the planning process for every assignment, the responsible Senior Management Analyst/Senior Auditor will hold discussions with the entire inspection team to address the issue of impairments. The results will be documented in a statement of Independence (Appendix B). The same process is repeated when an employee joins a project already in progress.

JE staff are responsible for notifying their Team Lead if participation in a particular matter could cause a reasonable person with knowledge of the relevant facts to question the employee’s impartiality. The Team Lead will notify the Director or Deputy Director, as well as the responsible Senior Management Analyst/Senior Auditor, of any potential impairment issues. The Director or Deputy Director, in consultation with the responsible Senior Management Analyst/Senior Auditor and Team Lead, will make an “determination” on a case-by-case basis, based on the independence standards set forth in the Quality Standards for Federal Offices of Inspector General, Part II, “Ethics, Independence, and Confidentiality” (page 10).

1004.03 Professional Judgment

All staff are expected to exercise professional judgment, thereby ensuring that each inspection or project is performed efficiently, effectively, and in accordance with professional standards. Professional judgment includes an element of respectful skepticism. Inspectors must:

- Document significant decisions affecting the objectives, scope, methodology, observations, conclusions, and recommendations that result from the application of professional judgment.

- Diligently gather evidence and objectively evaluate its sufficiency, competency, and relevance to the matter under consideration.
• Become reasonably assured of his/her evidence, analytical methods, and conclusions throughout the evaluative process.

• Maintain the highest degree of integrity, objectivity, and independence in the application of professional judgment.

1004.04 Quality Control

Team Leads, or designated senior JE professionals, monitor work efforts and review documentation prepared by team members throughout the fieldwork process. This includes working with inspection team members to ensure that instructions are fully understood and followed. Team Leads should record decisions made and instructions given regarding the review process.

Team Lead reviews of completed analyses, tests, and determinations should ensure that appropriate evidence or information exists to support findings, conclusions, observations, and recommendations. Team Leads and senior JE professionals should record supervisory reviews. The document should include responses by the team members and final determinations by the reviewer. Team Lead review must be completed for all documented evidence that supports the report's findings and conclusions and all documented evidence must be reviewed (as appropriate including report referencing) prior to report issuance.

1004.05 Planning

There are two types of planning – workload planning and planning of individual projects. The CIGIE I&E Bluebook standard deals with the latter. With regard to workload planning, JE annually plans reviews in order to identify and establish the workload for the fiscal year. The plan has three components: (1) inspections intended to provide insight into issues of concern to GSA, Congress, and the American public; (2) reviews and inspections of potentially fraudulent or otherwise criminal activities through the use of forensic auditing skills, tools, techniques, and methodologies; and (3) OIG quality assurance reviews. Workload planning is a shared responsibility with input provided by all JE staff. Changes to plans and objectives are often necessary due to the ever changing operating environment of the OIG, and are directed by the Associate IG, Deputy IG, and/or IG.
With regard to planning assigned projects, the responsible Senior Management Analyst/Senior Auditor, along with the Team Lead, are responsible for producing an Inspection Work Plan that the team is to follow and adapt as appropriate throughout the review. Planning is a collaborative effort, but the Team Lead is responsible for managing the work of other team members. The Team Lead is responsible for ensuring that team members follow and understand the work plan objective(s), scope, and methodology. The responsible Senior Management Analyst/Senior Auditor is responsible for arranging an appropriate work site and for contacting appropriate officials to obtain their cooperation and assistance throughout the review. The Team Lead is expected to work through issues and challenges encountered during each assignment and consult with the responsible Senior Management Analyst/Senior Auditor and Deputy Director to keep them informed of the status of the assignment and seek advice and guidance as needed.

1004.06 Data Collection and Analysis

The responsible Senior Management Analyst/Senior Auditor and Team Lead are responsible for directing the inspection team’s resources toward achieving the review objectives. The responsible Senior Management Analyst/Senior Auditor and Team Lead should develop a work plan that identifies the source, location, and type of data to be collected, and how the data will be used in the review. Data collection may include accessing GSA systems, conducting interviews of Agency personnel and/or third-party stakeholders, researching, and other means.

Inspectors must take reasonable steps to assess the reliability of computerized data used as evidence. Examples of how this may be accomplished include:

1. Identifying prior reviews by GSA OIG, GAO, or system managers attesting to the computer system and data reliability,

2. Discussing data extraction criteria with an information technology (IT) expert to ensure the methodology used for data extraction will produce the data needed, or

3. Conducting data accuracy tests to ensure required data elements have been provided and are in the expected format.
1004.07 Evidence

Requests for evidence should be in writing (email, memorandum, letter, etc.) and should specify the date by which the evidence should be received. The Team Lead is responsible for determining a reasonable date and has the discretion to work with the recipient of the request to ensure that the time frame is reasonable and practicable. The Team Lead will maintain records of the status of all outstanding requests and promptly inform the responsible Senior Management Analyst/Senior Auditor and Deputy Director of any undue delays.

1004.08 Records Maintenance

JE uses CCH® TeamMate (TeamMate) as the method for documenting inspection evidence in electronic format. TeamMate should be used for all Agency reviews. Exceptions to this policy must be approved by the Director or Deputy Director. The maintenance and disposition of documentation must be in accordance with OIG records disposition schedules. The Team Lead should consult with the OIG Records Officer regarding any records management questions.

OIG policy 421.00 discourages use of Instant Messaging to conduct official business. Should Instant Messaging be used in an inspection, then the electronic record, including meta data, must be preserved in accordance with the OIG's file plan.

Documentation created in conjunction with an inspection is considered an official government record and team members must safeguard it in accordance with existing legal and administrative requirements. They must ensure that documentation is not lost, stolen, altered, destroyed, or accessed by unauthorized persons. Material obtained during the review may contain proprietary information or sensitive unclassified information. A separate TeamMate subfolder entitled "Sensitive" should be established in the project file to protect any such documents. Access to workpapers will be limited to the responsible Senior Management Analyst/Senior Auditor, Team Lead, team members, independent reviewers, Director, Deputy Director, and Associate IG. Team members should not leave documentation unattended or unsecured. In addition, team members should not make the documentation available outside of JE without the knowledge of JE management. Additional guidance is provided in the OIG Policy and Procedures Manual, Subchapter 505, Managing Privileged and Sensitive Information.
1004.09 Timelines

Time frames should be flexible in response to changing priorities and unforeseen circumstances such as the need to expand the scope of a review or to add objectives.

The responsible Senior Management Analyst/Senior Auditor monitors the team's progress and provides guidance as necessary to ensure that assigned review steps are completed in a timely manner. The Team Lead should continue discussions with each team member throughout the review to ensure there are no misunderstandings regarding tasks assigned and expected outputs to be produced.

1004.10 Fraud, Other Illegal Acts, and Abuse

Team members should be alert to circumstances that indicate potentially fraudulent practices or other illegal acts. If a team member detects possible fraud or other illegal activities, then the team member should promptly notify the Team Lead and provide supporting documentation if available.

The Team Lead, after discussing the possible fraudulent activity with the team member, should then notify the responsible Senior Management Analyst/Senior Auditor, and either the Director or Deputy Director. Any evidence of potentially fraudulent practices or other illegal acts also should be discussed with JI at an appropriate point during the inspection.

The Director will submit a written referral to JI when appropriate.

1004.11 Reporting

Draft and final reports generally are prepared for inspections, although there may be instances when a final report is issued without a draft, such as for an limited review.

The draft report phase includes the Director or Deputy Director's review and the quality control review of the Team Lead's work papers by responsible Senior Management Analyst/Senior Auditor; independent report review (referencing); and review for legal sufficiency by the OIG Office of Counsel (JC). The final draft report is forwarded to the Deputy IG and the Associate IG for further review prior to transmittal to the Agency. Since final inspection results are to be made publicly available (unless restricted by law or regulation), the Director, Deputy Director, and responsible Senior Management Analyst/Senior Auditor are responsible for ensuring that the official draft report does not contain privileged or confidential information. After approval by the Associate IG, the
draft report is transmitted by the Director to Agency officials. When an inspection report is restricted, the Team Lead should include that determination as part of the review documentation.

Preparation of the final report includes summarizing management comments and, if necessary, revising the report based on those comments. In addition, JE responses to management comments are provided, subject to review by the Director, the Deputy IG, and the Associate IG prior to transmittal to the Agency.

In most cases, final reports are signed by the Director and distributed by transmittal letter. The Deputy IG and Associate IG are included on the distribution of final reports. When the Administrator or an official outside of GSA is the report addressee, the final report is signed in accordance with section 102 of the OIG Policy and Procedures Manual. Final reports are distributed based on the nature of the review, type of report, and report recipient. The distribution of restricted reports depends upon the nature of the restriction.

Final reports are to be posted to the OIG public and/or intranet sites within three business days of making the content public, and must comply with Section 508 of the Rehabilitation Act of 1973, as amended.

The Team Lead prepares a Management Decision Record (MDR) for inspection reports (Appendix C). The MDR is transmitted along with the final report and sent to HSSOs, RAs, or other officials and serves as the instrument for documenting the Agency's inspection resolution process. JE completes section A before the MDR is transmitted with the final report to the report addressee. Instructions for completing the MDR are contained in GSA's Internal Audit Followup Handbook (ADM P 2030.2D).

**1004.12 Follow-up**

Final reports are subject to resolution requirements set forth in GSA's Internal Audit Followup Handbook (ADM P 2030.2D) and in Public Law 104-106. These require the resolution of all report results and recommendations within six months of the report issuance date and completion of corrective actions by management within 12 months of the report issuance date. Reports not meeting the resolution and final action requirement are required to be reported to the Congress in the Inspector General's Semiannual Report to the Congress.
Upon receipt of a final report, an Agency official completes the accompanying Management Decision Record (MDR), attaches an action plan, and returns the MDR to JE so the management decision process can be completed.

If JE officials find that the proposed action plan is satisfactory, a resolution letter stating that resolution has been accomplished is forwarded to management. If the MDR is not received or the action plan is not satisfactory when received, JE officials should meet with Agency officials to discuss the issues. In instances where resolution cannot be achieved, the Director should initiate the formal resolution process. The responsible Senior Management Analyst/Senior Auditor is responsible for ensuring compliance with time frames and processing procedures contained in ADM P 2030.2D.

When reviewing proposed action plans, time frames for completing final action more than 12 months from the report issuance date should be carefully considered. If warranted, the Director should contact the action office to ascertain whether an accelerated implementation time frame can be achieved. For action packages where final action is planned for more than 12 months, the resolution letter should notify management that the OIG must report incomplete actions to the Congress in the Inspector General's Semiannual Report to the Congress.

Implementation reviews may be conducted to determine whether appropriate corrective action as stated in the proposed action plan has been taken by management on inspection reports. The scope of the review is limited to an inspection of management's actions in response to the recommendations, but should include appropriate testing to ensure that reported conditions have been corrected by the actions taken.

Implementation reviews finding that management's actions have been implemented in accordance with the action plans should be issued in letter report format. Reviews asserting that actions have not been implemented in accordance with the action plan (or actions taken have not corrected the reported condition) should be issued in either letter or standard report format, but must include management's response as an appendix to the report.

In cases where actions are not being implemented or actions taken have not corrected the reported condition, the final report transmittal letter should inform the management action official that a revised action plan should be submitted to GSA's GAO/IG Audit Response Branch (H1C) within 30 days. A copy of the transmittal letter should be sent to the GAO/IG Audit Response Branch (H1C) with the final report.

Since implementation reviews are not new inspections, the report format should be appropriately revised and no sequence number, other than the number of the original inspection, should be included in the title. Distribution of the implementation review report is the same as for the original report.
1004.13 Performance Measurement

Performance measures of JE inspections include both outcomes and outputs to assess the extent to which objectives are achieved. Objectives will be adjusted to meet new demands and changing conditions, and as a result, outcomes are measured as impacts – recommendations made, implemented recommendations, and/or changes in Agency policy, and outputs are measured as quantities – reviews conducted, reports issued.

1004.14 Working Relationships and Communication

In all matters, JE staff should act in good faith, respecting the mission and priorities of the Agency organization applicable to the inspection, and carry out functions with minimum disruption to the primary work of the reviewed organization.

The Team Lead is the main point of contact. Effective communication may be enhanced by, among other things:

1. Providing reasonable advance notice of inspection activities and requirements;
2. Providing timely advice on the progress of an inspection and its results;
3. Soliciting suggestions for improving the value of inspections; and
4. Providing positive feedback when warranted.

Effective Date 12/15/2014

1005.00 OIG QUALITY ASSURANCE

1005.01 Federal Manager's Financial Integrity Act

The Federal Manager's Financial Integrity Act of 1982 (FMFIA), codified at 5 U.S.C. § 3512, requires agencies and individual federal managers to take systemic and proactive measures to (i) implement cost-effective internal controls for results-oriented management; (ii) assess the adequacy of internal controls in federal programs and operations; (iii) document internal controls over financial reporting; (iv) identify needed improvements; (v) take corresponding corrective action; and (vi) report annually on internal controls through management assurance statements. To fulfill the FMFIA reporting requirements, the GSA Administrator reports annually to the President.
JE formulates, directs, and coordinates the OIG's FMFIA program, which consists of two cyclic endeavors: the Annual Assurance Statement and the periodic Internal Control Reviews. JE's responsibilities include liaison with the Agency and reporting out on behalf of the OIG for FMFIA matters, as well as overseeing the FMFIA work performed by the OIG components.

1005.02 Annual Assurance Statement

As required by the FMFIA, the GSA Administrator reports annually to the President describing compliance with internal control systems, material weaknesses, and action plans to correct material weaknesses for all of GSA. GSA refers to this report as the Administrator's FMFIA Assurance Statement. GSA bases the Administrator's FMFIA Assurance Statement, in part, on the data in assurance statements submitted by GSA's senior managers. As head of an independent office within GSA, the Inspector General provides a statement of assurance on whether (1) the OIG met its major program objectives, (2) the system of internal controls work properly, and (3) the OIG achieved the FMFIA objectives.

1005.03 Assurance Statement Responsibilities

JE has responsibility for overseeing the annual assurance statement process across the OIG. Responsibilities include interacting with the Agency as the Inspector General's representative, providing guidance to OIG component heads and their staff on preparing statements, evaluating component submissions, making recommendations to the Inspector General on the content of the annual statement of assurance, and transmitting the Inspector General's signed statement to GSA.

1005.04 Assurance Statement Process

To make a recommendation to the Inspector General, JE surveys the OIG's component heads annually on their assessment of the adequacy of management control techniques used in their respective components. The survey requires the component heads to determine whether their respective systems of management control, taken as a whole, achieve the objectives of the FMFIA. The response includes an attestation as to the adequacy of management controls for each component individually. In evaluating the component responses, JE follows-up with the components as necessary.
1005.05 Internal Control Review

Periodically, the Inspector General is required to perform a management control evaluation on OIG program functions. The evaluation, called an internal control review ("ICR"), occurs every three years for the Office of Audits and the Office of Investigations, and every five years for the remaining OIG components. Within the OIG, JE has responsibility for planning and overseeing the OIG ICR.

1005.06 Internal Control Review Responsibilities

During the ICR, each component head has responsibility to perform a detailed review of his or her component, and the results of those reviews become incorporated into the Inspector General's ICR Statement. Components required to perform an internal review will designate a liaison, or an internal control team, to interact with JE throughout the review. The component internal review will incorporate the required seven steps as noted below.

JE has responsibility for ensuring that the components complete their internal reviews, providing detailed guidance and support to the components as needed. JE evaluates the results of the component's review, including supporting materials, and follows up with the components as necessary. In addition to the component's supporting materials, JE assesses whether the component's management controls meet the objectives of the FMFIA.

JE communicates the results of the OIG ICR to the Inspector General and drafts a recommended Inspector General ICR Statement. JE transmits the signed Inspector General ICR Statement to the Agency at the conclusion of the process. JE serves as OIG liaison with the Agency for all matters pertaining to the OIG ICR, including keeping GSA ICR managers apprised of the OIG schedule.

1005.07 Seven Steps of an Internal Control Review

When conducting an internal control review, each component must use the following seven steps:

Step 1 – Planning and Document Review

Step 2 – Defining the Component

Step 3 – Risk Management

Step 4 – Testing Key Controls
Step 5 – Evaluating Results

Step 6 – Recommendations

Step 7 – Reporting and Review Approval

During the course of an ICR, JE will provide detailed guidance on how to conduct each of these steps.

1005.08 FMFIA Record Management

The GSA File Plan (schedule 11A045) classifies the FMFIA documentation as Management Improvement Reports, and the OIG follows the Agency’s File Plan for these records. Therefore, OIG must retain records it creates in accordance with the retention schedule GSA established. Schedule 11A045 requires custodians to maintain assurance statement records for five years from the end of the fiscal year in which the Agency issues the annual report to the President, and then destroy the records.

1005.09 Operational Assessments

The GSA OIG quality assurance function includes internal operational assessments. Operational assessments help to ensure that the OIG organization meets the quality standards applicable to federal Offices of Inspector General, including those prepared by the Council of Inspectors General on Integrity and Efficiency (CIGIE) and the Comptroller General of the United States, as well as the policy requirements of the OIG Manual.

The operational assessments, sometimes called management reviews or operational reviews, form an independent and objective assessment of the field or staff office under review and are conducted at the direction of the Inspector General. Operational assessments impartially evaluate: (1) administrative, managerial, and organizational culture in support of the OIG mission; (2) compliance with quality standards adopted by CIGIE, as well as OIG policies and procedures; and (3) efficiency and effectiveness in meeting mission responsibilities. Operational assessments supplement, but do not replace, line managers' responsibilities. JE keeps the Inspector General, Deputy Inspector General, and Associate Inspector General informed of its quality assurance operations.
1005.10 Operational Assessment Procedures

JE conducts operational assessments in phases, as follows:

• Preparation Phase: Prior to meeting with the office’s management and staff, JE reviews project files (e.g., audit working papers, investigative case files), staffing and personnel actions, as appropriate, prior inspection reports, workload statistics (including performance measures), travel records, purchase card transactions, time and attendance records, financial disclosure forms, performance inspections, and any other information JE deems relevant for the review. JE may also solicit information from the office’s senior management and from other OIG components.

• Fieldwork Phase: The field work phase may include onsite visits, surveys, data collection and analysis, or other evaluative techniques designed to focus on the office’s administration and operations, as well as employee relations issues. During the onsite visit, JE reviews physical layout, equipment inventory, and security. JE also examines staffing activity (training, awards, morale, supervision, and office communications) and administrative activity (time and attendance, travel, and procurement). In addition, JE interviews stakeholders (i.e., representatives from GSA management, U.S. Attorney’s Offices, and other law enforcement agencies) as appropriate. During the field work phase, JE endeavors to keep management informed of issues as they arise, to ensure that management has an opportunity to present information, when necessary, to clarify inaccuracies.

• Reporting Phase. At the end of the field work, JE holds an exit conference to communicate the results of the operational assessment, including both noteworthy accomplishments and material issues. The responsible manager may invite subordinate managers to attend the exit conference. JE provides the Inspector General, Deputy Inspector General, and Associate Inspector General a briefing of the assessment results immediately after the field work phase, and provides a written report at the conclusion of the process. JE also communicates an oral summary of the assessment results to the applicable component head, but releases the written report to the respective component’s senior management only if authorized by the Inspector General. Those issues needing national attention are reported to the appropriate senior level manager(s).

• Follow-up Phase. When appropriate, JE obtains a plan of corrective action covering deficiencies identified during the review. The corrective plan should include management’s actions to remedy deficiencies, a timeline, and desired results. JE reviews adherence to the corrective action plan with a follow-up review, which could include an onsite visit.
1005.10A Operational Assessment Scheduling

JE conducts operational assessments at the direction of the Inspector General, with JE making recommendations based on relevant risk factors. Component heads also may request quality assurance assistance from JE.

JE will notify the component head and office manager (i.e., RIGA, SAC, Director) in advance of a planned review, including proposed dates for the onsite visit. When scheduling the onsite visit, JE should make every attempt to accommodate the component’s schedule and other pressing matters.

1005.11 Operational Assessment – Component Assistance

The component head, office manager, and staff of the office under review will cooperate with JE during each phase of the review, including providing prompt, accurate, and complete responses, and providing prompt access to all documentation and information sought. The office manager shall make office space available for dedicated use by the review staff during the onsite visit. Such office space must provide sufficient privacy for sensitive discussions and materials. OIG personnel will meet with the review staff when requested.

JE may request additional OIG personnel to assist with a specific operational assessment, and component heads should provide appropriate staff for this purpose.

1005.12 Questionable Charges and Delinquent Accounts

As part of the OIG quality assurance function, JE administers the OCFO questionable charges and delinquent account inquiries pertaining to OIG purchase cards and travel cards. JE serves as liaison with the Agency for questionable purchase card and travel card matters on the part of OIG employees. For such matters, JE initiates an inquiry within the OIG to determine whether an OIG official authorized the transaction and whether the transaction appears both necessary and for official use. If appropriate, the inquiry also seeks to determine whether corrective action occurred.

1005.13 Questionable Charges and Delinquent Accounts – Initial Inquiry

On a monthly basis, the OCFO notifies the OIG, including JE, of purchase card or travel card transactions identified as questionable and accounts identified as delinquent. JE then requests a response from the affected OIG component. Each OIG component will identify a point of contact for handling these inquiries, and JE conducts the inquiry through that contact rather than contacting the OIG employee directly.
1005.14 Questionable Charges and Delinquent Accounts – Component Responsibility

Upon receipt of a questionable transaction or delinquent account inquiry, component management must review the report and respond to JE in a timely manner. For questionable transactions, the response must include supporting documentation, indicate whether the transaction was authorized, necessary, and for official business, and if appropriate, whether the component took corrective action. A format for response is provided by OCFO. For delinquent accounts, management's response must include information on whether the employee has paid the account and whether management took appropriate action, such as counseling.

1005.15 Questionable Charges and Delinquent Accounts – Reporting

Once the inquiry has concluded, JE must respond to the Agency. To preserve OIG independence, JE does not provide details on OIG internal matters or the type or manner of corrective action.

Effective Date 12/15/2014

1006.00 RECORDS OFFICER

1006.01 Records Officer

The OIG Records Officer, who serves as liaison with the Agency on record management, is located within JE. The Records Officer provides guidance and assistance OIG-wide on records management issues, including conducting records inventories, adjusting the OIG File Plan, drafting internal OIG policy, arranging appraisal of permanent records, and guiding components on transmitting records to the National Records Center.

Any OIG employee may request record management guidance or assistance from the Records Officer, provided the employee's component authorizes such requests either categorically or on a case-by-case basis.
1007.00 PROJECT INITIATION

1007.01 Project Initiation

The Inspector General, Deputy Inspector General, or Associate Inspector General assigns special projects and reviews. Such projects may derive from a Congressional inquiry, OIG Hotline complaint, or other sources. JE frequently develops proactive forensic auditing projects on its own initiative, or in concert with another OIG component or a law enforcement organization. The initiation of an inspection may result from annual planning; management requests; program/process information obtained during an ongoing inspection; or from other sources.

JE may also accept requests for assistance for forensic auditing support from the Office of Investigation, Office of Audits, or Office of Administration provided the project meets the following criteria:

- Falls within the purview of the Inspector General Act of 1978, as amended;
- Involves professional skill sets that exist within JE;
- Would not consume more staff resources than JE has available; and
- In the Director’s opinion the project has a strong likelihood of producing a substantial outcome.

The Director (1) approves the initiation of a review, (2) assigns a responsible Senior Management Analyst/Senior Auditor, and (3) assigns the appropriate staff to the project. Once the staff has been assigned, project objectives will be established by the responsible Senior Management Analyst/Senior Auditor in consultation with the Director or Deputy Director. Review objectives may include the following:

- Assessing the adequacy of internal controls including the assessment of risk for fraud, waste, or abuse.
- Assessing the efficiency and effectiveness of programs and operations.
- Providing independently-gathered factual information.
- Supporting audits and/or investigations by performing specific analytical reviews.
- Assessing program results.

Preliminary steps for an inspection project initiation will include:
1. Obtaining a unique project number from the JE case database.
2. Certifying independence.
3. Setting up the project in TeamMate.
4. Determining whether notification to Agency management is necessary and issuing an engagement memorandum if required.
5. Making a determination of whether a formal entrance conference is needed. In general, a formal entrance conference should be held.
6. Determining stakeholder concerns that may need to be included in the review.
7. Gathering information to (1) determine whether the potential issues could have merit, (2) ascertain the complexity of the review and the availability of data, and (3) identify the potential inspection steps and analytical methodologies necessary to achieve the inspection objectives.
8. Engage the JE Evaluations Attorney for any necessary legal research and analysis to identify the legal framework for the inspection.

Effective Date 12/15/2014

1008.00 REFERRALS TO THE OFFICE OF INVESTIGATIONS

1008.01 Referrals to the Office of Investigations

Using various analytical tools and techniques, forensic examiners determine whether data analyses present indications of fraud, waste or abuse, and refer the suspected activities, subjects, and supporting analysis to the Office of Investigation for consideration. When called upon, the forensic examiner should assist the investigator by formulating language to be included in any subpoena.

Effective Date 12/15/2014

1009.00 INTERAGENCY COMMITTEES AND WORKING GROUPS

1009.01 Interagency Committees and Working Groups

JE fosters an environment of professional development by encouraging staff to participate actively in both intra- and inter-agency committees and working groups. Prior supervisory approval is required for participation in any outside committee or working group.
APPENDICES

Appendix A - Report of Continuing Professional Education
Appendix B - Independence
Appendix C - Management Decision Record for Inspections
Footnotes
APPENDIX A

Fare Card Log for Card ______

Amounts Put on Fare Card:

<table>
<thead>
<tr>
<th>Date</th>
<th>Amount</th>
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</tbody>
</table>

Fare Card Usage

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Date obtained</th>
<th>Date Returned</th>
<th>Location(s) traveled to</th>
<th>Amount left on card</th>
</tr>
</thead>
<tbody>
<tr>
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</table>
You have been approved for reimbursement of Interview travel expenses related to the Vacancy Announcement Number ______________________.

Instructions and guidance are provided below to assist you with your travel arrangements. All Interview travel arrangements will be made by the General Services Administration Office of Inspector General using the government Travel Management Center (ADTRAV).

Applicant Instruction and guidance:

1. Complete the attached Travel Authorization Form 87 (Attachment A). Fax, scan or email your completed form to the Approving Official or his/her designee for approval. Provide your full name and address on the Travel Authorization Form 87 as it appears on the identification you will use at the airport, train station etc. Please contact Barbara Pittman at 202-501-9157 (Barbara.pittman@gsaig.gov) with questions and help completing the form.
2. A copy of your approved Travel Authorization with Approving Official’s signature will be sent to you via the email address you provide. You must bring this copy with you to the interview.
3. In a separate email provide the Approving Official your preferred hotel if you are required to stay overnight, your departure and return airports (if applicable) and preferred times. You will be contacted to discuss available departure and return times based on airline availability. Upon approval of your request an itinerary will be forwarded to the email address you provide. You will be allowed an overnight stay if your home is more than 100 miles from the interview site.
4. No travel advances will be issued for your trip.
5. If additional assistance is required to complete the attached forms please contact your Approving Official.

Authorized expenses include:
- Transportation expenses (air, train)
- Per Diem expenses. If your travel exceeds 12 hours you will be entitled to per diem reimbursement based on the GSA travel regulations for the destination location. Please see the current allowable rates at www.gsa.gov/perdiem.
- Miscellaneous expenses include taxi fare from transportation site to interview site and to hotel if staying overnight.

Non-Authorized expenses include:
- Rental car
- Internet access charges at hotel or airplane or train
- Upgrades, early boarding fees
Upon completion of travel you will be required to submit a Travel Voucher Form 1012. Please complete box 1a-f and boxes 12 thru 13 (Attachment B) and an Electronic Funds Transfer (EFT) Enrollment Form (Attachment C) below. Fax both completed forms to your Approving Official within one week of completing your travel. You will need to include receipts for your transportation, hotel and any miscellaneous expenses exceeding $75.

Please note:

The interview candidate is accountable for all transportation tickets issued for use in performing pre-employment interview travel. Tickets must be safeguarded by the interview candidate. The interview candidate understands the personal liability for any unused airfare ticket issued to him/her if the interview trip is cancelled or rescheduled by the interview candidate. The interview candidate understands that he/she is bound by the same rules that apply to government travel.

Interview candidates are responsible for excess cost and any additional expenses that he or she incurs for personal preferences or convenience. The Government will not pay for excess costs resulting from circuitous routes, delays, exchanged tickets resulting in additional cost, luxury accommodations or services unnecessary or unjustified.

Interview candidates may subject themselves to criminal penalties if they knowingly present a false, fictitious, or fraudulent travel claim. (See 18 U.S.C. 287 and 1001)
Authorization, Agreement and Certification of Training

Section A - Trainee Information

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<table>
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<tr>
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<tbody>
<tr>
<td>1. Applicant's Name (Last, First, Middle Initial)</td>
<td>2. Social Security Number/Federal Employee Number</td>
</tr>
<tr>
<td>3. Date of Birth (yyyy-mm-dd)</td>
<td></td>
</tr>
<tr>
<td>4. Home Address (Number, Street, City, State, ZIP Code) (Optional)</td>
<td>5. Home Telephone</td>
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<td>(Optional) (Include Area Code)</td>
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<tr>
<td>7. Organization Mailing Address (Branch-Division/Office/Bureau/Agency)</td>
<td>8. Office Telephone</td>
</tr>
<tr>
<td>10. Position Title</td>
<td>11. Does applicant need special accommodation?</td>
</tr>
<tr>
<td></td>
<td>Yes</td>
</tr>
<tr>
<td>(click link to view codes or go to page 7)</td>
<td>15. Series</td>
</tr>
<tr>
<td></td>
<td>17. Step</td>
</tr>
</tbody>
</table>

Section B - Training Course Data

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>1a. Name and Mailing Address of Training Vendor (No., Street, City, State, ZIP Code)</td>
<td>1b. Location of Training Site (if same, mark box)</td>
</tr>
<tr>
<td>1c. Vendor Telephone Number</td>
<td>1d. Vendor Email Address</td>
</tr>
<tr>
<td>2a. Course Title</td>
<td>2b. Course Number Code</td>
</tr>
<tr>
<td>3. Training Start Date (Enter Date as yyyy-mm-dd)</td>
<td>4. Training End Date (Enter Date as yyyy-mm-dd)</td>
</tr>
<tr>
<td>5. Training Duty Hours</td>
<td>6. Training Non-Duty Hours</td>
</tr>
<tr>
<td>7. Training Purpose Type</td>
<td>8. Training Type Code</td>
</tr>
<tr>
<td>(Click link to view codes or go to page 9)</td>
<td>(Click link to view codes or go to page 9)</td>
</tr>
<tr>
<td>9. Training Sub Type Code</td>
<td>10. Training Delivery Type Code</td>
</tr>
<tr>
<td>(Click link to view codes or go to page 9)</td>
<td>(Click link to view codes or go to page 12)</td>
</tr>
<tr>
<td>11. Training Designation Type Code</td>
<td>12. Training Credit</td>
</tr>
<tr>
<td>(Click link to view codes or go to page 13)</td>
<td>13. Training Credit Type Code</td>
</tr>
<tr>
<td></td>
<td>(Click link to view codes or go to page 13)</td>
</tr>
<tr>
<td>14. Training Accreditation Indicator</td>
<td>15. Continued Service Agreement Required Indicator (Check below)</td>
</tr>
<tr>
<td>(Check below)</td>
<td>Yes</td>
</tr>
<tr>
<td>16. Continued Service Agreement Expiration Date (Enter date as yyyy-mm-dd)</td>
<td>17. Training Source Type Code</td>
</tr>
<tr>
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<td>(Click link to view codes or go to page 13)</td>
</tr>
<tr>
<td>18. Training Objective</td>
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Section C - Costs and Billing Information

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<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>1. Direct Costs and Appropriation / Fund Chargeable</td>
<td>2. Indirect Costs and Appropriation / Fund Chargeable</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Item</td>
<td>Amount</td>
<td>Appropriation Fund</td>
<td>Item</td>
</tr>
<tr>
<td>a. Tuition and Fees</td>
<td>$</td>
<td></td>
<td>a. Travel</td>
</tr>
<tr>
<td>b. Books &amp; Material Costs</td>
<td>$</td>
<td></td>
<td>b. Per Diem</td>
</tr>
<tr>
<td>c. TOTAL</td>
<td>$</td>
<td></td>
<td>c. TOTAL</td>
</tr>
<tr>
<td>3. Total Training Non-Government Contribution Cost</td>
<td></td>
<td></td>
<td>6. BILLING INSTRUCTIONS (Furnish invoice to):</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>4. Document / Purchasing Order / Requisition Number</td>
<td></td>
<td></td>
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<tr>
<td>5. 6 - Digit Station Symbol (Example - 12-34-5678)</td>
<td></td>
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</tbody>
</table>
### Section D - APPROVALS

1a. Immediate Supervisor - Name and title

1b. Area Code / Telephone Number

1c. Email Address

1d. Signature

1e. Date

2a. Second-line Supervisor - Name and title

2b. Area Code / Telephone Number

2c. Email Address

2d. Signature

2e. Date

3a Training Officer - Name and title

3b. Area Code / Telephone Number

3c. Email Address

3d. Signature

3e. Date

### Section E - APPROVALS / CONCURRENCE

1a. Authorizing Official - Name and title

1b. Area Code / Telephone Number

1c. Email Address

1d. Signature

1e. Date

[ ] Approved  [ ] Disapproved

### Section F - CERTIFICATION OF TRAINING COMPLETION AND EVALUATION

1a. Authorizing Official - Name and title

1b. Area Code / Telephone Number

1c. Email Address

1d. Signature

1e. Date

TRAINING FACILITY – Bills should be sent to office indicated in item C6. Please refer to number given in item C4 to assure prompt payment.
Privacy Act Statement

Authority – This information is being collected under the authority of 5 U.S.C. § 4115, a provision of The Government Employees Training Act.

Purposes and Uses – The primary purpose of the information collected is for use in the administration of the Federal Training Program (FTP) to document the nomination of trainees and completion of training. Information collected may also be provided to other agencies and to Congress upon request. This information becomes a part of the permanent employment record of participants in training programs, and should be included in the Governmentwide electronic system, (the Enterprise Human Resource Integration system (EHRI) and is subject to all of the published routine uses of that system of records.

Effects and Nondisclosure – Providing the personal information requested is voluntary; however, failure to provide this information may result in ineligibility for participation in training programs or errors in the processing of training you have applied for or completed.

Information Regarding Disclosure of your Social Security Number (SSN) Under Public Law 93-579, Section 7(b) – Solicitation of SSNs by the Office of Personnel Management (OPM) is authorized under provisions of the Executive Order 9397, dated November 22, 1943. Your SSN will be used primarily to give you recognition for completing the training and to accumulate Governmentwide training statistical data and information. SSNs also will be used for the selection of persons to be included in statistical studies of training management matters. The use of SSNs is necessary because of the large number of current Federal employees who have identical names and/or birth dates and whose identities can only be distinguished by their SSNs.
Continued Service Agreement

Employees, who are selected to training for more than a minimum period as prescribed in Title 5 USC 4108 and 5 CFR 410.309, see your supervisor for more information on the internal policies to implement a continued service agreement.

Employees Agreement to Continue in Service

To be completed by applicant:

1. I AGREE that, upon completion of the Government sponsored training described in this authorization, if I receive salary covering the training period, I will serve in the agency three (3) times the length of the training period. If I received no salary during the training period, I agree to serve the agency for a period equal to the length of training, but in no case less than one month. (The length of part-time training is the number of hours spent in class or with the instructor. The length of full-time training is eight hours for each day of training, up to a maximum of 40 hours a week).

NOTE: For the purposes of this agreement the term “agency” refers to the employing organization (such as an Executive Department or Independent Establishment), not to a segment of such organization.

2. If I voluntarily leave the agency before completing the period of service agreed to in item 1 above, I AGREE to reimburse the agency for fees, such as the tuition and related fees, travel, and other special expenses (EXCLUDING SALARY) paid in connection with my training. These fees are reflected in Section C Costs and Billing Information. Note: Additional information about fees and expenses can be found in the Guide to Human Resource Reporting (GHRR).


3. I FURTHER AGREE that, if I voluntarily leave the agency to enter the service of another Federal agency or other organization in any branch of the Government before completing the period of service agreed, I will give my organization written notice of at least ten working days during which time a determination concerning reimbursement will be made. If I fail to give this advance notice, I AGREE to pay the full amount of additional expenses 5 U.S.C. 4108 (a) (2) incurred by the Government in this training.
4. I understand that any amount of money which may be due to the agency as a result of any failure on my part to meet the terms of this agreement may be withheld from any monies owed me by the Government, or may be recovered by such other methods as are approved by law.

5. I FURTHER AGREE to obtain approval from my organization and the person responsible for authorizing government training requests of any proposed change in my approved training program involving course and schedule changes, withdrawals or incompletions, and increased costs.

6. I acknowledge that this agreement does not in any way commit the Government to continue my employment. I understand that if there is a transfer of my service obligation to another Federal agency or other organization in any branch of the Government, the agreements will remain in effect until I have completed my obligated service with that other agency or organization.

Period of obligated Service: _______________________________

Employee’s Signature: ________________________________

Date: ________________
Agency Training Electronic Reporting Instructions

General Instructions:

1. You must complete all questions in sections A-E on the training application. In addition, your financial institution must complete Section F Certification of Training Completion and Evaluation section.

2. Electronic Requirements - An agency should only submit data for completed training that is defined as a training event for which the student has accomplished all components in the title of the event.

3. Collection of training data requires completed training events and that all mandatory data elements have been recorded. Training may vary from agency to agency. This form provides conformity and standardization for the required core data.

4. Codes for underlined elements will link you to the chart. Identify the correct code, then return to the form (links will not automatically return you to the form).

Section A - Trainee Information

1. Applicant's Name - Last Name, First Name, Middle Initial.

2. Social Security Number - Use employee's nine (9) digit SSN. (123-45-6789)
   OR
   Federal Employee Number - The unique number that Enterprise Human Resources Integration (EHRI) will assign to an employee to identify employee records within the EHRI system. (Agency)

3. Date of Birth (format yyyy-mm-dd) - Employee's date of birth (e.g. if employee's birth date is March 25, 1951, it would appear as (1951-03-25).

4. Home Address - Employee's home address, include the street number, city, state, and zip code.

5. Home Telephone Number - Employee's area code, home telephone number.

6. Position Level - Select whether the employee's position level is one of the following:
   6a. Non supervisory - Anyone who does not have supervisory/team leader responsibilities.
   6b. Supervisory - First line supervisors who do not supervise other supervisors; typically those who are responsible for an employee's performance appraisal or approval of their leave.
   6c. Manager - Those in management positions who typically supervise one or more supervisors.
   6d. Executive - Members of the Senior Executive Service (SES) or equivalent.

7. Organization Mailing Address - This is the internal agency address of the employee Branch-Division/Office/Bureau/Agency, include the street name, city, state and zip code.

8. Office Telephone Number - Insert the employee's area code, office telephone number and extension.

9. Work E-mail Address - Agency e-mail address.

10. Position Title - Employee's current position within the agency.
Section A - Trainee Information (Continued)

11. Does Applicant Need Special Accommodations? - Indicate "Yes" or "No". If the applicant is in need of special arrangements (brailing, taping, interpreters, facility accessibility, etc), describe the requirements in the space provided or on a separate sheet.

12. Type of Appointment - The employee type of appointment (e.g., Career Conditional (CC), Career (C), Temporary (Temp.), Schedule A, etc.).

13. Education Level - Use the employee educational level codes listed below.

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
<th>Long Description (if Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>No formal education or some elementary school—did not complete</td>
<td>Elementary school means grades 1 through 8, or equivalent, not completed.</td>
</tr>
<tr>
<td>2</td>
<td>Elementary school completed—no high school</td>
<td>Grade 8 or equivalent completed.</td>
</tr>
<tr>
<td>3</td>
<td>Some high school—did not graduate</td>
<td>High school means grades 9 through 12, or equivalent.</td>
</tr>
<tr>
<td>4</td>
<td>High school graduate or certificate of equivalency</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Terminal occupational program—did not complete</td>
<td>Program extending beyond grade 12, usually no more than three years; designed to prepare students for immediate employment in an occupation or cluster of occupations; not designed as the equivalent of the first two or three years of a baccalaureate degree program. Includes cooperative training or apprenticeship consisting of formal classroom instruction coupled with on-the-job training.</td>
</tr>
<tr>
<td>6</td>
<td>Terminal occupational program—certificate of completion, diploma or equivalent</td>
<td>See code 5 above for definition of terminal occupational program. Two levels are recognized: (1) The technical and/or semi-professional level preparing technicians or semiprofessional personnel in engineering and nonengineering fields; and (2) the craftsman/clerical level training artisans, skilled operators, and clerical workers.</td>
</tr>
<tr>
<td>7</td>
<td>Some college—less than one year</td>
<td>Less than 30 semester hours completed.</td>
</tr>
<tr>
<td>8</td>
<td>One year college</td>
<td>0-59 semester hours or 45-89 quarter hours completed.</td>
</tr>
<tr>
<td>9</td>
<td>Two years college</td>
<td>60-89 semester hours or 90-134 quarter hours completed.</td>
</tr>
<tr>
<td>10</td>
<td>Associate Degree</td>
<td>2-year college degree program completed.</td>
</tr>
<tr>
<td>11</td>
<td>Three years college</td>
<td>90-119 semester hours or 135-179 quarter hours completed.</td>
</tr>
<tr>
<td>12</td>
<td>Four years college</td>
<td>120 or more semester hours or 180 or more quarter hours completed—no baccalaureate (Bachelor's) degree.</td>
</tr>
<tr>
<td>13</td>
<td>Bachelor's Degree</td>
<td>Requires completion of at least four, but no more than five, years of academic work; includes Bachelor's degree conferred in a cooperative business, industry, or Government to allow student to combine actual work experience with college studies.</td>
</tr>
</tbody>
</table>
### Section A - Trainee Information (Continued)

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
<th>Long Description (If Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>Post-Bachelor's</td>
<td>Some academic work beyond (at a higher level than) the Bachelor's degree but no additional higher degree.</td>
</tr>
<tr>
<td>15</td>
<td>First professional</td>
<td>Signifies the completion of academic requirements for selected professions that are based on programs requiring at least two academic years of previous college work for entrance and a total of at least six academic years of college work for completion, e.g., Dentistry (D.D.S. or D.M.D.), Law (LL. B. or J.D.), Medicine (M.D.), Theology (B.D.), Veterinary Medicine (D.V.M.), Chiropody or Podiatry (D.S.C. or D.P.), Optometry (O.D.), and Osteopathy (D.O.).</td>
</tr>
<tr>
<td>16</td>
<td>Post-first professional</td>
<td>Some academic work beyond (at a higher level than) the first professional degree but no additional higher degree.</td>
</tr>
<tr>
<td>17</td>
<td>Master's degree</td>
<td>For liberal arts and sciences customarily granted upon successful completion of one (sometimes two) academic years beyond the Bachelor's degree. In professional fields, an advanced degree beyond the first professional but below the Ph.D., e.g., the LL.M.; M.S. in surgery following the M.D.; M.S.D., Master of Science in Dentistry; M.S.W., Master of Social Work, and MA, Master of Arts.</td>
</tr>
<tr>
<td>18</td>
<td>Post-Master's</td>
<td>Some academic work beyond (at a higher level than) the Master's degree but no additional higher degree.</td>
</tr>
<tr>
<td>20</td>
<td>Post-sixth year</td>
<td>Some academic work beyond (at a higher level than) the sixth-year degree but no additional higher degree.</td>
</tr>
<tr>
<td>21</td>
<td>Doctorate degree</td>
<td>Includes such degrees as Doctor of Education, Doctor of Juridical Science, Doctor of Public Health, and the Ph.D. (or equivalent) in any field. Does not include a Doctor's degree that is a first professional degree, per code 15.</td>
</tr>
<tr>
<td>22</td>
<td>Post-Doctorate</td>
<td>Work beyond the Doctorate.</td>
</tr>
</tbody>
</table>

14. **Pay Plan** - The employee's pay plan. (e.g., GS, WG, ES...Pay Band)

15. **Series** - The position classification four digit series. (e.g., 0201)

16. **Grade** - The employee's grade level. (1-15)

17. **Step** - The employee must insert the appropriate step. (1-10)
Section B - Training Course Data

1a. **Name and Mailing Address of Training Vendor** - Street number, city, state, and ZIP code of the appropriate vendor. (Agency specific)

1b. **Location of the Training Site** - Provide mailing address of the training site if different from 1a. (Agency specific)

1c. **Vendor Telephone Number** - Self explanatory. (Agency specific)

1d. **Vendor E-mail Address** - Self explanatory. (Agency specific)

2a. **Course Title** - Insert the title of the course or the program that the employee is scheduled to complete.

2b. **Course Number Code** - Insert the Course Number Code.

3. **Training Start Date** - Insert the start date of the training completed by the employee. (yyyy-mm-dd)

4. **Training End Date** - Insert the end date of the training completed by the employee. (yyyy-mm-dd)

5. **Training Duty Hours** - Insert the number of duty hours for training.

6. **Training Non Duty Hours** - Insert the number of non-duty hours for training.

7. **Training Purpose Type** - Insert the purpose for taking this course or program using the appropriate training purpose type code.

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
<th>Long Description (If Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Program/Mission</td>
<td>Training to provide the knowledge, skills and abilities needed as a result of agency mission, policies, or procedures.</td>
</tr>
<tr>
<td>02</td>
<td>New Work Assignment</td>
<td>Training to acquire the knowledge, skills and abilities needed as a result of assignment to new duties and responsibilities when such training is not part of a planned, career development program (e.g., training provided to a staffing specialist who has been newly assigned to a position involving classification duties).</td>
</tr>
<tr>
<td>03</td>
<td>Improve/Maintain Present Performance</td>
<td>Training to provide the knowledge, skills and abilities needed to improve or maintain proficiency in present job.</td>
</tr>
<tr>
<td>04</td>
<td>Future Staffing Needs</td>
<td>Training to provide the knowledge, skills, and abilities needed to meet future staffing needs (e.g., to implement succession planning).</td>
</tr>
<tr>
<td>05</td>
<td>Develop Unavailable Skills</td>
<td>Training to acquire the knowledge, skills and abilities needed for fields of work for which the labor market cannot produce a sufficient number of trained candidates (e.g., air traffic controllers or Information Technology (IT) professionals).</td>
</tr>
<tr>
<td>06</td>
<td>Retention</td>
<td>Training/education used to address staffing issue of retaining an employee (e.g., academic degree training).</td>
</tr>
</tbody>
</table>

8. **Training Type Code** - There are three (3) different Training Type Codes. The employee must select one from the Training Type Codes. (Select from the chart on pages 10-12.)

9. **Training Sub-Type Code** - There are Sub-Type Categories for each of the three (3) different Training Type Codes. Select one (1) Sub-Type Category code that applies to the training type code you selected. (Select from the chart on pages 10-12.)
<table>
<thead>
<tr>
<th>Training Type Code</th>
<th>Training Sub Type Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 - Legal</td>
<td>Education or training in the concepts, principles, and theories, or techniques of law.</td>
</tr>
<tr>
<td>02 - Medical and Health</td>
<td>Education or training in the concepts, principles, and theories, or techniques of medicine.</td>
</tr>
<tr>
<td>03 - Scientific</td>
<td>Education or training in the concepts, principles, and theories, or techniques of disciplines such as the physical, biological, natural, and social sciences; education; economics; mathematics; or statistics.</td>
</tr>
<tr>
<td>04 - Engineering or Architecture</td>
<td>Education or training in the concepts, principles, and theories, or techniques of disciplines such as architecture and engineering.</td>
</tr>
<tr>
<td>05 - Human Resources</td>
<td>Education or training in the concepts, principles, and theories of such fields as: public administration, personnel training, equal employment opportunity, human resources policy analysis, succession planning, performance management, classification, and staffing.</td>
</tr>
<tr>
<td>06 - Budget/Finance Business Administration</td>
<td>Education or training in the concepts, principles, and theories of business administration, accounts payable and receivable, auditing and internal control, and cash management.</td>
</tr>
<tr>
<td>07 - Planning and Analysis</td>
<td>Education or training in the concepts, principles, and theories of systems analysis; policy, program or management analysis; or planning, including strategic planning.</td>
</tr>
<tr>
<td>08 - Information Technology</td>
<td>Education and training in the concepts and application of data and the processing thereof; e.g., the automatic acquisition, storage, manipulation (including transformation), management, system analysis, movement, control, display, switching, interchange, transmission or reception of data, computer security and the development and use of the hardware, software, firmware, and procedures associated with this processing. This training type does not include any IT training on agency proprietary systems.</td>
</tr>
<tr>
<td>09 - Project Management</td>
<td>Education and training in the concepts, principles, and theories necessary to develop, modify, or enhance a product, service, or system which is constrained by the relationships among scope, resources, and time.</td>
</tr>
<tr>
<td>10 - Acquisition</td>
<td>Education or training in the concepts, principles, and theories related to the 1102 occupation, e.g., procurement, contracting.</td>
</tr>
<tr>
<td>11 - Logistic Specialty</td>
<td>Training for professional skills of a specialized nature in the methods and techniques of such fields as supply, procurement, transportation, or air traffic control.</td>
</tr>
<tr>
<td>12 - Security</td>
<td>Training of a specialized nature in the methods and techniques of investigation, physical security, personal security, and police science.</td>
</tr>
<tr>
<td>Training Type Code</td>
<td>Training Sub Type Code</td>
</tr>
<tr>
<td>--------------------</td>
<td>------------------------</td>
</tr>
</tbody>
</table>
| 01 - Training Program Area (continued) | 13 - Clerical (Non-supervisory clerical/administrative)  
Training in skills such as office management, typing, shorthand, computer operating, letter writing, telephone techniques; or word processing. |
|  | 14 - Trade and Craft  
Training in the knowledge, skills, and abilities needed in such fields as electronic equipment installation, maintenance, or repair; tool and die making; welding, and carpentry. |
|  | 15 - Foreign Affairs  
Training for professional skills of a specialized nature in the methods and techniques of such fields as foreign languages, foreign culture, diplomacy, or strategic studies. |
|  | 16 - Leadership/Manager/Communications Courses  
Training that addresses skill areas such as Leadership/Management and Communication (e.g., written, oral and interpersonal) coursework. |
| 02 - Developmental Training Area | 20 - Presupervisory Program  
Development/training program for non-supervisors. |
| Description: Formal developmental/training programs. | 21 - Supervisory Program  
Development/training program which provides education or training in supervisory principles and techniques in such subjects as personnel policies and practices (including equal employment opportunity, merit promotion, and labor relations); human behavior and motivation; communication processes in supervision, work planning, scheduling, and review; and performance evaluation for first-line supervisors. |
|  | 22 - Management Program  
Development/training program which provides mid-management level education or training in the concepts, principles, and theories of such subject matters as public policy formulation and implementation, management principles and practices, quantitative approaches to management, or management planning organizing and controlling. (Supervisors of supervisors; GS-14/15 supervisors; GS-14/15 direct reports to SES). |
|  | 23 - Leadership Development Program  
Formal developmental program that provides leadership training and development opportunities. |
|  | 24 - SES Candidate Development  
OPM-approved program to prepare potential SES members. |
|  | 25 - Executive Development  
Continuing development for leaders above the GS-15 level. |
|  | 26 - Mentoring Program  
Formal stand-alone program with established goals and measured outcomes. Open to all who qualify; protégés and mentors paired to facilitate compatibility, training and support provided, and company benefits directly. |
|  | 27 - Coaching Program  
Formal stand-alone program which provides ongoing partnership with an employee and coach that helps employee produce desired results in professional life. |
### Section B - Training Course Data (Continued)

<table>
<thead>
<tr>
<th>Training Type Code</th>
<th>Training Sub Type Code</th>
<th>Description: Fundamental and/or required training programs.</th>
</tr>
</thead>
<tbody>
<tr>
<td>03 - Basic Training Area</td>
<td>30 - Employee Orientation</td>
<td>Training of a general nature to provide an understanding of the organization and missions of the Federal Government, employing agency or activity, or a broad overview and understanding of matters of public policy.</td>
</tr>
<tr>
<td></td>
<td>31 - Adult Basic Education</td>
<td>Education or training to provide basic completeness in such subjects as remedial reading, grammar, arithmetic, lip reading or Braille.</td>
</tr>
<tr>
<td></td>
<td>32 - Federally Mandated Training</td>
<td>Mandatory training for all employees Governmentwide. This includes training mandated by federal statute or regulation; such as in the areas of computer security awareness (5 CFR 830.301-305), ethics (5 CFR 2638.703 and 704), or executives, managers, and supervisors (5 CFR Part 412).</td>
</tr>
<tr>
<td></td>
<td>33 - Work-life</td>
<td>Training to promote work-life (e.g., health and wellness training, employee retirement/benefits training, etc).</td>
</tr>
<tr>
<td></td>
<td>34 - Soft Skills</td>
<td>Training involving development of employees ability to relate to others (e.g., customer service, dealing with difficult people, etc).</td>
</tr>
<tr>
<td></td>
<td>35 - Agency Required Training</td>
<td>Agency specific training required by the agency and provided to Federal employees in order to achieve the goals and objectives of the Agency as needed. For example: agency training based on Inspector General's Audit; agency training aimed at improving individual's needs based on Performance Improvement Plan (PIP); agency training based on signing agreement between Union and Management.</td>
</tr>
</tbody>
</table>

### Training Delivery Type Code –

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
<th>Long Description (If Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Traditional Classroom (no technology)</td>
<td>Individual or multiple person led, face-to-face training.</td>
</tr>
<tr>
<td>02</td>
<td>On the Job</td>
<td>Formal methods/activities planned and structured to promote learning by doing; e.g., detail assignments/programs.</td>
</tr>
<tr>
<td>03</td>
<td>Technology Based</td>
<td>Methods mainly using technology, which may include tutorials embedded in software, CD ROM products, Web-based courses, and interactive media.</td>
</tr>
<tr>
<td>04</td>
<td>Conference/workshop</td>
<td>An organized learning event which has an announced educational or instructional purpose; more than half the time is scheduled for a planned, organized exchange of information between presenters and audience which meets the definition of training in 5 U.S.C. 4110; content of the conference/retreat is germane to improving individual and/or organizational performance; and developmental benefits will be derived through the employee's attendance.</td>
</tr>
<tr>
<td>05</td>
<td>Blended</td>
<td>Training that requires two or more methods of delivery that must be completed in order to satisfy the educational requirements.</td>
</tr>
<tr>
<td>06</td>
<td>Correspondence</td>
<td>Self-study course material: Training provided via the assignment of non-interactive methods such as a book, document, regulation, or manual.</td>
</tr>
</tbody>
</table>
Section B - Training Course Data (Continued)

11. **Training Designation Type Code** - Select and insert the appropriate training credit designation type code:

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
<th>Long Description (If Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Undergraduate Credit</td>
<td>N/A</td>
</tr>
<tr>
<td>02</td>
<td>Graduate Credit</td>
<td>N/A</td>
</tr>
<tr>
<td>03</td>
<td>Continuing Education Unit</td>
<td>N/A</td>
</tr>
<tr>
<td>04</td>
<td>Post Graduate Credit</td>
<td>N/A</td>
</tr>
<tr>
<td>05</td>
<td></td>
<td>N/A</td>
</tr>
</tbody>
</table>

12. **Training Credit** - Amount of academic credit hours or continued education units (1, 1.5, or .75) earned by the employee for the completed training. (This should be completed by the agency).

13. **Training Credit Type Code** - Select and insert the appropriate training credit designation type code:

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Semester Hours</td>
</tr>
<tr>
<td>02</td>
<td>Quarter Hours</td>
</tr>
<tr>
<td>03</td>
<td>Continuing Education Unit</td>
</tr>
</tbody>
</table>

14. **Training Accreditation Indicator** - Insert a Yes (Y) or No (N).

15. **Continued Service Agreement Required Indicator** - Insert Yes (Y) or No (N) or non applicable (N/A) in appropriate space. (Agency response.)

16. **Continued Service Agreement Expiration Date** - (Enter date as yyyy-mm-dd).

17. **Training Source Type Code** -

<table>
<thead>
<tr>
<th>Code</th>
<th>Short Description</th>
<th>Long Description (If Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Government Internal</td>
<td>Training provided by a Federal department, agency, or independent establishment for its own employees.</td>
</tr>
<tr>
<td>02</td>
<td>Government External</td>
<td>Training provided by an interagency training activity, or a Federal department, agency, or independent establishment other than the one which currently employs the trainee.</td>
</tr>
<tr>
<td>03</td>
<td>Non-government</td>
<td>Sources include commercial or industrial concern, educational institutions, professional societies or associations, or consultants or individuals who are not Government employees, (but are contracted to develop and/or provide training course or program.)</td>
</tr>
<tr>
<td>04</td>
<td>Government State/Local</td>
<td>Training provided by a state, county, or municipal Government. Education provided by State-operated or other public educational institutions is reported as non-Government.</td>
</tr>
<tr>
<td>05</td>
<td>Foreign Governments and Organizations</td>
<td>Training provided by non United States entities which may or may not be outside the United States.</td>
</tr>
</tbody>
</table>

18. **Training Objectives** - It is important that the objectives for the employee(s) enrolling in this course or program is related to the strategic objectives of the organization for which the employee works. Provide text to explain how the training event meets agency objective(s) and purpose type.

19. **Agency Use Only** - For use by an agency as needed.
Section C - Costs and Billing Information

1. Direct costs and appropriation/fund chargeable
   a. Training Tuition and Fees Cost - Insert the actual/final cost of training tuition and fees for training completed by the employee that was paid for by the Federal Government.
   c. Total Cost - Insert the actual/final cost.

2. Indirect costs and appropriation/fund chargeable
   a. Training Travel Cost - Insert the actual/final travel cost excluding per diem for training completed by the employee that was paid for by the Federal Government.
   b. Training Per Diem Cost - Insert the actual/final per diem cost (e.g., meals, lodging, miscellaneous expenses) for training completed by the employee that was paid for by the Federal Government.
   c. Total Cost - Insert the actual/final cost.

3. Total Training Non-Government Contribution Cost - Insert the cost contributed by the employee or other non-Government organizations for the training completed by the employee.

4. Document/Purchase Order/Requisition Number - Enter Document/Purchase Order/Requisition Number for reimbursement of training costs to responsible Training Vendor. This number is to be referenced in the billing process.

5. 8-Digit Station Symbol - Fill in 8-digit station symbol of the nominating Agency Finance Office.

6. Billing Instructions - Enter name and mailing address of nominating Agency Finance Office for billing purposes.

Section D - Approvals

1-3e. Approvals - To be completed by the employee's immediate and/or second-line supervisor(s) before submission of application to nomination Agency Training Office.

Section E - Approvals/Concurrence

1-1e. Approval/Concurrence - To be completed by the nominating Agency Official who is authorized to approve or disapprove request.

Section F - Certification of Training Completion and Evaluation

NOTE: Agency Certifying Officials are certifying the employee has completed the requirements for the training and an evaluation has been completed. The requirement to evaluate training is found in 5 CFR 410.601. The agency head shall evaluate training to determine how well it meets short and long-range program needs of the agency and the individual. The needs should be aligned with the strategic plan to strengthen and develop the performance and behavior of the individual whose positive results will impact the performance of the agency.
General Services Administration Office of Inspector General (GSA OIG) policy
requires employees selected for training in excess of 80 hours or at a cost of $3,000 or more
inclusive of all related expenses, complete a service agreement before approval of the training.
The period of service will equal at least ten times the length of the training, to begin upon the
employee's return to duty following training completion.
Nothing in this agreement shall be construed as limiting the authority of an agency to waive,
in whole or in part, an obligation of an employee to pay expenses incurred by the
Government in connection with the training.
Approving officials will retain a copy of each signed agreement and monitor execution of the
obligation period.

a. I AGREE that upon completion of the training described below [or “in Section B of the attached
SF-182], I will serve in the GSA OIG ten times the length of the training period. The length of part
time training is the number of hours spent in class or with the instructor. The length of full-time
training is eight hours for each day of training, up to a maximum of 40 hours a week.

Course Title:
Course Dates:
Course Hours:

b. If I voluntarily leave the GSA OIG and the Federal service before completing the period of
service agreed to in item a above, I AGREE to reimburse the GSA OIG for the registration fees,
tuition and matriculation fees, library and laboratory fees, purchase or rental of books, materials,
supplies, travel, per diem, and miscellaneous other related training program costs (EXCLUDING
salary) paid in connection with my training. However, the amount of the reimbursement will be
reduced on a pro rata basis for the percentage of completion of the obligated service. (For
example, if the cost of training is $900 and I complete two-thirds of the obligated service, I will
reimburse the GSA OIG $300 instead of the original $900.)

c. If I voluntarily leave the GSA OIG to enter service of another Federal agency or other
organization in any branch of the Government before completing the period of service agreed to in
item a above, I will give the Human Resources Division (JPH) advance notice during which time, a
determination concerning reimbursement of the remaining service obligation will be made.
Requests to waive repayment of training dollars will be sent to the JP Front Office.

d. I understand that any amounts which may be due to the employing agency as a result of any
failure on my part to meet the terms of this agreement may be withheld from any monies owed
me by the Government, or may be recovered by such other methods as are approved by law.

e. I acknowledge that this agreement does not in any way commit the Government to continue my
employment.

Period of obligated service:
FROM (enter date): _______ TO (enter date): _______

I am not receiving any contributions, awards, or payments in connection with this training, from
any other government agency or non-Government organization and shall not accept such without
first obtaining approval from the authorizing training official. I agree that should I fail to complete
the requested training successfully, due to circumstances within my control, I will reimburse the
agency for all training costs excluding salary associated with my attendance.

Trainee Signature  Date Signed

Code of Federal Regulations: Title 5, Ch 410.309(c)
GSA-OIG Telework Agreement

Instructions: Every OIG employee must complete this form. OIG employees who decline telework need only complete sections A, B & F of the Form. OIG employees who wish to telework must complete the Form in its entirety. Employees should complete section C in consultation with their supervisors. A new Telework Agreement must be completed whenever there is a change to the information contained on this form.

A. IDENTIFYING INFORMATION

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Region/Service:</td>
<td>Organizational Component:</td>
</tr>
<tr>
<td>Employee’s Business Telephone:</td>
<td>Date Form Submitted:</td>
</tr>
<tr>
<td>Employee’s Email Address:</td>
<td></td>
</tr>
</tbody>
</table>

B. TELEWORK ELECTION

- [ ] I Choose to Telework
- [ ] I Decline to Telework

C. INFORMATION REGARDING ELECTION TO TELEWORK

Proposed Telework Start Date:

Employee’s Responsible Management Official (RMO) or designee:

Address of Telework Worksite:

Address of Official Worksite:

Telework Worksite Phone Number(s):

Telework Arrangement

- [ ] Regular – Telework occurring on a regular, recurring, and ongoing basis on an established schedule of not more than two (2) days per pay period, generally.
  - [ ] One day
  - [ ] Two days
  - [ ] Other: ______________

Note: Employees may request different telework days for the first and second weeks of the pay period, subject to supervisor approval. Furthermore, a regular teleworker may also telework on a situational basis and/or in response to an emergency.

First Week of Pay Period:

<table>
<thead>
<tr>
<th>M</th>
<th>Tu</th>
<th>W</th>
<th>Th</th>
<th>F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telework Official Duty Hours</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Second Week of Pay Period:

<table>
<thead>
<tr>
<th>M</th>
<th>Tu</th>
<th>W</th>
<th>Th</th>
<th>F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telework Official Duty Hours</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
D. ASSIGNMENTS & COMMUNICATION

Instructions: This section should be completed by the EMPLOYEE & SUPERVISOR. The supervisor and employee should address the types of work to be performed while teleworking; communicate expectations regarding availability, frequency and methods; and discuss document handling procedures. Record those details here:

1. Work Duties
   Note: Supervisors and employees may note here that teleworking assignments will be determined on a case-by-case basis.

2. Communication Expectations

3. Document Handling

E. ADDITIONAL TERMS & CONDITIONS

1. Employee Telework Readiness, including Emergency Situations

The Employee has read and understands the GSA OIG Telework Policy (GSA Order OIG P 5410.1B, GSA-OIG Policies and Procedures Manual, § 419.00) and will work in accordance with that policy. Specifically, the Employee understands that he/she may be required to telework or take unscheduled leave in an emergency situation, including those that result in an official announcement of an operating status under which OIG offices are closed. This requirement applies to all employees who are telework-ready.
The equipment necessary to accomplish the Employee’s work at an alternate worksite is available to the Employee in accordance with appropriate GSA OIG policy. The Employee is aware of and has completed appropriate telework training.

2. Safety and Liability When Teleworking from Alternate Location

The Employee acknowledges and agrees that while the Employee is working at an alternate worksite the Government is not liable for any damages to the Employee’s or any other person’s personal or real property, unless expressly provided for under applicable Federal law. The Employee further acknowledges and agrees that the Employee, and not the Government, is responsible for ensuring the overall safety of any alternate worksite. By signing this agreement, the Employee certifies to the overall safety of any alternate worksite, including but not limited to: evacuation safety; presence of smoke detectors and fire extinguisher; ergonomically appropriate furnishings; lighting; and avoidance of electrical, fire, noise, and other safety hazards.

3. Federal Employees’ Compensation Act

Employees suffering injury or occupational illness at the alternate worksite during the course of performing official duties may be covered by the Federal Employees' Compensation Act (workers' compensation). "Performing official duties" in a telework context is limited to those occasions when the Employee is actually engaged in official Government business. The Employee is required to notify his or her supervisor immediately of any accident or injury that occurs at the alternate worksite while performing official duties, complete any required forms, and substantiate if necessary. The scope of any coverage will be determined on a case-by-case basis.

4. Safeguarding Information

Teleworkers and supervisors must be aware of their obligation in reference to IT security and must demonstrate understanding of the privacy laws by completing the required privacy and IT security training. Teleworkers play a vital role in protecting GSA OIG from hackers and other cyber-attacks. It is the Employee’s responsibility to understand the agency’s policy and guidelines governing IT security. See, e.g., GSA IT Security Policy (GSA Order CIO P2100.1i) and Rules of Behavior (GSA Order CIO 2104.1A).

5. Privacy Act Statement

This form is used to collect data from GSA OIG employees entering into Telework Agreements pursuant to OIG P5410.1B, § 419, and Public Law 106-346, § 359 of Oct. 23, 2000. This information is subject to the Privacy Act of 1974 (5 U.S.C. Section 552a). The information collected on this form from employees who choose to telework is used to document position telework eligibility and facilitate implementation of individual telework arrangements. The information on this form may be disclosed: to appropriate Federal, State, or local agencies when relevant to civil, criminal, or regulatory investigations or prosecutions; to the Office of Personnel Management or the Government Accountability Office for evaluation of the program; to a Member of Congress or staff in response to a request for assistance by the employee of record; to another Federal agency or to a court under judicial proceedings; and to an expert, consultant, or contractor of GSA OIG when needed to further the implementation and operation of this program. Furnishing the information on this form, including your home address, is voluntary. However, failure to provide the requested information may lead to a denial of your request to telework.

F. CERTIFICATION

If I have elected to telework, I certify that I have read, understand, and will follow the GSA OIG Telework Policy, this Agreement, and all OIG guidelines, rules and policies. I agree to all the terms and conditions set forth in the GSA OIG Telework Policy and this Agreement. I understand that this Agreement may be used or reviewed by management for the purpose of implementing OIG policy and assessing the GSA OIG's
Telework Program. Furthermore, failure to comply with the terms of this GSA OIG Telework Agreement will result in its termination, and management may terminate this GSA OIG Telework Agreement pursuant to OIG policy.

If I have declined to telework, I certify that is my choice.

<table>
<thead>
<tr>
<th>Employee Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

G. APPROVALS (To be completed by the RMO or Designee)

<table>
<thead>
<tr>
<th>Regular Telework</th>
<th>Situational Telework</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Approved</td>
<td>☐ Approved</td>
</tr>
<tr>
<td>☐ Disapproved</td>
<td>☐ Disapproved</td>
</tr>
<tr>
<td>☐ Partially Approved</td>
<td>☐ Partially Approved</td>
</tr>
</tbody>
</table>

**Regular Telework Schedule (if applicable):**

<table>
<thead>
<tr>
<th>First Week of Pay Period:</th>
<th>☐ M</th>
<th>☐ Tu</th>
<th>☐ W</th>
<th>☐ Th</th>
<th>☐ F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Second Week of Pay Period:</td>
<td>☐ M</td>
<td>☐ Tu</td>
<td>☐ W</td>
<td>☐ Th</td>
<td>☐ F</td>
</tr>
</tbody>
</table>

**Reason for Disapproval or Partial Approval (if applicable):**

| ☐ Position ineligible for telework | ☐ Organizational Performance |
| ☐ Individual ineligible for telework | ☐ IT Issues |
| ☐ Security | ☐ Other |
| ☐ On-Site Activity | |

**Comments (attach additional sheet(s), if necessary):**

<table>
<thead>
<tr>
<th>Responsible Management Official Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

4
435.00 Information Technology (IT) Service Desk Standard Operating Procedures

435.01 Purpose

The Service Desk (commonly referred to as the Help Desk) is the single point of contact between OIG users and OIG IT Service Management. Tasks include handling incidents and requests and providing an interface for other IT processes. However, the Service Desk does more than make sure IT services are being delivered at that moment; it manages the various lifecycles of software packages used to provide critical information flow by utilizing industry-standard best practices.

The purpose of outlining these procedures is to communicate how the JPM Service Desk manages the priorities for handling incidents and requests for IT services.

435.02 Procedures

Entering Service tickets

Incident reporting and new requests for IT service(s) are initiated by opening a service ticket. Service tickets are used to track both priority and response times. Additionally, the Service Desk regularly reviews service tickets to best manage resources in order to respond more effectively to future customer needs. Service tickets are entered by using one of the following methods:

- OIG IT Service Desk Ticketing system webpage: https://oigtservicedesk.gsaig.gov
- E-mail to oigtservicedesk@gsaig.gov
- Telephone:

  OIG Cisco Phone  273-7399
  Public Access   (202) 273-7399

Service Desk Ticket Management

Service tickets are handled using the following steps:

- When a service ticket is submitted, this creates a ticket in the JPM Service Desk system.
- An automated email will then be sent to the customer for tracking and feedback purposes. This ticket is used to establish priority (as listed below) and is not an indication the issue is being actively worked on at this time.
- All IT service desk tickets will be processed in priority order with older tickets being processed before newer tickets.
- Once a JPM technician begins working on a service ticket, a notification will be sent to the customer that their issue is being worked on and, if available, an estimated time of completion.
- Tickets with established completion times (as listed below) will be resolved by JPM within their estimated time frame, unless a higher priority ticket or issue interrupts this process.
- A ticket that is interrupted in this manner shall be placed back into the priority queue, at the top, and the completion timer reset. The affected customer shall be notified that resolution of their ticket has been delayed.

Service Ticket Priority

Service tickets are handled using the below priority, with the top items being the highest priority:

1. Senior manager.
   a. Current override authorized personnel: IG, DIG, Associate IG, AIG for Administration, Deputy AIG for Administration, JPM Director, and all JPM Supervisors. This priority is used as an internal management tool so that the JPM Service Desk can escalate emergency overrides that have priority over all other tasks.

2. Potential PII (Personally Identifiable Information) breach. When a potential PII loss is reported via the Service Desk system, JPM will immediately engage to triage the problem and will report to the GSA Senior Agency Information Security Office (SAISO) as required.

3. Nationwide Issue: IT service issue that impacts more than one region at a time.

4. Regional Issue: IT service issue that impacts an entire region.

5. GS-15 Request.


7. Password Reset.

8. All other requests.

Service Time Frames

The chart below lists the most commonly occurring service requests and provides the average turn-around time, from the time a JPM technician begins work on the ticket to closing the ticket once the issue has been resolved.

<table>
<thead>
<tr>
<th>Service Request</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>GSA AD ENT - Password Resets, GSA Google, FSS Online, ECF, EARS</td>
<td>3 hours</td>
</tr>
<tr>
<td>OIG AD - Password Resets</td>
<td>2 hours</td>
</tr>
<tr>
<td>Configuration Management - Inventory Changes</td>
<td>4 hours</td>
</tr>
<tr>
<td>HR - New FTE Hires, Name Changes, Office Symbol Changes</td>
<td>5 days</td>
</tr>
<tr>
<td>Computer – Approved Software Request/Installations</td>
<td>3 days</td>
</tr>
<tr>
<td>Computer – Approved Hardware Request (Monitor, docking station, mouse, keyboard)</td>
<td>5 days</td>
</tr>
<tr>
<td>Mobile Devices - Blackberry Request, Replacements, Updates, Upgrades</td>
<td>5 days</td>
</tr>
<tr>
<td>Email - Password Resets, Mail-In Database Access, Calendar Access</td>
<td>4 hours</td>
</tr>
<tr>
<td>Cisco Phones - Desk phone setup, Voicemail PINs, CIPC software installs</td>
<td>1 day</td>
</tr>
<tr>
<td>Printers - Toner request/replacement, Printer installs (Central Office Only)</td>
<td>1 day</td>
</tr>
</tbody>
</table>
436.00 OIG Telecommunications Guide

436.01 Purpose

The Office of Inspector General (OIG) follows the latest versions of GSA Guidance, unless specified otherwise in sections 436.02 through 436.07 below. The latest GSA guidance related to the use of telecommunications resources can be found at https://insite.gsa.gov/portal/directives. Among the most relevant are:

- CIO G 10000 GSA Telecommunications Guide
- CIO P 2165.2 GSA Telecommunications Policy
- CIO 2104.1A GSA Information Technology (IT) Rules of Behavior.

436.02 Telecommunications Support

The OIG IT Division (JPM) is responsible for providing user support for all OIG-provided telecommunications equipment, systems and services used by OIG employees.

Telecommunications equipment includes but is not limited to employee desktop computers and laptops connected to the network, Voice over Internet Protocol (VoIP) desk phones, and cellular phones, smartphones and air cards.

Telecommunications systems include GSA OIG voice and data networks, and private branch exchanges (PBXs) and Unified Communications voice systems (IP PBXs).

Telecommunications services include local and long-distance wireline voice services and telephone calling cards, the data wide-area network (WAN) connecting GSA OIG offices, wireless voice and data services contracted by GSA OIG.

Support for IT equipment, systems and services are provided by the OIG Service Desk.

The OIG IT Service Desk is available by:
- Calling 202-273-7399
- Sending an email to OIGITServicedesk@gsaig.gov

436.03 Wireless Device Services

The OIG has contracted for its own wireless services. Mobile devices are issued by JPM at the direction of the organization component head. Requests for mobile devices should be directed to the supervisor.

436.04 Waste, Fraud and Abuse

Computer Viruses and Destructive Programs: Employees who receive emails that they suspect contain malicious content should select the “Report SPAM” button on the menu in Lotus Notes which will safely notify the OIG IT Security team of the suspected email. For computer viruses or program incidents other than email, employees should report it to their supervisor and also to the OIG IT Service Desk.
Annoying and Offensive Communications: Employees who witness abuse of this guideline should report it to their supervisor and also to OIG Service Desk.

436.05 Remote Networks and Printing

When connected to the OIG network using the Virtual Private Network (VPN), split tunneling (connecting to a Local Area Network (LAN) while at the same time connecting to the Internet) and/or multi-homing (simultaneously connecting a device to more than one network) is not allowed and all internet traffic must be routed through the VPN.

Printing from an OIG provided device to a non-OIG managed network is not allowed.

436.06 Personal Devices

Personal devices, such as mobile phones, laptops, home computers, tablets or other devices are not to be used on the OIG private network. This practice of using personally owned mobile devices in the workplace to access government owned systems or applications is referred to as Bring Your Own Device (BYOD). The GSA/OIG does not participate in the GSA BYOD program.

436.07 Lost or Stolen Mobile Devices

For any lost or stolen device, employees are to report these incidents to the OIG Service Desk per OIG policy 434.02 Incident Response Reporting Procedures.
Background

The Office of Management and Budget (OMB) Circular A-130, Management of Information Resources, outlines the importance of establishing Federal Enterprise Architecture (FEA) practices for federal government agencies. FEA practices will assist agencies to align their strategic goals and objectives to IT resources.

The OIG Enterprise Architecture Committee (EAC) was set up to align the deployment and management of technologies and applications with the Office of Inspector General (OIG) strategic plan. The EAC, which consists of representatives from each component group, is charged with providing recommendations on technical and operational issues to the OIG IT Steering Committee (ITSC) on organizational wide information technology issues.

Mission

The mission of the EAC is to propose IT policies and programs that will support OIG’s business goals, recommend IT standards to the OIG ITSC, and implement their decisions. The EAC will foster communication between JPM and its stakeholders to provide consistent, reliable, accurate, useful, and secure information and knowledge. This partnership will assist in the planning, development, operation, and monitoring of the IT portfolio.

Goals

The primary goals of the EAC include:

- Alignment: Ensuring the reality of the implemented IT solution is aligned with the OIG mission and business intent.
- Integration: Ensuring that IT solutions are standardized, and that interoperability is managed across the OIG.
- Change: Facilitate change to the IT infrastructure across the OIG.

Functions

In order to align the deployment and management of OIG systems, technologies and applications with the OIG corporate strategic plan, the EAC must:

- Assess the current environment in specific technical areas identified by the Enterprise Architecture Committee (EAC).
- Review, validate, assess impact and evaluate consistency of proposals in the review process.
- Formulate recommendations for the ITSC to assist in their decision making.
- Highlight areas of potential improvement.
- Review and recommend internal OIG IT policies, standards, performance measures, benchmarks, and strategies to ensure that IT activities are consistent with Government wide policies, GSA and OIG policies, and OIG strategic plans.
- Support the OIG capital planning processes by assessing the benefits, impacts, and capital investment measurements and supporting analyses of alternatives, risks, and tradeoffs.

**Membership**

The EAC consists of representatives from each OIG component. The Chair is the JPM Director or as delegated by the JPM Director. The Co-Chair is appointed by the Deputy AIG for Administration. The committee will also include JPM representatives as referenced below:

JPM Attendees:
- Infrastructure Team
- Desktop Team
- Development Team
- IT Security Team

Other personnel may be invited as needed to serve as advisors or staff.

**Subcommittees**

The Committee Chair may establish special subcommittees or task force groups to study IT issues and report back to the EAC for the purpose of accomplishing the functions of the Committee.

**Meetings**

EAC meetings should be held monthly. Conference calls or special meetings can be held at the request of the Committee Chair. Recommendations will be made by consensus. The Committee Chair is responsible for agenda development with the support and assistance of the IT Director.

**Reports and Records**

On behalf of the Committee Chair, the Office of the IT Director maintains the records of the Committee's activities, reports findings action items, and decisions, and is responsible for all administrative matters, including documentation and follow-up of the Committee's actions items. Minutes of each meeting will be transmitted to the Committee members.
Governance Committees
Information Technology Steering Committee (ITSC)

Background

The Information Technology (IT) Division (JPM) must work closely with the functional components within the OIG and regional offices to collaboratively explore and determine actions that the OIG must take in the area of IT to ensure that decisions have a sound business and IT investment basis. The Information Technology Steering Committee (ITSC) was established to provide the OIG leadership with a mechanism for collaboration on IT investment priorities and coordination of IT human capital and business process changes. The ITSC uses a capital planning process that ensures a structured and integrated approach to manage IT investments.

Purpose

To determine the direction, interface and impact of IT on achieving business objectives and to do so in conjunction with the OIG’s:

- Strategic Plan
- Budget and Performance Process
- Human Capital Planning
- IT capital planning and related business process changes

ITSC Members

The ITSC is comprised of the following representatives and members of GSA OIG:

- Assistant Inspector General for Audits (JA)
- Principal Deputy Assistant Inspector General for Audits (JA)
- Counsel to the Inspector General (JC)
- Assistant Inspector General for Investigations (JI)
- Deputy Assistant Inspector General for Investigations (JI)
- Director of Forensic Auditing and Inspections (JE)
- Assistant Inspector General for Administration (JP)
- Deputy Assistant Inspector General for Administration (JP)
- Director of Information Technology (JPM)
- Associate Inspector General (J)
- Deputy Inspector General (J)
- Ad hoc representative(s) from organizations as invited
**Functions**

The ITSC provides guidance on:

- Ensuring the strategic alignment of OIG IT investments with business goals, objectives, and priorities;
- Providing approval on IT Strategies, major investments and management controls;
- Reviewing benefits, risks, and costs associated with IT investments;
- Deciding direction and emphasis of IT programs;
- Identifying technical innovations in support of improving OIG’s services;
- Linking programs to the OIG business needs.

**Meetings**

ITSC meetings should be held quarterly but can be called on an as-needed basis. The Deputy Inspector General is the chair of the committee and deciding official for all business conducted by the ITSC.
Governance Committees
Change Control Board (CCB)

**Background**

The Federal Information Security Act of 2002 (FISMA), the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-128, Guidelines for Security Configuration Management of Information Systems, and NIST SP 800-53 Revision 3, Recommended Security Controls for Federal Information Systems and Organizations, provide guidelines for IT Configuration Management. In order to comply with the proper security controls for a moderate system, Change Management is an important component of providing reliable and secure network services and requires complete and accurate documentation of the enterprise network infrastructure. Any change made to the GSA OIG General Support System (GSS) is considered a risk to its continued successful operation. A primary objective of change management is to ensure that a product performs as intended and is documented to a level of detail sufficient to repeatedly produce the product and meet anticipated needs for operation, quality management, maintenance, repair, replacement, and disposal.

**Mission**

The main objective of the Change Control Board (CCB) includes:

- Minimizing the adverse impact of necessary changes on system confidentiality, availability, integrity, and service level.
- Allowing the coordination and planning of changes in order to provide a stable production environment.
- Maximizing the productivity of the people involved in the planning, coordination and implementation of required changes.

**CCB Members**

The CCB should be comprised of the following representatives from the Information Technology Division (JPM) and members of GSA OIG:

- Representative, Office of Administration (JP)
- Information System Owners (ISO)
- Information System Security Officer (ISSO)/ CCB Recorder
- JPM Team Leaders
- Representative, Office of Audits (JA)
- Representative, Office of Investigations (Jl)
- Representative, Counsel to the Inspector General (JC)
- Representative, Office of Inspections and Forensic Auditing (JE)
• Representative, Office of the Inspector General (J)
• The OIG Authorizing Official (or designee) serves as the deciding official of the CCB.
• Ad hoc representative(s) from other organizations as invited

Functions

• The CCB reviews all requests for changes (RFCs)
• Assesses potential risk(s) and ensures compliance
• At a minimum, each RFC requires review and acceptance by the CCB
• At the CCB meeting, the Board will review RFC(s) and determine and recommend to the AO actions to approve, disapprove, or place on hold

Meetings

CCB meetings are held as needed. Conference calls or special meetings can be held at the request of the Committee Chair. New change requests are presented by the requester for that change. The Committee Chair is responsible for agenda development with the support and assistance of the IT Director.
CHAPTER 900 - INVESTIGATIVE POLICIES AND PROCEDURES

Effective Date 9/3/2014

901.00 INVESTIGATIVE POLICIES AND STANDARDS

901.01 Intent of Chapter 900

Chapter 900 prescribes policy and standards for accomplishing the investigative mission of the Office of Inspector General (OIG). The guidelines constitute internal Office of Investigations (JI) guidance; they are not intended to, nor do they, create any legal rights (substantive or procedural) in any civil or criminal matter. Further, they place no limitations on otherwise lawful investigative or litigative prerogatives of the OIG. The Special Agent in Charge (SAC) of each Regional Office of Investigations may provide additional guidance, direction or supplementation to the policies set forth in this manual. Any issue or policy not specifically addressed in this chapter may be addressed at the regional level by the responsible SAC for that region.

901.02 Investigative Authority, Responsibilities, and Jurisdiction

The investigative authority and responsibilities of the OIG are contained in the IG Act (Figure 101-01); General Services Administration (GSA) Administrative Manual, OAD P 5410.1, Chapter 9, Part 3, Investigative Activities; OMB memorandum dated September 1,1983, Procedures for Investigating Allegations Concerning Certain Senior Administration Officials and Executive Order dated March 22, 1996, Administrative Allegations Against Inspectors General (Figure 901-01); Attorney General’s Guidelines for the Offices of Inspectors General with Statutory Law Enforcement Authority dated December 8, 2003 (Figure 901-02); and Inspector General’s Delegation of Authority.

Special Agents (SAs) exercise law enforcement authority pursuant to the P.L. 107.296 as defined in the Attorney General’s Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority dated December 8, 2003 (Figure 901-02). Upon commencement of duties as a GSA-OIG SA, the agent will be sworn in by the Assistant Inspector General for Investigations (AIGI, Deputy Assistant Inspector General for Investigations (DAIGI), SAC, or designee and recite the GSA-OIG Oath of Office (Figure 901-03).

The investigative jurisdiction of the OIG includes all allegations of fraud, waste, abuse, and mismanagement, and any apparent or suspected violations of a statute, order, regulation, directive, or GSA Standards of Conduct in connection with any program or operation of GSA.

The OIG also receives and investigates:
• allegations of wrongdoing on the part of the GSA Administrator, unless the allegations are of such a nature that they must be referred to the Department of Justice (DOJ) or other officials;

• reports of alleged violations of the Sherman Antitrust Act;

• reports of alleged violations of labor laws (i.e., the Davis-Bacon Act, the Contract Work Hours and Safety Standards Act, and the Copeland Anti-Kickback Act) when there are indications of significant false statements;

• requests for investigative support from GSA, including: (1) inquiries into arrest dispositions involving GSA employees and (2) security and personnel matters where GSA, after initial review and factual analysis, determines that a problem warrants investigative referral to the OIG; and

• requests for investigative support from the GSA Office of General Counsel in tort claim and indebtedness matters, and in connection with litigation that has been initiated by or against GSA.

Investigations into allegations of wrongdoing on the part of the IG are conducted by the Department of Justice (DOJ), the Office of Government Ethics, the Office of Special Counsel, or the CIGIE (Executive Order 12993, 3/22/96) as appropriate.

901.03 Special Principles of Jurisdiction

Principles of jurisdiction in federal buildings and areas that impact on the exercise of the law enforcement authorities of JI personnel are discussed below. Field office investigative personnel should be familiar with jurisdiction within their regional office.

901.03A Exclusive Jurisdiction

Exclusive federal jurisdiction is acquired by the United States when such jurisdiction is ceded to the United States by the state within whose boundaries the land is located, or by reservation by the United States upon admission of a State into the Union.

901.03B Concurrent Jurisdiction

Concurrent jurisdiction exists whenever exclusive jurisdiction does not.

901.03C The Assimilative Crimes Act

This statute (18 U.S.C. 13) provides that any act or omission occurring in a federal building or area that would be punishable by the laws of the state, district, territory, or possession in which federal property is located, but is not punishable by any act of the Congress, shall be punished as a federal offense. This statute applies when federal
jurisdiction is exclusive, and also where jurisdiction is concurrent to the extent that the state has relinquished its police power.

901.03D Law Enforcement Authority

Special Agents in the 1811 series who are supervised by the Assistant Inspector General for Investigations (AIGI) exercise law enforcement authority pursuant to federal statute. Section 812, Public Law 107-296 (11/25/02); 5 U.S.C. App. 3, Section 6(e) (IG Act); and Attorney General Guidelines for OIGs with Statutory Law Enforcement Authority (12/08/03). (Figure 901-02). This law enforcement authority is provided generally for use only within OIG Special Agents’ official duties, which are defined by the IG Act as activities related to GSA’s programs and operations. The AG’s guidelines provide explicitly that “individuals exercising law enforcement authorities under Section 6(e) may exercise those powers only for activities authorized under the Inspector General Act of 1978 or other statute, or as expressly authorized by the Attorney General.” (See AG’s Guidelines, page 4.)

Under these legal authorities, Special Agents, while engaged in the performance of official duties as discussed above, and in addition to any other actions they are authorized to take may:

• seek and execute a warrant for an arrest, for the search of premises, or the seizure of evidence, if such warrant is issued under the authority of the United States upon probable cause to believe that a violation has been committed; and

• carry an OIG issued firearm.

901.03E Arrest Authority

GSA-OIG Special Agents are authorized while engaged in the performance of official duties, to make arrests with or without a warrant for any federal violation, if such violation is committed in the presence of the Special Agent, or if the Special Agent has probable cause to believe that the person to be arrested has committed a felony. GSA-OIG Special Agents may also seek and execute arrest warrants, if such warrants are issued under the authority of the United States upon probable cause to believe that a violation has been committed.

The standards governing arrests by the OIG Special Agents are described below. During most investigations, arrests are made only in situations where necessary in the interest of effective law enforcement or similar exigent circumstances.

If an arrest without a warrant is made,
901.03F Authority of State and Local Law Enforcement Officers Upon Federal Property

In exclusive jurisdictional areas, state and local law enforcement officers may usually serve civil or criminal process and exercise arrest powers when in pursuit. In concurrent jurisdictional areas, the extent of authority of state and local law enforcement officers is dependent upon the agreement between the state and federal government.

901.03G The Attorney General’s Guidelines for Domestic FBI Operations

Special Agents must adhere to the Attorney General’s Guidelines for Domestic FBI Operations as published in Figure 901-05.

901.04 Investigative Standards

901.04A CIGIE Standards for Investigations

JI investigative operations are required to be conducted in accordance with the general and qualitative standards that have been adopted by the Council of the Inspectors General on Integrity and Efficiency (CIGIE) (Figure 901-06).

901.04B Additional OIG Standards for Investigations

Each Office of Inspector General shall make an annual written report to the Attorney General due on November 1 of each year, detailing the investigative and prosecutive activities of that Office of Inspector General. This report shall, at minimum, contain information on the number of (1) federal criminal investigations initiated, (2) undercover operations undertaken, and (3) times any type of electronic surveillance was used. Additionally, the report shall provide information on all significant and credible allegations of abuse of authorities conferred by section 6(e)(1) of the IG Act by Office of Inspector General investigative agents and what, if any, actions were taken as a result. The names of the agents need not be included in such report.

The following additional standards apply to investigations conducted by JI:

1. An investigation must be conducted in a manner that strikes a balance between the responsibility to investigate violations of law or administrative regulations and the need to protect individual rights.
2. An investigation is opened when there are allegations that reasonably indicate that a violation of Federal criminal statutes, GSA Standards of Conduct, or administrative regulations within OIG responsibility or jurisdiction (Section 901.02) has occurred, is occurring, or will occur. Investigations are conducted with the minimum intrusion into the privacy of individuals, consistent with the need to collect information and evidence in a timely and effective manner.
3. An investigation is promptly terminated when all logical and reasonable investigative steps have been taken, or when priorities or resource constraints
protected investigative action. When appropriate, investigative results are referred for prosecutive opinion. If prosecution is declined in an investigation and an administrative action may be warranted, the investigation is continued to a logical conclusion and the results are referred to appropriate Agency officials. Similarly, if no criminal violations are identified but administrative action is warranted, the investigation is brought to a logical conclusion and then referred to appropriate agency officials.

4. Matters involving allegations that can more appropriately be resolved by entities other than JI are either referred to that entity or returned to the source. This includes returning allegations to agency managers for resolution without investigative action by JI.

5. (b) (7)(E) 

901.05 Policy Regarding Disclosure to Prosecutors of Potential Impeachment Information

901.05A Purpose

This chapter sets forth U.S. General Services Administration (GSA) Office of Inspector General (OIG) procedures for providing potential impeachment information to prosecutors under Giglio v. United States, 405 U.S. 150 (1972), and United States v. Henthorn, 931 F.2d 29 (9th Cir. 1991). The Giglio/Henthorn policy was promulgated to ensure that prosecutors receive potential impeachment information regarding investigative personnel who act as witnesses or affiants in a criminal investigation, while protecting the legitimate privacy rights of Government employees. This chapter conforms to U.S. Attorneys' Manual 9-5.100, Policy Regarding the Disclosure to Prosecutors of Potential Impeachment Information Concerning Law Enforcement Witnesses (Giglio Policy), as set forth at Figure 901-08.

901.05B Definitions

The following definitions apply to this chapter:

1. Agency Official. The Deputy Assistant Inspector General for Investigations (DAIGI), or his designee, in consultation with the Counsel to the Inspector General or his designee, will serve as the agency point of contact and the
Agency Official for potential impeachment information concerning OIG investigative personnel. They are expected to arrive at mutually agreeable positions when operating in this role.

2. Requesting Official. The official designated by each United States Attorney's Office to serve as the prosecuting office point of contact concerning potential impeachment information.

3. Investigative Personnel. Any OIG employee in either an investigative or support role that may be called upon as a witness or affiant in a criminal investigation.

4. Potential impeachment information. For purposes of this policy, potential impeachment information is generally defined as impeaching information which is material to the defense. It also includes information that either casts a substantial doubt upon the accuracy of any evidence – including witness testimony – the prosecutor intends to rely on to prove an element of any crime charged, or might have a significant bearing on the admissibility of prosecution evidence. This information may include but is not strictly limited to: (a) specific instances of conduct of a witness for the purpose of attacking the witness' credibility or character for truthfulness; (b) evidence in the form of opinion or reputation as to a witness' character for truthfulness; (c) prior inconsistent statements; and (d) information that may be used to suggest that a witness is biased. Specific categories of potential impeachment information are listed later in this policy.

901.05C Policy

OIG investigative personnel are expected to comply with all federal, state and local laws, whether or not related to their official employment. They are expected to conduct themselves in a way that reflects favorably on themselves and the OIG and does not interfere with the efficient operation of the agency.

OIG investigative personnel are obligated to inform prosecutors with whom they work of potential impeachment information as early as possible prior to providing a sworn statement or testimony in any criminal investigation or case.

OIG Investigative personnel must notify (b)(7)(E) if any of the following incidents occur:

- Arrest;
- Detention for questioning in a criminal case; or
- Receipt of a citation, summons or complaint (excluding parking violations and civil processes not related to the performance of official duties).
Under the Giglio Policy, a prosecutor may also request potential impeachment information from the OIG. Potential impeachment information relating to OIG employees may include, but is not limited to, the categories listed below:

- Any finding of misconduct that reflects upon the truthfulness or possible bias of the employee, including a finding of lack of candor during a criminal, civil, or administrative inquiry or proceeding;

- Any past or pending criminal charge brought against the employee;

- Any allegation of misconduct that reflects upon truthfulness, bias, or integrity that is the subject of a pending investigation;

- Prior findings by a judge that an OIG employee has testified untruthfully, made a knowing false statement in writing, engaged in an unlawful search and seizure, illegally obtained a confession, or engaged in other misconduct;

- Any misconduct finding or pending misconduct allegation that either casts a substantial doubt upon the accuracy of any evidence – including witness testimony – that the prosecutor intends to rely on to prove an element of any crime charged, or that might have a significant bearing on the admissibility of prosecution evidence. This includes findings or allegations that relate to substantive violations concerning: (1) failure to follow legal or agency requirements for the collection and handling of evidence, obtaining statements, recording communications, and obtaining consents to search or to record communications; (2) failure to comply with agency procedures for supervising the activities of a cooperating person; (3) failure to follow mandatory protocols with regard to the forensic analysis of evidence;

- Information that may be used to suggest that the employee is biased for or against a defendant; and

- Information that reflects that the employee's ability to perceive and recall the truth is impaired.

Once a request for impeachment information has been made, the OIG Agency Official shall continue to provide the Requesting Official any additional potential impeachment information that arises during the specific criminal case or investigation in which the OIG
employee is a potential witness or affiant, until the prosecuting office advises the case is closed due to a judgment or declination.

Generally, allegations that are not credible or have resulted in exoneration of the accused OIG employee are not considered "potential impeachment information." However, such information which reflects upon the truthfulness or bias of an OIG employee should be provided to the Requesting Official under the following circumstances:

- The information is required by a court in the district where the investigation or case is being pursued.
- The allegation of untruthfulness or bias was made by a federal prosecutor, magistrate judge, or judge.
- The allegation received media publicity.
- Based on exceptional circumstances, the Requesting Official and the OIG Agency Official agree that such disclosure is appropriate.
- Disclosure is otherwise deemed appropriate by the OIG Agency Official.

The OIG Agency Official is responsible for advising the Requesting Official if any aforementioned allegation is unsubstantiated, not credible, or resulted in the employee's exoneration.

The OIG Agency Official will conduct a review for potential impeachment information and provide identified information to the Requesting Official.

901.05D Compiling and Disseminating Information

1. Upon receiving a request for potential impeachment information from a Requesting Official, the OIG Agency Official will advise the employee that a review has been requested.
2. The OIG Agency Official will contact the [b] (7)(E) and will cause a review of the employee's [b] (7)(E) to be conducted so as to determine whether any "potential impeachment information" exists. In addition, the OIG Agency Official will coordinate with the [b] (7)(E) [b] (7)(E) [b] (7)(E)
3. If any relevant information is discovered, the OIG Agency Official will advise the employee before disclosure is made to the Requesting Official.
4. Prior to releasing any information, the OIG Agency Official will contact the Requesting Official to ascertain the particular requirements of that United States
Attorney’s office and assemble the material so as to ensure that any such release conforms to those requirements.

5. The OIG Agency Official will prepare a letter transmitting the potential impeachment information to be signed by [REDACTED]. The written OIG response and any attachments thereto shall be forwarded to the Requesting Official and a copy provided to the OIG employee.

6. The OIG Agency Official will maintain judicial rulings and related pleadings on information that was disclosed to the Court or the defense in a manner that allows expeditious access upon the request of any Requesting Official.

901.05E Transfer or Reassignment of Employee

When an OIG employee is transferred or reassigned, the OIG Agency Official will ensure that any potential impeachment material is provided to the Requesting Official in the new district when the employee begins – or is reasonably anticipated to begin – meaningful work on a case or matter. Also, when notified that Giglio material has been transferred to a different office, the OIG Agency Official will provide a prompt update to the new office.

901.05F Records Retention

The OIG Agency Official shall retain all documentation related to the Giglio/Henthorn matter in a confidential file in accordance with OIG records retention schedules.

901.06 Policy Regarding Maintenance of Investigation Records in Anticipation of Litigation and Potential Discovery

The OIG follows the guidance issued by the Department of Justice on discovery, including the January 4, 2010, Guidance for Prosecutors Regarding Criminal Discovery, set forth at Figure 901-09, and the March 30, 2011, Guidance on the Use, Preservation, and Disclosure of Electronic Communications in Federal Criminal Cases, set forth at Figure 901-10. Essentially, SAs should think about the content of any form of e-communication before sending it; use appropriate language; think about whether e-communication is appropriate to the circumstances, or whether an alternative form of communication is more appropriate; and determine in advance how to preserve potentially discoverable information. (“E-communication” as used herein includes emails, text messages, instant messages, voice mail, blogs, social networking sites, and other means of electronic communication.) Some of the main points concerning discovery and the requirement to preserve documents, in both civil and criminal cases, are outlined below.

901.06A Discovery Generally

In civil cases, parties may request documents (as well as making other types of requests) on any matter that is relevant to any party’s claim or defense, even if the
information is not admissible at trial. Hence litigation holds in the civil context apply to all relevant documents. While privileged information such as communications with Government attorneys and pre-decisional documents generally are not subject to discovery, those documents must still be preserved and reviewed.

Criminal discovery is much narrower and generally is limited to substantive or factual material. The specific categories of information that must be provided to criminal defendants are as follows. Under Brady v. Maryland, the prosecution is required to provide all information that could be used to reduce the defendant’s guilt. United States v. Giglio expanded this rule to require that the prosecution provide any information that undermines the reliability of evidence, including witness testimony (as discussed above). The Jencks Act requires that the defense receive the prior written or recorded statements of any prosecution witness, if the statements are on the same subject as the testimony. (This includes “substantially verbatim” notes of statements, and statements that were “adopted” by a witness as his own.) Federal Rule of Criminal Procedure 16 requires the prosecution to provide any written or oral statements made by the defendant (including notes of statements, even if they are not substantially verbatim). Courts do not always allow the prosecution to withhold privileged information in criminal discovery.

**901.06B Policy**

It is not always possible for SAs to know in advance whether an investigation will lead to civil or criminal action, who the defendant will be, or what information will appear exculpatory at the time of trial. Therefore, SAs should treat all information as though it may be subject to production in criminal or civil discovery, including weekly, significant item, and semiannual reports.

SAs should preserve all copies of statements made by any person (witness, subject, or SA) relating to the matter under investigation. This includes SAs’ notes of witness statements, MOIs, email messages, audio or video recordings in original format, and all other material conveying any person’s statements. Communications over email regarding the matter under investigation should be saved in or otherwise made part of the SA’s permanent file. Retaining emails in the SA’s inbox is not sufficient.

Substantive communications using a transitory medium (instant messaging, voicemail, text message) should be permanently saved to the case file. Instant messages can be copied and saved in a Word document; text messages can be emailed and the emails saved; and voicemail messages can be saved as digital audio files. Alternatively, SAs may write down the statements made over these media, in which case the date and speakers should be included.

SAs also should preserve all e-communications sent to or received from potential witnesses who are not law enforcement personnel, regardless of content.
SAs should write down the substance of all oral conversations or statements regarding the subject matter of the investigation (for example, a phone call with a witness) as soon after the statements were made as possible, noting the date, time, and speaker. All potentially discoverable information must be preserved, regardless of whether the communication is written or oral.

When discussing investigations in any medium, and especially any written medium, SAs should express their thoughts with the expectation that a complete copy of what they say or write will eventually be provided to the defendant. Therefore, editorial comments, exaggerations, comments suggesting personal hostility, or other excessive or unprofessional content are not acceptable.

SAs should avoid making predictions about the outcome of a case or speculating about evidence when discussing the case with any witness, or over any written medium.

### 901.07 Policies and Procedures Relating to Press Releases

The Attorney General’s Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority dated December 8, 2003 (Figure 901-02) are to be followed concerning release of information relating to criminal and civil proceedings as well as joint investigations. See also 28 C.F.R. § 50.2 Release of Information by Personnel of the Department of Justice Relating to Criminal and Civil Proceedings (Figure 901-11). Additionally, see Chapter 604.02.

**Effective Date 12/17/2013**

### 902.00 POLICIES AND PROCEDURES RELATING TO FIREARMS USE

#### 902.01 General

This subchapter contains policies and procedures concerning firearms issued to Special Agents (SAs) of the General Services Administration (GSA) Office of Inspector General (OIG). For firearms training, refer to Subchapter 923, Investigative Training, Section 923.05A.

All GSA-OIG SAs will follow the DOJ “Use of Deadly Force Policy” (Figure 902-01).

#### 902.02 Authority to Carry Firearms

All SAs of the GSA-OIG in the “1811 Series” who are supervised by the Assistant Inspector General for Investigations (AIGI) are authorized to carry firearms subject to the requirements set out below.

1. Approving Official. Only SAs who have completed an OIG Law Enforcement Authorization Form (Figure 902-02), which has been approved by (b) (7)(E)
are authorized to carry firearms.

2. Identification. SAs must carry their badge and credentials at all times when carrying an OIG issued firearm. Headquarters Directors and Special Agents in Charge (SACs) are required to conduct an inventory of all firearms, issued SA badges, and credentials and report any discrepancies to the AIGI or DAIGI immediately. (See Subchapter 408.01)

3. Lautenberg Restriction. The Lautenberg Amendment, § 658 of Public Law No. 104-208, 18 U.S.C. § 922(g)(9), prohibits individuals, including federal law enforcement personnel, who have been convicted of misdemeanor crimes of domestic violence from possessing firearms. All GSA-OIG SAs are required to indicate on the Law Enforcement Authorization Form (Figure 902-02) when they are first hired and annually thereafter on the Lautenberg Qualification Inquiry (Figure 902-03) whether they have been convicted of a crime of domestic violence. During the course of employment with the GSA-OIG, should any SA be criminally charged with a crime of domestic violence, they must immediately notify their Headquarters Directors and SAC. Headquarters Directors and SACs are required to provide formal notification to the AIGI of the circumstances surrounding the charges.

902.03 Requirements for Carrying Firearms

Handguns: A SA in possession of their credentials and badge is required to carry an issued handgun at all times when on-duty in an investigative status and is authorized to carry their issued handgun off-duty. In addition to the statutory authority under Public Law 108-277, the authority to carry an OIG issued handgun off-duty is also based on the GSA Inspector General’s determination that the authority is needed based upon operational and/or safety reasons.

In order to carry an issued handgun, a SA must have satisfied the following requirements:

1. completed an OIG Law Enforcement Authorization Form (Figure 902-02);
2. successfully completed the handgun and non-lethal control techniques portion of the Federal Law Enforcement Training Center’s (FLETC’s) Criminal Investigator Training Program or equivalent training; and,
3. successfully completed OIG handgun qualification (Figure 923-04) and familiarization training with a score of at least points. See Subchapter 923, Investigative Training, Section 923.05A.
A SA shall not be authorized to carry any issued firearm if he/she fails at any time to meet any of the above requirements. However, a SA may be excused from the firearms qualification by the SAC for approved absences when the SA cannot attend either the scheduled firearms qualification or subsequent make-up days during the firearms qualification. The excused absence shall be recorded on the firearms qualification.

Any SA who does not qualify for firearms qualification will lose their authorization to carry an issued handgun and shall have their issued weapon recovered by the firearms qualification until such time as qualification is satisfactorily completed.

Long Guns: Shotguns and sub-machine guns (SMGs), hereafter collectively referred to as long guns, may only be carried by designated SAs for use in operations deemed necessary by the firearms qualification. Only SAs who have demonstrated proficiency with the authorized long guns and have been trained in the proper use and safe handling of the weapon(s) are qualified and authorized to utilize them. will designate at least one SA for each long gun at their office and ensure that the SA is qualified and trained in the safe and proper operation of that weapon. There is no limit to the number of SAs in an office who can qualify to carry a long gun. Requirements for carrying long guns are as follows:

- To operate a shotgun, the SA must have successfully completed a GSA-OIG shotgun operators course and the OIG shotgun qualification course (SOC) (Figure 923-05 or Figure 923-06).

OR

- To operate a SMG, the SA must have successfully completed a GSA-OIG SMG operators course and the OIG SMG qualification course (Figure 923-07).

A SA shall not be authorized to carry a long gun if they fail at any time to meet any of the above requirements.

Any SA who fires a long gun qualification course but does not qualify will lose their authorization to carry that type of long gun until such time as qualification is satisfactorily completed.

All SAs will receive training in the safe handling, use, and maintenance of the long guns. Additionally, all SAs are required to fire a familiarization course with the long guns. A SA shall not be authorized to carry any issued firearm if he/she fails at any time to meet any of the above requirements.
Firearms Generally. Supervisory personnel or their designees are authorized to retrieve an issued firearm from a SA at any time when in their judgment such retrieval is in the best interest of the SA, OIG, or the safety of others.

In the event of a temporary physical/medical condition or a temporary disability, a SA:

1. shall consult with their physician to determine if participation in the firearms qualifications and training is in the best interest of the SA’s health and safety; as well as the safety of the other SAs participating;
2. a SA shall discuss with the any accommodation that might be made, or medical restriction that has been imposed that might require a temporary waiver from participation in firearms qualifications;
3. shall submit a written request for a temporary waiver from firearms qualifications, based on their physician’s recommendation to . Based on the SA’s request, the will prepare a memorandum to the for approval. The memorandum will describe the nature of the temporary condition and length of treatment, if known; and
4. may be granted a temporary waiver from firearms qualifications on a case-by-case basis for the requested time period. In the event the condition extends past the requested time period, the SA may be required to submit an updated request.

In the event that a temporary physical/medical condition or an obvious temporary disability comes to the attention of , they will:

1. discuss the situation with the SA;
2. determine what, if any, specialized equipment or special accommodations are necessary to ensure safe uninterrupted firearms qualifications and training; and
3. determine if a temporary waiver from firearms qualifications is necessary.

Approval for any specialized equipment or accommodations will be granted by the on a case-by-case basis.

During the time period of the temporary waiver, SAs are not restricted from job-related duties; .

When the waiver is no longer necessary, the SA will attempt firearms qualifications as soon as practicable, up to and including the next firearms qualifications session.

902.04 OIG-authorized Firearms, Ammunition, and Holsters

1. Firearms.
- On-Duty: The issued duty-carry handgun for GSA-OIG SAs is the (b) (7)(E). The issued shotgun for GSA-OIG SAs is the (b) (7)(E). The issued SMG for GSA-OIG is the (b) (7)(E). While on-duty, GSA-OIG SAs are only authorized to carry/possess issued firearms.

- Off-Duty: SAs are authorized by the GSA Inspector General to carry their OIG-issued firearm while off-duty as set forth in Section 902.03. While carrying an issued firearm off-duty, all other GSA-OIG rules and procedures for carrying firearms apply.

SAs, as law enforcement officers, may choose to carry a privately owned firearm while off-duty under the authority contained in H.R. 218: The Law Enforcement Officers Safety Act of 2004 as codified at 18 U.S.C. §926B. In summary, those provisions authorize qualified Law Enforcement Officers (LEOs) to carry a concealed firearm while carrying their agency credentials with certain limitations.

They do not mandate that LEOs carry an intermediate weapon (b) (7)(E). If SAs choose to utilize this authority to carry a privately owned firearm, they should familiarize themselves with the full text of 18 U.S.C. §926B. SAs who choose to carry a privately owned firearm off-duty may fire a familiarization course with the weapon during OIG firearms qualification with the ammunition they provide to facilitate the SA’s familiarity with their personally owned firearm.

2. Ammunition. Only OIG-authorized ammunition will be used in an OIG-authorized firearm. All qualifications with issued firearms will be accomplished with OIG-issued ammunition. Familiarization courses fired with privately owned firearms can be accomplished during OIG qualification, time permitting; however, ammunition will not be provided by GSA-OIG.

3. Holsters. When carried on a SA’s person, handguns must be carried in a holster (b) (7)(E). SAs are to use an OIG-authorized holster or a personal holster that has been approved by the OIG. Holsters must be worn (b) (7)(E).

Upon approval or at direction of the (b) (7)(E) qualification utilizing the (b) (7)(E) and/or firearms (b) (7)(E) and the associated magazine holders prior to utilizing them on-duty and then must fire a periodic familiarization course of fire during those (b) (7)(E) when the (b) (7)(E) will be used.

While wearing a (b) (7)(E), a minimum of (b) (7)(E) magazines is required, one in the weapon and (b) (7)(E) in the ammunition pouch.
4. Enforcement Action. When on an enforcement action, wear and carry the tactical gear appropriate under the circumstances and/or as directed by the [b] (7)(E) .

902.05 Procedures for Carrying Firearms

SAs will exercise utmost caution in putting on, carrying, removing, and storing the firearm to ensure that it is not accidentally discharged or seized by another person.

1. Non-authorized Firearms. [b] (7)(E) While off duty, SAs are not required to carry a firearm but have the option of carrying either their GSA-OIG issued handgun or a personally owned firearm, pursuant to the authority under H.R. 218: The Law Enforcement Officers Safety Act of 2004, as amended by Public Law 111-272 (see Section 902.04 for further details).

2. Carrying Credentials and Badge While Armed. SAs must have their badge and credentials on their person when carrying an OIG-issued firearm (with the tactical badge worn in the [b] (7)(E) )

3. Wearing an OIG-Issued Firearm. When wearing an OIG-issued firearm the tactical badge should be worn in the [b] (7)(E) .

4. Drawing a Firearm. [b] (7)(E)

5. Alcoholic Beverages. [b] (7)(E)

6. Medication. [b] (7)(E)

(b) (7)(E)

7. Loss or Theft of an OIG-issued Firearm. The loss or theft of an OIG-authorized firearm will be immediately reported to appropriate federal and local law enforcement
authorities, as well as the will immediately report the loss or theft of a firearm to the
will immediately report the loss to the to determine the appropriate follow-up activity.

The SA will submit a memorandum to the with the details of the loss or theft, including measures taken to
recover it. will ensure that the necessary information relating to a lost or stolen firearm is promptly.

8. Discharge of a Firearm. SAs that discharge an issued or personally owned firearm
during the execution of any law enforcement activity, while in either an on-duty or off-duty status, must adhere to the procedures set forth in Chapter 904 of the Special Agent Handbook.

902.06 Procedures for Storing Firearms

1. Designated loading/unloading areas. SAs will utilize designated loading/unloading
areas to load/unload firearms in the office.

2. Securing a Firearm

Caution must be taken to prevent children and other persons from having access to
firearms, ammunition, and handcuffs SAs are responsible for the security of their handguns at all times.

3. Securing Long Guns in Vehicles. When transporting a long gun in a vehicle:
4. While on Travel Status. (b) (7)(E)
902.07 Repair of OIG Firearms

All modifications or repairs to OIG-issued firearms will be authorized by a GSA-OIG minor repairs or modifications to firearms may be completed by; however, major repairs will be made by a factory authorized representative.

If a firearm fails to function properly and the cannot correct the problem at the range, the will keep the and the SA. A firearm in need of repair will be conveyed to the.

In the event the firearm has to be shipped, it will be shipped to the appropriate , and shipper's instructions for shipping firearms will be followed.

are required to submit to the copies of invoices of expenditures of funds relating to the repair and maintenance of an issued firearm.

902.08 Maintenance of Firearms

SAs are responsible for maintaining the proper condition of their issued handguns and assigned long guns.

1. Issued handguns and assigned long guns will be cleaned after each use, to include qualification, practice firing, and/or as needed between firings.
2. should inspect handguns and long guns prior to each qualification for deficiencies or damage. At least, the will conduct a detailed inspection and cleaning of the handguns and long guns in the control of their office.

SAs issued handgun, ammunition, holster, and related firearms equipment are subject to inspection at any time by the.

902.09 Carrying/Transporting a Firearm Aboard Commercial Aircraft

1. 49 CFR 1544.219 sets forth policy relating to "carriage of accessible weapons" by law enforcement officers aboard aircraft operated by a United States licensed air carrier.
Effective Date 12/17/2013

903.00 POLICY FOR THE USE OF FORCE

903.01 General

The authority to carry firearms carries with it an obligation and responsibility to exercise discipline, restraint, and good judgment in their use. Special Agents (SAs) may use deadly force only when necessary, that is, when the agent has a reasonable belief that the subject of such force poses an imminent danger of death or serious physical injury to the agent or to another person.

SAs must abide by the Department of Justice “Use of Deadly Force Policy” (Figure 902-01).

903.02 Intervention Policy

1. Intervention in Observed Violations of State or Local Laws. The following guidelines should be followed by SAs in deciding whether or not to intervene in an observed violation of state or local law.

   • (b) (7)(E)
2. Intervention in Observed Violations of Non-GSA Related Federal Laws.

In carrying out official duties it may become necessary for a SA to use a firearm for the protection of himself/herself or others. The following guidelines will assist a SA in properly handling a firearms discharge incident. A firearms discharge incident is any discharge of a firearm, by a GSA-OIG SA, other than for purposes of training at a range. Agents must notify (b) (7)(E) as soon as possible of all
firearms discharge incidents. must immediately notify SAs. For discharge incidents involving injuries follow the Critical Incident Policy, Section 904.02.

903.04

All SAs of the GSA-OIG in the “1811 Series” who are supervised by the Assistant Inspector General for Investigations (AIGI) are authorized to carry provided that they comply with the provisions of Section 903.4A. (b) (7)(E)

903.04A OIG Policy on Carrying

A SA is approved to carry an OIG issued provided that the SA:

1. has successfully completed the non-lethal control techniques portion of the FLETC's Criminal Investigator Training Program or equivalent training; and
2. has successfully completed a GSA-OIG, approved training program;
3. is knowledgeable of, and follows GSA-OIG's policies and procedures, concerning the issued and;
4. has successfully completed periodic refresher training.

903.04B Procedures for Carrying Devices

1. Non-Issued SAs must have their credential and badge on their person when carrying an issued.
2. Carrying Credential and Badge with issued SAs must carry the credential and badge in a carrying case. The will be carried in a suitable holster approved by their Regional Instructor.
3. Securing a issued
903.04C Policy for Use of pepper Spray Devices

All SAs will adhere to the Department of Justice “Use of Deadly Force Policy” (Figure 902-01) with regard to utilizing the pepper Spray device may be utilized under the following circumstances:

- against persons who physically assault or attempt to assault the SA or other persons;
- when lesser measures such as verbal commands, persuasion and unarmed restraining techniques have proved ineffective, or the SA reasonably believes that lesser measures are unlikely to be effective; or
- against dogs or other animals when necessary for self-defense of the SA, or in the defense of others.

SAs should be cognizant of the following guidelines when utilizing the pepper Spray:

- the (b) (7)(E), never with the intent to inflict permanent injury.

- (b) (7)(E) ; if possible, strikes to the head or torso should be avoided.

- Once, in the agent’s perception, the person/animal no longer poses a threat of physical assault, use should be discontinued. Only that amount of force necessary to establish and maintain control of the situation is justified. A pepper Spray may not be used against persons/animals as a means of punishment, personal abuse, harassment, or coercion.

903.04D Medical Treatment

GSA-OIG SAs that cause physical injury by the use of force will immediately seek emergency medical treatment for those persons injured (b) (7)(E), as appropriate.

903.03E Reporting Requirements

SAs will notify (b) (7)(E) whenever they use force in the line of duty to control a non-compliant individual or an animal. When SAs (b) (7)(E)

- they must complete an Arrest/Assault Report Form (Figure 901-04) and forward it through (b) (7)(E).
903.05 (b) (7)(E)

is the only (b) (7)(E) authorized for use by GSA-OIG SAs. (b) (7)(E) is (b) (7)(E) that occurs in various (b) (7)(E) is a (b) (7)(E) occurring naturally in various plants. (b) (7)(E)  

903.05A OIG Policy on Carrying Devices

SAs are authorized to carry an device while on official duty provided that the SAs:

1. successfully completed an training program, which includes an exposure to
2. successfully completed periodic refresher training; and
3. have knowledge of OIG policies and procedures concerning devices issued to SAs.

903.05B Procedures for Carrying Devices

1. Non-Issued Devices. (b) (7)(E)  
2. Carrying Credential and Badge with Device. SAs must have their credential and badge on their person when carrying an device, (b) (7)(E)
3. Securing an Device. (b) (7)(E)  
4. Carrying/Transporting an Device Aboard Commercial Aircraft. (b) (7)(E)  

903.05C Policy for Use of Devices

An device may be used under the following circumstances:
Decontamination and Medical Treatment

An individual should not normally require medical treatment. However, when the individual has been placed in a safe environment, the person should be decontaminated. Decontamination should be provided as directed during the Training Program. If the individual's symptoms do not decrease after the individual exhibits symptoms that are not consistent with the normal reactions to trauma or the individual requests medical attention, Exposed individuals should be monitored.

Effective Date 12/17/2013

904.00 CRITICAL INCIDENT POLICY

904.01 Purpose

This directive establishes General Services Administration (GSA), Office of Inspector General (OIG) policy, procedures and guidelines regarding GSA-OIG Special Agent(SA) involvement in a critical incident. A critical incident is any event that causes, or has the potential to cause, an unusually intense stress reaction. The distress individuals experience after a critical incident often limits their ability to cope, impairs their ability to adjust and negatively impacts the work environment. These guidelines are applicable to any situation, which has resulted in death, serious bodily injury, or any other type of critical incident. These guidelines are intended to help reduce the chances of GSA-OIG SAs developing post-traumatic stress disorder (PTSD) resulting from a critical incident.

904.02 Policy

A number of occupations are at high risk for psychological distress and morbidity. Law enforcement constitutes one such profession. A shooting incident is possibly the most
severe occupational stress that an agent is likely to experience during his/her career. The duties of an agent can expose him/her to mentally painful and highly stressful situations, which cannot be resolved through normal stress coping mechanisms.

Unless adequately treated, these situations can create disabling emotional and physical problems. It has been found that agents involved in shootings resulting in death or serious bodily injury may experience such stress disorders. It is the responsibility of the GSA-OIG to provide personnel with information on stress disorders and to guide and assist in its deterrence. It also is the GSA-OIG policy to take immediate action after any incident to safeguard the continued good physical and mental health of all involved personnel.

904.02A Definitions

1. Post-Traumatic Stress Disorder (PTSD). An anxiety disorder that can result from exposure to short-term severe stress, or the long-term buildup of repetitive and prolonged milder stress. It may result from exposure to a "traumatic event."
2. SA Involved Shooting Incident. A line-of-duty incident where shooting causes death or serious bodily injury to an agent or other person.
3. Critical Incident. Any situation faced by law enforcement/emergency service personnel that has a stressful impact sufficient enough to overwhelm the usually effective coping skills of either an individual or a group. The event may have the potential to interfere with the ability to function either at the scene or later. If the incident is extreme in nature, it may serve as the starting point for PTSD.

904.03 Responsibilities

904.03 A Shooting Incident Procedures for Special Agents

1. A Special Agent should immediately obtain medical aid for injured parties.
2. A SA should immediately notify that a shooting incident has occurred and provide the details.
3. A SA should notify the appropriate .
4. A SA should identify individuals . The SA involved in the shooting .
5. A SA will cooperate with the local police by identifying himself/herself and if asked furnish a very brief description of the incident. As applicable, inform the local police that a firearm(s) was discharged while acting in an official capacity, whether medical assistance was requested, and whether a suspect(s) is in custody. A SA should advise the police that he/she will furnish further details (oral or written) after the SA has been afforded reasonable time to regain his/her composure, notify supervisory personnel, and consult with the Counsel to the IG. If the discharge results in death or injury, a SA should to the local police or the appropriate law enforcement authority, if requested, and obtain a receipt. The weapon and the spent cartridges will be treated as evidence and turned over to the first non-involved GSA-OIG supervisor or SA that arrives on the scene.

904.03B Shooting Incident Procedures for Field Supervisors.

1. The cognizant GSA-OIG supervisor will immediately notify of all critical incidents involving a SA. The GSA-OIG supervisor will consult with regarding a shooting incident.

2. Supportive. Communication is very valuable in attempting to alleviate fear of agency reaction. The supervisor does not have to comment on the incident but should show concern and empathy for the agent.

NOTE: The following guidance assumes that a GSA-OIG supervisor will arrive at the scene shortly after an incident. Due to the size of GSA-OIG and the extensive geographic area covered by our personnel, a supervisor may not reach the scene as quickly as desired. In the absence of a GSA-OIG supervisor, SAs should cooperate with local authorities, bearing in mind the guidance provided in this section.

1. The GSA-OIG supervisor shall, if required, assist in making appropriate arrangements for necessary medical treatment for the SA.
2. The handling of a shooting investigation by local authorities may vary greatly.
3. The GSA-OIG supervisor’s reactions should adapt accordingly. Support for the SA(s) and cooperation with local authorities must both be considered.
4. If possible, and with the cooperation of authorities investigating the shooting, the GSA-OIG supervisor should arrange for the SA(s) involved in the shooting to leave the area as soon as possible. A counselor or other supportive friend or SA should remain with the SA, but should be encouraged NOT to discuss the details of the incident.
5. If possible, the GSA-OIG supervisor, when meeting with the involved SA(s), should consider the following:
   - Stimulants or depressants should be administered by medical personnel only.
   - Other SAs should notify [b](7)(E) about the incident as soon as practicable. If the involved SA(s) is unable to do so, a [b](7)(E) personally shall notify [b](7)(E) to the hospital or other suitable location.

6. SAs involved in a shooting should notify [b](7)(E) about the incident as soon as practicable. If the involved SA(s) is unable to do so, a [b](7)(E) personally shall notify [b](7)(E) to the hospital or other suitable location.

7. At all times, when at the scene of the incident, the [b](7)(E) should handle the SA and all involved GSA-OIG personnel in a manner that acknowledges the stress caused by the incident.

8. Other SAs at the scene of a shooting also should be screened for emotional reactions and given administrative leave as necessary, on a case-by-case basis.

904.03C GSA-OIG Headquarters Responsibilities

1. The [b](7)(E) will immediately notify [b](7)(E) of all available facts.
2. If there is a possible violation of Title 18 USC 111 (Assaulting, resisting, or impeding certain officers or employees) and/or 1114 (Protection of officers and employees of the United States), [b](7)(E) will coordinate with [b](7)(E) regarding any media responses concerning a shooting incident.
3. If the shooting has resulted in the death of an agent, headquarters will notify [b](7)(E) and arrange to dispatch [b](7)(E) to assist the [b](7)(E).
4. After the [b](7)(E) is notified of all available facts concerning a shooting incident involving a GSA-OIG law enforcement officer, he/she shall dispatch an investigation team, to be headed by personnel from the OIG [b](7)(E) and which will report to the director of [b](7)(E) to conduct a thorough investigation of the incident and prepare a report for the [b](7)(E) as soon as possible. The investigation team will coordinate its efforts with the law
enforcement agency having jurisdiction over the shooting. See also, OIG Manual Section 201.03(d).

904.03D Post Incident Procedures

1. Involved personnel shall be (b) (7)(E)

2. The SA involved in a shooting (b) (7)(E)

3. A GSA-OIG supervisor should (b) (7)(E)

4. In conjunction with (b) (7)(E), administrative or other investigations will be completed as expeditiously as possible. The SA involved in the incident will be advised of (b) (7)(E).

5. All GSA-OIG personnel involved in a shooting incident should (b) (7)(E)

6. (b) (7)(E) will address inquiries from the media and will release a statement, if appropriate, pertaining to the incident. The interest of the agent involved will be considered prior to making any media releases. If a (b) (7)(E) is authorized to make a statement to the news media, he/she should (b) (7)(E).

7. A SA(s) directly involved in a shooting incident (b) (7)(E)
904.03E Injured Agent Procedures

If an agent is seriously injured while on duty and is expected to remain hospitalized, the following should be considered:

- Security and privacy of the injured agent;
- Inquiries from GSA-OIG and other law enforcement offices;
- Media/Press inquiries (refer to guidance set forth above);
- Visiting hours with office personnel;
- Blocking hospital telephone calls to the injured agent’s room. This will prevent the SA from receiving “crank” calls or inquiries from the media;
- Arranging for the installation of a “liaison telephone” for use by the injured agent and the liaison agent. For short-term use, consider a cellular telephone;
- Ensuring additional items of evidence are properly secured by the hospital (e.g., clothing). When in doubt, treat items as evidence;
- Keeping GSA-OIG management and office personnel apprised of the condition of the injured SA; and
- Assisting the injured agent in coordinating with administrative elements to obtain various benefits, i.e., contacting GSA-OIG Human Resources for assistance with Workers’ Compensation Benefits, etc.

904.03F Management Follow-up

- PTSD disorders may not be evident immediately, or the SA may attempt to hide the problem. Each GSA-OIG supervisor is responsible for monitoring the behavior of SA personnel for symptoms of PTSD.
- A GSA-OIG supervisor may require a SA to seek assistance or counseling from a mental health professional or properly trained peer support personnel. This action may be taken upon a reasonable belief that stress may be disrupting the SA’s job performance or ability to carry a firearm.

904.03G Legal Considerations

The same constitutional protections apply to a SA as apply to other individuals since the SA could be subjected to allegations of negligence, wrongful acts, civil rights violations, and criminal violations. Although a SA involved in a shooting incident should cooperate with the investigating authorities, the SA should be cognizant that he/she is still entitled to full constitutional privileges such as due process, the right to counsel, protection against unreasonable search and seizure, and the right not to be compelled to make incriminating statements. Should a SA involved in a shooting incident become subject to civil litigation, the GSA-OIG will, upon request from the SA and a determination by the GSA-OIG that the SA acted within the scope of employment, contact DOJ to seek legal representation for the SA.
Effective Date 12/17/2013

905.00 POLICY AND PROCEDURES RELATING TO VICTIM AND WITNESS ASSISTANCE

905.01 Purpose

The purpose of these guidelines is to establish procedures to be followed by management officials and Special Agents (SAs), General Services Administration (GSA) Office of Inspector General (OIG) in responding to the needs of crime victims and witnesses. These guidelines combine the requirements of the Victim and Witness Protection Act of 1982 (VWPA), P. L. 97-291 (October 12, 1982), and the Victims' Rights and Restitution Act of 1990, contained in the Crime Control Act of 1990, P.L. 101-647 (November 29, 1990) (the Act). Consistent with the like purposes of these statutes, the present Guidelines provide guidance on implementation of the 1990 Act as well as continued guidance on the protection of witnesses under the VWPA, and shall serve as a resource for SAs in the treatment and protection of victims and witnesses of Federal crimes.

905.02 Background

The VWPA of 1982 was enacted "to enhance and protect the necessary role of crime victims and witnesses in the criminal justice process; to ensure that the federal government does all that is possible within limits of available resources to assist victims and witnesses of crime without infringing on the constitutional rights of defendants; and to provide a model for legislation for State and local governments."

The Crime Control Act of 1990 mandates that officials of the Department of Justice and other federal agencies, engaged in the detection, investigation, or prosecution of crime, make their best efforts to ensure that victims of crime are treated with fairness and respect for the victim's dignity and privacy.

The 1990 Victims Rights and Restitution Act, 42 U.S.C. §§ 10606-10607, (VRRA) creates a Federal Victims of Crime Bill of Rights and codifies services that shall be available to victims of federal crime. This Act does not specifically address the treatment of witnesses; however, it reinforces and augments the VWPA in acknowledging the necessary role of witnesses in the criminal justice process and in ensuring their fair treatment by responsible officials.

The 1990 Victims of Child Abuse Act, 42 U.S.C. § 13031, (VCAA) provides a mandatory requirement for certain professionals working on federal land, or in a federally-operated or contracted facility, to report suspected child abuse to an investigative agency with authority to take emergency action to protect the child. The statute also provides criminal sanctions, a Class B misdemeanor, for those professionals who fail to report suspected child abuse.
Special Agents working on federal land or in a federally-operated or contracted facility, in which children are cared for or reside, are required to comply with this statute.

905.03 Definitions

For purposes of these guidelines:

1. "Victim" means a person who has suffered direct or threatened physical, emotional, or financial harm as a result of the commission of a crime, including:
   - in the case of a victim that is an institutional entity, an authorized representative of the entity; and
   - in the case of a victim who is under 18 years of age, incompetent, incapacitated, or deceased, one of the following (in order of preference): a spouse; a legal guardian; a parent; a child; a sibling; another family member; or another person designated by the court.
   - Federal departments and state and local agencies, as entities, shall not be considered "victims."

2. "Witness" means a person who has information or evidence concerning a crime, and provides information regarding his/her knowledge to a law enforcement agency. Where the witness is a minor, the term "witness" includes an appropriate family member or legal guardian. The term "witness" does not include a defense witness or an individual involved in the crime as a perpetrator or accomplice.

3. "Serious crime" (as used in the VWPA of 1982), means a criminal offense that involves personal violence, attempted or threatened personal violence, or significant property loss.

4. "Financial harm" is not defined or limited by a dollar amount, thus the degree of assistance, as discussed later in this chapter, must be determined on a case-by-case basis. For example, since victims' means vary, that which constitutes a minimal financial loss for one might represent a devastating loss for another.

5. "Child" means a person who is under the age of 18.

6. "Child abuse" means the physical or mental injury, sexual abuse or exploitation, or negligent treatment of a child. The term "child abuse" does not include, however, discipline administered by a parent or legal guardian to his or her child provided it is reasonable in manner and moderate in degree and otherwise does not constitute cruelty.

7. "Negligent treatment" means the failure to provide, for reasons other than poverty, adequate food, clothing, shelter, or medical care so as to seriously endanger the physical health of a child.

905.04 Policy

These guidelines apply to those components of the OIG engaged in the detection, investigation, or prosecution of Federal crimes. They are intended to apply in all cases in which individual victims are adversely affected by criminal conduct or in which witnesses provide information regarding criminal activity.
While special attention shall be paid to victims of serious, violent crime, all victims and witnesses of federal crime who have suffered physical, financial, or emotional trauma shall receive the assistance and protection to which they are entitled under the law.

Because of the nature of federal criminal cases it may often be difficult to identify the victims of the offense and, in many cases, there may be multiple victims. Sound judgment may be required to make appropriate decisions as to the range of victim services and assistance given. However, SAs should err on the side of providing assistance rather than withholding it.

1. Bill of Rights of Crime Victims (1990 VRRA). A crime victim has the following rights:
   - The right to be treated with fairness and with respect for his/her dignity and privacy.
   - The right to be reasonably protected from the accused offender.
   - The right to be notified of court proceedings.
   - The right to be present at all public court proceedings related to the offense, unless the court determines that testimony by the victim would be materially affected if the victim heard other testimony at trial.
   - The right to confer with the attorney for the government in the case.
   - The right to restitution.
   - The right to information about the conviction, sentencing, imprisonment, and release of the offender.

2. Child Abuse and/or Negligent Treatment. Special Agents working on federal land or in a federally operated or contracted facility are required to report suspected child abuse and/or negligent treatment. Suspected child abuse should be reported immediately to the local or state investigative agency with authority to take emergency action to protect the child. If appropriate a report should also be made to the United States Attorney’s office.

905.05 Procedures

In order to implement the requirements of the Act, there must be at least one individual who shall be designated specifically to carry out victim-witness services in each Regional Field Investigative Office. This Primary Contact Person (PCP) shall be delegated authority by the Special Agent in Charge to carry out the activities described in these Guidelines.

1. Special Agent in Charge for Investigations. With respect to compliance with the VWPA each SAC shall:
   - designate, in writing, a PCP and an alternate for providing assistance to victims/witnesses;
   - establish internal procedures to ensure the proper oversight of the services to be rendered to victim/witnesses;
in instances where certain duties and responsibilities overlap, the SAC must take all steps necessary to require coordination and inter-agency cooperation;

- assure that the PCP is notified of any situation in which the provisions of the Act might be invoked;

2. Primary Contact Person. The responsibilities of the PCP shall include ensuring the following actions are taken:

- establish contact with Victim Witness Coordinator (VWC) in each U.S. Attorney's office in his/her region to address policy related to:
  - training;
  - referral;
  - information; and
  - consultation services offered to victims/witnesses.

- be the primary contact person with VWCs in U.S. Attorneys' offices;

- provide instruction to Special Agents concerning their responsibilities in carrying out the Act;

- at the earliest opportunity make reasonable and diligent efforts through the case agent to inform crime victims concerning:
  - the place where the victim may receive emergency medical and/or social services;
  - compensation or restitution to which the victim may be entitled under this or any other applicable law, and the manner in which such relief may be obtained; and
  - the availability of public and private programs which provide counseling, treatment, and other support to the victim.

- to the extent deemed necessary and feasible, assist the victim in contacting the specific person or office which will provide the above services;

- on an individual case basis, make contacts with VWC in the State and local jurisdictions involved to determine their policy in relation to the particular victim/witness situation or problem;

- to the extent possible, avoid disclosure of the addresses of victims/witnesses except to authorized persons;

- advise victims and witnesses of serious crimes of steps that may be taken, if warranted, to protect the victim, the victim's family, the witnesses, and the witnesses' families from intimidation and, upon request, the status of the investigation, as appropriate, including any arrest or decision not to prosecute;

- maintain property of any victim or witness which is held for evidentiary purposes in good condition and, if possible, promptly return it; if property is not returned promptly, an explanation should be given to the victim or witness as to the property's significance in any criminal prosecution;
o upon request by the victim or witness, assist in notifying the employer of the victim or witness if cooperation in the investigation of the crime causes the victim’s or witness’s absence from work; *In interviewing victims or witnesses at their places of employment or other public places, the SA should explain to employers and others the individual’s status as a victim or witness and the necessity for conducting the interview at that time.*

o upon request by the victim or witness, assist in notifying the creditors of the victims or witness, if the crime or cooperation in the investigation affects the victim’s or witnesses’ ability to make timely payments;

o provide victim and witness information pamphlets that outline the rights of crime victims under federal law and describe available assistance programs to victims and witnesses as appropriate;

o assist appropriate officials to ensure pertinent information in the SA’s possession is included in the victim impact statement;

o in the event of actual intimidation and/or harassment of the victim/witness, take immediate action to:
  - notify the U.S. Attorney involved in the prosecution of the case;
  - render whatever interim assistance is necessary to the victim or witness; and
  - notify the responsible Federal agency, i.e., Federal Bureau of Investigation, U.S. Marshals Service, etc.

3. Alternate Contact Person. ACP shall:
   o be designated in writing by the SAC; and
   o provide assistance to the PCP and the Special Agent in all matters relating to victim/witness assistance program as assigned.

4. Special Agent. Special Agent shall:
   o at the earliest opportunity (the earliest opportunity means one that will not interfere with an investigation or hamper the Special Agent in the performance of other law enforcement responsibilities) after the detection of a crime, make reasonable and diligent efforts to:
     - identify the victims of a crime;
     - inform the victims of their right to receive the services described above and under the law; and
     - inform each victim of the names, titles, business addresses, and telephone numbers of the responsible officials to whom such a request for services should be addressed.
   o prepare and use the Victim/Witness Log *(Figure 905-01)* as a system for tracking and recording procedures used to provide assistance to victims/witnesses in individual cases. A copy of the Victim/Witness Log will be maintained in the Special Agent’s work papers and will be made available to the U.S. Attorney’s Office upon request;
   o immediately notify the PCP concerning actual instances of intimidation or harassment of any victim or witness;
   o notify the PCP of any situation in which the provisions of the Act could be invoked;
assist the PCP, VWC, and the U.S. Attorney, as necessary, in carrying out the provisions of the Acts;
ensure that victims/witnesses routinely receive information on the prohibition against victim/witness intimidation or harassment, and the appropriate remedies; and
ensure that any information in the case file that is pertinent to the defendant’s sentence is brought to the attention of either the U.S. Attorney or the U.S. Probation Office. This information is needed to assist in the preparation of the victim impact statement in the U.S. Probation Office’s pre-sentence report to the presiding judge.

Note: All components shall work with appropriate components of other federal agencies that investigate and prosecute violations of Federal law to assist them in providing these services to victims; and shall coordinate their victim-witness service efforts with state and local law enforcement officials, including tribal police officials in Indian Country and victim assistance and compensation service providers.

If available, the OIG will provide printed brochures containing general information and a brief description of rights and available services, to be given to victims as soon as a victim is identified.

Effective Date 1/3/2014

906.00 INVESTIGATIVE CASE MANAGEMENT PROCEDURES

906.01 Initiating Investigative Cases

Investigative cases are initiated after the Office of Inspector General (OIG) receives a complaint or allegation involving possible violations of criminal/civil law or administrative regulations involving the programs/operations of GSA.

Determinations on complaints/allegations involve one of the three possible courses of action: (1) creating a zero case (Section 906.01A); (2) opening an investigative case (Section 906.01B); or (3) opening a pro-active investigation (Section 906.02). The above determinations are only to be made by [b] (7)(E)

906.01A Creating Zero Files

Zero files are created to provide a repository of information for future retrieval. A file is established when a complaint or allegation clearly does not warrant investigation or when an investigation is warranted, but cannot be initiated due to insufficient investigative resources. [b] (7)(E)
The zero file number is generated when the responsible JI office enters the appropriate data.

906.01B Opening Investigative Cases

An investigative case is opened when the factual basis of the complaint or allegation warrants such action. Opening an investigative case involves: (1) obtaining an assignment number; (2) initiating a record of the assignment in ; and (3) assessing the importance of the case relative to JI's overall case inventory.

When an incident or closely related incidents involve multiple subjects, generally only a single case will be opened. However, more than one case may be opened if there is a compelling reason to do so, consistent with Section 906.04.

1. Obtaining Assignment Numbers.

2. Maintaining Records of Investigative Assignments. All JI offices are responsible for ensuring that assignments in are accurate and up-to-date.

3. Determining Case Classification and Sub-classification Categories. The OIG describes the nature of investigative workload using case classification and sub-classification categories.

906.01C Assigning Investigative Case Priorities.

Under this system, an evaluation of the relative importance of each investigative case is made at the time of case opening. At the field office level, determines the case priority. This priority determination will be adjusted if warranted by new information developed during an investigation.
906.02 Proactive Investigative Activities

Proactive investigative activities are an important means of developing investigative cases. OIG Special Agents (SAs) engage in two distinct types of proactive investigative activities: (1) proactive activities designed to develop investigative leads and sources; and (2) structured proactive reviews of program areas that are potentially vulnerable to fraud, waste or abuse, which may be initiated by either Central Office or field offices.

In contrast with standard OIG investigations, these proactive investigative activities do not necessarily result from specific allegations of wrongdoing received by the OIG.

906.02A Structured Proactive Reviews of Program Areas

OIG SAs also participate in structured proactive reviews of GSA program areas that are vulnerable to fraud, waste or abuse. SACs are authorized to initiate, develop, and coordinate proactive reviews within their particular GSA regions.

As such, they (1) determine the investigative focus and scope; (2) conduct the investigation -- subject to existing OIG case management controls; and (3) request (b) (7)(E) when deemed appropriate.

906.03 Case Management and Monitoring

906.03A Case Management

In order to ensure timely and appropriate action on investigative cases, the SAC and other supervisory personnel need to be involved, on a continuing basis, in planning and reviewing the investigative work. Supervisory personnel are to ensure adherence to the investigative standards contained in OIG Manual Section 901.04 when planning, directing, and reviewing investigative work.

1. Workplans. A workplan, is prepared at the start of every investigation. While the specific format of the workplan is determined by (b) (7)(E), all workplans must provide at least the following information:

   - investigative issues (what is to be resolved); and
   - possible violations (statutes and/or regulations).

Workplans are prepared in (b) (7)(E) and reviewed and approved by (b) (7)(E).

2. Workload Reviews. Every investigative case is subjected to a comprehensive, formal review (b) (7)(E).

   a. Review of Cases Worked by Special Agents. During the workload review, (b) (7)(E) discuss:
the results of the investigation to date;
progress toward objectives stated in the workplan;
need for changes in the workplan; and
fulfillment of administrative requirements, such as computer entries and preparation of investigative reports and memoranda.

(b) (7)(E) documents the workload review, noting the above discussion points in the Case Review tab (b) (7)(E).

(b) (7)(E) is also responsible for the informal review of each assigned investigation as often as necessary for effective case management.

b. Review of Cases Worked by SACs. All investigative cases worked by (b) (7)(E) are subject to review (b) (7)(E) or the (b) (7)(E) designee. Review methodology, frequency of review, and documentation procedures are decided, on a case-by-case basis, by the (b) (7)(E).

A case is assigned to a responsible either by the (b) (7)(E). In the latter case, the is responsible for bringing this to the attention of the (b) (7)(E).

906.03B Referrals To and From Office of Audits (JA)

Subchapter 705 details formal procedures used by JA to advise OIG of suspected wrongdoing disclosed as a result of OIG audit work. Subchapter 706 details formal procedures used by OIG to advise JA of possible management deficiencies surfaced during OIG investigative work.

In addition to following these formal reporting procedures, OIG Special Agents and auditors are expected to share professional information on an informal basis, (b) (7)(E)

906.04 Collateral Investigative Leads

906.04A OIG Policy on Collateral Investigative Leads

Collateral investigative leads are those requiring investigative activity outside the geographic area of responsibility of the field investigations office conducting the investigation. Such leads are normally handled by requesting assistance from the field investigations office with responsibility for the other geographical area.

906.04B Requesting Assistance on Collateral Investigative Leads

(b) (7)(E) responsible for the investigation requests assistance on collateral leads by request to the other (b) (7)(E). This formal request must provide all background and guidance necessary for the assisting office to obtain the desired information/evidence includes at least the following data:
• title and assignment number;
• background summary of the case;
• location (if known) of records to be examined/obtained;
• names and addresses (if known) of persons to be interviewed;
• pertinent questions that need to be answered;
• copies of any documents the assisting agent will need to complete the collateral request; and
• requested completion date for the investigative work on the collateral leads.

906.04C Responding to Requests for Assistance on Collateral Investigative Lead

Not later than working days after receiving the collateral request, the assisting provides a response to the requesting The response:

• includes a brief summary of actions and results; and
• provides, as attachments, any documents, evidence, and original records of interview acquired during the collateral investigation.

In any cases where the assisting is unable to complete the investigative work by the requested date, he/she notifies the requesting office no later than that date, outlining the reasons for the delay and providing an estimated completion date.

906.05 Case Closing

1. Responsibilities for Case Closing. Case closing decisions are made by the

2. Procedures for Case Closing. Procedures for case closing are as follows:

• The case agent prepares the Case Closing Authorization in , which is electronically submitted to the .
• The approves the case closing; and, where the case is being closed without a referral, justifies the closing in the comments section on the case closing form.
• The ensures that all necessary entries are made to close the case.
• The will determine whether an ROI or Case Closing memorandum is appropriate.

906.05A Retention and Disposition of Investigative Records

Retention and disposition of the OIG’s official investigative case files and zero files is the responsibility of JI Headquarters and is performed in accordance with GSA Disposition Schedule 3A056 (Figure 906-01).

Effective Date 1/3/2014
907.00 HOTLINE POLICIES AND PROCEDURES

907.01 OIG Hotline

907.01A Organization, Management, and Scope of the Hotline Function

The OIG hotline function is located within the Investigations Operations Division (JIB). It is operated by the Director of the GSA Hotline who reports to the Deputy Assistant Inspector General for Investigation (DAIGI), who in turn reports to the Assistant Inspector General for Investigations (AIGI). The hotline will also be staffed by other OIG personnel, henceforth referred to as hotline officers.

The hotline function handles all complaints:

- referred to the OIG by GAO;
- received in the mail that are addressed to the hotline officer;
- received in the mail that are addressed to other Central Office OIG officials, but could best be resolved through the hotline function;
- received by other agency hotlines and referred for GSA/OIG hotline action;
- made in person by walk-in hotline complainants;
- received on the OIG's hotline telephone lines or in its electronic mail; and
- received through the hotline reporting form on the OIG Internet webpage.

907.01B Receiving Hotline Telephone Calls

The hotline officer monitors the hotline telephone lines during duty hours. During non-duty hours, the lines are answered by a recording device that: (1) identifies the GSA-OIG hotline; (2) gives instructions on how to register a complaint; and (3) allows the caller to leave a short message. As his/her first assignment of each workday, the hotline officer reviews all messages left on the recording device after the close of the previous business day. If callers have asked to be contacted, the hotline officer does so as soon as possible.

Every effort will be made to have the hotline phones covered during normal business hours.

1. Hotline Briefing/Coordination Actions. The Hotline keeps the generally apprised of complaints received and immediately briefs the on all matters thought to be of immediate importance, such as complaints regarding a crime in progress, a situation where in life, limb or property is endangered, an allegation regarding a senior GSA management official, an allegation regarding an OIG official, a bribery situation, etc. In the absence of the the hotline officer will directly brief the on all sensitive or significant situations on an expeditious basis. In the event the is also not available, the will be briefed.
2. Receiving Threats Against the President of the United States, Cabinet Level Members and Members of Congress. Any information received that could be interpreted as a threat against the President, the Vice President, their family members and White House staffers, members of Congress, etc., will be immediately coordinated. If the threat/information is on an answering machine, a copy of the message will be released to at their request.

3. Advising Callers on Policies for Protecting the Identity of Hotline Sources. The hotline officer provides advice and information to hotline complainants on the protection of identities as follows:

- When a hotline complainant asks about the degree of protection to be afforded his/her identity, the hotline officer advises that, consistent with Section 7(b) of the IG Act, the identity of a GSA employee complainant is protected from disclosure, unless such disclosure is unavoidable during the course of the investigation. Even though the IG Act addresses only Agency employee complainants, the identity of non-GSA complainants is protected to the fullest extent possible through the same operating procedures as utilized for GSA complainants.

- When a hotline complainant specifically requests confidentiality, the hotline officer provides the same information outlined above, but also explains that confidentiality can never be guaranteed, since disclosure could prove unavoidable during the course of an investigation. Section 907.01D presents additional guidance on the special procedures for protecting the identities of confidential hotline sources.

- When a hotline complainant states that he/she has no objection to being identified as the source of the complaint in any referral to Government officials, the hotline officer advises the complainant in general terms on the course such a referral could take. The purpose of this advice is to minimize any misunderstanding on the possible disclosure of identity.

4. Documenting Hotline Complaints. All telephonic and walk-in complaints will be written up on a Hotline Complaint Form (Figure 907-01). Written complaints will be processed the same as verbal complaints. (NOTE: The Hotline Complaint Form is an internal OIG document.)

Upon receipt of a hotline call, the hotline officer will ascertain whether the call concerns fraud, waste, abuse or mismanagement, and whether it is GSA related.

- If the call is GSA related, the hotline officer will strive to obtain all possible information from the complainant concerning the allegations being made, i.e., who, what, when, where, why and how. An attempt will be made to obtain the
Those complaints that are not GSA related will be referred to the appropriate agency's hotline office, if one exists. If a hotline office does not exist, the complaint should be referred to the agency's appropriate investigative or management authority.

907.01C Initial Screening of Hotline Complaints

All hotline complaints are initially screened by the hotline officer to determine whether they should be subjected to further review/follow-up. Those complaints that lack investigative merit are assigned a file number and closed. Bona fide complaints appearing to relate to any employee, property, or operation of GSA or other Government organization are subjected to further review/follow-up. This initial screening must be completed within [ ] working days after receipt of the hotline complaint.

907.01D Procedures for Controlling GAO and Hotline Complaints

The hotline officer uses the following procedures to track and control complaints received from GAO, and those GSA hotline complaints meriting further review/follow-up:

1. Assigning Hotline Complaint Numbers. Each opened case is assigned a computer-generated complaint number, created when the hotline officer initiates a record of the complaint in the [b] (7)(E) [b] (7)(E).

2. Preparing the Electronic Hotline Case File. An electronic hotline case file is created for each hotline complaint. All documents pertaining to the complaint will be [b] (7)(E)

3. Completing Hotline Indexing and Indices Checks. The procedures pertaining to the indexing of hotline complaint information [b] (7)(E) and obtaining hotline indices checks are as follows:

   - Indexing Actions: All subjects, witnesses, complainants (Section 902.04F), and victims, as well as the names of businesses, will be entered into [b] (7)(E) (Section 902.04F).

   - Indices Checks: Prior to any referral action, the hotline officer will [b] (7)(E)
4. Maintaining Hotline Suspense Tickler. If the complaint is to be referred, a suspense report is generated on a (b)(7)(E) basis, indicating those hotline complaints that have not been responded to in (b)(7)(E).

5. Special Procedures for Protecting the Identities of Confidential Hotline Sources. The following special procedures apply when a hotline complainant has requested confidentiality:

- All identifying information concerning the complainant (name, position, residence and work address, home and work telephone, etc.) WILL be recorded in (b)(7)(E) under the (b)(7)(E) and coded (b)(7)(E).
- Referrals made to OIG components will NOT contain complainant’s identity. Agents within a JI field office will be able to view the identity of ALL complainants in (b)(7)(E). The complainant’s identity is not furnished to any other requestor.
- Referrals made outside the OIG will NOT contain the confidential source’s identity, nor will this information be furnished to a non-OIG requestor. The hotline officer also removes any details from the referral that could identify the complainant.

907.01E Referring GAO and Hotline Complaints

For each GAO and hotline complaint that has been assigned a complaint number, the hotline officer in coordination with the DAIGI, determines whether it: (1) has OIG investigative merit; (2) lacks OIG investigative merit, but should be brought to the attention of JA or JC; (3) lacks OIG investigative or audit merit, but should be brought to the attention of GSA management officials; or (4) relates to an agency other than GSA. The complaint is referred in accordance with this determination within JI, to JA or JC, to GSA Management Officials, or to other agencies.

1. Referrals Within JI. Complaints that have investigative merit are referred by the (b)(7)(E) and assigned to the appropriate (b)(7)(E) by the Hotline (b)(7)(E) with a suspense date of 20 calendar days to respond as to action taken.

If the (b)(7)(E) opens an investigation, he/she does so by converting the hotline case to an investigative case in (b)(7)(E) and (b)(7)(E). The Hotline (b)(7)(E) will forward a summary of the action taken and the final disposition of the case to GAO (Section 907.01F).
If, after receiving the referral from the [b] (7)(E) ..., determines that an investigation is not warranted, the [b] will reassign the hotline case to the Hotline [b] (7)(E). The [b] will explain the reason an investigation is not being opened on the complaint under the "Documents" tab in [b] (7)(E) along with his/her recommendation that the hotline complaint should be referred to JA, JC, or GSA management officials, or that the case should be closed.

2. Referrals to JA and JC. Complaints that lack OIG investigative merit but could be of interest to JA or JC are so referred, with copies of the referral provided to the appropriate SACs [b] (7)(E). The referrals, which are made by the DAIGI to the AIGA or the Counsel to the IG, request response within [b] calendar days. If JA initiates an audit or other project as the result of the complaint, the response to the Hotline includes the assignment number. Unless the complaint was referred by GAO, the Hotline [b] (7)(E) then closes the hotline case file in [b] (7)(E) cross-referencing it to the JA assignment number. Files on complaints referred by GAO are kept open until all action is complete, at which time JA provides the hotline officer with a summary of the action taken. This summary is forwarded to GAO (Section 907.01D).

If JA does not initiate an audit or other project as the result of the complaint, all material is returned, using the hotline complaint number, to the Hotline Director. The Hotline Director, in conjunction with the AIGI, determines whether or not the complaint should be referred to GSA management officials.

3. Referrals to GSA Management Officials. Complaints that relate solely to management are referred by the AIGI to the appropriate management officials with a suspense date of [b] calendar days to respond. Referrals to a region are directed to [b] (7)(E). Informational copies of all referrals to GSA regional officials are sent to the appropriate [b] (7)(E).

The Hotline [b] (7)(E) in conjunction with the [b] evaluates each management response for completeness and specific coverage of the complaint. A management response that does not fully or directly address the complaint is referred back to the management official. The hotline case is closed only when a fully satisfactory response has been received.

4. Referrals to Other Agencies. Complaints are referred to other agencies in accordance with the following guidelines:

- Complaints received from GAO that do not relate to GSA employees or programs are returned to GAO, with appropriate explanation.
- Hotline complaints that appear to relate entirely to an agency other than GSA are referred to that agency, and the hotline case is closed. The complaint referral letter, transmitted by the [b] asks that the OIG be notified if inquiry into the
complaint discloses any GSA-related issue, but does not request a routine response. Copies of such referrals are provided to the appropriate.

- The third category of referrals to other agencies consists of GAO and hotline complaints that involve GSA employees or programs, but are within the action responsibility of another agency. In this case, the referral is by cover letter from the which requests notification on the results of the other agency’s inquiry. Copies of such referrals are provided to the appropriate.

907.01F Following Up on Referrals of GAO and Hotline Complaints

All responses to a hotline complaint are prior to closing the hotline case. When the response to a complaint referral is not received by the specified deadline, the hotline officer telephones the responsible party to determine the status of the response. A request for extension of the due date is generally granted. However, when there is continued failure to meet specified deadlines, the AIGI sends a written request for the current status and the projected completion date.

In the case of complaints referred by GAO, the OIG is required to: (1) notify GAO of initial disposition within 10 days; and (2) notify GAO of final disposition. Case files on GAO complaints are kept open until completion of all action related to the complaints (Section 907.01E). The hotline officer follows up on each such referral every 10 days after the initial response to the referral, until all action on the complaint is completed. These follow-up procedures are modified only when the action office has projected a later completion date.

Effective Date 2/5/2014

908.00 RELATIONSHIPS WITH PROSECUTIVE AUTHORITIES, OTHER LAW ENFORCEMENT AGENCIES, AND AGENCY OFFICIALS

908.01 Office of Investigations Relationships With Prosecutive Authorities, Other Law Enforcement Agencies and GSA Officials

908.01A JI Relationship with Offices of U.S. Attorneys

The Attorney General’s Guidelines for the Office of Inspectors General with Statutory Law Enforcement Authority dated December 8, 2003 (Figure 901-02) establishes procedures for consultations with prosecutors.

Special Agents in Charge (SACs) and Special Agents (SAs) are expected to establish working relationships with U.S. Attorneys’ Offices that permit both formal and informal discussion of OIG investigative cases.
Formal presentation of investigative cases to U.S. Attorneys’ offices normally occurs after completion of all investigative steps (Subchapter 919). However, SAs are expected to consult with U.S. Attorneys’ offices as soon as information is developed that indicates the investigation may corroborate an allegation of a criminal violation. The purpose of this early consultation is to focus investigative effort on cases with prosecutive potential, and to ensure that the investigation fully supports that potential.

When early consultation results in a U.S. Attorney decision to accept the case, decline the case, refer the case to another investigative source, or initiate any grand jury process relating to the case, the SA follows the procedures detailed in Subchapter 919.

When early consultation results in a case being accepted for prosecution, the Report of Investigation should be prepared as appropriate for the AUSA’s needs. When early consultation results in the U.S. Attorney requesting additional information or OIG investigative work, the SA documents the early consultation in the case file and proceeds to take the requested actions. Agents should ensure that all investigative activity, both exculpatory and incriminating, is recorded in the official case file. Early consultations that result in requests for additional information or investigative work are noted in the [b] (7)(E) [b] (7)(E) (b) (7)(E) [b] (7)(E) [b] (7)(E).

2 The prior concurrence of a prosecutor also is required for certain situations [b] (7)(E) [b] (7)(E) [b] (7)(E) [b] (7)(E), as set forth in Chapter 915.

908.01B JI Relationship with the DOJ Antitrust Division

Since 1982, the DOJ Antitrust Division has placed special emphasis on working with the OIG to address anti-competitive practices affecting the Government acquisition process, particularly when those practices are provable violations of anti-trust statutes. In support of this emphasis, OIG investigative cases indicating patterns of collusion, bid-rigging, and other anti-competitive schemes are referred to the Antitrust Division. The Antitrust Division considers the cases for criminal or civil prosecution and coordinates its activities with Offices of U.S. Attorneys and other DOJ components, as appropriate.

The SAC serves as the OIG’s point of contact with the Antitrust Division.

908.01C JI Relationship with the FBI

The Attorney General’s Guidelines for Offices of Inspectors General with Statutory Law Enforcement Authority dated December 8, 2003 (Figure 901-02) establishes the responsibility for notification of investigation of criminal activity involving General Services Administration (GSA) programs and operations.

The Guidelines establish mutual notification requirements. As the primary investigative arm of the DOJ, the FBI has jurisdiction in all matters involving fraud against the federal government and shares jurisdiction with the OIG in the investigation of fraud against
GSA. In such areas of concurrent jurisdiction, the OIG and the FBI must notify each other in writing within 10 calendar days of the initiation of any criminal investigation.

Notification is addressed to the FBI in the district in which the investigation is being conducted. Notification by the FBI also is addressed to the appropriate regional office of the OIG. Notification includes, at a minimum: (a) subject name, date of birth, social security number and any other identifying information including, but not limited to, (b) date the case was opened or the allegation was received, and (c) the allegation on which the case was predicated. In investigations where allegations arise which are beyond the scope of the OIG’s jurisdiction, the OIG immediately notifies the appropriate investigative agency of the allegation.

908.01D JI Relationship with Other Law Enforcement Agencies

Upon determining that a complaint or allegation that warrants investigation does not pertain to GSA, the SAC will refer the complaint/allegation to another law enforcement agency. Generally, a complaint or allegation is referred to another law enforcement agency when one or more of the following conditions applies:

- The subject matter is either traditionally or by law investigated by another agency.
- The complaint/allegation does not involve GSA employees, programs, or property.
- The complaint/allegation indirectly involves GSA employees, programs, or property, but it has a major impact on another agency.
- The complaint/allegation involves GSA programs or property, but it can be more effectively pursued by the DHS Federal Protective Service.
- The complaint/allegation involves a threat to the safety of the President or any other protectee or responsibility of the U.S. Secret Service.

1. Standard Procedures for Referrals to Other Law Enforcement Agencies. The standard procedures governing OIG referrals to other law enforcement agencies are as follows:

- The referrals are made by the SAC to the head of the other agency's local office having jurisdiction over the geographical area where the wrongdoing allegedly occurred.
- Except in exigent circumstances, referrals within GSA are by memoranda; and referrals outside GSA are by letters. Referrals may initially be made telephonically or in person, but they should be confirmed in writing for appropriate documentation.
Referral memoranda/letters contain:

- a presentation of the complaint/allegation, along with any facts developed by the OIG;
- a statement that the matter is being referred for informational purposes and any action deemed appropriate;
- when appropriate, an offer of OIG assistance and support (with the provisions of the OIG/FBI memorandum of understanding used as guidelines for suggested joint investigations); and
- when the referral involves GSA employees, programs or operations normally a GSA-OIG investigation will be initiated and the case will be investigated jointly with the other agency.

2. Special Procedures for Referral of Matters Involving Threats against Government Officials. The U.S. Secret Service is responsible for protecting the President, Vice-President, President-elect, certain other Government officials, Presidential family members, the Executive Mansion, and foreign diplomatic missions in the Washington, D.C. area. SAs who receive information indicating a potential threat within U.S. Secret Service jurisdiction should immediately report that information to the nearest U.S. Secret Service office or the U.S. Secret Service Intelligence Division, Washington, D.C.

Information indicating threats to Government officials or Presidential and Vice-Presidential candidates not receiving U.S. Secret Service protection should be reported immediately to the nearest FBI office.

908.01E  **JI Relationship with State and Local Prosecutors**

When Federal prosecutors decline OIG referrals (or express no Federal interest during early consultation on an investigative case), SAs should be alert for opportunities to seek prosecution by state and local authorities. Examples of violations encountered in OIG investigations that could be prosecuted in state and local courts are: misuse of Government credit cards; criminal trespass; false utterances (bad checks); and theft of Government property from non-Federal premises.

When state or local prosecutors accept OIG cases, OIG SAs provide assistance and follow the same administrative and reporting procedures as in Federal prosecutions.

908.01F  **JI Relationship with the Office of Special Counsel**

JI's relationship with the Office of Special Counsel is defined in Subchapter 603.

908.01G  **JI Relationships with GSA Officials**
The OIG’s general policy is to keep Heads of Services and Staff Offices (HSSO) and Regional Administrators (RAs) informed of investigative activity by advising these officials of: (1) new investigations, (2) the status of ongoing investigations, and (3) JI action decisions on complaints/allegations forwarded by these management officials. Special Agents in Charge (SACs) are responsible for keeping the RAs informed of their investigative activity; the Assistant Inspector General for Investigations (AIGI) is responsible for keeping the HSSOs apprised of investigative activities. In order to prevent compromising investigations through such disclosure of information – the responsible JI officials are generally expected to exercise judgment, on a case-by-case basis, as to the need for and extent of notification.

1. SAC Notifications to RA. The cognizant SAC notifies the RA as appropriate of investigations in the Administrator’s region. The SAC also provides feedback on all referrals/complaints forwarded by the RA, including OIG determinations as to whether an investigation is warranted.

2. AIGI Notifications to HSSOs. Whenever: (1) a case is opened involving a GSA Central Office service or staff office, and/or (2) an ongoing case discloses information involving a GSA Central Office service or staff office. Such notification occurs whenever: (1) a case is opened involving a GSA Central Office service or staff office, and/or (2) an ongoing case discloses information involving a GSA Central Office service or staff office. Such notification occurs whenever: (1) a case is opened involving a GSA Central Office service or staff office, and/or (2) an ongoing case discloses information involving a GSA Central Office service or staff office.

Referrals/complaints by HSSOs for investigative consideration are normally received in the OIG Central Office and processed for investigative determination by the AIGI. The AIGI should notify the RA regarding any referral or complaint received from an HSSO.

The AIGI briefs the RA as to the investigative determinations regarding referrals/complaints by HSSOs. The RA then notifies the HSSO who at his/her discretion may brief the HSSO in accordance with the mutually agreed upon method of notification.

Effective Date 2/5/2014

909.00 TRANSMITTING AND SAFEGUARDING CONTROLLED UNCLASSIFIED INFORMATION

909.01 Transmitting and Safeguarding Controlled Unclassified Information

Special Agents (SAs) should be familiar with all applicable policies regarding the protection of information. In addition to those policies, SAs should become familiar with the May 9, 2008, Memorandum for the Heads of Executive Departments and Agencies,
“Designation and Sharing of Controlled Unclassified Information” *(Figure 909-01)*. For the purposes of sharing Controlled Unclassified Information the designation “For Official Use Only” will be used by the Office of Investigations (JI).

**909.02 Procedures for Transmitting and Safeguarding “For Official Use Only” Information**

The following paragraphs detail: (1) special procedures for transmitting items of evidence, subpoenaed materials, and equally sensitive material; and (2) standard procedures for transmitting “For Official Use Only” information between the Office of Investigations (JI) and field investigations offices; from JI to Regional Administrators (RAs); from field investigations offices to RAs; from JI to GSA Central Office officials; and from JI components to U.S. Attorneys and other agencies.

**909.02A Special Procedures for Transmitting Items of Evidence, Subpoenaed Materials, and Equally Sensitive Information**

When information is being mailed on an open investigation, the information is sent via authorized (b) (7)(E).

**909.02B Standard Procedures for Transmitting “For Official Use Only” Information Between JI and Field Investigations Offices**

The following procedures apply when “For Official Use Only” information is being mailed between JI and field investigations offices:

1. The information is sent as described in Section 909.02A.

2. When the information relates to matters (such as (b) (7)(E), it is contained in (b) (7)(E).

**909.02C Standard Procedures for Transmitting “For Official Use Only” Information From JI to RAs.**

The following procedures apply when JI transmits “For Official Use Only” information to RAs:

1. Correspondence to the RA, National Capital Region, is sent (b) (7)(E). When reports of investigation are being transmitted (b) (7)(E) *(Figure 909-02)* is attached to the (b) (7)(E).
2. Correspondence to RAs outside the National Capital Region that transmits information to RAs outside the National Capital Region is sent via authorized.

3. Other "For Official Use Only" correspondence to RAs outside the National Capital Region is sent via authorized. When Reports of Investigation are being transmitted, authorized.

909.02D Standard Procedures for Transmitting "For Official Use Only" Information From Field Investigations Offices to RAs

The information is either authorized. When Reports of Investigation are being transmitted, authorized.

909.02E Standard Procedures for Transmitting “For Official Use Only” Information From JI to GSA Central Office Officials

Correspondence transmitting authorized to officials located in the GSA headquarters building is authorized. The information is contained in authorized. Correspondence transmitting authorized to Central Office officials located outside the GSA headquarters building are sent via authorized. All other correspondence to Central Office officials is sent authorized.

909.02F Standard Procedures for Transmitting “For Official Use Only” Information From JI Offices to U.S. Attorneys or Other Government Agencies

JI offices either authorized “For Official Use Only” information to U.S. Attorneys and other agencies, or they send it via authorized. When authorized are being transmitted, authorized.

Effective Date 2/5/2014

910.00 POLICY AND PROCEDURES FOR GRAND JURY MATERIALS

910.00 Purpose

This subchapter provides the special handling requirements of information obtained through the use of the grand jury process.
910.01 Scope

Provisions of this section apply to all personnel in the Office of Inspector General (OIG) who will have access to grand jury information.

910.02 Grand Jury Information

Rule 6(e) protects from disclosure “matters occurring before the grand jury.” There have been many court decisions interpreting this rule; however, many decisions have been piecemeal (i.e. interpreting whether a specific item is afforded protection) and the decisions vary among jurisdictions. For the OIG’s purposes, the following materials and information should be treated as “matters occurring before the grand jury” and should not be disclosed to anyone who is not on the applicable grand jury list:

1. Transcripts of witness testimony, statements made by government attorneys before the grand jury, and any other statements made by or before the grand jury.

2. Documents that record or summarize any statement or action taken before or by a grand jury, including summaries of witness statements which identify information witnesses presented before the grand jury. (Such documents include prosecutive referrals which contain such information.)

3. Documents which are obtained in response to grand jury subpoenas, including lists or summaries of such documents. (In addition, as necessary SAs should ask the AUSA assigned to the case whether jurisdictional court rules or decisions prohibit the SA’s access to these materials until after they are presented to the grand jury.)

4. Documents or information identifying grand jury witnesses and the targets of grand jury investigations. In addition, grand jury subpoenas are specifically prohibited from disclosure by Rule 6(e)(6).

Disclosure of information which the OIG gathers from a source independent of the grand jury proceeding is not restricted by Rule 6(e) simply because the information is subsequently presented to a grand jury or because the related investigation becomes the subject of a grand jury inquiry. However, any materials or statements reflecting that independently-gathered information was presented to the grand jury must be protected as matters occurring before the grand jury.

910.03 Policy

To the extent possible, OIG Special Agents (SAs) (b) (7)(E) will ensure that the information and evidence obtained during an investigation can be used for appropriate investigations. This will ensure that the (b) (7)(E) information is protected as appropriate.
910.04 Limitations on Use of Grand Jury Materials

1. Rule 6(e) provides in part that any to whom grand jury matters are properly disclosed: “...shall not utilize that grand jury material for any other purpose other than assisting the attorney for the government in the performance of such attorney’s duty to enforce federal criminal law.”

2. Only OIG employees in receipt of a Rule 6(e) letter from the U.S. Attorney shall have access to grand jury information unless otherwise provided for by exemption.

910.05 Responsibilities

(b) (7)(E) monitor the implementation of this section in the respective Regional Office and are responsible for the following:

1. Provide secure storage for any grand jury information located in their respective offices.

2. Ensure grand jury information is not disclosed to unauthorized personnel unless a Rule 6(e) disclosure court order has been obtained or exemption exists.

3. Instruct(b) (7)(E) regarding the proper handling of grand jury information.

4. Provide guidance to any OIG employee assigned to assist in a grand jury investigation or who otherwise has access to grand jury material.

5. Ensure that report(s) issued to agency officials contain no grand jury information.

6. Ensure that grand jury information is properly disposed of when no longer needed.

(b) (7)(E) are responsible for the following:

1. Prior to grand jury involvement, (b) (7)(E)

2. Furnish the U.S. Attorney the identity of those requiring a Rule 6(e) letter.

3. Handle grand jury information so that it is at all times secure from inadvertent or intentional observation by anyone not approved for disclosure.

4. Provide only to those OIG employees in receipt of a Rule 6(e) letter or otherwise exempted, excerpts or summaries of grand jury testimony, information obtained by grand jury subpoena, or information developed through the use of grand jury testimony or subpoena.

5. Maintain security over all grand jury information and ensure proper storage.
910.06 Procedures

When grand jury assistance is necessary to pursue a criminal investigation, or when the OIG assists in a grand jury investigation, all information from the grand jury shall be safeguarded as required by Rule 6(e), Federal Rules of Criminal Procedure, from unauthorized disclosure. The U.S. Attorney shall be furnished the names of OIG personnel who require, access to such information.

910.07 Safeguards During Use

All grand jury information shall be:

1. When in use by an authorized person who is in a position to exercise direct physical control over the material;

2. when persons who should not have access are present;

3. Returned to proper secured storage containers as soon as practical after use;

4. 

910.08 Storage Requirements

Grand jury evidence must be kept under tight physical security. Only authorized personnel may have access to the area, and maintained in a secured with . The area or office should be issued only to persons authorized to access the Grand Jury materials.

Knowledge as to the used to secure grand jury information will be restricted to those in possession of a Rule 6(e) letter for the investigation kept in that file.

Entrances and exits to areas where grand jury information is stored will be during non-working hours.
may require additional safeguards for protection of grand jury information if, in their opinion, the information warrants additional protection.

910.09 Return of Grand Jury Information

All grand jury information will be returned to the U.S. Attorney at the termination of the investigation. If requested by the U.S. Attorney such material may be destroyed by OIG personnel or returned to the supplier/originator.

- The ultimate method of disposal will be cleared through the U.S. Attorney.
- It shall be noted in the investigative file the method used to dispose of grand jury information, and by whose authority.

After case closure, should retention of the grand jury information be required, it should be appropriately secured, sealed and marked GRAND JURY INFORMATION. Unless otherwise instructed original grand jury information can be destroyed or properly disposed of at case closure.

Effective Date 2/10/2014

911.00 MEDICAL STANDARDS FOR OIG SPECIAL AGENTS

911.01 General

The duties of a Special Agent (SA), job series GM/GS-1811, in the General Services Administration (GSA) Office of Inspector General (OIG), include federal law enforcement activities, which can be physically demanding and dangerous. The OIG is responsible for ensuring that OIG SAs are physically and medically qualified for the position they hold. In the interest of fostering the health and well being of SAs, the OIG permits them, while on duty, to engage in a voluntary physical fitness program (See Section 911.07).

911.01A Purpose

This chapter provides an overview of the policies and procedures concerning medical standards for OIG SA and supervisory SAC (Special Agent in Charge) positions. These terms generally will be used interchangeably in this subchapter.

911.01B Regulatory Requirements

OPM guidance and regulations governing these medical requirements are set forth in (1) OPM Medical Requirements for GS-1811 positions; (2) 5 CFR Part 339 Medical Qualification Determinations; (3) 5 CFR Part 831, Subpart I, Law Enforcement Officers and Firefighters (under the Civil Service Retirement System); and (4) 5 CFR Part 842,
Subpart H, Law Enforcement Officers, Firefighters, and Air Traffic Controllers (under the Federal Employees Retirement System).

911.01C Background

OPM has established minimal physical requirements as a part of the qualification standards for SAs, or criminal investigators. OPM determined that the duties of these positions require, among other things, moderate to arduous physical exertion involving walking and standing, use of firearms, and exposure to inclement weather.

These regulatory authorities permit agencies to establish appropriate medical qualification standards for entry and retention as law enforcement officers. These standards are applied in hiring and retaining SAs. The OIG has determined that the positions (b) (7)(E) OIG is responsible for ensuring that SAs are physically and medically qualified for these positions.

Consistent with these requirements, OIG has contracted (b) (7)(E) to provide medical examinations/evaluations and related professional services, including consultation and advisory services. Pertinent medical examinations will be performed by ‘examining physicians’ and reviewed by a Medical Review Officer (MRO), all of whom are under the aegis of (b) (7)(E). The resources of (b) (7)(E) will also be available to OIG managers who observe or are otherwise made aware of potential situations that could affect an SA’s physical condition or mental/emotional stability.

911.02 Coverage

911.02A Scope

The medical standards will apply to all GS-1811 series SAs within the OIG. The SA position is both physically demanding and potentially dangerous. The position has substantial productivity demands and a hectic schedule. The accompanying physical requirements and medical standards reflect the nature of this position.

911.02B Policy

1. The OIG requires that all SAs and applicants submit to medical examinations and evaluations as required under this chapter and be certified as medically fit for duty by the MRO prior to or as a condition of continuing duty with the OIG. An SA may elect to submit medical information from his or her own medical practitioner for review and consideration by the MRO, or to consult with his/her personal physician at any time, but this will not replace the required medical examination. (Any such submittal must be accompanied by a Health Insurance Portability and Accountability Act (HIPAA) release; see section 911.05H.)
2. All applicants for the position of SA will be required to undergo a post-offer medical examination to determine if the applicant is physically and medically qualified to perform the full duties of the position. In addition, incumbent SAs will undergo periodic medical examinations by OIG designated physicians to assess their medical fitness to continue work in an unrestricted manner.

3. All SAs will undergo physical examinations, which will be guided by these standards.

4. The examining physician must report on any physical condition identified during the medical examination that could potentially restrict or disqualify an SA from full employment in this position. The MRO shall ensure that detailed medical reasoning is provided to the OIG. Applicants or incumbents will be disqualified if they pose a “direct threat” to the health and safety of themselves or others.

5. Applicants who refuse to submit to an examination will not be considered for employment. An SA who refuses to submit to a required medical procedure may be subject to appropriate disciplinary action. OIG managers will treat such cases as potential performance or conduct problems, and coordinate with the Director of Human Resources for further guidance.

6. Throughout the examination process and its aftermath, the employee’s right to privacy will be safeguarded through protection of the confidentiality of medical records in accordance with the Privacy Act.

7. All incumbent SAs will be required to take a medical examination to determine their continued medical fitness for duty as an OIG SA. The OIG Physical Exam components for incumbents are:

   • general physical exam;
   • health history;
   • resting EKG;
   • visual screen (corrected & uncorrected, near & far, each eye & binocular, color, depth and peripheral);
   • audiogram; and
   • tonometry.

The GSA-OIG Physical Exam components for applicants are:

   • general physical exam;
• health history;
• (b) (7)(E) ...
• resting EKG;
• visual screen (corrected & uncorrected, near & far, each eye & binocular, color depth and peripheral);
• audiogram;
• spirometry;
• PPD Mantoux (TB test); and
• tonometry.

The OIG will bear all costs associated with required medical examinations. Should the SA not meet the medical standards and require additional testing, medical examination, or treatment, the SA will bear the cost associated for any additional testing, examination, or treatment by a private physician.

8. Testing dates for the periodic medical examinations will be generally scheduled on or about the SA's... SAs are to bring with them to the scheduled examination a copy of the OIG Physical Evaluation Form (Figure 911-01) with the shaded portions completed.

9. In between regularly scheduled examinations, if an SAC has concerns about a SA's fitness for duty or mental/emotional stability for work, the SAC may consult with the MRO and as appropriate direct a SA to be examined/evaluated by personnel. Separate from this medical evaluation, as stated in section 902.03, supervisory personnel or their designees are authorized from a SA when in their judgment such retrieval is in the best interest of the SA, OIG, or the safety of others. Supervisory personnel or their designees also are authorized to retrieve a SA's under these same circumstances.

10. OIG SAs are required to inform their immediate supervisor whenever they have reason to believe...

911.03 Functional Requirements and Environmental Factors

911.03A Functional Requirements
The duties of an OIG SA and SAC require moderate to arduous physical exertion involving walking, standing, possible use of firearms, operating a vehicle, exposure to all forms of weather, irregular hours, and/or being on 24 hour call. The SA must present investigative findings in both oral and written form, and be able to testify before grand juries, courts, and administrative hearings. The SA must be able to analyze criminal intent, activities, and behavior patterns as well as recommend appropriate action. The SA must be able to drive government vehicles. Surveillance work may require maneuvering and use of ladders, working at heights, using and interpreting various gauges, performing skilled work with hand tools, and entering into confined spaces. Since work is often conducted in “teams,” SAs must also be able to work with other OIG SAs and personnel from other agencies.

SAs must possess the following general attributes in order to perform the duties of the position of SA satisfactorily:

- arms, hands, legs and feet intact and functioning;
- full range of motion of all joints, limbs and trunk;
- good manual dexterity and eye-hand coordination;
- average strength for age and build;
- acceptable eyesight;
- acceptable hearing (even with background noise);
- normal vocal abilities;
- emotional and mental stability;
- no exceptional fear of confined spaces, heights;
- above average poise and good judgment;
- ability to concentrate intensely;
- ability to work long periods of overtime; and

(b) (7)(E) In general, the SA must have no physical impairments that would prevent the performance of each essential function as described herein. These include running, bending, walking, searching crime scenes for evidence, recording crime scenes using photography or sketches, conducting covert and overt surveillance, interviewing suspects and providing written reports, administering oaths, carrying and potentially
using firearms, serving search warrants and subpoenas, performing searches, apprehending suspects, driving, lifting, climbing, and using specialized equipment.

911.03B Environmental Factors

The environmental factors related to the position of the OIG SA include working inside and outside, excessive heat, excessive cold, excessive humidity, excessive dampness or chilling, and dry atmospheric conditions.

911.04 Medical Standards

911.04A Purpose

The purpose of adopting medical standards is to:

- Have valid, rational, uniform medical guidance regarding the selection of employees for GS-1811 positions.

- Provide realistic measures to ensure that employees in the GS-1811 position are physically and mentally capable of safely and efficiently performing the essential duties and responsibilities of the position.

- Orient the MRO to the medical disorders and physical conditions that could render an applicant/employee unable to meet the functional requirements for the position of OIG SA or that could place the employee, coworkers, or the general public at risk.

- Provide a consistent basis for the MRO to evaluate an applicant’s/SA’s medical fitness for duty.

911.04B Applicability

These standards establish minimal satisfactory physical and medical standards. All SAs are expected to perform the same tasks and should therefore possess the same minimal physical and mental capacities regardless of age, sex, size, or genetic endowment. These standards are used to ensure consistency and uniformity in the application of the guidelines set forth in 5 CFR Part 339, Medical Qualifications Determinations. Any other disease, condition or impairment, not specifically listed in the medical standards below, which interferes with the safe, efficient and expected performance of the duties and responsibilities of the position, may also constitute grounds for medical disqualification.

911.04C Medical Conditions

The medical conditions listed below will be considered during the review of the applicant’s/SA’s medical history and the physical examination. They are not intended to
be all encompassing. Rather, they are provided to aid the examining physician and to provide guidance in what medical conditions might hinder the SA’s ability to satisfactorily perform the essential functions of the job without causing undue risk to themselves or others.

Individualized assessments will be made on a case-by-case basis to determine an individual’s ability to meet the performance-related requirements of an 1811 position. A final medical determination may require additional medical information and/or testing that is not routinely required.

1. Vision Standard. Any disease or condition which interferes with a person’s vision may be considered disqualifying. Cases will be reviewed on a case-by-case basis. Vision standards include:

   - Corrected distant visual acuity must be 20/30 or better measured with both eyes viewing;
   - Corrected distant visual acuity must be 20/200 or better in the worst eye;
   - Complete loss of vision in one eye is disqualifying;
   - Abnormal color vision with severe color deficiency in any color is generally disqualifying. Must be able to pass standard Farnsworth D-15 color vision test. The use of X-Chrom contact lenses or tinted spectacle lenses are not permitted in the testing of color vision; and
   - Visual fields must be full with good peripheral vision. Any history of eye disease or any medical condition likely to cause eye disease, such as retinopathy, glaucoma, retinitis pigmentosa, or retinal detachment will require visual field evaluation by an optometrist or ophthalmologist.

2. Hearing Standard. Any disease or condition which interferes with the ability to hear or with an individual’s equilibrium may be considered disqualifying. Cases will be reviewed on a case-by-case basis. The ability to hear is acceptable if the individual meets the following standards:

   - In the frequency range from 500-2000 hertz (Hz), the deficit should not exceed 30 decibels in either ear;
   - At 3000 Hz, the deficit should not exceed 40 decibels in either ear;
   - Hearing in both ears is required. Complete loss of hearing in one ear is disqualifying; and
   - The use of any hearing aid to comply with the medical standards is unacceptable.
If the pure audiogram standards are not met, additional testing may be performed. The MRO in his/her discretion, before rendering a final medical opinion, may require that either the pure tone audiogram be repeated after a 14-15 hour noise-free period or additional speech audiometry testing by an audiologist or an Ear, Nose, Throat physician.

This speech audiometry testing will consist of:

- Pure tone air conduction audiogram at the frequencies 250, 500, 1000, 2000, 3000, 4000, 6000 and 8000 Hz. Bone conduction thresholds at 500, 1000, 2000, 3000 and 4000 Hz, with appropriate masking as needed.;

- Tympanometry, including acoustic reflex testing (ipsilateral stimulation at 500, 1000, 2000, and 4000 Hz).;

- Unaided speech reception threshold for each ear under earphones;

- Unaided speech recognition in quiet for each ear under headphones. Start at +40 dB SL, and present recorded version of NU-6 full list. If client achieves a score of 90% or better, this phase of the test may be terminated and results reported. If a score of less than 90% is obtained, vary presentation level either up or down as appropriate to achieve maximum score. Report %/Intensity function; and

- Unaided sound field speech recognition in noise. With client facing the speaker, using signal to noise ratio of +10 dB, signal and noise simultaneously emanating from a single speaker, using recorded NU-6 full list in speech noise. Begin at a presentation level of 60 dB HL with 50 dB HL of speech noise. If a score of 50% or better is obtained, test may be terminated. If a score of less than 50% is obtained, vary presentation level up or down to achieve maximum score. Patient may move his/her head to maximize performance. Signal-to-noise ratio of +10 dB must be maintained.

Speech audiometry requirements consist of:

- Pure Tone Audiogram. The average threshold at 500, 1000, 2000, and 3000 Hz, derived by measuring thresholds at these frequencies individually in each ear, adding these values together, and dividing the total by 4, shall not exceed 30 dB HL;

- Unilateral Hearing Loss. Sensitivity between the two ears must not differ by 25 dB or more at three of the four speech frequencies (500, 1000, 2000, 3000 Hz);

- Speech Reception Threshold (SRT). The speech reception threshold provides a measure of the quietest or softest speech that an individual can hear and understand under quiet conditions. This measure of detection relates to demands
to hear soft whispers and other speech sounds that may alert the MRO to danger or the presence of suspects. Since normal hearing is required to hear very faint sounds, and since the ability to hear soft sounds is not dependent on where the sound is coming from (localization ability), the SRT must be 25dB or better in at least one ear;

- Speech Recognition in Quiet. Because of the critical nature of speech understanding, a stringent cut-off of 90% or better is required for a 50 word-list in quiet conditions; and

- Speech Recognition in Noise Sound Field. An intelligibility score of 50% in a +10 dB signal-to-noise ratio is required in a non-reverberant environment.

3. Head, Nose, Mouth, Throat and Neck Standard. Any medical condition that significantly interferes with the individual’s ability to successfully perform essential law enforcement functions, such as speech or breathing, or that has the potential to render the person suddenly incapacitated will generally be disqualifying. All instances will be reviewed on a case-by-case basis.

4. Cardiovascular System Standard. Any disease or condition that interferes with cardiovascular function and the safe and efficient performance of the job is generally disqualifying. Instances will be reviewed on a case-by-case basis. Examples of impairments are pacemakers or prosthetic valves, coronary artery disease, hypertension, pulmonary embolism, angina pectoris, congestive heart failure, congenital anomalies, chronic venous insufficiency, deep vein thrombosis, aortic aneurysm and history of syncope.

Cardiology evaluation and/or maximal, symptom-limited exercise stress EKG may be required to determine whether an individual is capable of safe and efficient job performance. All medications taken for cardiovascular conditions are carefully reviewed to insure that they do not compromise job performance and therefore interfere with safe and efficient job performance. Any history of a cardiovascular condition is evaluated on a case-by-case basis and may require further evaluation.

Confirmation of hypertension requires at least three serial readings of blood pressure. Serial readings must include at least three blood pressure readings taken on different days and should include readings in both arms in a standing, sitting, and recumbent position.

5. Chest and Respiratory System Standard. Any disease or condition, which interferes with respiratory function and/or safe and efficient job performance, may be considered disqualifying. Instances will be reviewed on a case-by-case basis. Examples of impairments include asthma, chronic bronchitis, lung abscess, emphysema, pulmonary embolism and tumors of the lung.
Pulmonary evaluation, chest x-ray, maximal, symptom-limited exercise stress EKG, and methacholine challenge test (determination of reversible airway disease or asthma) may be required to determine whether an individual is capable of safe and efficient job performance. All medications taken for respiratory conditions are carefully reviewed to insure that they do not compromise job performance and therefore interfere with safe and efficient job performance.

6. Gastrointestinal System Standard. Any disease or condition which interferes with gastrointestinal function and safe and efficient job performance may be considered disqualifying. Instances will be reviewed on a case-by-case basis.

Examples of impairments include acute or chronic hepatitis, cirrhosis of the liver, colostomies and dysphagia.

All medications taken for gastrointestinal conditions are carefully reviewed to insure that they do not compromise job performance and therefore interfere with safe and efficient job performance. Any condition that is recurrent with significant diarrhea and/or pain, that limits activity, requires pain medication, or that causes anemia, weakness, or significant weight loss may be disqualifying.

7. Genitourinary System Standard. Any disease or condition which interferes with genitourinary function and safe and efficient job performance may be considered disqualifying. Cases will be reviewed on a case-by-case basis. Examples of impairment include polycystic kidney disease, acute or chronic renal failure, nephrotic syndrome, and neurogenic bladder.

All medications taken for genitourinary conditions are carefully reviewed to insure that they do not compromise job performance.

8. Endocrine and Metabolic Systems Standard. Any excess or deficiency in hormonal production can produce metabolic disturbances affecting weight, stress adaptation, energy production and a variety of symptoms or pathology such as elevated blood pressure, weakness, fatigue, and collapse. Examples of impairment include adrenal dysfunction, thyroid disease, pituitary dysfunction, diabetes mellitus, and parathyroid disorders.

Any condition affecting normal hormonal or metabolic functioning and response that is likely to adversely affect safe and efficient job performance is generally disqualifying. Instances will be reviewed on a case-by-case basis.

9. Musculoskeletal System Standard. Any condition that adversely impacts an individual’s movement, agility, flexibility, strength, dexterity, coordination or the ability to accelerate, decelerate, and change directions and that is likely to adversely affect the safe and efficient performance of essential job functions is generally disqualifying. An orthopedic evaluation, functional capacity evaluation (FCE), imaging, and/or electrophysiologic (EMG) study may be necessary to determine the extent of physical
limitations. Instances will be reviewed on a case-by-case basis. Examples of impairment include arthritis, amputation of an extremity, scoliosis, spinal disorders, chronic low back pain, and knee conditions.

10. Hematology System Standard. Any hematological condition that adversely affects an individual’s exercise capacity or ability to perform aggressive law enforcement functions that is likely to adversely affect the safe and efficient performance of essential job functions is generally disqualifying. A medical evaluation with a maximal, symptom-limited stress EKG may be necessary to determine the extent of physical limitations. Instances will be reviewed on a case-by-case basis. Examples of impairment include anemia, bleeding disorders, thrombocytopenia, hemoglobinopathies, multiple myeloma, and systemic lupus.

11. Neurological Systems Standard. Any disease or condition that interferes with the central or peripheral nervous system function and that is likely to adversely affect the safe and efficient performance of essential job functions may be considered disqualifying. A medical evaluation by a neurologist and/or neuro-psychologist may be required. Any condition with loss of motor skills, muscle strength, cognitive function, coordination, or gait; sensory loss (limb, hearing, or vision); tremor; pain; or affect on speech may result in disqualification. Instances will be reviewed on a case-by-case basis.

Examples of impairment include stroke, head trauma, migraine, epilepsy, syncope, and cerebral palsy.

12. Psychiatric Disorders Standard. Any disorder that affects judgment, cognitive function, or the safe and efficient performance of essential job functions, is generally disqualifying. A review by a psychologist, neuro-psychologist, neurologist, and/or a psychiatrist may be required. Instances will be reviewed on a case-by-case basis. Examples of impairment include delirium, dementia, major depression, manic-depressive disorder, panic disorder, and schizophrenia.

13. Dermatology Standard. Any disease or condition that may cause the person to be unduly susceptible to injury or disease as a consequence of environmental exposures, including the sun, or which results in restricted functioning or movement and thereby impairs the safe and efficient performance of essential job functions, may be considered disqualifying. Instances will be reviewed on a case-by-case basis. Examples of impairment include albinism, severe chronic dermatitis, cosmetic disfigurements, scleroderma and severe skin infection.

14. Cancer Standard. Any cancer-related medical condition that impairs the ability to safely and efficiently perform essential job functions will generally be disqualifying. Instances will be reviewed on a case-by-case basis. Further consideration will be given under the following circumstances:

- The cancer has a high cure rate.
• The cancer has stabilized without metastases.

• The oncologist declares the individual to be a complete responder with no evidence of active disease.

• There is no evidence of medication, surgical or radiation side effects present.

• There is no evidence of immune suppression as a result of the treatment.

• The cancer is in remission with low likelihood of recurrence.

Examples of impairment include pancreatic cancer, renal carcinoma, hepatic carcinoma, adrenal carcinoma, and leukemia/lymphoma.

15. Medication Standard. All prescribed medication, including psychotropic medication, will be evaluated to ensure that safe and efficient job performance will not be adversely affected by use. Instances will be reviewed on a case-by-case basis. The following factors may be considered in making a medical determination:

  • Medication type and dosage requirements;
  • Potential drug side effects and adverse reactions;
  • Potential drug-drug interactions;
  • Drug toxicity;
  • Medical complications associated with long-term use;
  • Drug-environmental interactions;
  
  • Drug-food interactions; and
  • History of patient compliance.

Medications such as narcotics, sedative hypnotics, barbiturates, amphetamines, or any drug with the potential for addiction, that is taken for extended periods of time (usually beyond 10 days) or is prescribed for a persistent or recurring underlying condition is generally considered disqualifying.

911.05 Determination of Fitness for Duty

911.05A Examining Physician
After examination of the applicant/SA, the examining physician will relate the physical examination and medical history findings to the MRO.

911.05B Medical Review Officer

As outlined below, the MRO opines on the medical qualification of the applicant/SA. In making this determination, the MRO should consider all the available information. This includes:

- Whether there is a combination of medical or physical conditions that collectively hinder the individual’s functional capacity to perform activities essential to the job, even if no one condition is disqualifying.

- Any treatment by a personal physician, including the diagnosis, treatment, and rehabilitation provided by the treating physician. If inconsistencies exist between the MRO and the examining physician’s diagnosis, the MRO should make a concerted effort to account for such inconsistencies and to discuss their implications for the person’s employability.

A history of a particular medical condition may result in medical disqualification only if the condition is normally disqualifying, a recurrence cannot medically be ruled out, or the duties of the position are such that a recurrence would pose a reasonable probability of substantial harm.

All correspondence from the MRO is sent to the AIGI.

911.05C Report of Medical Review Officer

After the medical examination and receipt and review of laboratory test results, the MRO will complete the Physical Examination Form (Figure 911-01) and forward it, along with appropriate medical examination results, to the AIGI. The Medical Review Form (Figure 911-02) indicates whether the SA, in the opinion of the MRO, is medically fit, medically unfit, or temporarily medically unfit for duty with the OIG. The MRO coordinates the results of all medical examinations with the AIGI. The AIGI notifies the applicants/SAs of the medical findings. The OIG Director of Human Resources retains all MRO reports.

911.05D Medical Review Officer’s Statement

The MRO’s findings should be recorded on the Medical Review Form (Figure 911-02). For applicants, this form records:

- Acceptable; applicant has no medical conditions that will hinder safe performance of essential job functions.

- Medical determination cannot be made due to incomplete examination results.
- Applicant is not qualified based on available medical information.
- Not medically qualified to perform the essential functions of the job. For incumbents, this form records:
  - Acceptable; incumbent has no medical conditions that will hinder safe performance of essential job functions.
  - Medical determination cannot be made due to incomplete examination results.
  - Medical determination cannot be made based on available medical information.
  - Not medically qualified to perform the essential functions of the job.

911.05E Treatment of Applicants

Applicants who are determined medically unfit for duty will be notified of the determination and the specific reasons. If they elect to do so, applicants will have 30 days to present additional information to the MRO for consideration. In no case will an applicant be hired without a finding of medical fitness for duty by the MRO.

911.05F Treatment of Special Agents

SAs who are determined medically fit for duty will be notified by the OIG. In all cases where the SA is found to be medically unfit for duty, or certain job duties should be limited or restricted, OIG managers will take the actions described below.

- Take whatever immediate action is deemed necessary to protect life and property, including retrieval of the SA’s issued and/or authorized firearms and intermediate weapons, and rescission of law enforcement authority. (see Section 902.03)
- Prepare a memorandum notifying the SA of the MRO’s findings/recommendations. If appropriate, the SA will submit as soon as practicable to any additional evaluation/examination deemed necessary by the MRO. In cases where the MRO asserts that the SA is presently medically unfit for duty, he/she will, as appropriate, be placed on approved leave pending completion of the required examination/evaluations, which will be reviewed by the MRO. Any duty limitations imposed by the MRO may not be rescinded without written concurrence of the MRO.
- Consult with the OIG Office of Human Resources to determine appropriate administrative action if the SA refuses to submit to a required medical examination or other evaluation/examination recommended by the MRO, or if the MRO cannot subsequently certify the SA for unrestricted return to duty within a
reasonable period of time. Proper consideration should be given to reasonable accommodation alternatives in deciding appropriate action in the latter situation.

- Individuals seeking such accommodations must submit to the medical examination required by the OIG. They may produce additional medical documentation to support their accommodation request.

911.05G Employability Determination

Employment related decisions involving health status are fundamentally management decisions. The AIGI in making an employability determination will consider both medical information and other relevant evidence directly related to the medical information. The AIGI also will ensure the following.

- The OIG will obtain OPM approval of any agency decision to medically disqualify a certified preference eligible candidate.
- If the individual submits medical documentation from his/her personal physician, such documentation was reviewed by the MRO.
- Any decision complies with OPM guidelines for specific medical conditions.

911.05H Reconsideration

The OIG will allow an individual who has a correctable impairment that precludes him/her from retention as an SA to take corrective actions. If the individual can present medical documentation within a reasonable period of time that the impairment has been corrected, the OIG may direct that the individual be re-examined and the MRO will reconsider the medical determination. The OIG will in consultation with the MRO determine what is a reasonable time period.

Applicants who are determined to be qualified upon reconsideration may apply for the next like vacancy. The OIG need not hold a vacancy open during the reconsideration period of a disqualified applicant.

In the event an employee or candidate for employment requests the opportunity to submit medical documentation from his/her personal physician for consideration by the MRO, or wishes the MRO to consider the results of a prior employment-related physical, the employee must complete an authorization for the Release of Health Information Pursuant to HIPAA Form (Figure 911-03). Complete HIPAA Forms will be maintained by OIG Human Resources.

911.05I Waivers and Reasonable Accommodation

Failure to meet the established medical standards or physical requirements means that the individual is not medically qualified for the rigorous position of an SA and normally
the individual is disqualified. The OIG may waive any medical standards or physical requirement, however, for a person who is able to demonstrate the capacity to perform safely and efficiently the duties of the rigorous position. All requests for waivers of SA medical standards and/or physical requirements will be forwarded to the AIGI, who may confer with the MRO. The AIGI makes the decision of whether an individual who does not meet the medical standards can nonetheless perform the job safely and efficiently.

If the OIG determines that it cannot waive the medical standards or physical requirements because an SA is unable to demonstrate that he/she can perform the rigorous duties of the position safely and efficiently, the OIG will make reasonable efforts to accommodate the SA by assisting in locating a (b)(7)(E) position for which the person is qualified.

The OIG’s decision to separate an employee for reasons of medical disqualification does not control, preempt, or otherwise supersede an OPM determination of entitlement or non-entitlement to disability retirement under 5 USC 8337 or 8451.

Effective Date 4/7/2015

912.00 STANDARDS AND PROCEDURES FOR INVESTIGATIVE INTERVIEWS

912.01 General Standards and Procedures for Investigative Interviews

912.01A Purposes of Investigative Interviews

The primary purpose for conducting an interview is to discover the facts pertaining to the matter under investigation. The secondary purpose is to evaluate the credibility of the witness and the information furnished. During an interview, the Special Agent (SA) must be mindful of factors that would have a bearing on the potential use of the evidence and the witness in a trial.

912.01B Scope and Conduct of Investigative Interviews

1. Scope of Investigative Interviews. (b)(7)(E)
2. Standards for Conducting Investigative Interviews. Standards for conducting investigative interviews are as follows:

- The person being interviewed generally is entitled to be advised of the general nature of the investigation and whether he/she is a subject of the investigation.

912.01C Arranging Investigative Interviews of GSA Employees

When a General Services Administration (GSA) employee is to be interviewed at an Office of Inspector General (OIG) office, the SA asks the employee’s supervisor to direct the employee to report for the interview. If the nature of the investigation makes notification to the immediate supervisor undesirable, the SA notifies a higher level supervisor. The timing and location of the interview is arranged to avoid unnecessary inconvenience to the employee or his/her office.

GSA employees are required by GSA Order OAD P 5410.1 (April 11, 2000) to cooperate with OIG SAs conducting official investigations.
912.01D Scheduling Interviews of Subjects of Investigation

Generally, the facts and circumstances of the particular investigation dictate when the subject of the investigation is interviewed.

912.01E Union Representation at Investigative Interviews

The Federal Service Labor Management Relations Statute, 5 U.S.C. § 7114, gives bargaining unit employees in the federal government that are examined by agency representatives the right to have a union representative present during the examination.

Courts have held OIG SAs are representatives of the agency when they conduct interviews. Therefore, OIG SAs must accommodate an employee’s request for union representation in interviews associated with all investigations. Please refer to Figure 912-01 for additional policy and procedures relating to this right.

No attempt should be made to dissuade an employee from requesting union representation at an interview. If the employee requests such representation, the SA -- in conjunction with his/her supervisor -- must decide whether to:

- (b) (7)(E)

In making this decision, the SA and his/her supervisor should consider the purpose to be served by the interview and whether union representation is necessary. If a decision is made to conduct the interview with a requested representative, the employee is given a reasonable opportunity to arrange for such representation.

A SA has no affirmative duty to advise the employee of his/her right to request a union representative. For additional coverage on the prerequisites to entitlement to a union representative, as well as guidance on an employee’s right to designate a particular person as a representative, see Figure 912-01.

912.01F Legal and Other Non-Union Representation at Investigative Interviews

1. OIG Policy on Legal and Other Non-Union Representation at Investigative Interviews. Except in the case of custodial interviews, persons being interviewed by OIG SAs do not have a statutory right to legal representation at the interviews.
2. Procedures When Legal Representation is Requested at Non-Custodial Investigative Interviews. (b) (7)(E)

- (b) (7)(E)

3. Role of Legal Representation at Investigative Interviews. The function of a legal representative is to furnish counsel and advice to the person being interviewed. Accordingly:

- (b) (7)(E)

If a legal representative insists on dominating the interview, or is otherwise disruptive, the SA must decide whether to continue the interview or terminate and reschedule it at a later date.
912.01G Privacy Act Notice Requirements Relating to Investigative Interviews

As detailed in Section 712.05, SAs must provide Privacy Act notices to all persons interviewed during the course of an investigation. The fact that the Privacy Act Notice was provided is noted in the SA's documentation of the interview. See Figure 912-02.

912.01H Confidentiality During Investigative Interviews

Pledges of confidentiality are promises made by SAs to persons being interviewed that their identities will remain confidential and will not be disclosed outside the OIG. The purpose of pledges of confidentiality is to induce otherwise reluctant individuals to cooperate in investigations and provide useful information.

GSA employees who come forward with information to the OIG do not require special pledges of confidentiality. Their right to confidentiality is established by Section 7(b) of the IG Act which prohibits the OIG from disclosing the identity of such an employee without the employee's consent, unless the OIG determines that disclosure is unavoidable during the course of the investigation or certain other conditions are met (as set forth below). All requests for confidentiality will be properly documented.

When other GSA employees and persons not employed by GSA request confidentiality, the following procedures apply:

912.011 Waivers of Disciplinary Action During Investigative Interviews

(b) (7)(E)
912.01J Administering Oaths and Affirmations During Investigative Interviews

1. Authority to Administer Oaths. The IG Act gives this authority to the Inspector General (IG), and the IG has re-delegated it to the Assistant Inspector General for Investigations (AIGI), the Deputy Assistant Inspector General for Investigations (DAIGI), and the Special Agents in Charge (SACs) (GSA Order OIG 5450.2E). Designees authorize, in writing, offices and employees in the OIG having investigatory functions to administer oaths.

2. Distinction Between Oaths and Affirmations. Affirmations are used when religious convictions prevent persons from administering or taking oaths. As detailed below, affirmations are synonymous with oaths for all legal purposes.

   - If religious convictions prohibit the SA from administering an oath, the SA may request an affirmation to tell the truth. Persons affirming to tell the truth are subject to prosecution for a false statement to the same extent as if their testimony was provided under oath.

   - Persons whose religious convictions prohibit their taking an oath also have a constitutional right to instead affirm to tell the truth. Again, persons affirming to tell the truth are subject to prosecution for a false statement to the same extent as if their testimony was provided under oath.

3. Administering Oaths and Affirmations. SAs also administer oaths and affirmations in relation to documents containing statements of the person being interviewed. The SA administers the oath by having

   Every document made under oath contains a certificate, known as a Jurat, evidencing that it was properly executed before a duly authorized officer. The proper format for this
912.01K Documenting Investigative Interviews: Use of Recording Devices

The OIG follows the May 12, 2014, memorandum from the Deputy Attorney General with the subject line, Policy Concerning Electronic Recording of Statements (attached).

Actions to be taken by OIG Special Agents (SAs) in accordance with that memo include the following:

• The OIG will electronically record custodial interviews after arrest held in an OIG controlled place of detention with suitable recording equipment, unless an exception applies as stated in that memo.

• SAs should make every effort to electronically record custodial interviews after arrest in other places of detention as well.

• While the interview recording may be audio only, video recording equipment should be used when suitable and available.

This policy applies to state as well as federal prosecutions where the defendant is in OIG custody.

SAs who believe electronic recording may be appropriate in a given investigation should discuss the matter with their [b](7)(E) and secure the approval of the [b](7)(E) before proceeding. Consensual monitoring is governed by subchapter 913.

1. Control, Inventory and Maintenance of Interview Recording Equipment

The [b](7)(E) of each regional office [b](7)(E) is responsible for the custody, security, and maintenance of all interview recording equipment used by that office. For the purpose of controlling and maintaining the OIG’s interview recording equipment, the Primary Equipment Custodians and Alternates, as defined in section 913.01G, will be responsible for the following steps.

• Ensure regional interview recording equipment which is not being used shall be accessible to SAs, yet secured to prevent its loss and/or damage; the interview recording equipment shall be stored in an area where security is commensurate with the equipment’s value and sensitivity. [b](7)(E)

• [b](7)(E)
2. **(b) (7)(E)  Securing, and Transcribing Interview Recordings**

Upon completion of the interview, the SA makes the original by downloading the interview recording. The SA then adheres to the following procedures:

- The SA ensures the original interview recording is immediately secured as evidence and treated in accordance with Chapter 925.

If the original interview recording cannot be secured, the SA adheres to the following procedures:

- The SA retrieves the interview recording device and creates the original interview recording.

- The SA proceeds as above with the original interview recording.

When delivering the original interview recording to a prosecutor or other law enforcement authority, the SA uses an (Figure 925-01), to document the other party’s receipt.

The SA makes arrangements for the transcription of recorded interviews if a transcription is necessary. Memoranda of recorded interviews are not intended to be a verbatim account and do not memorialize all statements made during an interview. Where communications by the parties were electronically recorded, the recording captures the actual words spoken and the original interview recording maintained in the evidence locker when stored.
shall ensure that both the memorandum of interview and the transcription accurately reflect the contents of the tape.

912.01L Documenting Investigative Interviews: Notes of Interview

Except where recording devices are used (Section 912.01K), SAs make handwritten notes during all investigative interviews. These notes are used to prepare the formal records of interview (Section 912.01M). They may be subject to inspection by a court, and therefore must be retained in the case file. The interview notes will be scanned and electronically attached to the case file. Notes of interview contain (1) case name or numbers; (2) date and place of interview; (3) complete identification of the person interviewed, including identifiers such as driver’s license number; (4) names and titles of other persons present at the interview; and (5) an account of the interview.

When a case is closed, the case file and the interview notes are maintained in

912.01M Documenting Investigative Interviews: Formal Records of Interview

1. OIG Policy on Documenting Investigative Interviews Through Formal Records of Interview. Based on their interview notes, SAs prepare formal, permanent records of all investigative interviews. These records are prepared in one of the following forms:

- affidavit;
- statement;
- question and answer statement; or
- memorandum of interview/report insert, when the interview is on a witness or subject in a criminal investigation (Figure 918-05).

2. Documenting Investigative Interviews Through Affidavits. An affidavit is a written or printed declaration or statement of facts that is: (1) made voluntarily; and (2) confirmed by the oath or affirmation of the party making it before an officer authorized to administer and receive information under such an oath or affirmation. Figure 912-03 presents a sample affidavit format.

As detailed in Section 912.01J, OIG SAs are authorized to administer oaths/affirmations and to receive information under oath/affirmation. In accordance with the Inspector General Act of 1978, SAs conducting official investigations can request GSA employees to furnish signed statements under oath:
Establishing Criteria for Use of Affidavits. For cases with criminal potential, the SA ascertains, during early consultation, on using affidavits to formally record the investigative interviews. When the [b] [7][E] objects to the use of affidavits, none is taken. However, if such a case is likely to also result in administrative action, the [b] [7][E] can explore acceptable alternatives to affidavits with JC and the Regional Counsel. In some instances, the SA may have to obtain affidavits in support of administrative action after disposition of the criminal aspects of the case.

Situations Where Affidavits Are Normally Used. Generally, affidavits are used when statements by principals or third parties need to be formalized. The following investigative interview situations normally meet this standard:

- when the person interviewed has made a verbal admission, particularly if the person is the principal or subject of the investigation;
- when the subject or suspect of a criminal investigation agrees to be interviewed;
- when subject employees and key witnesses are being interviewed in non-prosecution cases (non-prosecution cases are those where investigation has established that an employee committed a violation of law, but the U.S. Attorney/DOJ decided not to prosecute); or
- when the person being interviewed has information relevant to the investigation, and there is reason to believe that he/she may change or retract his/her oral statement.

Guidelines for Preparing Affidavits. Affidavits are normally prepared in accordance with the following guidelines:

- Affidavits are generally not used to record interviews of complainants or informants.
- Separate affidavits can be prepared when the affiant is relating criminal or administrative violations on the part of more than one individual.
- The affidavit is in the words of the affiant, not the SA; and it is limited to comments directly bearing on the topic of the investigation. When securing an affidavit in a case that may be referred for prosecution, it is particularly important to avoid inclusion of prejudicial or extraneous comments.
- The affidavit sets forth any defense, explanation, or other exculpatory statement furnished by a subject of a case.
When the affidavit is executed in longhand, it is preferable to have the affiant write it.

When the SA writes the affidavit, the affiant must read the full contents of the affidavit before signing it. If the affiant declines to read the affidavit, the SA reads it to him/her. If the affiant is illiterate, the SA: (1) reads the affidavit to him/her in the presence of a witness; and (2) notes this fact on the last page of the affidavit.

Before signing the affidavit, the affiant initials the bottom of each page and each correction.

The SA completes the Jurat and, if the affiant has signed the affidavit, upon request provides him/her with a copy of it.

3. Documenting Investigative Interviews Through Statements. A statement is an exact and detailed presentation of the comments made by a person interviewed. A statement is used to document an investigative interview when the person has been placed under oath, but refuses to sign an affidavit. The statement is prepared according to the guidelines for affidavits, and is signed and dated by the SA and other persons present at the interview.

4. Documenting Investigative Interviews Through Question and Answer Statements. A question and answer statement is a verbatim transcript of the questions, answers, and statements made by each participant in an investigative interview. A question and answer statement is used when the SA believes that a relatively formal and structured approach to the interview is necessary.

The question and answer statement consists of a transcript that sequentially numbers the questions asked during the interview, and provides the following information:

- time and place where the testimony was given;
- name and titles of all persons present;
- identification, by name and title, of the persons asking and answering questions;
- name and address of the person giving testimony;
- matter to which the testimony relates;
- advice of rights given to the witness or subject;
- administration of oath or affirmation, if appropriate;
- full text of questions asked and answers provided; and
• Jurat completed by the SA, if appropriate.

5. Documenting Investigative Interviews Through Memoranda of Interview/Report Inserts. The memorandum of interview, which is included as an insert to the report of investigation, is the least formal means of permanently documenting an investigative interview. The memorandum of interview:

• is prepared by a SA who attended the interview;
• shows the date, time, and place of the interview, as well as the names of all persons present at the interview;
• presents a straightforward account of information given at the interview that is relevant to the investigative case;
• when appropriate, details the advice given the witness or subject on his/her constitutional rights; and
• is promptly prepared and attached to the case file by the SA who prepared it.

Figure 918-05 presents a sample format for a memorandum of interview/report insert. It should be noted that memoranda of interview may be subject to 18 U.S.C. 3500 (the Jencks Act), which allows defense inspection of any pretrial statement by a witness who has testified, during direct examination in court, on the same subject. When the person being interviewed may subsequently be a Government witness in a criminal trial, particular care needs to be taken to confine the memorandum of interview to a factual accounting of relevant information, and to avoid including opinions, conclusions, and other extraneous material.

912.01N Processing and Use of Formal Records of Interviews

1. Reviewing and Correcting Formal Records of Interviews. The SA carefully reviews every record of interview for accuracy of content and any typographical errors. If the record of interview is examined by the person being interviewed, he/she may correct typographical errors but never alter the record or delete any testimony. The person being interviewed may submit a separate affidavit or question and answer statement or give additional testimony to modify, explain, or expand on the original record of interview.

2. Providing Copies of Records of Interview to Persons Interviewed. Upon request, the SA provides copies of signed affidavits or question and answer statements to the persons interviewed. While such copies are normally provided as soon as they are available, the SA may temporarily withhold them, if necessary, to avoid prejudice to the investigation.
3. Use of Records of Interviews in Trials. Except when they contain confessions or admissions against interest, records of interviews are generally not admissible as evidence in trials. However, records of interviews can be used:

- to refresh the recollection of a witness or discourage a witness from changing his/her testimony;
- to impeach a witness on the stand when his/her testimony in court is materially inconsistent with the previous statements; and
- as the basis for prosecution of a witness who testifies falsely at a trial.

912.02 Warnings and Assurances During Criminal Investigation Interviews

912.02A Providing Information on Targets and Subjects of Criminal Investigations

DOJ guidelines define targets and subjects of investigation as follows:

- a target of an investigation is a person whom the prosecutor believes to be a putative defendant, i.e., likely to be indicted by the grand jury.
- a subject of an investigation is any person whose conduct is within the scope of the investigation.

If a person being interviewed demands to know if he/she is a target or subject of the investigation and the case has not been referred to a U.S. Attorney/DOJ, the SA:

- (b) (7)(E)

If the criminal aspects of the person's conduct have already been referred to a U.S. Attorney/DOJ for prosecution, the SA must inform the person of this. Such a situation could arise when, subsequent to criminal referral and prosecutorial agreement, the OIG is further investigating the civil and/or administrative aspects of a case.

912.02B Specific Warnings and Assurances During Custodial Criminal Investigation Interviews

A custodial interview occurs when the person being interviewed has been taken into custody or otherwise legally deprived of freedom of action in any significant way. The SA gives a full Miranda warning in all custodial interviews, even if the arrest or incarceration resulted from a matter totally unrelated to the investigation.
In addition to the standard Miranda language, the Miranda warning for federal employees contains the additional statement that “If you refuse to answer the questions posed to you on the ground that the answers may tend to incriminate you, you cannot be disciplined or discharged solely for remaining silent.” As is discussed more fully below in section 912.02E, this language serves to negate the possible coercive effect of the prospect of job forfeiture on a Federal employee for failing to cooperate.

Procedures for giving the Miranda warning during custodial interviews are as follows:

- The SA reads the Miranda rights, from the Waiver of Rights form (Figure 912-04 and Figure 912-05), to the person being interviewed. The form used depends on whether or not the person being interviewed is a Federal employee.

- The SA asks the person whether he/she understands the Miranda rights and wishes to waive them.

Depending on the person’s response, the SA proceeds as follows:

- The SA reads the Miranda rights, from the Waiver of Rights form (Figure 912-04 and Figure 912-05), to the person being interviewed. The form used depends on whether or not the person being interviewed is a Federal employee.

- The SA asks the person whether he/she understands the Miranda rights and wishes to waive them.

Depending on the person’s response, the SA proceeds as follows:

- (b) (7)(E)

912.02C Specific Warnings and Assurances During Non-Custodial Criminal Investigation Interviews

Warnings are not required in non-custodial criminal investigation interviews unless: (1) the warning is directed by a grand jury or a prosecutor to whom the investigation has been referred for prosecutive consideration; and/or (2) the interview involves a federal government employee. Warnings are not, however, given to witnesses. NOTE: There may be other unique situations in which the subject of an investigation (but not a
witness) could argue that he or she was subject to coercion. SAs should be sensitive to this possibility and discuss with management the need to give a warning in these circumstances before proceeding with an interview.

If a subject or his/her attorney asks whether cooperation is mandatory, \( (b) \ (7)(E) \). If the subject or his/her attorney asks whether the investigation is a criminal one, the SA responds that it \( (b) \ (7)(E) \).

1. Warnings Directed by a Grand Jury or a Prosecutor During Non-Custodial Criminal Investigation Interviews. Section 912.02D provides guidance on warnings directed by a grand jury or prosecutor.

2. Warnings to Federal Government Employees During Non-Custodial Criminal Investigation Interviews. Section 912.02E provides guidance on warnings to be given Federal employees in criminal investigation interviews.

912.02D Specific Warnings and Assurances During Criminal Investigation Interviews of Non-Federal Employees Directed by a Prosecutor or During Grand Jury Investigations

Interviews conducted by SAs assisting prosecutors (either during grand jury investigations or after a case has been accepted for prosecution) must conform with any applicable grand jury rules and Federal Rules of Criminal Procedure, whether or not in accordance with the guidelines in this Subchapter. Clarification on advice or other warnings appropriate to a particular situation should be sought, as necessary, from the government attorney; and the proper form of the warning is as directed by the prosecutor.

\( (b) \ (7)(E) \)

\( (b) \ (7)(E) \)

912.02E Warnings and Assurances to Federal Employees During Non-Custodial Interviews in a Criminal Investigation

GSA Order OAD P 5410.1 (April 11, 2000) requires GSA employees to cooperate fully with OIG investigative special agents. \( (b) \ (7)(E) \).
In accordance with Attorney General Guidelines, the OIG has developed two warnings to be given federal employees with potential criminal exposure when interviewed in a criminal investigation. These warnings are designed to ensure that information obtained during such interviews is admissible in subsequent criminal proceedings. The first warning is for federal employees interviewed in custody during a criminal investigation and is discussed above in section 912.02B. The second warning, titled “Non-Custodial Warning and Assurance to Employees: This Statement is Voluntary and May be Used Against You in a Criminal Proceeding,” (the so-called Garrity warning) is found at Figure 912-06. The critical elements to this warning are that a federal employee is being interviewed; criminal prosecution of this person is a possibility; and the interview is voluntary. To ensure voluntariness, the warning states that the employee has a right to remain silent or can stop answering questions at any time and that this right overrides the duty to cooperate.

The form used should be signed and dated by the person being interviewed, the SA, and any witness at the initiation of the interview. A refusal to sign the form should be noted on the form.

912.03 Warnings and Assurances During Administrative Misconduct Interviews

The OIG has also developed a warning to be used when interviewing federal employees in administrative misconduct cases in which there do not appear to be potential crime. Warnings are generally given to employees who face a risk of any kind of disciplinary action. The form, which is presented at Figure 912-07, provides warning to employees being interviewed that they are subject to discipline or discharge for not answering questions and that their statement cannot be used against them in a criminal proceeding (the so-called Kalkines warning).

Such situations include:

- interviews relating to allegations that, if true, would not have potential for criminal prosecution; and
- interviews relating to allegations that, if true, have potential only for non-Federal criminal prosecution, and a decision has nevertheless been made to compel full answers from the employee.
Consensual monitoring is the use of electronic and mechanical devices to intercept, transmit, or record private conversations when one or more (but not all) parties to a conversation have consented to its interception, transmission, or recording. Consensual monitoring policies and procedures apply to telephone as well as non-telephone conversations. They do not apply to interviews, question and answer sessions, or similar situations where electronic or mechanical devices are used, with the full knowledge and consent of all participants, to record the conversation.

In consensual monitoring situations, because the consenting party is cooperating with the government and would relate the substance of the conversation to the government anyway, the government is obtaining no information it would not otherwise obtain; it simply obtains it faster and in a more probative form (see United States v. White, 401 U.S. 745 [1971]). Consensual monitoring is markedly different from wiretapping and other forms of interception, which require a judicial warrant. Although consensual monitoring is constitutionally and statutorily permissible, it is the subject of careful self-regulation by the Executive Branch of the Federal Government.

The Attorney General’s Memorandum on Procedures for Lawful, Warrantless Monitoring of Verbal Communications dated May 30, 2002, sets forth the government-wide requirements relating to consensual monitoring (Figure 913-01). In summary, this memorandum:

1. Requires that agencies obtain DOJ’s written approval before engaging in verbal, non-wire consensual monitoring in six specified sensitive situations;
2. Requires that agencies obtain verbal advice from an appropriate DOJ attorney or U.S. Attorney’s Office before engaging in verbal, non-wire consensual monitoring in other situations;

3. Continues the policy of making agencies responsible for adopting rules and regulations for and approving telephone consensual monitoring; and

4. Discontinues the policy of requiring agencies to submit to DOJ: (1) quarterly reports on their consensual monitoring activities; and (2) an annual inventory of their consensual monitoring equipment.

The six situations requiring prior DOJ written approval are when:

1. The interception relates to an investigation of a member of Congress, a Federal judge, a member of the Executive Branch at Executive Level IV or above, or a person who has served in such capacity within the previous 2 years.

2. The interception relates to an investigation of the Governor, Lieutenant Governor, or Attorney General of any State or Territory, or a judge or justice of the highest court of any State or Territory, and the offense investigated is one involving bribery, conflict of interest, or extortion relating to the performance of his/her official duties.

3. The consenting or non-consenting person is a member of the diplomatic corps of a foreign country.

4. The consenting or non-consenting person is or has been a member of the Witness Security Program and that fact is known to the agency involved or its officers.

5. The consenting or non-consenting person is in the custody of the Bureau of Prisons or the United States Marshals Service.

6. The Attorney General, Deputy Attorney General, Associate Attorney General, Assistant Attorney General for the Criminal Division, or the United States Attorney in the district where an investigation is being conducted has requested the investigating agency to obtain prior written consent for making a consensual interception in a specific investigation.

The Attorney General’s Guidelines for Offices of Inspectors General with Statutory Law Enforcement authority dated December 8, 2003, (Figure 901-02), reiterates these requirements and adds even telephonic consensual monitoring must be coordinated with the DOJ Office of Enforcement Operations when it involves a consenting or non-consenting person in the custody of the Bureau of Prisons or the United States Marshals Service.

913.01C Office of Inspector General (OIG) Policy on Consensual Monitoring

OIG policy on consensual monitoring is that:
1. Consensual monitoring is used only \[ (b) \ (7)(E) \] .

2. Before consensual monitoring occurs, the Special Agent (SA) obtains written approval from the consenting party as set forth in 913.01D.

3. In those situations where prior, written DOJ approval is required for the consensual monitoring, the request for consensual monitoring must be:
   - discussed with the appropriate DOJ attorney or U.S. Attorney's Office who advises the monitoring is appropriate and legal; and
   - formally approved by the \[ (b) \ (7)(E) \] before transmittal of the request for DOJ approval (see 913.01E).

4. In all situations where prior, written DOJ approval is not required for the consensual monitoring (whether verbal, non-wire, or telephone), the request for consensual monitoring must be:
   - discussed with and verbally approved by the DOJ attorney or U.S. Attorney's Office (in concurrent investigations, the participating agencies are notified and their concurrence is sought);
   - formally approved by the for verbal, non-wire (i.e., body-wire) situations; and
   - formally approved by the for telephone situations (see 913.01F).

5. A special equipment custodian system is used to control and maintain the equipment (see 913.01G).

6. Prior to sealing and securing the original consensual monitoring recording, the SA \[ (b) \ (7)(E) \] .

   Each SA is responsible for ensuring that (a) the consenting party will be present at all times when the device is operating, (b) no agent or person cooperating with the department or agency trespasses while installing a device in a fixed location, and (c) as long as the device is installed in the fixed location, the premises remain under the control of the government or the consenting party.

   Consensual monitoring activities should be documented in \[ (b) \ (7)(E) \] case file.

913.01D Obtaining Consenting Parties' Permission for Consensual Monitoring

As a general rule, nonconsensual interceptions of wire communications are illegal absent a court order. Accordingly, permission of a consenting party or parties must be
obtained before any consensual monitoring occurs. Agents should obtain prior written consent whenever possible. However, in exigent circumstances, verbal recorded authorization by the consenting party is sufficient. Verbal authorization should be noted at the beginning of the recording and should follow the basic format of the written approval.

When telephone consensual monitoring is contemplated or when verbal, non-wire consensual monitoring is contemplated, the SA completes the form at Figure 913-02; and either:

- for written authorization – has the consenting party sign and date the form; the SA then signs the form himself/herself as a witness; or
- for verbal authorization – notes that verbal recorded authorization was obtained and is indicated on the recording.

The original copies of the signed and witnessed forms are to be scanned into [(b) (7)(E)]

913.01E Obtaining Approval of Consensual Monitoring in Situations Requiring Prior, Written DOJ Authorization

1. Standard Procedures for Obtaining Approval of Consensual Monitoring in Situations Requiring Prior, Written DOJ Authorization. When consensual monitoring is proposed in one of the six specific situations listed in Section 913.01B the requesting JI office adheres to the following sequential procedures:

- Verbal advice is obtained from the appropriate DOJ attorney or U.S. Attorney’s Office that the monitoring is appropriate.

- A Request for Authorization to Use Electronic Equipment for Consensual Monitoring form (Figure 913-03) is completed. While this form is generally self-explanatory, it should be noted that:

  - The verbal advice of the appropriate DOJ attorney or U.S. Attorney’s Office is documented in the “COMMENTS” block (number 12) of the form.

  - Requests for renewal of consensual monitoring must provide detailed explanation on why additional interceptions are needed.

  - When the name of the non-consenting party is not known at the time of the request, this information is provided separately to the [(b) (7)(E)] during [b (7)(E)] who must transmit it to DOJ within [(b) (7)(E)] after termination of the monitoring.
The completed form is labeled “For Official Use Only”; and the original and one copy are placed in block 14 of the form. \( (b)(7)(E) \) is sent at least \( (b)(7)(E) \), whenever possible, prior to the requested monitoring to allow JI sufficient time for review and transmission to the IG.

If the \( (b)(7)(E) \) agrees with the request for consensual monitoring, the following additional procedures apply:

- The \( (b)(7)(E) \) transmits the completed form to the \( (b)(7)(E) \) by memorandum requesting the \( (b)(7)(E) \) approval.
- If the \( (b)(7)(E) \) agrees with the request, he/she signs and dates the form and returns it to the \( (b)(7)(E) \).
- The \( (b)(7)(E) \) transmits the \( (b)(7)(E) \) request to DOJ’s office of Enforcement Operations at least \( (b)(7)(E) \), whenever possible, in advance of the proposed monitoring. A \( (b)(7)(E) \) summarizes the request in terms of:
  - date of the request;
  - name of principal subject of the request;
  - city and state where the monitoring will occur; and
  - where the request is of an emergency nature, an asterisk and the deadline date.

This information is provided in the following format:

\( (b)(7)(E) \)

- DOJ’s Office of Enforcement Operations documents its approval/disapproval in block 14 of the form, and returns the original of that form to the OIG.

2. Emergency Procedures for Obtaining Authorization of Consensual Monitoring in Situations Requesting Prior, Written DOJ Approval. When consensual monitoring is proposed in one of the six specific situations listed in Section 913.01B, every effort is made to obtain prior, written authorization from DOJ. However, in emergency
situations, waiting for physical receipt of the written DOJ approval may not be feasible. Emergency situations are those where:

- there is imminent loss of essential evidence;
- there is a threat to the immediate safety of a SA, informant, or consenting third party; or
- there are reasonable grounds to believe that written DOJ approval cannot be received in time to conduct the consensual monitoring.

Emergency procedures for obtaining approval of consensual monitoring that normally require prior, written DOJ authorization are:

- The JI office proposing the consensual monitoring obtains the verbal advice of the appropriate DOJ attorney or U.S. Attorney’s Office that the monitoring is legal and appropriate.
- The [b (7)(E)] provides the [b] with all the information required on the form, and obtains the [b (7)(E)] approval. Where possible, the information is provided to the [b (7)(E)] approval is obtained. When this is not possible, the [b] documents the verbal request and/or [b (7)(E)] approval as soon as possible and provides this documentation to the [b (7)(E)] explanation of the emergency circumstances.
- Where possible, the [b (7)(E)] the Director or Associate Director of DOJ’s Office of Enforcement Operations and requests verbal authorization for the consensual monitoring.
- When the decision on the consensual monitoring must be made during non-working hours at DOJ: (1) the consensual monitoring is undertaken based on the [b] approval and (2) the OIG provides full notification and explanation to the Office of Enforcement Operations within [b] working days after the [b] emergency authorization.

913.01F Obtaining Authorization of Consensual Monitoring in Situations Not Requiring Prior, Written DOJ Authorization

As noted in Section 913.01B, prior, written DOJ approval is required only for verbal, non-wire consensual monitoring involving six specific situations. [b (7)(E)]

proposed verbal, non-wire consensual monitoring does not require prior, written DOJ approval, the requesting JI office adheres to the following sequential procedures:

- Verbal advice is obtained from the appropriate [b] (7)(E) that the monitoring is legal and appropriate.
- A Request for Authorization to Use Electronic Equipment for Consensual Monitoring form (Figure 913-03) or, if preferable, a request memorandum is prepared. If a memorandum is used, the request should:
  - contain the same categories of information that are required on the form;
  - document the consultation with and verbal advice of the [b] (7)(E) and in concurrent investigations, the notification and concurrence/non-concurrence of participating agencies;
  - include concurrence lines for the [b] (7)(E);
  - be labeled “For Official Use Only”; and
  - be prepared in original copy only.
- The form (or the request memorandum, if applicable) is placed [b] (7)(E)
- The [b] (7)(E) is sent at least [b] (7)(E), whenever possible, prior to the requested monitoring to allow JI sufficient time for review and transmission to the AIG and IG approval, as evidenced by their signatures on the request memorandum, is required prior to initiation of the consensual monitoring.

2. Emergency Procedures for Obtaining Approval of Verbal, Non-wire Consensual Monitoring Not Requiring Prior, Written DOJ Authorization. Every effort is made to submit written requests for, and obtain [b] (7)(E) approval of verbal, non-wire consensual monitoring activities. However, in emergency situations where this is not feasible, the [b] (7)(E) may make the request to the [b] (7)(E) and/or the [b] (7)(E) may give his/her [b] (7)(E) approval. In such situations:

- The request to the [b] (7)(E) includes all information required on the Request for Authorization to Use Electronic Equipment for Consensual Monitoring form.
- The request to the [b] (7)(E) includes explicit assurance that the proposed consensual monitoring has been discussed with the appropriate [b] (7)(E).
and contains the advice given, and in concurrent investigations, that the participating agencies were notified and concurred or non-concurred.

- The fully documents the request and/or the approval, as well as the emergency circumstances, as soon as possible after the emergency final authorization.

3. Procedures for Obtaining Approval of Telephone Consensual Monitoring. When telephone consensual monitoring is proposed, the following sequential procedures apply:

- The SA obtains the verbal that the monitoring is legal and appropriate, and the concurrence of the participating agencies (in concurrent investigations), and documents this approval/concurrence in the field office investigative file.

- The SA obtains the , and documents this approval in the field office investigative file.

4. Procedure for Obtaining Authorization of Verbal Consensual Monitoring Where the Special Agent is the Consenting Party. When verbal monitoring with a Special Agent as the consenting party is proposed, the following sequential procedures apply:

- The SA obtains the verbal that the monitoring is legal and appropriate, and the concurrence of the participating agencies (in concurrent investigations), and documents this approval/concurrence in the field office investigative file.

- An Authorization for Use of Body Recorder/Transmitter or Recorder by Consenting Special Agent (Figure 913-04) or, if preferable, an authorization memorandum is prepared. If a memorandum is used, the request should contain the same categories of information that are required on the form.

- The SA obtains the and places the signed authorization in the field office investigative file.

913.01G Control, Inventory and Maintenance of Consensual Monitoring Equipment

1. Control, Maintenance of Consensual Monitoring Equipment, and Annual Equipment Inventory. of each regional office (is responsible for the custody, security, and maintenance of all consensual monitoring equipment used by their office. shall appoint an equipment custodian to carry out this responsibility. This system involves primary equipment custodians and alternates.
Primary Equipment Custodians and Alternates. For the purpose of controlling and
maintaining the OIG’s consensual monitoring equipment, in each investigative
office designates SAs to act as primary equipment custodian and alternate equipment
custodian for the regional office and, if applicable, a SA to act as equipment custodian in
subordinate offices. These designations are made.

Each equipment custodian and his/her alternate is responsible for the custody,
issuance, security, inventory, and maintenance of all consensual monitoring equipment
within the jurisdiction of the office.

2. Controlling Consensual Monitoring Equipment. Because consensual monitoring
equipment is normally expensive and sensitive, the OIG uses special procedures to
prevent its loss and/or damage. These special procedures govern the storage,
inventorying, and tracking of all consensual monitoring equipment.

- Storage of Consensual Monitoring Equipment. JI’s consensual monitoring
equipment is permanently assigned to the regional offices. If this type of equipment is not available,
the office is not in use, the equipment is Access to the stored equipment is limited to the
field equipment custodian, and his/her alternate.

- Inventory Records and Reports on Consensual Monitoring Equipment.
The maintains a log on each piece of
consensual monitoring equipment.

The accountable equipment inventory to include all consensual monitoring devices by and is
maintained by each regional office. This inventory contains

3. Maintaining and Repairing Consensual Monitoring Equipment. The
are responsible for all maintenance and repairs of the consensual
monitoring equipment.
913.01H and Securing Consensually Monitored Recordings

Upon removal of the consensually monitored recording from the consensual monitoring equipment, the SA adheres to the following procedures:

- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)

If the recording cannot be consensually monitored recording from the consensual monitoring equipment, the SA adheres to the following procedures:

- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)

When delivering the recording to a prosecutor or other law enforcement authority, the SA uses an (b) (7)(E) (Figure 925-01), to document the other party’s receipt.

Effective Date 2/10/2014

914.00 POLICY FOR UNDERCOVER OPERATIONS

Undercover operations may be used to gather information and evidence of criminal, civil and administrative violations within the investigative jurisdiction of the GSA OIG. However (b) (7)(E) (b) (7)(E)

Therefore, undercover techniques will be carefully considered and monitored. (b) (7)(E)
914.02 External Guidelines Affecting GSA OIG Undercover Operations

All undercover activities led by the GSA OIG shall be conducted in accordance with the Attorney General's Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority (Figure 901-02).


All special agents contemplating using or involved in undercover activity shall familiarize themselves with these guidelines.

914.03 Types of Undercover Operations

A. Group I – “Undercover Operations Involving (b) (7)(E) - where there is a reasonable expectation that the undercover operation will involve one or more of the following (b) (7)(E)
B. Group II — “Undercover Operations Involving Certain (b) (7)(E) — where there is a reasonable expectation that the undercover operation will involve any of the following (b) (7)(E):

C. Group III - (b) (7)(E) — any investigative activity not defined above which involves (b) (7)(E) by a special agent of the GSA OIG or another federal, state, or local law enforcement organization working with an OIG, and which is not expected to exceed (___) months. (b) (7)(E)
914.04 Considerations

Before commencing or seeking the approval to conduct any undercover activity, SAs and supervisors shall consider the following:

If any of the aforementioned conditions pose a significant risk, the use of other investigative techniques should be considered.

914.05 Application and Authorization to Conduct Undercover Activities
914.06 Approval for Undercover Operations Under Exigent Circumstances

(b) (7)(E)

914.07 Duration of Authorization

(b) (7)(E)

914.08 Requirement to Notify the Federal Bureau of Investigation

(b) (7)(E)
914.09 Record Keeping and Reporting Requirements

914.10 Oversight and Review of Group I and Group II Undercover Operations
914.11 Termination and Closure of Undercover Operations

When the objectives of any undercover operation have been accomplished or the operation will be closed, the Prime should terminate the operation and notify the Prime that the operation will be closed.

Within 30 days of termination of an undercover operation, the Prime, which shall include the following information:

(b) (7)(E)
914.13 Undercover Agents

The recruitment, selection, and training of special agents to become undercover agents is critical to the success of the GSA OIG undercover program.
914.14 Duties and Responsibilities of Undercover Agents

(b) (7)(E)
914.15 Participation in Unethical or Illegal Activity by Undercover Agents

(b) (7)(E)
914.16 Participation in Undercover Activities Led by Other Law Enforcement Agencies

914.17 Coordination of Undercover Operations with Prosecutor

Effective Date 2/11/2014

915.00 POLICY FOR SOURCES OF INFORMATION AND USE OF CONFIDENTIAL FUNDS IN SUPPORT OF INVESTIGATIONS

915.01 Use of Sources of Information

In accordance with the Attorney General’s Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority dated December 8, 2003, the Office of Inspector General (OIG) shall follow the Attorney General’s Guidelines Regarding the Use of Confidential Informants dated May 30, 2003 (Figure 915-01) (hereinafter referred to as “the Attorney General’s Guidelines”).

Nothing contained in this chapter or any other chapter of this manual is intended to create or does create an enforceable legal right or private right of action by a cooperating person or any other person.
915.02 Types of Sources of Information

In the conduct of investigations of criminal, civil, administrative or employee misconduct violations, SAs shall use the following definitions established by the Attorney General’s Guidelines:

1. Confidential Informant or "CI" - Any individual who provides useful and credible information to the OIG regarding criminal activities and from whom the OIG expects or intends to obtain additional useful and credible information regarding such activities in the future.

2. Cooperating Defendant/Witness - Any individual who: a) meets the definition of a CI; b) has agreed to testify in a proceeding as a result of having provided information to the OIG; and c) is a defendant or potential witness who has a written agreement with a federal prosecuting office, pursuant to which the individual has an expectation of future judicial or prosecutive consideration or assistance as a result of having provided information to the OIG, or is a potential witness who has had a federal prosecuting office concur in all material aspects of his or her use by the OIG.

3. Source of Information - Any individual who:
   a) meets the definition of a CI;
   b) provides information to the OIG solely as a result of legitimate routine access to information or records, such as an employee of the military, a law enforcement agency, or a legitimate business (e.g., phone company, banks, airlines), and not as a result of criminal association with persons of investigative interest to the OIG; and
   c) provides such information in a manner consistent with applicable law.

In addition, the Inspector General Act in effect creates another category, confidential sources of information, stating that the Inspector General “shall not, after receipt of a complaint or information from an employee, disclose the identity of the employee without the consent of the employee, unless the Inspector General determines such disclosure is unavoidable during the course of the investigation.”

Unless otherwise specified, the provisions in this chapter apply to only CIs. The term “cooperating person” as used in this chapter shall apply to other sources of information as discussed above.

915.03 Determination of Suitability and Documentation of CIs

Before documenting a CI (b) (7)(E)

[Redacted]
In accordance with the Attorney General’s Guidelines, CIs shall be documented on a Source Suitability Report and Recommendation (Figure 915-02). (b) (7)(E)

915.03A Conditions Requiring Review of the Confidential Informant Review Committee

(Figure 915-03).
915.03B Conditions Requiring Permission from Federal Prosecutor Before Use

(b) (7)(E)

915.04 Registration of CIs

(b) (7)(E)

915.05 Prohibition on Commitments of Immunity

(b) (7)(E)

915.06 Protecting the Identities of CIs and Cooperating Persons

(b) (7)(E)
915.07 Interaction with CIs and Cooperating Persons

(b) (7)(E)
915.08 Illegal Activity by CIs

(b) (7)(E)

In keeping with the Attorney General's Guidelines, the (b) (7)(E) is designated to oversee the management of all aspects of the confidential informant program. (b) (7)(E) shall (b) (7)(E) review this chapter with the (b) (7)(E) and ensure they receive sufficient initial and in-service training, and shall consider their compliance with this chapter (b) (7)(E).

915.09 Headquarters and Field Responsibilities

In keeping with the Attorney General's Guidelines, the (b) (7)(E) is designated to oversee the management of all aspects of the confidential informant program. (b) (7)(E) shall (b) (7)(E) review this chapter with the (b) (7)(E) and ensure they receive sufficient initial and in-service training, and shall consider their compliance with this chapter (b) (7)(E).

915.10 OIG Confidential Fund

(b) (7)(E)
915.11 Use of Confidential Funds

The OIG confidential fund is to be used solely to facilitate the collection of evidence and information concerning civil and criminal violations related to the programs and operations of the General Services Administration.

The following types of expenditures may be financed by the confidential fund:

- (b) (7)(E)
915.12 Approval for Use of Confidential Funds

The procedures to obtain approval for use of the confidential fund are as follows:
915.13 Disbursements of Confidential Funds from (b) (7)(E)

Confidential funds may be disbursed through any reasonably secure method as outlined below. (b) (7)(E)
915.14 Security of Confidential Funds

All confidential funds (cash) must be maintained by the recipient. (b) (7)(E)

915.15 Payment of Confidential Funds

Payment of confidential funds to CIs shall be made in accordance with the Attorney General’s Guidelines (Figure 915-01, pp. 18-19).
915.16 Accounting for Confidential Funds

SAs must be cognizant that confidential funds may be subject to theft by CIs, cooperating persons, the subject of their investigation or others.

Confidential funds maintained at no later than shall be audited by the .

must prepare a report of the use and current balance of confidential funds in their possession. The report shall be submitted to no later than . The failure to account for confidential funds shall serve as the basis to revoke an authorization and require the immediate return of all remaining funds to .

The shall maintain and make available to the the accounting of all confidential funds (Headquarters and field).

915.17 Loss of Confidential Funds

In the event confidential funds are lost or stolen, the following shall be performed:

2) The within will prepare a memorandum to the .

3) If the loss resulted from the apparent negligence of the responsible SA, .
916.00 SUSPENSION/DEBARMENT INVESTIGATIONS AND REFERRALS

916.01 Definition and Regulatory Basis of Suspensions/Debarments

Suspension and debarment are measures taken by the government to disqualify entities from participation in government contracting or subcontracting. Suspension temporarily disqualifies the entity; debarment disqualifies the entity for a fixed period. Suspension and debarment are used for the purpose of protecting the interests of the government, not for punishment.

The regulatory basis for General Services Administration (GSA) suspension and debarment actions are:

- the Federal Acquisition Regulations Subpart 9.4 (48 Code of Federal Regulations 1-9.4); and
- Subpart 509.4 of the GSA Acquisition Regulations Manual; Debarment, Suspension, and Ineligibility.

916.02 Causes for Suspensions/Debarments

The following paragraphs summarize causes specified in the Federal Acquisition Regulations for entity suspensions and debarments.

1. Causes for Suspensions. The Suspension and Debarment Official (SDO) may suspend an entity:
• when the entity is suspected, upon adequate evidence, of:
  o commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public contract or subcontract;
  o violation of Federal or state antitrust statutes relating to the submission of bids or proposals;
  o commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; or
  o commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects the present responsibility of a government contractor or subcontractor;
• when the entity is indicted for any of the causes listed above;
• for any other cause of so serious or compelling a nature that it affects the present responsibility of a government entity; or
• for any of the above causes based on a suspension by another agency where the original suspension does not have Government-wide effect.

2. Causes for Debarments. The SDO may debar an entity for any of the following causes:

• conviction of, or civil judgment for:
  o commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public contract or subcontract;
  o violation of Federal or state antitrust statutes relating to the submission of bids or proposals;
  o commission of any embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; or
  o commission of any other offense indicating lack of business integrity or business honesty that seriously and directly affects the present responsibility of a Government contractor or subcontractor;
• violation of the terms of a government contract or subcontract so serious as to justify debarment, such as:
- willful failure to perform in accordance with the terms of one or more contracts; or
- a history of failure to perform, or unsatisfactory performance of one or more contracts;
  - any other cause of so serious or compelling a nature that it affects the present responsibility of a government contractor or subcontractor; or
  - debarment for any of the above causes by another agency where the original debarment did not have Government-wide effect.

916.03 OIG Policy on Suspension/Debarment Investigations and Referrals

(b) (7)(E) authorizes investigations to gather evidence for referral to the Suspension and Debarment Official (SDO) for their consideration in the suspension or debarment of entities. Office of Inspector General (OIG) policies relative to these investigations and referrals are presented in the following paragraphs.

When an audit of a contract or contractor indicates that suspension or debarment is appropriate as a result of a suspected wrong-doing, the matter is referred for investigation in accordance with standard Suspicion of Irregularity procedures (Subchapter 705).

If the OIG has information indicating grounds for suspension/debarment, but the entity's business is with a government agency other than GSA, the information is referred to that agency for consideration of suspension/debarment action. (b) (7)(E)
Recommendations for suspension/debarment are made by the SACs to the GSA SDO.

3. OIG Policy on Making Suspension/Debarment Referrals to the GSA SDO. [b] (7)(E)

- [b] (7)(E)
- [b] (7)(E)
- [b] (7)(E)
- [b] (7)(E)

In support of this policy, [b] (7)(E) should make a referral as soon as an investigation reveals reasonable grounds for suspension/debarment, including when:

- [b] (7)(E)
- [b] (7)(E)
- [b] (7)(E)
- [b] (7)(E)

The [b] (7)(E) is responsible for making all suspension/debarment referrals for his/her region.

4. OIG Policy on Tracking and Reporting Suspension/Debarment Investigations. [b] (7)(E)
916.04 Documentation, Format, and Contents of Referrals for Suspensions

Figure 916-01 describes: (1) the information and documentation required for suspension referrals; and (2) the format and contents of the suspension referral memorandum from the SAC to the SDO.

916.05 Documentation, Format, Contents, and Timing of Referrals for Debarment

Figure 916-02 describes: (1) the information and documentation required for debarment referrals; (2) the format and contents of the debarment referral memorandum from the SAC to the SDO; and (3) the importance of making debarment referrals on a timely basis.

Effective Date 2/12/2014

917.00 SEARCH AND SEIZURE

917.01 Search and Seizure

917.01A Office of Inspector General Policy on Search and Seizure

Office of Inspector General (OIG) Special Agents (SAs) are authorized to request search warrants through U.S. Attorneys or DOJ, and to execute such warrants. SAs are also authorized to execute warrantless searches within the guidelines set forth. Unless precluded by State law, SAs may request search warrants from state or local judicial officials.

(b) (7)(E) is notified prior to and immediately after each contemplated or effected search.

(b) (7)(E)
917.01C Special Agents Authority to Serve and Execute Search Warrants

SAs’ authority to seek, serve and execute search warrants derives from the following:

- The IG Act, 5 U.S.C. App. 3, section 6(e)(1)(c), which authorizes OIG special agents to seek and execute warrants to search a premises or seize evidence upon probable cause.

- Rule 41 of the Federal Rules of Criminal Procedure, which provides, in part, that a search warrant may be issued upon request of a “federal law enforcement officer...who is engaged in enforcing criminal laws and is within any category of officers authorized by the Attorney General to request issuance of a search warrant”; and

- 18 U.S.C. 3105, which provides, in part, that “A search warrant may in all cases be served by any of the officers mentioned in its direction or by an officer authorized by law to serve such warrant, but by no other person, except in aid of the officer on his requiring it, he being present and acting in its execution.”

917.01D Executing Search Warrants
917.01E Searches Under Search Warrants

The following standards and procedures apply to searches conducted under search warrants.

1. Timing. Search warrants are executed in accordance with the restrictions imposed by the Court and Rule 41, Federal Rules of Criminal Procedure.

2. Announcement. Title 18 U.S.C. §3109, requires the SA to announce his/her identity, authority, and purpose before entry to execute a search warrant. The announcement need not be lengthy or elaborate, but should be conveyed in a manner to make it unmistakable that the person behind the door knows what is taking place.

3. Exception to Announcement Requirements. The announcement requirement of Title 18 U.S.C. §3109 does not apply under the following circumstances:

- when the SA executing the warrant reasonably believes that by the announcement he/she places himself/herself or other persons within premises in imminent peril of bodily harm;

- when the SA is virtually certain that persons within the place to be searched already know of the SA's identity, authority, and purpose (the "useless gesture" exception); or

- when the SA has reason to believe the evidence sought under the warrant is in the process of destruction or removal.

4. Number of Special Agents.(b) (7)(E)

5. Entry.(b) (7)(E)

6. Plain View Doctrine. Where SAs are lawfully present on premises, as during the execution of a warrant, and they observe evidence (e.g., fruits or instrumentalities of crime, contraband, illegal substances, etc.) in plain view, such evidence may be seized even though it is not described in the warrant and not relevant to the offense under investigation. The incriminating character of the item must be immediately apparent and
the agent must be lawfully located in a place from which he can both plainly see and lawfully access it.

(b) (7)(E)

7. Resistance or Interference. Title 18 U.S.C. §2231 makes it a felony to assault, resist, oppose, prevent, impede, intimidate, or interfere with a SA attempting to execute a search warrant. Hence, a person may not obstruct the execution of a warrant and can be immediately arrested for doing so. A violation may be shown even though the person resisting does not use force or violence.

(b) (7)(E)

Destruction or removal of evidence sought under warrant is a separate criminal violation (Title 18 U.S.C. §2232), as is any forcible attempt to rescue property already seized by the searching agent (Title 18 U.S.C. §2233).

8. (b) (7)(E)

9. (b) (7)(E)

(Figure 925-01) (b) (7)(E)

(b) (7)(E)

If the person from whose possession evidence is seized is not present, a copy of the warrant and the [b](7)(E) are left in a conspicuous place at the location of the search.
10. Return. The return of a search warrant is the report to the issuing magistrate that the warrant was executed. (b) (7)(E)

(b) (7)(E)

917.01F Searches Incidental to Arrest

Few rules are as firmly embedded in search and seizure law as that which permits a search incidental to arrest with or without arrest warrant. The authority to search following a custodial arrest is an exception to the warrant requirement and allows a full and complete search for weapons or implements of escape and for evidence connected with the crime for which the person has been arrested.

The purpose of the search is to protect the arresting SA and prevent escape. The right to search flows from the fact of arrest. The nature of the crime, whether felony or misdemeanor, violent or nonviolent, has no bearing on the right to search. The imposition of physical custody is the key to any such search.

Any search incidental to arrest is made (b) (7)(E) unless the arrest is made under emergency or exigent circumstances. The following standards and procedures apply to searches incidental to arrest.

1. Scope of Search. Following a lawful arrest, a SA is entitled in all cases to search the person of the arrestee and the area within his/her immediate control at the time of arrest. (b) (7)(E)

(b) (7)(E)

2. Protective Sweep. Following a lawful arrest made within premises, SAs may properly conduct a cursory search of the premises if they have a reasonable suspicion that confederates, accomplices, or others are present and may jeopardize the safety of the
arresting agents or the arrestee. Reasonable suspicion must be based upon facts known to the SAs, such as noises in an attic or the at-large status of a dangerous confederate.

The cursory search is not justified solely by the arrest. Rather, it is an independent search authority aimed at protection of the arresting SAs. If a SA, while conducting a protective sweep, observes evidence in plain view, it may be seized under that doctrine.

3. Receipt and Certificate. A receipt for any property taken in a search incidental to arrest is given to the person from whom the property is taken. (Figure 925-02 or equivalent).

4. 

917.01G Searches by Consent

A consent is a relinquishment of Fourth Amendment rights by the consenting party, and thus is reasonable even in the absence of probable cause and where searching agents cannot particularly describe the materials being sought.

The essential elements of a search by consent are detailed below.

1. Authority to Consent. SAs seeking permission to search without a warrant must obtain consent from a person authorized to give it. Only a person with actual or apparent authority over the place to be searched may give consent.

This is ordinarily the person who currently possesses the premises or personal property.

Ownership is not the equivalent of actual or apparent authority where the owner has temporarily yielded his/her right to possess, as in the case of landlord and tenant, or innkeeper and guest. Nor is lawful presence the same as actual or apparent authority. A guest or invitee, lawfully on premises, is generally not authorized to give up rights possessed by his/her host.

SAs are to obtain consent from a person with authority.
2. Voluntariness. The critical issue in any consent search is whether the consent is voluntary; that is, whether it is the result of a free and unconstrained choice. It is the Government's burden to prove the consent is not coerced. SAs, therefore, avoid any actions or statements likely to elicit submission to their authority rather than a free choice.

No single criterion is used to determine voluntariness, but rather the sum total of surrounding circumstances—such considerations as the number of SAs present, the time of search, the manner of request, the display of weapons, and the physical or mental condition of the consentor.

3. Warning of Rights. In establishing voluntary consent, the Government is not required to prove a warning of Fourth Amendment rights was administered before the consent. While knowledge of a right to refuse consent is a factor to be taken into account, the SA need not prove that the one giving permission to search knew that he had a right to withhold his/her consent.

6. Receipt and Certificate. A receipt is prepared and given to the consenting party for any property seized during a consent search.

917.01H Emergency Searches

The delay to procure a search warrant may sometimes place the safety of people in jeopardy or defeat the purpose of the warrant by permitting disposal of evidence.
law therefore recognizes that, under certain emergency circumstances, the requirement of a search warrant is waived, and a SA may properly make a warrantless entry and search of a place otherwise protected by the Fourth Amendment.

A SA may enter immediately to protect life or safety, to seek out a fugitive while in hot pursuit, and to preserve evidence which is in the process of destruction or removal. Such entries and searches can be made only under extraordinary circumstances. SAs should be prepared to justify their conduct by facts supporting a reasonable belief that such an emergency existed.

917.01| Searches for Work-Related Evidence

A government employee's reasonable expectation of privacy can be validly negated by government regulation, consent to search as a condition of employment or entry, longstanding customs and practices, and when work-related items (e.g., vouchers, log books, memoranda, etc.) are the object of the search.

GSA does not presently have regulations governing warrantless searches of employee work areas. Each case, however, must be evaluated on a case-by-case basis.

917.02| Inventory Policy

917.02A| Purpose

This directive establishes the U.S. General Services Administration, Office of Inspector General (GSA-OIG) policy and procedures concerning the inventory of property lawfully taken into custody by Special Agents (SAs) of the GSA-OIG.

917.02B| Definition

An inventory is an administrative measure designed to protect property while in agency custody; to protect the agency against claims of lost, stolen or damaged property; and to protect agency personnel and the public against injury or damaged property due to hazardous materials or substances that may be located within property taken into custody.

917.02C| Policy

A complete inventory shall be made of all property that is taken into custody by the GSA-OIG. Inventories need not be made contemporaneously with the time property is taken into custody, but must be made as soon as practicable after the property to be inventoried has been transported to the location where it is to be stored.
917.02D Inventories of Vehicles

This section of the directive provides additional guidelines concerning inventories of vehicles. For purposes of this section, the term vehicle shall include all mobile conveyances, to include water vessels and aircraft.

Special Agents may conduct an inventory of a vehicle without a warrant or probable cause when the vehicle has been taken into custody by the GSA-OIG.

(b) (7)(E)

917.02E Scope of Inventory

The contents of all vehicles that are taken into custody by the GSA-OIG shall be subject to inventory in accordance with the provisions of this policy.

- An inventory should be conducted (b) (7)(E) If so, the vehicle may be (b) (7)(E) when (b) (7)(E) is able to conduct the inventory.

- A vehicle inventory shall extend to all areas of the vehicle in which personal property or hazardous materials may reasonably be found including, but not limited to, the passenger compartment, the glove compartment, the engine compartment, the trunk, and other storage compartments located on or in the vehicle.

- All closed containers, whether locked or unlocked, found on or within a vehicle shall be opened for purposes of the inventory.

- All contents of the vehicle found during the inventory shall be documented on the GSA-OIG inventory form (Figure 917-03). In addition to listing the items found during the inventory, Special Agents should document any pre-existing damage to the vehicle or its contents on the inventory form. Damage caused to the vehicle during the inventory should be noted as such on the inventory form.

917.02F Property Control

After the vehicle is inventoried, the vehicle should be moved to a secure facility for safekeeping unless movement of the vehicle is limited by reasons of safety or practicality.

If the vehicle is unable to be moved, measures shall be taken to safeguard the vehicle and its contents.
When property of extraordinary value is located during an inventory, that property should be properly documented on the inventory form and then moved to secure storage.

If hazardous materials are located during the inventory, those items shall be handled and secured appropriately.

Although an inventory is not a search for evidence, any property that is discovered during the inventory that is contraband or evidence of a crime will be subject to seizure.

Special Agents will take appropriate measures to return property that is not subject to seizure to the lawful owner as soon as practical. The return of any property shall be as soon as practicable after the property is returned.

Effective Date 2/12/2014

918.00 REPORTS OF INVESTIGATION AND LETTERHEAD REPORTS

918.01 OIG Policy on Reports of Investigation and Letterhead Reports

Office of Investigations (OI) investigative reports are issued in accordance with the general and qualitative standards that have been adopted by the Council of Inspectors General on Integrity and Efficiency (CIGIE) (Figure 901-06).

918.01A Communicating Investigative Findings in Reports of Investigation versus Letterhead Reports

OIG Special Agents (SAs) communicate the results of investigations either in Reports of Investigations or in Letterhead Reports, when appropriate. A Report of Investigation is the standard method for communicating investigative findings to persons responsible for taking action on those findings. A Letterhead Report is used when:

- An investigation established that the complaint or allegation did not establish sufficient factual basis for further investigation, but a report to an official of GSA or another Government agency is appropriate.

- The investigation was for personnel security purposes, and involved arrest checks, other record checks, and/or pre-employment suitability inquiries on a prospective GSA employee.
918.01B Standards for Reports of Investigation and Letterhead Reports

The following standards apply to all OIG investigative reports, whether in the Report of Investigation (ROI), or the Letterhead Report format.

- Investigative reports present factual data fully, accurately, and objectively.
- Factual investigative findings are substantiated by supportive evidence to demonstrate their accuracy and reasonableness.
- Investigative reports present information and factual investigative findings that are sufficiently comprehensive to allow the reader to reach a conclusion on the allegation/violation and the action that should be taken.
- Investigative reports are written clearly and concisely.
- Investigative reports are prepared by the case agent as soon as practical after conclusion of investigative activity. Investigative reports are then issued within thereafter.
- To prevent unauthorized dissemination and use, investigative reports are designated "For Official Use Only" and controlled accordingly. The "For Official Use Only" designation appears at the top and bottom of each page of the report.
- Investigative reports are distributed to officials having the authority to act on the report contents.

Exculpatory evidence and relevant mitigating information when discovered during an administrative proceeding should be contained in the ROI. Exculpatory evidence in a criminal or civil investigation must be brought to the attention of the prosecutor.

918.02 Presentation Guidelines for Reports of Investigation and Letterhead Reports

Presentation guidelines applicable to Reports of Investigation and Letterhead Reports are as follows:

- Order of Presentation of Information. Information in the report should be organized in a logical and easy to understand fashion; information need not be presented based on the chronological sequence of the investigation or the
events. When writing reports on complex or voluminous cases, the SA should consider organizing the report by subheadings. For example:

- In a Standards of Conduct case involving several allegations, the report could be organized by the individual allegations.
- In a case involving investigation of a number of contractors, the report could be organized by the individual contractors.

- Capitalization.
  - The last name of each person who is a subject of an investigation is typed in capital letters, as are all pronoun references to that person.
  - The full name of each corporation, company, or other business concern that is the subject of an investigation is typed in capital letters.
  - The names of federal, state, and local agencies/departments are typed in accordance with standard capitalization rules (upper and lower case letters).

- Use of Personal Pronouns. Investigative reports are normally written in the third person; however, first person personal pronouns are permissible as the situation dictates.

- Quotations. Quotations from laws, regulations, or other publications are not included in either the Details of Investigation section or report inserts if they exceed one-half page in length. When quotations exceed that standard, they can be attached as exhibits and summarized in either the Details of Investigation section or report inserts.

- Information from Official Personnel Folders. When writing reports on cases involving government employees, care must be taken not to include extraneous personal information from the employees' Official Personnel Folders. All Official Personnel Folder information reported must closely pertain to the matter under investigation.

- Information from Law Enforcement Agencies. SAs are cautioned to clearly notify police officials when they request arrest records for a personnel security investigation.
918.03 Format and Contents of Reports of Investigation

The following paragraphs describe the general format of Reports of Investigations, and provide detailed guidance on the format and contents of each section in a Report of Investigation. A sample Report of Investigation appears in Figure 918-01.

918.03A General Format of Reports of Investigations

General format requirements applicable to all Reports of Investigations are as follows:

- The Report of Investigation must contain the following sections: (1) Administrative Data Page(s); (2) Table of Contents; (3) Basis for Investigation; (4) Synopsis; (5) Details of Investigation; and (6) List of Exhibits.

- Additional sections may include, among others, Subjects and Defense Counsel, Potential Offenses, and List of Witnesses. Recognizing that special information is required, SACs may choose to include sections such as Venue, Statute of Limitations, Assets, Agency Program Background, Entity or Organization Background, etc. The prime objective is to prepare a Report that effectively communicates investigative findings to appropriate readers.

- Each section of the report starts on a new page, and the report pages are numbered consecutively beginning with the first page of the Basis for Investigation section. (The Administrative Data Page(s) and Table of Contents are not numbered).

- The Report of Investigation is contained within official OIG front and back report covers.

- Each section of the Report is headed by the nomenclature of that section, typed in UPPER CASE LETTERS, underlined, and centered at the top of the first page of that section.
918.03B Format and Contents of Administrative Data Page(s)

The Administrative Data Page is a mandatory section.

The first Administrative Data Page is headed by the words ADMINISTRATIVE DATA PAGE. If additional pages are necessary, no such heading is required on them. The following captions are presented beneath this heading, at the left hand margin:

- Character of Case: Cite case category (Examples: Fraud against the Government; Theft of Government Property). It is acceptable to use more than one case category, if appropriate.

- Subjects: Complete subject identity. Identifying data on each subject includes: (1) full name, including middle name if known; (2) position; (3) all known aliases or "doing business as" names; and (4) address.

When subjects are contractors, the following identification standards apply:

In cases involving multiple contractor subjects, the Subject section: (1) shows the full name and address of each contractor; and (2) lists the prime contractor first, with the designation "Prime Contractor" after that contractor’s name.

If the investigation has developed an official of the contracting firm as a subject, his/her name, position and residence address are shown after the name and address of the contracting firm. An example of this type of Subject section is shown in Figure 918-01.

When the subject of an investigation is not known, the Subject section states UNKNOWN SUBJECT in capital letters.

- Case File Number: The OIG case number.
- Related Case File Number: Cross-referenced cases.
- Date of Report: The date the Report of Investigation is signed by the
- Prepared by: Signature of the responsible SA, with his/her name and title typed beneath the signature.
- Reviewed by: When appropriate, signature of the reviewing the Report, with his/her name and title typed beneath the signature.
- Approved by:
The following words are centered at the bottom of the Administrative Data Page(s) and printed on individual lines in upper case letters:

OFFICE OF INVESTIGATIONS OFFICE OF INSPECTOR GENERAL U.S. GENERAL SERVICES ADMINISTRATION

918.03C Format and Contents of Table of Contents

The Table of Contents is a mandatory section.

Unless subheadings are included in the Details of Investigation, the Table of Contents lists only the major report sections. When subheadings are used in the Details of Investigation, they are included in the Table of Contents.

918.03D Format and Contents of Basis for Investigation

The Basis for Investigation is a mandatory section.

This section cites the source(s) of information and describes the allegations. See Figure 918-01 and Figure 918-02 for examples.

When a case involves confidential witnesses or complainants the following legend is typed in upper case letters at the bottom of the section:

“THIS REPORT CONTAINS INFORMATION FURNISHED BY PERSON(S) WHOSE IDENTITIES MAY NOT BE DISCLOSED EXCEPT AS PROVIDED BY THE INSPECTOR GENERAL ACT OR CIVIL SERVICE REFORM ACT OF 1978. IMPROPER DISCLOSURE MAY RESULT IN PUNITIVE ACTION.”

918.03E Format and Contents of Synopsis

The Synopsis is a mandatory section.

Standards relative to the contents of the Synopsis are as follows:

- The Synopsis must be fully substantiated by one or more exhibits to the Report of Investigation.

- The Synopsis must provide sufficient information for the reader to conclude that the matter merits action.

- The Synopsis must not include opinions or conclusions of the SA. Instead, the Synopsis identifies and summarizes information from which the reader can formulate an independent conclusion.
This section should provide the reader with a summary of the investigative findings, nature of the fraud scheme or other wrongdoing, significant or unique issues involved, and other information to convey an overall understanding of the case.

This section is not intended to include every investigative detail, cite every witness or each document reference, or include specifics that are not necessary to provide an overview. A detailed chronological presentation of the investigative steps is not desired; rather, the results are to be stated in a logical sequence for the benefit of the reader.

Details, such as dates of investigation or lengthy titles documented elsewhere in the Report, are not to be included in the narrative unless necessary.

918.03F Format and Contents of Details of Investigation

Details of the Investigation is a mandatory section.

The purpose of the Details of Investigation is to bring the investigation into proper focus for the reader, by presenting clearly, concisely, logically, and factually the pertinent information contained in the exhibits to the report. Sub-headings may be used to enhance the organization of the Details of Investigation (See Sections 918.02 and 918.03).

Exhibits are an essential part of a Report of Investigation. The Details of Investigation section must contain adequate references to exhibits, and page numbers of exhibits may be added when appropriate.

The witnesses must be identified and their testimony presented in a logical order. If sub-headings are used, they are positioned and styled so as not to be confused with major section headings.

918.03G Format and Contents of Potential Offenses

Potential Offenses is an optional section.

This section cites statute(s) that may have been violated by particular subjects. See Figure 918-02.

918.03H Format and Contents of Subjects and Defense Counsel

Subjects and Defense Counsel is an optional section.

This section contains a listing or discussion of all subjects of the investigation, including both individuals and business entities. The identifying information, including full name, aliases, home and business addresses of subjects, telephone numbers, social security or employer identification number, etc., is included for each individual and entity listed
as a subject. This section also sets forth names, business addresses and telephone numbers of representatives (such as attorneys) of subjects. See Figure 918.02.

918.03I Format and Contents of List of Witnesses

List of Witnesses is an optional section.

This section lists witnesses whose testimony would be necessary to prove the case. The addresses and telephone numbers are shown after each witness' name, and, if appropriate, job title. For example, see Figure 918.02.

918.03J Format and Contents of List of Exhibits

List of Exhibits is a mandatory section that may take one of two forms, either listing the witnesses and exhibits together (Figure 918-01) or separately (Figure 918-02).

If listing the witnesses and exhibits together in the ROI, this section contains three columns: (1) Witness; (2) Exhibit Number; and (3) Description.

- The witness' full name, job title (if appropriate), address and telephone number are listed in the left-most column after a sequential witness number precede by a W (e.g. W1, W2, etc.).

- The Exhibit Number is a sequential number for each exhibit associated with a given witness. For example, witness W2 may have two or more exhibits attributed to or associated with him/her.

- The third column contains a description of the exhibit.

If a List of Witnesses section is included, the List of Exhibits Section shall contain only the Exhibit Number and Description, and shall not contain a witness number. (Figure 918-02).

Exhibits may consist of copies of statements and documents, such as affidavits, memoranda of interview/activity, canceled checks, invoices, bank records, books of account, related work papers, etc. The Report must contain adequate references to any exhibits, and shall describe the relevance of any and all exhibits. Accordingly, exhibits are separately and sequentially numbered, in the order they are originally mentioned in the Report, to facilitate reference and avoid confusion. When the Report is completed, exhibits are arranged (tabbed and bound, if appropriate) in their numerical order.

918.03K Report Inserts

Report inserts are memoranda documenting investigative interviews and activities. They are routinely prepared as soon as practical after the interview/activity, and may be included as exhibits to the ROI.
There are two types of memoranda report inserts: the Memorandum of Interview (Figure 918-05) and the Memorandum of Activity (Figure 918-06).

1. Memorandum of Interview. Each investigative interview is documented in a Memorandum of Interview.

2. Memorandum of Activity. A Memorandum of Activity is prepared for each pertinent investigative activity and each pertinent record/document review.

Memoranda of Activity and Memoranda of Interview are also used to document investigative results occurring subsequent to issuance of the Report of Investigation. Such memoranda can be incorporated into a supplemental Report of Investigation, or, if appropriate, forwarded to the action official by Transmittal Memorandum.

918.04 Format and Contents of Letterhead Reports

Letterhead Reports are not required to adhere to a prescribed format, but they must contain the following information:

- investigative activity performed;

- a summary of significant findings or disclosures; and

- a summary of specific legal, criminal or administrative determinations and actions taken.
Letterhead Reports to GSA management officials must be prepared as a memorandum in accordance with GSA Order OAD 1804.12, Part 3, Section 1, Paragraphs 22 and 23, and Section 2 (Section 919.03B). When the Letter Report will be provided to GSA management officials, the following additional data must be added:

- identification of the system of records; and
- the name and office telephone number of a Regional Investigations Office contact. Sample Letterhead Report Issued for Information Only appears in Figure 918-03. Sample Letterhead Report for Action Consideration appears in Figure 918-04.

Letterhead Reports are contained within official OIG front and back report covers.

**918.04A Preparing Referrals for Criminal Prosecutive Consideration**

When an investigation shows potential for criminal prosecution, a formal referral to the appropriate prosecutorial office may be made. Depending on the circumstances, and the desires of the prosecuting official, the referral can be made by issuing a Report of Investigation or other documentation as requested by the prosecutor.

All formal referrals should concisely identify the subjects, subject matter of the investigation, and potential violation(s).

A letter from [b](7)(E) shall be used to transmit all formal referrals. Transmittal letters should concisely identify the subjects, subject matter of the investigation, and potential violation(s). When appropriate, the transmittal letter acknowledges acceptance of the case during early consultation.

**Effective Date 2/12/2014**

**919.00 REFERRALS AND POST-INVESTIGATIVE ACTIVITY**

Reports of Investigation and Letterhead Reports are referred outside the OIG for:

- criminal prosecutive consideration;
- civil action;
- GSA management officials' administrative action or information; or
- other agencies' action or information.
All Reports of Investigation and Letterhead Reports must be transmitted in accordance with the OIG procedures for safeguarding "For Official Use Only" information.

Reports of Investigation and Letterhead Reports with its corresponding exhibits should be uploaded in the [b](7)(E) with a hard copy being transmitted to the action officials along with an original transmittal letter or memorandum.

919.01 Referrals for Criminal Prosecutive Consideration

919.01A Reporting and Following Up on Referrals for Criminal Prosecutorial Consideration

Pending prosecutorial determination, the responsible Special Agent (SA) and manager should monitor the time elapsed after each referral to ensure a timely resolution to the referral.

When a case is declined for criminal prosecution but the prosecuting authority has not provided written documentation of that decision, the SA prepares a confirmation letter giving an overview of the referral and the reason(s) for declination.

When a case is declined for criminal prosecution by DOJ/the U.S. Attorney's Office, the SA should be alert to the case's potential for referral: (1) to state or local prosecutors; (2) for civil action (Section 708.02); and (3) for administrative action by management officials.

919.02 Referrals to GSA Management Officials for Administrative Action or Information

919.02A Purposes of Administrative/Information Referrals to GSA Management Officials

Investigative results are forwarded to GSA management officials for:

- consideration of administrative action; or

- information purposes, when the Special Agent in Charge (SAC) or Assistant Inspector General for Investigations (AIGI) deems it appropriate.

919.02B Making Administrative/Information Referrals to GSA Management Officials

1. General Standards and Procedures for Making Administrative/Information Referrals. General standards and procedures for making administrative/information referrals are as follows:
Referrals are made either by memoranda that transmit Reports of Investigation or by Letterhead Reports. Section 907.01A details OIG policy on using Reports of Investigation versus Letterhead Reports. Letterhead Reports and memoranda that transmit Reports of Investigation should be prepared in accordance with GSA Order OAD P 1804.12, GSA Correspondence Management, Part 3, Section 1, Paragraphs 22 and 23, and Section 2. A sample memorandum used for this purpose is presented at Figure 919-01.

Referrals are addressed to the Administrator, Heads of Services and Staff Offices, Regional Administrators, or other program officials who have line authority over the program areas/employees.

All referrals for consideration of administrative action: (1) reference an attached Disposition Report (Figure 919-02); and (2) ask that the management officials use this form to reply to the OIG on the administrative action taken or to be taken.

Signatory authority for administrative/information referrals is as follows:

2. Standards and Procedures for Making Specific Types of Administrative/Information Referrals. Standards and procedures for making specific types of administrative/information referrals are as follows:

Referrals for consideration of suspension/debarment action are made in accordance with the specific standards and procedures set forth in Subchapter 916.

Referrals for consideration of administrative action other than suspension and debarment are made by GSA memorandum that: (1) transmits the Report of Investigation; and (2) includes the following information:

- an introductory statement which sets forth: (1) the purpose of the referral (i.e., that the investigation has been completed and the Report of Investigation is being referred for consideration of administrative action); (2) the identification of the subject(s); (3) the allegation(s) or complaint(s) developed or received; (4) the copy number of the Report of Investigation; and (5) a statement that the facts developed may be proscribed by a specifically cited section or sections of the GSA Standards of Conduct (ADM 7900.9);

- if applicable, a statement that the case was referred for prosecutive consideration, and a report on the status of that referral;
• Referrals for information purposes are made in accordance with the specific standards and procedures for Letterhead Reports set forth in Section 918.04.

919.02C Following Up on Administrative Referrals to GSA Management Officials

If the office to which the administrative matter was referred has not responded to the referral or submitted a completed Disposition Report within the timeframe specified in the referral (Section 919.02B), the SAC or delegate should contact the management official, inquire as to the action taken or to be taken, and an anticipated date that final action will be taken. [b](7)(E) shall take any further follow-up action as deemed necessary and appropriate to ensure resolution of the referral. These contacts should be documented in the case file. In the event of continued non-responsiveness by the management official, the matter is referred for follow-up by [b](7)(E), [b](7)(E). In the case of referrals signed by the SAC, the contact is made by [b](7)(E). In the case of referrals signed by [b](7)(E), the contact is made by the Headquarters Investigations Operations Division (JIB). In the event of continued non-responsiveness by the management official, the matter is referred for follow-up by [b](7)(E).

Upon receipt of the completed Disposition Report form, the SAC (whose office generated the referral) evaluates whether the reported administrative action is commensurate with: (1) the factual investigative findings; and (2) the appropriate Agency regulations concerning administrative actions. If the action does not appear commensurate with these findings and regulations, the SAC should contact the management official, discuss the matter, and document the investigative file.

919.03 Referrals to Other Agencies

919.03A Referrals to the FBI

Standards and procedures for referrals to the FBI are presented in Section 908.01C.
919.03B Referrals to Other Law Enforcement Agencies

Standards and procedures for referrals to law enforcement agencies other than the FBI are presented in Section 908.01D.

919.03C Referrals to Other Executive Branch Agencies

OIG investigative results involving the programs or employees of other agencies are referred either by letter that transmits the Report of Investigation or by Letterhead Report.

Normally, these referrals are addressed to the local head of the other agency's OIG or the local head of the other agency; and they are signed by (D)(7)(E). However, when the referral is to an AIGI in another agency, it is signed by (D)(7)(E) and when the referral is to the head of another agency, or the IG of another agency, it is signed by (b)(7)(E).

In instances where administrative action by the other agency is warranted, the transmittal letter used for this purpose contains the following:

- a paragraph that concisely sets forth the significant wrongdoings or irregularities;
- if applicable, a statement that the case was referred to DOJ/a U.S. Attorney's Office for prosecution, and a report on the status of that referral;
- statements that identify the system of records and the routine use under the Privacy Act of 1974;
- a statement that the information is furnished for whatever action is deemed necessary; and
- if applicable, a request that the signatory of the referral be advised of actions taken on it.

919.03D Referrals to the Office of Government Ethics

All investigative cases in which a referral from the OIG has been made to the Department of Justice (DOJ) of allegations involving federal conflict of interest violations, namely 18 USC 203 (compensated representational activities before the government), 205 (acting as an agent or attorney before the government), 207 (post-employment eliminations), 208 (acts affecting a personal financial interest), and 209 (supplementary salary) require notification to the Office of Government Ethics (OGE). Any office making a referral to the DOJ for conflict of interest cases will be responsible for making the referral to OGE. Special Agents will complete OGE form 202, Notification of Conflict of Interest Referral (http://www.usoge.gov/), and submit the form to his/her supervisor for approval. (b)(7)(E) will review the form and forward it to the
OGE at the address listed on the form in a timely manner. A copy of the form should also be sent to the Deputy Assistant Inspector General for Investigations (DAIGI).

Each office must promptly notify OGE of the disposition of such referrals, i.e., indictment and prosecution, declination, and any disciplinary or corrective action taken when one of these referred cases has been declined. Information relating to the disposition of a referral must be communicated to the OGE in writing and a copy should be sent to the DAIGI. Completed copies of OGE Form 202 and subsequent disposition notifications will be incorporated into the official case file. Each office will also initiate and maintain an administrative file containing completed copies of all notifications made to OGE. On an annual basis the Office of Investigations will report the number of OGE referrals to the GSA Office of General Counsel.

Effective Date 2/12/2014

920.00 PROGRAM FRAUD CIVIL REMEDIES ACT INVESTIGATIONS AND REFERRALS

920.01 Investigations and Referrals Under the Program Fraud Civil Remedies Act (PFCRA)

920.01A Definition and Regulatory Basis for Administrative Action Under the PFCRA

The PFCRA (31 U.S.C. §§3801-3812) creates an administrative procedure whereby authorized federal agencies may litigate false claims and false statements administratively. If found liable, a person may be penalized up to $5,500 per claim or statement and may also be assessed damages.

The PFCRA necessitates that (1) the false claims or false statements involve a value of less than $150,000 and (2) the Department of Justice (DOJ) approve initiation of this procedure.

The regulatory basis for General Services Administration (GSA) actions in this regard is 41 Code of Federal Regulations 105-70.

920.01B Causes for Litigating Under the PFCRA

The Agency initiates this administrative remedy when there is adequate evidence to believe that a person (meaning any individual, partnership, corporation, association or private organization) has made, submitted, presented, or caused to be made, submitted, or presented, false fictitious, or fraudulent claims or written statements to GSA authorities or to their agents.
A claim is defined as any request, demand, or submission made to:

- GSA for property, services, or money; or
- recipients of property, services, or money when GSA paid for any portion of the underlying contract.

A statement is defined as any representation, certification, affirmation, document, record, or accounting/bookkeeping entry made with respect to:

- claims or approval or payment of a claim; or
- bids, proposals, or contracts.

The PFCRA only applies to false claims or false statements made on or after October 21, 1986.

920.01C OIG Policy on Investigations and Referrals Involving the PFCRA

The Office of Investigations (JI) opens and conducts investigations of alleged false claims and false statements to develop evidence for referral to prosecuting authorities for criminal action and/or civil suit under the False Claims Act.

When the value of the false claims/false statements is under $150,000 and, pursuant to 41 CFR Part 105-70.004(b), JI concludes that an action under PFCRA may be warranted, JI refers the matter to the Office of the Counsel to the Inspector General (JC) for review and referral to GSA's General Counsel for administrative litigation.

Subpoena requests pursuant to the authority conferred by 31 U.S.C. §3804(a) are made in accordance with OIG policy set forth at Section 707.02 of the OIG Policy and Procedures Manual.

1. Referrals to General Counsel. All PFCRA referrals include: (1) a referral memorandum; (2) the Report of Investigation as an attachment to the memorandum; and (3) [b](7)(E) as attachments to the referral memorandum. The referral memorandum is addressed to the General Counsel and prepared for the signature of [b](7)(E). A concurrence line for [b](7)(E) is placed on the official file copy of the referral memorandum. The content of [b](7)(E) memoranda is as follows:
- Subject: presents the wording “Recommendation for Administrative Litigation under the Program Fraud Civil Remedies Act” followed by the title of the case, and the name(s) of the individual, corporation, association, or organization believed to be liable, and the investigations file number.

- Opening Paragraph: presents the recommendation, the names of all involved individuals and concerns, and the evidence supporting the allegations of liability. This paragraph should also indicate that the investigation is substantially complete and reference the declination/confirmation letters. The opening paragraph usually starts: “This memorandum contains a recommendation that you consider issuing a complaint against .... pursuant to subparagraph 105.70.007 of the Code of Federal Regulations . . .”

- Subsequent Paragraphs: present the following information:
  - a description of the claims or statements upon which the allegations of liability are based;
  - an estimate of the amount of money or the value of property, services, or other benefits falsely requested or demanded;
  - a statement of any exculpatory or mitigating circumstances that may relate to the claims or statements; and
  - a statement that there is a reasonable prospect of collecting an appropriate amount of penalties and assessments.

- Current Addresses: presents the current addresses of the concerns and individuals.

- Disposition Report: references the Disposition Report that is attached with each PFCRA referral memorandum and provides for the General Counsel to reply to on whether action was taken. The Disposition Report Form is presented at Figure 919-02.

- Privacy Act Statement: presents the following statement: “You are advised that this information is from a system of records known as “GSA/ADM 24, Investigation Case Files,” which is subject to the provisions of the Privacy Act of 1974. Consequently, this information may be disclosed to appropriate GSA officials who have a need for it in the performance of their official duties.”

- Statement of Limitations: presents the following statement: “Release or disclosure of information in this memorandum or any attached documentation or report to the subject(s) of the investigation or to other parties outside the General Counsel’s Office must have the prior written approval of . The General Counsel is to notify my office if any portion is duplicated.”
• Point of Contact Within the OIG: presents the name and telephone number of the (b)(7)(E) and states that he/she is to be contacted if General Counsel needs additional information.

• Attachments: references all items that are attached to the referral memorandum.

If names of individuals or business concerns are used in the referral memorandum, Report of Investigation, and/or declination/confirmation letters, and they were not involved in the alleged fraud, a statement to that effect should be included in the referral memorandum.

2. Subsequent Investigative Activity. In subsequent referrals of an action to the General Counsel, JI, along with JC, serves as the point of contact for any questions raised by the Office of General Counsel.

If, in the course of further investigation, evidence is disclosed indicating criminality or civil liability, the Special Agent notes that nothing in the PFCRA limits the OIG’s discretion to refer allegations directly to the DOJ.

Upon conclusion of investigative activity, the Special Agent prepares the Report of Investigation in accordance with standard procedures. The Report is formally transmitted to General Counsel.

Effective Date 2/12/2014

921.00 COMPUTER FORENSICS

921.01 Digital Media and Computer Forensic Examinations

921.01A Definitions

1) Digital Media: Any device which can store information in electronic form, i.e. hard drive, thumb drive, flash drive, floppy disk, ZIP disk, cellular phone, Blackberry, Personal Digital Assistant (PDA), etc.

2) Write-Block: Software or hardware device which prevents data from being written to a disk or other medium.

3) Forensic Image: Exact, sector by sector or bit-by-bit copy of the subject evidence media.

4) Removable Media: Items (e.g., floppy disks, CDs, DVDs, cartridges, tape) that store digital information and can be easily removed.
921.01B Seized Computer Evidence Recovery Specialist (SCERS) Agent

All SCERS candidates are selected by their respective Special Agents in Charge (SACs). Upon successful completion of the Federal Law Enforcement Training Center (FLETC), SCERS Training Program, or its equivalent, and Basic and Intermediate training in the forensic software [redacted], the Special Agent (SA) shall be appointed by the SAC as the Regional SCERS Agent. Additional training may be required in the use of the forensic software [redacted]. SCERS Agents should remain proficient in their area of expertise. Supplemental training will be approved for continuing education.

921.01C Collection

The collection of digital media shall conform to U.S. General Services Administration, Office of Inspector General (GSA-OIG) Policy for Receiving, Identifying, and Preserving Evidence (See Section 925.03). The primary SA charged with the collection of digital media, when available, shall be a SA who has attended either the FLETC Digital Evidence Acquisition Specialist Training Program (DEASTP) or SCERS Training Program or the equivalent of either of these courses.

921.01D Acquisition and Archiving of Media

1. Approved Forensic Software: (b) (7)(E)

2. Hardware Write-Protection: (b) (7)(E)

3. Hard Drive Imaging: (b) (7)(E)

4. Removable Media Imaging: (b) (7)(E)

5. Document the results: (b) (7)(E)

6. Evidence Integrity: (b) (7)(E)
7. Archiving: 

921.01E Computer Forensic Examinations

1. Search Authority: In each case, which may involve digital media, it is incumbent upon the forensic examiner to become involved early in the investigation.

2. Preparation of the Forensic Examination System: All forensic examinations shall be conducted using hardware and software.

3. Analysis: Forensic examinations shall be conducted only by those Agents who have attended the FLETC SCERS training or its equivalent. These Agents shall also have attended the Basic and Intermediate training specific to the NCCC approved forensic analysis software prior to conducting any examinations.

The examiner shall use forensic analysis software in accordance with the manufacturer’s recommended procedures.

If, during an examination, the examiner discovers evidence of a crime outside the scope of the search parameters.

The following areas of analysis are a general guide and are dependent on the type of investigation and not to be construed as a mandated procedure or policy. In all cases, examiners should follow an analysis plan that conforms to their individual training and experience.

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921.01F Forensic Analysis Report

After the completion of a forensic analysis, the examiner shall complete a detailed report. In addition to the detailed report, the software can compile the detailed report.

(b) (7)(E)

All original handwritten notes should be provided to the case agent for scanning into A copy of the notes should be maintained by the examiner.

Effective Date 2/12/2014

922.00 SPECIALIZED INVESTIGATIVE TECHNIQUES

922.01 Purpose

This chapter will provide the policy and procedures which govern the use of specialized investigative techniques used to gather evidence in Office of Inspector General (OIG) investigative cases.
Pursuant to an request, the will, however, provide only limited information, i.e., information it has obtained other than that provided by the or the representative. 


Agents seeking information should coordinate with the U.S. Attorney’s office and the .

Requests for these data must: (1) be in writing; (2) be signed and directed to the of the particular area; and (3) state that the information is necessary for law enforcement purposes.

Requests for information are made in accordance with the following procedures:
• Where possible, the request is made in person by the Special Agent (SA). When submitted in writing, (b) (7)(E)

• The request is directed to the (b) (7)(E) of the particular area.

• The request includes a statement either that: (b) (7)(E)

• If the request involves (b) (7)(E)

• The (b) (7)(E) coordinates all actions necessary to provide the SA with the requested information.

922.03C Obtaining Information on or Copies of (b) (7)(E)

When an investigation involves the U.S. General Services Administration (GSA) as the (b) (7)(E), the SA obtains information on and/or photostats of the (b) (7)(E) by (1) preparing a request for such information/copies; and (2) addressing the request to:

(b) (7)(E)

Requests for information on and/or copies of (b) (7)(E) on which GSA is neither the (b) (7)(E) are (1) (b) (7)(E) and (3) directed in all cases to the local (b) (7)(E)

922.03D Obtaining (b) (7)(E)

1. Definition, Purpose, and Legal Basis For (b) (7)(E) . (b) (7)(E)

The purpose for a (b) (7)(E) of commission or attempted commission of a crime punishable by one year or more in prison (felony violations), and or assist in the (b) (7)(E) forfeitable under law, the (b) (7)(E) may subsequently provide (b) (7)(E) data to the (b) (7)(E)
Regulations, which constitute the sole authority for initiating, processing, placing, and using (b)(7)(E), are set forth in: Title II, United States Code, Section [redacted] and Title [redacted] Code of Federal Regulations, Part [redacted] Section [redacted].

The (b)(7)(E) Regulations define “fugitive” and “crime” as follows:

- A fugitive is any person who has fled from the United States or any State, territory, the District of Columbia, or possession of the United States, to avoid prosecution for a crime, to avoid punishment for a crime, or to avoid giving testimony in a criminal proceeding.

- A crime is any commission of an act, or the attempted commission of any act, that is punishable by law by imprisonment for a term exceeding 1 year.

2. OIG Policy on (b)(7)(E). OIG policy on (b)(7)(E) is as follows:

3. Obtaining (b)(7)(E) Information. Requests for (b)(7)(E) are (1) made in writing by completing the External Law Enforcement Request for (b)(7)(E) Template accompanied by a cover letter (b)(7)(E); (2) usually targeted to a stated individual or concern at a given address; and (3) limited to not more than a (b)(7)(E).

4. Canceling and Renewing Requests for (b)(7)(E). Requests for (b)(7)(E) are cancelled if the information sought (b)(7)(E) is no longer needed. Cancellation notices are sent by the (b)(7)(E) Unit.

Requests for (b)(7)(E) may be renewed by using the same procedures as for an original request.
5. Reproducing and Returning (b)(7)(E) Information. (b)(7)(E) documents are the property of the (b)(7)(E) and are loaned with the understanding they will be treated confidentially. (b)(7)(E).

All (b)(7)(E) Forms 2009. Reporting (b)(7)(E) Information, must be returned within (b)(7)(E) to the (b)(7)(E) official from whom they were received.

922.04 (b)(7)(E)

(b)(7)(E)

Procedures for arranging (b)(7)(E) are as follows:

• (b)(7)(E) submits a request for use of the (b)(7)(E) to the (b)(7)(E). The request includes the case number, case title, and a brief explanation of the purpose of the (b)(7)(E), including the name of the person to be (b)(7)(E)

• If (b)(7)(E) concurs with the request (b)(7)(E) arranges for use of a (b)(7)(E) and a (b)(7)(E).

922.05 Questioned Documents

922.05A Definition of Questioned Documents

A questioned document is a document whose authenticity, identity, or origin has been questioned in whole or in part. Verification of the document’s authenticity, identity, or origin may involve handwriting or typewriting comparison; determining the age of the document or the ink; and/or examination of erasures, obliterations, and overwriting.

922.05B Standards for Comparison With Questioned Documents

In order that a determination can be made on a questioned document’s authenticity, identity, origin, or relationship to some matter, the SA submits (b)(7)(E) sample(s). Each such sample is called an exemplar; and collectively the exemplars constitute standards for comparison.
These standards for comparison are admissible in court, based on 28 U.S.C. 1731, which provides, in part, that:

“The admitted or proved handwriting of any person shall be admissible, for purposes of comparison, to determine genuineness of other handwriting attributed to such person.”

Although this statute specifically addresses only standards of comparison for handwriting, it is understood to apply equally to standards of comparison for typewriting.

(b) (7)(E)

922.05C Obtaining Handwriting Exemplars

1. Types of Handwriting Exemplars. When a SA becomes aware that the authenticity or origin of a document may be questioned, he/she attempts to obtain handwriting exemplars of the parties whose handwriting appears on the document. Handwriting exemplars may consist of:

   • previous writing of the subject that have either been admitted to by the subject or can be proved to be that of the subject; and/or

   • The taking of handwriting exemplars does not violate a person's constitutional rights. The Fifth Amendment privilege against self-incrimination reaches compulsory communications, while a handwriting exemplar (in contrast with the content of what is written) is an identifying physical characteristic outside its protection (Gilbert v. California). A person can be cited for contempt if he/she refuses to provide an exemplar to a grand jury.

2. Standards and Techniques Relating to Handwriting Exemplars. Standards and techniques relating to obtaining handwriting exemplars will be determined through discussions with the SA, prosecutor, and the lab/expert witness.

The SA (1)(b) (7)(E)

922.05D Using Questioned Document Examiners and Examination Facilities

1. Functions and Use of Questioned Document Examiners. (b) (7)(E)

A questioned document examiner makes examinations and analyses of documents to:

- (b)(7)(E)

- If the questioned document examiner

- The questioned documents and the related exemplars are transmitted to the questioned document examiner facility in accordance with procedures stipulated by that facility. When the facility does not stipulate transmittal procedures, the following transmittal guidelines apply:
  - (b)(7)(E)

922.05E Court-Ordered Electronic Surveillance

Court-authorized interceptions of wire, oral, or electronic communications are among the most intrusive investigative techniques currently available to law enforcement. The rigors of the approval process, expenditures of financial and manpower resources, and the probability of challenges by the defense bar make this technique subject to intense scrutiny. Surreptitious electronic surveillance using closed-circuit television presents similar considerations. Accordingly, any investigation involving the interception of
Communications pursuant to 18 U.S.C. §§ 2510, et seq., electronic surveillance using closed-circuit television in situations where a warrant is required, or any other court ordered electronic surveillance, shall be conducted (b) (7)(E) Subsequent to such notification, (b) (7)(E) may choose to join the investigation, but is not required to do so. However, in all instance in which the Office of Inspector General intends to engage in court authorized electronic surveillance without the participation of (b) (7)(E), one of the following federal investigative agencies must participate in the investigation and supervise the application for and use of the surreptitious electronic surveillance: (b) (7)(E)

922.06 Surveillances

922.06A Definition of and Reasons for Surveillances

Surveillance is the physical observation of an individual or group of individuals. Generally, surveillances are used to:

- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)
- (b) (7)(E)

922.06B OIG Policy on Surveillances

The conduct and supervision of surveillance activity is a field office responsibility. All surveillance must be authorized by (b) (7)(E) and documented. All surveillance
decisions, including assignment of agents, methods, and documentation, are made by \( (b)(7)(E) \) in accordance with applicable laws.

Effective Date 2/12/2014

923.00 INVESTIGATIVE TRAINING

923.01 General

Proper training is required in order for Special Agents (SAs) to meet the need for the broad range of special knowledge and skills necessary to conduct investigations. This training should include both formal classroom and on-the-job training. The skills mentioned herein apply to the skills of the Office of Investigations (OI) as a whole. \( (b)(7)(E) \) Skills required to conduct an investigation are:

923.02 Entry-Level Training

923.02A Basic Criminal Investigative Training Program

In accordance with the Attorney General’s Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority, each newly appointed SA must attend and successfully complete the Criminal Investigator Training Program at the Federal Law Enforcement Training Center (FLETC). As an alternative, this training requirement may be satisfied by certification of completion of a comparable course of instruction to the FLETC’s Criminal Investigator Training Program.

The basic training program includes investigative planning, interviewing techniques, sources of information, collecting, analyzing and preserving evidence; rules of evidence, affidavits and statements, specialized investigative techniques, constitutional law, relevant statutes and regulations, report writing, testifying in court and administrative hearings, preparations and execution of search warrants, grand jury
procedures and secrecy provisions, arrest procedures, firearms training, defensive tactics, and instruction in the use of force.

923.02B Inspector General Academy Investigative Training Program

After successfully completing the Criminal Investigator Training Program, SAs must attend the Inspector General Investigative Training Program at the Inspector General Academy. This program is designed to provide entry-level training in investigative techniques and types of investigations specific to the mission of the Inspector General community. The course builds on the foundation provided in the Criminal Investigator Training Program and focuses on types of cases worked by Inspector General (IG) SAs, utilizing investigative procedures and tools unique to the IG community and provides enhanced training in general investigative topics.

923.03 Individual Development Plans

Individual Development Plans (IDPs) (Figure 923-01) are used to systematically plan for training and other developmental activities. The IDP for each SA establishes an annual written plan for that SA to fulfill developmental objectives. Advanced formal training should be in accordance with the training profile for his/her position as outlined in Quality Standards for Investigations, Appendix B, Training Profile Illustration for Investigators (Figure 901-06) and with GSA OIG Core Training Programs for criminal investigators (Figure 923-02).

Supervisors should ensure that SAs are offered on-the-job training or formal training required to allow attainment of developmental objectives. The IDP form (Figure 923-01) has a section for indicating the date when each developmental objective has been met. This will constitute the formal record of the SA’s achievement of each required developmental objective.

The IDP development process takes place prior to the preparation of the Annual Training Plan for the new fiscal year. For each new SA, an IDP should be prepared within [b] (7)(E) after joining the Office of Inspector General (OIG). The IDPs are maintained [b] (7)(E) and copies should be sent to the Headquarters National Training Coordinator.

The following types of training are identified as sources for developing IDPs and meeting developmental objectives:

- On-the-Job Training (OJT) This is the primary training method. OJT is the most fundamental vehicle for developing SAs for current duties as well as for future assignments. It requires training assignments from the Special Agent in Charge (SAC)/Assistant Special Agent in Charge (ASAC). Although this method is somewhat informal, it should be structured around the appropriate developmental objectives in the applicable profile.
- Formal Training: Classroom instruction at government or non-government facilities which provides job-related training and skills to SAs.
- Special Projects, Assignments: This is a form of OJT for which the duties are not part of the regular job but can be assigned to develop employees in special areas.
- Self-Study: This is an ideal way to acquire a technical body of knowledge. It takes the form of (1) a mentor who can outline a program of reading assignments and check the SA's progress or (2) programmed self-instructional packages.
- Details (or rotational assignments): The use of detail is not always available. However, when available, they do enable SAs to gain new skills and experience.
- Correspondence Courses and On-line Courses: Various vendors offer training through correspondence courses and on-line courses, such as OPM, USDA, and GSA's On-line University.
- Attendance at Conferences, Seminars, etc.: These are excellent sources for updating and enhancing professional knowledge and skills.

923.04 Refresher Training

In accordance with the Attorney General's Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority, the Office of the Inspector General will provide periodic refresher training for all SAs. SAs will satisfy the periodic refresher training requirement by attending Periodic Refresher Training Program at the Inspector General Academy. The course provides updated and refresher legal training to include trial process; federal criminal and civil legal update; law of arrest, search, and seizure; and related subjects. Additional or supplemental field office local training will also be provided to ensure each SA receives training to satisfy this requirement.

923.05 Field Training

Field training is scheduled at the discretion of the SAC and should include:

- Other Required Field Training

923.05A Firearms Qualification and Training Program

The objective of the General Services Administration (GSA)-Office of Inspector General (OIG) Firearms Qualification and Training Program is to ensure that SAs are qualified to employ firearms with accuracy and speed and without hazard to self, fellow SAs, or other innocent parties. Guidelines for the use of firearms can be found in Subchapter 902. SAs must demonstrate proficiency with OIG-issued firearms and qualify using OIG-issued ammunition.
1. (b) (7)(E) **Course of Fire.** The (b) (7)(E) (Figure 923-04) is the approved course of fire for OIG (b) (7)(E) firearms qualification:

- A minimum total of (b) (7)(E) course of fire will be completed during qualifications; however, if a SA fails to meet the minimum score he/she may shoot an additional (b) (7)(E) course of fire.
- Each SA is required to qualify with the same firearm he/she will carry on duty.
- The minimum (b) (7)(E) qualification score for SAs is (b) (7)(E) and must be documented on the (b) (7)(E) (Figure 923-03).

2. (b) (7)(E) **Qualification Course of Fire.** The OIG (b) (7)(E) Qualification Courses are approved course of fire for OIG (b) (7)(E) operators. See Figures 923-05 and 923-06.

3. (b) (7)(E) **Course of Fire.** The OIG (b) (7)(E) Qualification Course is the approved course of fire for OIG (b) (7)(E) operators. See Figure 923-07. Qualification scores will be recorded by the (b) (7)(E) on the (b) (7)(E) Forward completed (b) (7)(E) upon conclusion of each (b) (7)(E) session.

4. Firearms Qualification and Training. (b) (7)(E) firearms qualification and training and remedial firearms training will be completed on official time under the supervision of the (b) (7)(E). With SAC approval a SA will be allowed additional training with an OIG issued firearm and OIG issued ammunition on-duty at a range approved by the SAC under the supervision of a (b) (7)(E).

5. Additional Courses of Fire. Additional courses of fire should be conducted at the discretion of the (b) (7)(E). The following courses are considered necessary to meet the objectives of the OIG Firearms Qualification and Training Program:

- (b) (7)(E)

6. Federal Aviation Administration (FAA) Training. (b) (7)(E) are responsible for instructing all SAs (b) (7)(E) in the FAA Law Enforcement Officers Flying
Armed training program. When the FAA training is conducted, the [ ] will make a notation on the [b] (7)(E) [ ].

7. Use of Force Policy Briefing. [b] (7)(E) [ ] are responsible for instructing all SAs at least [b] (7)(E) [ ] on the policies and procedures relating to the use of force. When the use of force policy briefing is conducted, the [ ] will make a notation on the [b] (7)(E) [ ].

8. Certified [b] (7)(E) [ ]. All [b] (7)(E) [ ] are selected by their [b] (7)(E) [ ] and having successfully completed FLETC’s Firearms Instructor Training Program, or its equivalent training. Certified [b] (7)(E) [ ] are required to be re-certified every [b] (7)(E) [ ] from the date of his/her certification. [b] (7)(E) duties are as follows:

- issue OIG approved firearms;
- report to the SAC or ASAC the loss or theft of any firearm or ammunition;
- conduct [b] (7)(E) [ ] firearms qualifications and training;
- ensure that SAs qualify [b] (7)(E) [ ] with their issued firearms and is properly documented on the [b] (7)(E) [ ] (Figure 923-03);
- forwards a scanned copy of the [b] (7)(E) [ ];
- brief all SAs on firearms safety, techniques of shooting, and OIG policy concerning firearms use;
- brief SAs on OIG policy and procedure relating to incidents of firearms discharges;
- ensure that issued firearms are inspected [b] (7)(E) [ ] to determine serviceability;
- [b] (7)(E) [ ];
- distribute ammunition to SAs for qualification, training, and use on official duty;
- forward current ammunition inventory and projected ammunition requirements for the [b] (7)(E) [ ] to GSA-OIG headquarters prior to the [b] (7)(E) [ ];
- record qualification scores on the [b] (7)(E) [ ];
- report to SAC any unsafe practices, unusual behavior, failure to qualify, or unauthorized activity concerning the use of issued firearms;
- provide remedial training to any SA who does not qualify with his/her issued firearm; and
- ensure that each SA maintains his/her assigned firearm in a clean and properly operating condition at all times.

9. National Firearms Coordinator (NFC). The NFC is appointed by [b] (7)(E) [ ] and is assigned to Headquarters or a Regional Field Office. The NFC:

- is responsible for administering and overseeing the OIG Firearms Qualification and Training Program;
- provides instructional and administrative assistance to the [b] (7)(E) [ ] which includes the standardization of firearms training and reporting procedures;
is responsible for ensuring that firearms qualifications and training meet the standards approved by (b) (7)(E) and with the approval of (b) (7)(E) establishes the criteria for the certification and recertification of (b) (7)(E).

923.05B Defensive Tactics Training

1. Authority. OIG Special Agents are authorized to conduct investigations, make arrests, execute warrants, carry firearms, and perform enforcement and other duties as authorized by the Inspector General Act of 1978 (Public Law 95-452), as amended (in Public Law 100-504), and P.L. 107-296 as defined by the Attorney General's Guidelines for Offices of Inspectors General with Statutory Law Enforcement Authority.

2. Defensive Tactics Instructor (DTI). Defensive Tactics Instructors (DTIs) are selected by (b) (7)(E) and, having successfully completed a FLETC Defensive Tactics Instructor Training Program or its equivalent training. DTIs should be trained in cardiopulmonary resuscitation and basic first aid techniques. If possible, DTIs should also be trained as (b) (7)(E) instructors.

3. (b) (7)(E) Instructor (b) (7)(E) instructors (b) (7)(E) are selected by (b) (7)(E) and, having successfully completed training in the use of (b) (7)(E) by either a law enforcement agency or by an approved vendor that has established a law enforcement training program (b) (7)(E) will coordinate with DTIs to train SAs in the proper application of (b) (7)(E).

4. Defensive Tactics Training Program. The objective of the GSA-OIG Defensive Tactics Training Program (DTTP) is to provide SAs with the knowledge, skills, and tactics that will enable them to assess the threat and resistance level of an offender and respond with the correct level of force and control. The DTTP outline lists the skills/tactics that will be taught to SAs (Figure 923-08).

In consultation with (b) (7)(E) DTIs will schedule defensive tactics training and determine which techniques will be taught or refreshed. Defensive tactics training should be provided to SAs on a periodic basis necessary to meet the periodic refresher training requirements of the Attorney General's Guidelines for Offices of Inspectors General with Statutory Law Enforcement Authority (Figure 901-02).

DTIs, in consultation with GSA-OIG Firearms Instructors, are encouraged to include practical training scenarios in the training and to integrate defensive tactics concepts with (b) (7)(E) firearms training. Defensive tactics training should be conducted periodically in (b) (7)(E).

For each defensive tactics training session, DTIs will record (b) (7)(E) (Figure 923-09) (b) (7)(E)
DTls should forward completed forms to [Redacted]. DTls may excuse SAs from training based on evidence of illness or incapacitation; however, makeup dates should be scheduled. [Redacted] will evaluate the circumstances surrounding any SA who is physically unable to participate in defensive tactics training and determine whether that SA will continue to exercise law enforcement authority.

After consulting with the [Redacted], DTls will provide remedial training for SAs who need additional instruction.

5. Training Program Policy and Procedures. The objective of the GSA-OIG Training Program [Redacted] is to provide SAs with the information, methods, and techniques necessary to properly handle and utilize [Redacted]. The [Redacted] outline lists the skills and techniques that will be taught to SAs (Figure 923-10).

All GSA-OIG SAs are required to attend an approved [Redacted] training program. Under normal circumstances SAs will receive this training during basic law enforcement training at the Federal Law Enforcement Training Center. SAs new to the GSA-OIG who have not received [Redacted] training will be required to receive initial [Redacted] training from the GSA-OIG. During the initial [Redacted] SAs will be exposed to [Redacted] to experience its effects. [Redacted] will also schedule [Redacted] refresher training periodically. Refresher training will review the skills and techniques taught during the initial [Redacted] and may be conducted in conjunction with [Redacted] defensive tactics training sessions. SAs are not required to be further exposed to [Redacted] during refresher training.

For the initial [Redacted] and each refresher training session, [Redacted] will record on [Redacted] (Figure 923-11) [Redacted] should forward completed forms to their [Redacted].

6. Training. [Redacted] instructors must have successfully completed training in the use of [Redacted] from either a law enforcement agency or vendor who has an established law enforcement training program. [Redacted] instructors will coordinate with [Redacted] to train SAs in the proper use of a [Redacted] Figure 923-12 and Figure 923-13.

923.05C Other Required Field Training

Other required field training should include bloodborne pathogens, code of conduct, sexual harassment, agency authority/jurisdiction, physical fitness, ethics, and health assessment. In consultation with the OIG, SACs will schedule these training sessions.
923.05D Documentation of Field Training

The training session data for each SA should also be entered into the National Training Database.

923.05E National Training Coordinator (NTC)

The National Training Coordinator is appointed by the Headquarters and is assigned to Headquarters. Responsibilities of the NTC include:

- administration and oversight of the OIG training program for the Office of Investigations (OI);
- guidance and administrative assistance to the SACs regarding training requests. This should include periodically surveying SACs for training needs, coordinating training requests and scheduling with FLETC, the IG Academy or other vendors;
- maintenance of a master list of all FLETC and IG Academy scheduled training.
- As the training is completed, the NTC updates the SA's training record in the National Training Database.
- maintenance of a master file containing the memo notifications for all field training.

923.05F Injuries During Training

In the event a SA sustains an injury as a result of defensive tactics training, he/she should complete a Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation (CA-1). Completed CA-1's should be forwarded through the SAC to the AIGI.

923.06 Integrity Awareness Training for GSA Program Personnel

The purpose of Integrity Awareness Training is to heighten the sensitivity of GSA program personnel to issues of fraud, waste, abuse, and mismanagement, and to increase their knowledge of the OIG and its functions.

923.06A Policy on Briefings

Each regional office provides Integrity Awareness Briefings for regional employees as part of Agency-sponsored training and independently through on-site presentations.
SACs coordinate briefings with Regional Inspectors General for Auditing (RIGAs) and request audit participation.

Integrity Awareness Briefings shall be recorded in JI’s investigative case management system.

923.06B Procedures for Accomplishing Briefings

The procedures for implementing this program are as follows:

- On-site briefings are scheduled as needed.
- [b] (7)(E), in conjunction with GSA management, determines the size of the groups and the time allocated to these briefings.
- On-site briefings are conducted by [b] (7)(E) [b] (7)(E)
- The [b] (7)(E) [b] (7)(E) is invited to participate in all briefings.

The participation and support of the [b] (7)(E) [b] (7)(E) and other key program officials are sought in establishing, publicizing, and conducting briefings.

Effective Date 2/12/2014

924.00 GOVERNMENT OWNED VEHICLES

924.01 Purpose

This directive establishes the U.S. General Services Administration, Office of Inspector General (GSA-OIG), policy and procedures concerning Government Owned Vehicles (GOVs), which are those vehicles acquired by GSA-OIG through lease, purchase, or transfer from another agency.

924.02 Policy

GOVs will be assigned to investigative offices at the discretion of [b] (7)(E) [b] (7)(E) based on the needs of each office. [b] (7)(E) [b] (7)(E) will assign office personnel the responsibility for maintaining specific vehicles and preparing required vehicle reports.

924.03 Administrative Requirements
924.03A Registration

GOVs used for investigative fieldwork will be properly registered with a state Department of Motor Vehicles and will obtain a license plate from the state of registration. At the discretion of (b) (7)(E), a Government license plate may be displayed (e.g., on the dashboard) to facilitate parking. (b) (7)(E) The investigative office will maintain a copy of all registration documents. Each vehicle will be properly registered in the state in which the office is located or in an adjoining state when necessary or advisable. GSA leased vehicles will be registered and inspected in accordance with instructions from GSA Fleet Management Centers.

924.03B Tolls

SACs shall obtain nonrevenue toll passes (e.g., EZPass) for each GOV from the state. If non-revenue passes are not available, all tolls incurred during official use shall be reimbursed by GSA-OIG.

924.03C Assignments

(b) (7)(E) will be responsible for vehicle assignments. Continuing assignment of GOVs during normal duty hours is essential based on the responsibility inherent in criminal investigator positions and the fact that immediate use of transportation is absolutely essential to the accomplishment of the GSA-OIG mission.

(b) (7)(E) will ensure that the authorized size of their assigned vehicle fleet is appropriate for the number of employees. (b) (7)(E) will report any necessary fleet reductions or increases to headquarters. If the number of employees is more than the number of vehicles available, (b) (7)(E) will ensure that all employees have access to a vehicle to conduct their duties.

924.03D Motor Vehicle Control Officers

(b) (7)(E) shall appoint, in writing, the Motor Vehicle Control Officer for each location under his or her purview. The control officer will coordinate the necessary reports, repairs, and vehicle maintenance as necessary.

924.03E Authorized Drivers and Reporting Requirements

1. Supervisors will ensure that only drivers with valid licenses will operate GOVs.

2. If at any time a supervisor becomes aware of any physical, medical, legal, or other condition that might adversely affect an employee's ability to operate a motor vehicle, the supervisor will suspend that employee's privilege to operate a GOV and will notify
3. Any employee who receives a citation for a traffic violation while operating any GOV or receives a parking violation must report the citation to his or her immediate supervisor and the Motor Vehicle Control Officer.

4. Any employee who is cited, arrested, or otherwise charged with driving under the influence of drugs or alcohol, or driving while intoxicated while operating a GOV, must immediately report such action in writing to his/her immediate supervisor and the Motor Vehicle Control Officer. (b) (7)(E) will make written notification to (b) (7)(E) as soon as possible.

924.04 Use of GOVs

924.04A Authority

Federal statute (31 U.S.C. 1344), Federal regulations (41 C.F.R. 102-5 and 102-34), and GSA directive (ADM P 5620.1, dated September 12, 2005) require that the use of all government owned or leased motor vehicles be restricted to “official purposes” (as defined in section 921.04C of this subchapter) only. Use of government owned, leased, or rented vehicles in a matter for a purpose other than specified in law, regulation, or this directive is prohibited.

924.04B Adverse Personnel Action

Pursuant to 31 U.S.C. 1349(b), an officer or employee of the United States government willfully uses or authorizes the use of a GOV (except for an official purpose authorized by 31 U.S.C. 1344) or otherwise violates 31 U.S.C. 1344 shall be suspended without pay by the head of the agency. The officer or employee shall be suspended for at least , and when circumstances warrant, for a longer period or summarily removed from office.

924.04C Official Purposes

1. Official Use. GSA-OIG personnel shall use GOVs for official purposes only. An official purpose is considered to be use directly related to the fulfillment of the mission of GSA-OIG. This use includes, but is not necessarily limited to, all investigative related matters, as well as, official conferences and meetings, training, business, to and from physical fitness training, or approved home-to-work (HTW) (discussed and defined below) transportation.

2. Limitations on Use. Except for minor personal use, GOVs shall not be used for personal matters, recreation, or personal transportation. Minor personal use such as a brief stop normally not to exceed (b) (7)(E) while en route between duty assignments or during HTW travel (as provided below) is authorized. Use of a GOV is also authorized for going on a meal break from the office or site of official business.
3. Official Temporary Duty (TDY). GOVs may be used during TDY assignments, and may be used to obtain goods or services necessary to the health and well being of the employee. This includes, but is not limited to, travel in a GOV to obtain medical services, attend religious services, and to obtain goods and services at restaurants, barbershops, beauty shops, drugstores, laundries, and dry-cleaning establishments.

924.04D Parking

Vehicles normally will be parked in a secure area \(\text{(b) (7)(E)}\). Personnel incur the responsibility for ensuring that the vehicle is locked and parked in a secure area. Parking vehicles on a public street is generally considered secure. If available, \(\text{(b) (7)(E)}\) shall obtain local police parking permits (“placards”) for every GOV, and such permits shall only be used as directed by the issuing agency.

When SAs park government vehicles overnight or for extended periods of time, accountable and/or law enforcement sensitive government property of value should be removed from the vehicle. SAs can be held liable for the cost of any items not properly secured. \(\text{(b) (7)(E)}\).

924.04E Consumption of Alcoholic Beverages

OIG personnel shall not be under the influence of alcoholic beverages while operating a GOV.

924.04F Storage

Employees will ensure that unattended vehicles are properly secured and locked. Portable radios, technical equipment, cameras, and similar sensitive or costly equipment will not routinely be stored in GOVs. \(\text{(b) (7)(E)}\). Except in exigent circumstances or otherwise provided in this manual, firearms, evidence, or official funds should not be placed in any unattended vehicle.

924.04G Home-to-Work (HTW) Transportation

1. Authority. 31 U.S.C. 1344, as implemented in 41 C.F.R. 102-5 and GSA Order ADM P 5620.1, authorizes the use of HTW transportation by employees serving in positions essential to the safe and efficient performance of intelligence, counterintelligence, protective services, or criminal law enforcement duties. A one-time-only written request is required for the approval of the Administrator. GSA-OIG received such approval (Authorization Memorandum Figure 924-01).
Therefore, since the nature of a SA’s, including SAC and ASAC, work requires the ability to respond in a safe and timely manner 24 hours a day to conduct law enforcement activities, the use of GOVs is considered to be for official government business when driving from home to work and shall be deemed within the scope of official government duty. However, time during which the employee-operator uses HTW transportation shall not be considered when calculating core-duty hours nor Law Enforcement Availability Pay hours for that individual.

2. Policy. When called upon to conduct a law enforcement activity, each agent should have access to an assigned GOV. Agents are expected to respond to calls (b) (7)(E).

Use of GOV for transportation of SAs between their residence and place of employment is essential for the safe and efficient performance of criminal law enforcement duties by investigative personnel.

3. Definitions. The following definitions apply:

"Home" means the primary place where an employee resides and from which the employee commutes to his or her place of work. "Work" means any place within the accepted commuting area, as determined by GSA-OIG for the locality involved, where an employee performs his or her official duties, including official work requiring the employee's presence at various locations other than his or her regular place of work, official conferences and meetings, training, liaison, business, to and from physical fitness training during duty hours, etc. "Home-to-work" means home-to-work and work-to-home transportation.

4. Home-to-Work (HTW) Transportation Procedure. All GSA-OIG GOV operators must remain aware of the policies governing HTW transportation authority and acknowledge such through certification. (Figure 924-02).

924.04H Firearms

In addition to the policies and procedures relating to firearms provided by Section 902 of this manual, all SAs shall (b) (7)(E) and any other necessary law enforcement equipment when operating a GOV and travelling HTW, unless the agent is engaged in an approved operation where (b) (7)(E) or a waiver has been issued by (b) (7)(E).

924.04l Transporting Others

1. Non-GSA-OIG Personnel. SAs may transport persons who are not employed by GSA-OIG only under the following conditions:

- To transport employees of other federal agencies and non-federal employees conducting official business when it benefits the government;
• To transport persons in emergency or disaster situations while assisting persons with injuries or in pain, and preventing death or serious damage to persons or property;

• GOVs may be operated by a non-GSA-OIG employee only as part of a specific law enforcement-related event. Any use of a GOV by a non-GSA-OIG employee requires the approval of the [redacted], or, when anticipated in advance, by [redacted];

• The use of GSA-OIG controlled vehicles by informants is generally prohibited unless the [redacted] first approves the use or in a bona fide emergency; or

• Other non-federal law enforcement officers may operate GSA-OIG controlled vehicles when such use is in direct support of the GSA-OIG mission and is approved by the GSA-OIG or used in bona-fide emergency situations without prior approvals. All instances of emergency use without prior approval will be reported after the fact to the [redacted].

2. Family Members. No GSA-OIG employee shall transport members of his or her family, friends, or other persons who are not conducting official business in a GOV (except as provided above) unless approval is obtained from his/her [redacted].

924.04J Use of Other Federal Agency’s GOVs

Special Agents of GSA-OIG can operate another federal agency’s GOVs within the guidelines of that particular agency. Agents should familiarize themselves with the rules and regulations of that agency before driving the vehicle.

924.04K Vehicle Stops

(b) (7)(E) [redacted], it may be necessary to stop a vehicle in connection with exigent investigative circumstances (e.g., the arrest of a fugitive felon). In all cases prior to executing a vehicle stop, SAs should attempt to obtain assistance from [redacted]. GSA-OIG directives detailing arrest procedures should be followed when planning an arrest and executing an arrest warrant. (b) (7)(E) [redacted]. Since GSA-OIG personnel do not have actual control of the subject vehicle and its occupant(s), upon initiating the stop, caution must be exercised prior to the driver and/or passengers relinquishing control or occupancy of the subject vehicle.

924.04L Pursuits.

(b) (7)(E) [redacted]
Upon termination of such situation, the agent shall immediately notify their [b](7)(E) of the situation.

924.04M Use Of Emergency Response Equipment

Emergency response equipment may be used only during emergencies when quick response is essential, and it may not be used for non-emergencies such as to avoid traffic congestion.

Emergency lights may be used at the discretion of the agent operating the vehicle when it is deemed necessary to identify the vehicle as a law enforcement vehicle or to ensure the safety of agents or the public.

924.04N Operating Safety

1. Traffic Laws. All GOV operators are expected to operate motor vehicles in a defensive manner and obey all traffic laws and regulations. The safety of the public and the employee has higher priority than any “official purposes” or enforcement activity. Traffic and parking laws will not be violated, except in extraordinary circumstances.

2. Seatbelts. For personal safety, all occupants of GOVs have their seatbelts fastened whenever the vehicle is in motion. It is the responsibility of every GOV operator to ensure that all occupants fasten their seatbelts.

3. Vehicle Equipment. Each GOV will be equipped with at least the following items:

- Spare tire;
- Jack and lug wrench;
- [b](7)(E)
- First Aid kit;
- Flashlight;
• Emergency equipment or materials necessary for the climate in which the vehicle is operated, such as, snow shovels and tire chains in frigid climates, and emergency water in desert areas;

• Battery jumper cables;

• Accident forms (e.g., SF-91 & SF-94); and

• 4. Cellular Phone Use. GOV operators should become aware of state/local requirements concerning the use of cellular phones while driving. In many areas, it is illegal to talk on a cellular phone while driving. Unless it is an emergency, talking on the cellular phone while driving is discouraged. The use of hands free cellular phone equipment in GOVs should be considered.

924.05 Maintenance, Repairs, and Services

Supervisors will ensure that all GSA-OIG vehicles are maintained and used uniformly. Vehicles must be washed as frequently as necessary. Additionally, car windows should be cleaned and window-washing fluids replenished when necessary to ensure visibility. The GSA vehicle credit card can be used for payment of these services.

Maintenance of GOVs shall be performed in accordance with GSA instructions. All charges for routine maintenance (e.g., oil changes, tire repairs, etc.) shall be paid using the vehicle credit card. Emergency services or repairs should only be made after consulting with GSA fleet management services.

924.06 Administrative Control of Credit Cards

Accountability of GSA vehicle credit cards will be strictly maintained by each GOV operator to avoid loss and preclude the occurrence of unauthorized charges. and GSA Fleet will promptly be notified of all lost or stolen GSA credit cards.

924.07 Cash Purchases in Lieu of Credit Cards

Cash purchases of gasoline and emergency repairs in lieu of GSA credit card purchases will only be made in emergency situations, for example, a location where a vendor refuses to honor a government credit card or in instances where the use of a government credit card may compromise an investigation.

924.08 Accidents and Damage to Vehicles
924.08A Theft and Vandalism

Vandalism to, theft of, or theft from GOVs will be reported immediately and documented in a detailed memorandum to (D)(7)(E). (D)(7)(E) will notify the (and GSA for leased GOVs), as well as (D)(7)(E). A written report is required within (D)(7)(E) of the incident. A copy of this report will be provided to the (D)(7)(E). At the discretion of (D)(7)(E) or (D)(7)(E), an investigation may be initiated to determine the circumstances surrounding the incident. A finding of negligence on the part of the employee may result in disciplinary action.

924.08B Accidents

1. Procedures. The operator of the vehicle owned, leased, rented, or borrowed for official use by GSA-OIG, that is damaged or involved in an accident, will follow the procedures listed below. If the operator, due to injury, cannot perform these listed tasks, the senior agent at the scene will perform them.

- Ensure that injured persons are attended.
- (b) (7)(E)
- If possible, try to ensure that the vehicle(s) does not create a hazard.
- Notify a supervisor.
- Notify GSA Accident Management Center (b) (7)(E)
- Avoid discussions with or making statements to any witnesses or other parties to the accident regarding the cause or fault.
- The vehicle operator shall obtain and record information pertaining to the accident on Standard Form (SF) 91, Operator’s Report of Motor Vehicle Accident Report. The SF 91 should be furnished to the vehicle operator’s SAC within (D)(7)(E) of the accident. The vehicle operator shall also obtain the names, addresses, and telephone numbers of any witnesses and whenever possible, have witnesses complete Standard Form 94, Statement of Witness, and submit the completed SF 94 and other related information to his or her SAC.

2. Reporting Requirement. All accidents or damage involving GOVs will be reported promptly to the operator’s SAC. (D)(7)(E) will promptly notify (D)(7)(E). Copies of all accident reports will be provided to (b) (7)(E), who will forward them to other cognizant offices as necessary.

Notification will be immediate if any of the following conditions exist:
• Serious personal injury or death.

• An arrest, traffic citation, or detention of GSA-OIG operator.

• Any indication or allegation that GSA-OIG operator was operating the vehicle under the influence of alcohol or drugs, left the scene of the accident, or was operating the vehicle outside the scope of employment.

• Where there is a recognized potential for adverse publicity.

924.08C Injury to a Third Party or Damage to a Third Party’s Property

With respect to damages caused to a third party as a result of the operation of a vehicle by an OIG employee, who was determined not to be acting within the scope of their employment at the time of the accident or incident, the employee could be personally liable to the third party for any resulting damage or personal injury.

Effective Date 2/13/2014

925.00 EVIDENCE

925.01 Law of Evidence

In order to develop cases that will withstand legal scrutiny, Special Agents (SAs) need to be thoroughly familiar with the Federal guidelines concerning evidence. Because these Rules are subject to continuing change: (1) they are not summarized in this Manual; and (2) SAs must be careful and refer only to the most current version.

REFERENCES:

The following Federal guidelines govern the admissibility of evidence in Court:
Title 28, U.S.C., Federal Rules of Evidence (FRE)
Title 18, U.S.C., Federal Rules of Criminal Procedure

925.02 Evidence Determination

Evidence is the material from which inferences may be drawn as the basis for proof of the truth or falsity of a fact in issue. It is all the means by which any alleged matter of fact, the truth of which is submitted to investigation, is established or disproved. Evidence is testimony, writings, material objects, or other things presented to the senses that are offered to prove the existence or nonexistence of a fact. Evidence is any item that is seized, collected or surrendered to OIG Special Agents and that is deemed to be of evidentiary value in a potential prosecution in establishing the
elements of an offense, or the truth of the matter being investigated. To be admissible evidence must be relevant and legally obtained.

Standards for identification of evidence are as follows:

- The unique nature of OIG investigations requires a practical policy and feasible procedures for identifying, securing and handling evidence. The SA must provide reasonable security for the property while an evidentiary determination is being made to avoid any challenge to the authenticity of the property.

- As soon as an item is determined to be evidence it must be documented on the Evidence Custody Form (Figure 925-01). Appropriate protections must be provided to ensure the physical security of and to establish controlled access to the item(s). The SA assigned to an investigation must ensure that the receipt of any item into evidence is promptly and accurately documented and entered into the OIG Evidence room as soon as possible, in accordance with the procedures set forth in this chapter.

925.03 Receiving, Identifying, and Preserving Evidence

925.03A Chain of Custody

Chain of custody means the preservation, in original condition, of the instrument of a crime or any relevant writing or other evidence, by the successive custodians of the evidence. Maintaining chain of custody is extremely important to show the evidence is in the same condition as when it was obtained. The following paragraphs present OIG procedures designed to ensure that the chain of custody is fully maintained in receiving, identifying, and preserving evidence.

925.03B Receiving, Identifying, and Tagging Records and Documents

A Receipt for Property (Figure 925-02 or equivalent) is issued in every instance when a SA removes records or documents, either by agreement or legal process other than grand jury subpoena, from the premises of a principal or witness.
It should be noted that, unless required by specific instructions and/or special circumstances, receipts are not issued for records and documents obtained through the mail. In such cases, the correspondence requesting and providing the records and documents is normally sufficient documentation. However, if documents and records obtained through the mail (b) (7)(E) 925.03C Identifying and Tagging Seized Documentary Evidence

In order that a seized document may be admissible as evidence, the SA must prove that: (1) it is the same document that was seized; and (2) the document is in the same condition as when it was seized. Therefore, the SA identifies such documents as soon as they are seized.

Normally, the SA identifies the documents by the special agent. (b) (7)(E) 925.03D Identifying and Tagging Physical Evidence

Every piece of physical evidence must be identified as soon as practicable. (b) (7)(E) The SA then completes the identification.
The OIG preserves and controls documentary and physical evidence through a system involving (b) (7)(E).

1. (b) (7)(E) Each SA is responsible for ensuring the chain of custody and integrity of evidence collected during his/her assigned investigations. (b) (7)(E)

2. (b) (7)(E)

3. (b) (7)(E) As indicated above, the case agents (b) (7)(E)
925.04F Disposition of Evidence

When items are no longer of evidentiary value: (b) (7)(E)

When the evidentiary items are dangerous drugs, the SA consults the Drug Enforcement Administration about the disposition of the drugs. (b) (7)(E)

Under no circumstances are JI employees permitted to take possession of or use evidentiary items for personal purposes.

925.04 Grand Jury Evidence

Rule 6(e) of the Federal Rules of Criminal Procedure imposes strict obligations on SAs who are duly appointed agents of the grand jury to protect the secrecy of matters occurring before the grand jury. SAs who are working with grand jury materials are responsible for ensuring their confidentiality. SAs handling grand jury materials shall not disclose their content to any third party unless the SA is certain that the disclosure meets applicable legal standards. Whenever disclosure issues arise, the SA must seek clearance from the appropriate prosecuting attorney. SAs must seek the advice from the appropriate prosecuting attorney before disclosing grand jury material to anyone, including a civil government attorney. Refer to Section 910 for further information on handling and storing grand jury material.

Effective Date 2/13/2014

926.00 (b) (7)(E)

926.01 Purpose

This chapter will provide the policy and procedures which govern the use of information and data obtained through the (b) (7)(E)...

926.02 (b) (7)(E)

(b) (7)(E) compiles and maintains documented police information for use only by duly authorized law enforcement agencies. Office of Inspector General (OIG) Special Agents (SAs) are authorized access to (b) (7)(E) data only in connection with official OIG investigations.
Procedures relating to use of [redacted] data are as follows:

- (b) (7)(E) Access to [redacted] data is controlled by an [redacted]. The assigned to Office of Investigations (JI) is [redacted].

- Data Entries and Queries: Entries to and queries of the [redacted] are normally made through the [(b)(7)(E)]. When appropriate, entries and queries may also be made through [(b)(7)(E)]

926.03 Use of [redacted] Information

Any employee who purposely requests or uses such [redacted] information for improper purposes, including the unauthorized dissemination of such information, may be subject to disciplinary action up to and including termination (see section on discipline below).

926.03A Responsibility

The OIG (b) (7)(E) is responsible for ensuring that: (1) the policies for the use of (b) (7)(E) information are in place and all employees are aware of the responsibilities; (2) the system is operating according to applicable procedures; and (3) adequate records are maintained to document requests for information.

Employees who request (b) (7)(E) information must be authorized to do so and must ensure their requests are for authorized purposes. As part of this responsibility, the [redacted] will ensure that all employees who come into contact with (b) (7)(E) information are appropriately screened, trained, and supervised to ensure compliance with this policy and the applicable requirements.

926.03B Controls

The OIG [(b)(7)(E)] will ensure the OIG complies with security controls in the Security Policy. Controls to be followed within the OIG include the following:

1) The individuals who install and maintain the equipment and programs needed to access [redacted] data must be [redacted] of employment.
2) All personnel in contact with information will have appropriate background investigations, including an FBI review. Anyone with a felony conviction will not be granted access to information.

3) All telecommunications equipment, computers, and programs used to access information will be safeguarded and The is responsible for ensuring that physical, administrative, and technical security complies with the Security Policy.

4) All OIG employees authorized access to information will be responsible for safeguarding it and ensuring its proper disposition as defined in the Security Policy.

926.03C Requests for Information

All requests for computerized information, including inquiries, must be accompanied by a file number or other tracking number.

926.03D Guidelines on the Dissemination of Information Obtained From Computerized System

Dissemination of information obtained through these computerized systems is strictly controlled. Information about a particular individual may be subject to Privacy Act restrictions and Department of Justice (DOJ) regulations. OIG agents should be sensitive to the privacy interests that may be adversely affected if information that is not generally available to the public is improperly disclosed. OIG employees are responsible for notifying the OIG whenever they release outside the OIG any computer-derived information.

- Before information is disseminated, the agent disseminating the information must ensure: except to the extent necessary during an OIG criminal investigation or with the approval of the.

- information shall not be disseminated in connection with employment-related inquiries.

- information shall not be disseminated unless they are expressly authorized to receive such information (e.g., in connection with background investigations for criminal justice positions or criminal investigations conducted by the agency receiving the information).
926.03E Standards of Discipline

OIG personnel are responsible for following this policy and (b) (7)(E) operators are also responsible for following the policies which are set forth in the operating manual, including any updates issued by the (b) (7)(E). Any questions should be raised to the (b) (7)(E) before making an entry or inquiry.

1. System misuse. Misuse of this system will include, but not be limited to the following:

   • (b) (7)(E)

2. Disciplinary actions. Misuse will result in disciplinary action; the nature of the action will depend on the circumstances, and may include termination. Additionally, misuse of the system may result in criminal charges.

926.03F Dissemination of (b) (7)(E) Information Obtained From Other Sources

(b) (7)(E) information obtained from other sources is not subject to the above rules. For example, the following types of information generally may be disclosed outside the OIG as long as Privacy Act requirements are met.

   • Information obtained from court records or which is otherwise a matter of public record, including conviction and conviction-related data from court records of public judicial proceedings or published in court or administrative proceedings.

   • Records maintained by state departments of transportation or motor vehicles for the purpose of regulating drivers, pilots, or other operators license.

Effective Date 2/13/2014

927.00 PREAPPOINTMENT INVESTIGATIONS OF OFFICE OF INSPECTOR GENERAL APPLICANTS AND EMPLOYEES
927.01 General

This manual subchapter contains policies and procedures relating to preappointment investigations of OIG applicants and employees in the General Services Administration - Office of Inspector General (GSA-OIG).

(b) (7)(E) is responsible for the conduct of preappointment investigations. The GSA (b) (7)(E) is responsible for adjudicating completed preappointment investigations. The OIG (b) (7)(E) is responsible for initiating requests for preappointment investigations, for requesting Office of Personnel Management (OPM) Background Investigations, and for providing OPM with a copy of the OIG’s preappointment investigation through the GSA Security Office.

927.01A OIG Applicants for Noncritical-Sensitive Positions

The preappointment investigation for OIG applicants for Noncritical-Sensitive positions will cover the following information:

- and local police checks;
- telephonic check with FBI (birth date prior to 1956);
- credit record checks;
- verification of applicant’s most recent two years of employment;
- the last significant education and all claimed degrees; and
- any additional coverage, which may be requested by the OIG Security Manager, depending upon the position the applicant is to fill.

927.01B OIG Applicants for Critical-Sensitive Positions

Investigations for applicants for critical-sensitive positions also will include the following:

- conduct interviews with applicant’s supervisor and coworkers;
- neighborhood interviews; and
- reference interviews.

927.02 Procedures for Conducting Preappointment Investigations
927.02A Responsibilities

(b) (7)(E) is responsible for obtaining the applicant’s resume and the signed Authorization for Release of Information form (Figure 927-01). (b) (7)(E) are responsible for conducting the preappointment investigation. The procedures to be followed depend upon the sensitivity of the position the applicant is being hired for and whether the applicant is a JI applicant, a Non-JI applicant, a GS-14 or above, or a Summer or Temporary Hire.

The staff is responsible for:

• (b) (7)(E)

For OIG Applicants. Upon receipt of the (b) (7)(E) from a Central Office OIG official, the staff:

• (b) (7)(E)

(b) (7)(E) is responsible for:

• conducting pre-appointment investigations for all OIG applicants, excluding , which are completed by the staff; and
927.028 General Guidelines for Investigative Coverage

The following sections provide guidelines concerning investigative coverage in conducting preappointment investigations.

1. Objective. The overall objective of the preappointment investigation is to obtain information which will enable the hiring official to determine if the applicant is suitable for Federal employment. Due to the sensitive nature of duties performed in the OIG, certain basic information on which to base sound decisions on suitability is required.

2. Privacy Act Notification. Each person interviewed and each record custodian, with the exception of custodians of public records and frequently contacted (b) (7)(E) should be informed that all information they provide, including a (b) (7)(E) identity, may be disclosed to the subject of the investigation upon his or her request. If the interviewee specifically requests that his identity be kept confidential, the interviewee may be treated confidentially in accordance with established procedures.

Additionally, each such person should be notified of the statutory authority for collecting the information, the principal purpose for which it will be used, and any “routine uses” of the information. See 5 U.S.C. § 552a(e).
3. Safeguards Against Invasion of Privacy. Inquiries concerning an applicant shall be limited to matters relevant to a determination of suitability for a position in OIG. Federal regulations prohibit unwarranted invasion of privacy of applicants. The prohibitions of this regulation are applicable for all preappointment inquiries, with the following specific restriction warranting emphasis: Office of Investigation employees are not authorized to inquire about race, religion, national origin, sexual behavior, union membership, fraternal, or political affiliations, or the constitutionality or wisdom of legislative policies and procedures.

4. Information to be Developed. The following sections describe the areas of investigative coverage and information to be developed in conducting preappointment investigations for OIG applicants.

- Date and Place of Birth. Verification of the applicant's date and place of birth by official records is not necessary if this information can be corroborated by school, employment, or other records. Should a discrepancy be disclosed, the investigator should ask the applicant to exhibit his/her birth certificate or direct a letter of inquiry to the appropriate State Bureau of Vital Statistics for verification of the date and place of birth.

- Citizenship. Normally, citizenship will be verified through date and place of birth. If the applicant is foreign-born, or a naturalized U.S. citizen, citizenship will be verified through review of appropriate court records or Immigration and Naturalization Service district office records, or acceptable documentation. (Examples include United States Passport; Certified Birth Certificate; Consular Report of Birth; Naturalization Certificate; Certificate of Citizenship; U.S. Citizenship Identification Card; INS Form 1-197; and Military Discharge Form DD-214.)

- Physical and Mental Limitations. Review information which indicates a current or past physical or mental disability and report such information.

- Employment. For all Critical Sensitive positions and all JI applicants, verify the last two years of employment, including interviews with supervisors and work associates. For all other applicants in Non Critical positions, verify the last two years of employment; the hiring component staff will be responsible for conducting interview with supervisors. The following guidelines apply:

  - If this coverage is inadequate or if an applicant has had frequent changes of employment, verify/interview additional employers for at least a 3-year period.
If for any reason the applicant requests that his/her last employer not be interviewed, the official requesting the suitability inquiry will so state in the referral memorandum. However, the applicant will be advised that, after all other checks have been made, his/her last employer must be interviewed prior to completion of the inquiry.

If an applicant is a present or past Federal employee, review the applicant’s Official Personnel Folder and Department/Agency Security file and report derogatory information, employment, and other background data.

As applicable, review administrative files, OIG records, employment dates, and reasons for leaving.

- **Education.** Review academic and disciplinary records; verify all claimed degrees; check other school records, including the campus security office, for the last significant period of education. In the case of a recent graduate with little or no work history, interviews of teachers, counselors, and security officers are appropriate. Note: Prior to initiation of the inquiry, it should be determined that the applicant has signed a release(s) in order that all appropriate records may be expeditiously reviewed or obtained.

- **Police and Criminal Records.** Check [b](7)(E) and local police departments at places of residence, education and employment for the past two years. If results reveal arrest information without disposition(s) check appropriate court records.

- **Credit Records.** Report information on the applicant’s credit standing and financial responsibility as reflected from records of such sources as credit bureaus, merchants or other credit establishments. Questions of poor credit or financial irresponsibility must be resolved. Clear records should be reported as “Record Favorable.”

- **References** When appropriate, during interviews of references, attempt to corroborate periods of unemployment, self-employment and foreign travel not verified by records, in addition to the basic suitability coverage.

- **Neighborhood** Neighbors may know an applicant from a different perspective than an employer, coworkers or references. When appropriate, interviews with neighbors should also attempt to corroborate periods of unemployment, self-employment and foreign travel not verified by records, in addition to the basic suitability coverage.

5. **Adverse Information.** Adverse or potentially disqualifying information developed during the inquiry shall be brought immediately to the attention of the appropriate OIG hiring official and the OIG [b](7)(E). If the OIG hiring official
considers the adverse information disqualifying, terminate the pre-employment inquiry. The hiring official who makes the preliminary determination not to hire an applicant for cause must ensure that all applicable procedures are followed and that the applicant is notified. Additional inquiry may be necessary to resolve conflicting information. After all material matters have been fully resolved, a second contact with the applicant may be necessary. After these due process steps have been completed, the determination on whether to select the applicant should be made, and the applicant notified accordingly. This process must be documented by a memorandum to the file, with a copy to the [redacted]. These procedures should be followed in each case of this type. The information acquired up to the point of termination should be incorporated in a report together with the reasons for discontinuing the investigation.

Generally, circumstances described in any of the following three categories may result in the discontinuance of the investigation. Any such discontinuance will always be at the direction or with the approval of the [redacted] The [redacted] notifies the OIG [redacted] prior to the discontinuance.

- If, at any stage of an investigation, official notification is received to the effect that the applicant is no longer being considered, or that the applicant’s services have been terminated by a resignation or otherwise, the investigator should stop the inquiry and submit a report setting forth the results of such inquiries as have been completed. The report should also reflect the reason and authority for discontinuing the inquiry.

- If the investigator develops credible derogatory information that raises any question of loyalty to the Government of the United States, indicates subversive activity, indicates that the individual may have been or may be subject to coercion, influence, or pressure to act contrary to the interests of the national security, or is or has been involved in any criminal conduct, the investigation must be discontinued. A report containing all pertinent information is immediately forwarded to the [redacted].

**927.02C Format and Distribution of Letter Reports**

The SAC reports investigative results in the format shown in Figure 927-02, and forwards the letter report to JIB for processing at Central Office.

**Effective Date 6/26/2013**

**928.00 LAW ENFORCEMENT AVAILABILITY PAY** *(Formerly Section 403.00, which was updated July 12, 2006, and November 12, 2009)*
The Law Enforcement Availability Pay Act of 1994 provides that covered criminal investigators ("special agents") will receive availability pay to ensure their availability, based on the OIG's needs, for unscheduled duty in excess of a 40-hour workweek.


928.01 Definitions
1. Availability pay is generally 25 percent of the rate of basic pay for a special agent position on an annual basis and is a form of premium pay granted in the Law Enforcement Availability Pay Act of 1994. A special agent may be paid availability pay only to the extent that the payment does not cause the employee’s aggregate rate of pay for any pay period to exceed the lesser of 150 percent of the gross pay for GS-15, Step 1, or the rate payable for Level V of the Executive Schedule. Availability pay will be considered as part of basic pay for the purposes listed in 5 CFR § 550.186, e.g., for computing advances in pay under 5 USC § 5524a, severance pay, workers’ compensation, Thrift Savings Plan, retirement benefits, lump sum annual leave, and life insurance.

2. Available for work means that a special agent is generally and reasonably accessible to perform official duties outside of the agent’s basic workweek based on the needs of GSA OIG. A special agent cannot be credited as being “available for work” on non-regular workdays.

3. Unscheduled duty hours are those hours a special agent performs work or is available for work per this policy, which are not part of the 40 hours in the basic workweek or not regularly scheduled overtime hours. Specifically, for regular workdays, unscheduled duty hours may only consist of hours a special agent performs work or is available for work. For non-regular workdays, such as weekends, unscheduled duty hours may only consist of hours actually worked by a special agent.

4. Administrative work week means a period of 7 consecutive calendar days designated in advance by the head of an agency under 5 U.S.C. § 6101.

5. Basic work week for full-time employees means the 40-hour workweek.

6. Regular workday for the purpose of determining whether a special agent shall be paid availability pay means each day in the basic workweek during which the special agent works at least 4 hours. The following does not count towards the 4 hour work requirement: regularly scheduled overtime hours, unscheduled duty hours, hours attending officially approved training, official travel hours, approved leave with pay (e.g., annual, sick or administrative leave), or excused absences (e.g. court leave, holidays.
and inclement weather closures). (Excluding from regular workdays those days when a special agent does not work at least 4 hours ensures that a special agent is not penalized for spending duty time in management directed activities.) Official travel hours for this purpose is limited to those hours during which a special agent is engaged in officially ordered non-local travel away from the special agent’s official duty station. Any local travel, including while in travel status, is considered a part of a special agent’s regular workday.

928.02 General Rules

1. A special agent shall be eligible for availability pay if the annual average of unscheduled duty hours per regular workday is, or in the case of a newly hired special agent, is expected to be, equal to or greater than 2 hours. Unscheduled duty hours are defined in paragraph 3 of the definitions sections of these guidelines. Special agents must certify that they meet and/or expect to meet, as the case may be, this annual average requirement. (See paragraphs 2 and 3 below.) The annual average is computed as follows:

\[
\text{Average annual hours} = \frac{\text{total unscheduled duty hours}}{\text{total regular workdays}}
\]

2. A newly hired special agent must certify that they expect to meet the annual unscheduled duty requirements of these guidelines. A sample certification memorandum is shown as Attachment A. A newly hired special agent must certify that a newly hired special agent is expected to meet the annual unscheduled duty requirements of these guidelines. A sample certification memorandum is shown as Attachment D. The memorandum will authorize the payment of availability pay to the special agent.

3. Each special agent who is receiving availability pay must annually certify that he or she currently meets, and is expected to continue to meet during the upcoming year, the annual unscheduled duty requirements of these guidelines. A sample certification memorandum is shown as Attachment B.

In addition, each shall conduct an annual review and certification of qualification for availability pay, and report such to the by memo. The purpose of the memo is to certify the special agents who have met and are expected to continue to meet the requirements of these guidelines. The certification will be done on a basis and will be due to the . A sample certification memorandum is shown as Attachment E.

4. For various reasons, including personal situations, family hardships, or physical limitations, some special agents may not be able to perform official duties during unscheduled duty hours or generally be available for work to the extent required by these guidelines. A special agent, with approval, may opt out of the availability pay requirements at any time by signing a memorandum documenting this
request and his/her understanding that availability pay will not be paid during this period. This opt-out period is generally expected to be 3 months or more in duration.

The opt-out request memorandum will be directed to [b](7)[(E)] who will forward the request to the [310] for final approval. The [393] is the supervisor for any [393] who wishes to use this opt-out provision. A sample opt-out request memorandum is shown as Attachment C. The special agent will be placed back on availability pay only after he or she recertifies that he or she will be available. A new certification (Attachment A) is required.

The [b](7)[(E)] may, however, recall a special agent to full availability pay duty status at any time if the workload demands of the GSA OIG require that additional special agents be called on to perform unscheduled duty time.

5. Management may deny or cancel a special agent's LEAP certification at any time if due to changed circumstances (e.g., the avoidance of work or non-availability by the special agent) the special agent no longer is expected to meet the average 2 hours per day requirement. Any revocation of an originally valid certification will be made on a prospective basis and will result in the agent's removal from availability pay. A denial or cancellation by management of a certification constitutes an involuntary reduction in pay for the purpose of applying the adverse action procedures under 5 U.S.C. § 7512 and 5 C.F.R. Pt. 752. All such actions must be coordinated through the [b](7)[(E)]

6. Compensation, either by pay or compensatory time off, for unscheduled duty hours worked over the annual daily average requirement is not authorized.

7. All GSA OIG special agents (GS-5 through GS-15) who are receiving availability pay are exempt from the Fair Labor Standards Act.

8. To ensure that unscheduled duty hours are applied to the maximum practical extent for the work needs of the Office of Investigations and to facilitate required supervisory certification, unscheduled duty hours are generally hereby authorized without prior supervisory coordination. Special agents are responsible for recognizing, without supervision, circumstances that require them to be on duty or to be available for work outside of their basic workweek.

9. Special agents will continue to receive availability pay while on agency approved training, travel, and annual or sick leave so long as they meet the annual requirements for receiving availability pay set forth in 928.02, paragraph 1. Agents will also receive availability pay while on certain categories of excused absence, such as for relocation or while on military leave.

10. As noted previously, hours spent in training and on travel may not be counted against the special agent as a regular workday for the purpose of calculating a special agent's total regular workdays under this policy. However, hours spent in training and
on travel may count to the benefit of the special agent as unscheduled duty hours for the purpose of calculating an agent’s average annual hours under this policy in the following scenarios:

- Time spent in training beyond an agent’s scheduled tour of duty, whether on a regular workday or non-regular workday; or
- Pursuant to the “hours of employment” test in 5 U.S.C. 5542(b)(2), time spent in official travel status (i.e., approved, non-local travel) beyond an agent’s scheduled tour of duty, whether on a regular workday or non-regular workday, only when the travel:
  - Involves the performance of work while traveling;
  - Is incident to travel that involves the performance of work while traveling;
  - Is carried out under arduous conditions; or
  - Results from an event which could not be scheduled or controlled administratively, including travel by an employee to such an event and the return of such employee from such event to his or her official-duty station (e.g. non-agency initiated or scheduled events).

11. GSA OIG special agents normally will not be assigned regularly scheduled overtime; however, they will be assigned tasks which will likely require unscheduled duty. They will, because of their assignments, experience erratic and irregular periods of work, the nature and required duration of which cannot be ascertained in advance.

12. Since availability pay generally requires a special agent to be available at irregular hours to perform unscheduled work, this factor will be considered for all requests for approval of outside employment or other activities, and generally such requests will not be approved absent a showing by the special agent that such employment or activity will not interfere with his/her ability to be available. In addition, the GSA OIG may revoke the approval of an outside employment request if the workload demands of the office require such action.

13. Unscheduled duty hours will normally be self-initiated for direct labor activities, as defined in the User Guide, Time Reporting Information. It is expected that non-direct activities will occur during normal office business hours. Exceptions will be granted, however, with prior justification and supervisory coordination.

928.03 Reporting Requirements

1. Biweekly Reporting. The recording of unscheduled duty hours for annual availability pay purposes will be accomplished by entering the appropriate hours in the specified fields in the module. The module will automatically calculate a special agent’s LEAP hours every two weeks. Each special agent must maintain his/her time in and submit his/her electronic timesheet for approval. Since Saturdays and Sundays are not normal workdays, any availability pay hours generated on Saturdays
and Sundays will be entered under the column for that particular day. The [b](7)(E)

, is responsible for ensuring that special agents' reports of hours of unscheduled duty hours worked or available are accurate. [b](7)(E) should carefully review [b](7)(E) to ensure that time charged corresponds with the work during the period. Special agents will always report the actual number of unscheduled duty hours worked or available. [b](7)(E) hours will be reviewed by the [b](7)(E) or the [b](7)(E)

2. Approval of Availability Hours. [b](7)(E) will review and approve special agent availability hours in [b](7)(E) and verify that special agents are meeting the 2 hour average minimum of unscheduled duty hours per week. If for some reason a special agent’s annual cumulative daily average of unscheduled duty time falls below the minimum, the [b](7)(E) should advise the special agent that he/she is in danger of not meeting the annual qualification for availability pay. The [b](7)(E) and special agent must develop a plan to ensure that the special agent will meet the qualification for availability pay. Based on individual schedules, special agents may schedule their workday according to the needs of their respective schedules, so long as their unscheduled hours annually average two or more per day. (The [b](7)(E) supervisor for purposes of this section.)
## Appendix A – Report of Continuing Professional Education

### Office: JE  Fiscal Year: 20XX

<table>
<thead>
<tr>
<th>LAST NAME, FIRST NAME</th>
<th>Training Course Information</th>
<th>Planned</th>
<th>Received Training Form</th>
<th>Actual Training</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY</td>
<td>CSA</td>
<td>Gov't</td>
<td>Blue Book</td>
<td>Status</td>
</tr>
<tr>
<td>2014</td>
<td>Y</td>
<td>Y</td>
<td>C</td>
<td>11/20/2013</td>
</tr>
<tr>
<td>2014</td>
<td>Y</td>
<td>Y</td>
<td>C</td>
<td>5/22/2014</td>
</tr>
</tbody>
</table>

### SAMPLE - CPE Training Tracker

- **Office:** JE
- **Fiscal Year:** 20XX
- **Course Title:** CIGIE - Building a Better Report Process
- **City:** Washington, DC
- **Vendor:** CIGIE
- **CPE Cost:** $0
- **Travel:** yes
- **Actual CPE Cost:** $0
- **Actual Travel:** 3

- **Course Title:** Training on Fraud in the Government Sector
- **City:** Arlington, VA
- **Vendor:** George Mason University
- **CPE Cost:** $95
- **Travel:** 8
- **Actual CPE Cost:** $95
Independence – *In all matters relating to inspection work, the inspection organization and each individual inspection team member should be free in both fact and in appearance from personal, external, and organizational impairments to independence, and must avoid the appearance of such impairments to independence.*

**Personal Independence**
Personal impairments of staff members result from relationships and beliefs that might cause evaluators to limit the extent of an inquiry, limit disclosure, or weaken or slant findings in any way.

**External Independence**
Factors external to the OIG may interfere with an evaluator’s ability to form independent and objective opinions and conclusions.

**Organizational Independence**
OIG activities established by the Inspector General Act of 1978, as amended, derive organizational independence from the statutory safeguards to independence established by the Act. Office of Inspections and Forensic Auditing staff members file financial disclosure statements annually.

The inspection team discusses potential impairments each time a team member joins the inspection. Results of the discussions and the actions taken are summarized below:

<table>
<thead>
<tr>
<th>Staff Assigned</th>
<th>Potential Impairment</th>
<th>Record of Discussion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>Title</td>
<td>Yes</td>
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</tbody>
</table>

The inspection team has discussed the potential for impairments to independence related to this review and resulting work product. We do not reasonably foresee that this work will be affected by impairments to organizational independence in fact or appearance related to entities that are the subject of this inspection.

Team Lead: ___________________________ Date: ______________

=================================================================

I confirm that, to the best of my knowledge, these staff members do not possess any personal or external impairments related to the subject inspection product. Should factors change that jeopardize independence, the Director will attempt to remove the limitation and document the action taken. If the limitation cannot be removed, the reason will be documented.

Director, JE: ___________________________ Date: ______________

Clarification Notes (if applicable):
Statement of Independence

I acknowledge that I have neither personal nor external impairments that: (1) will keep me from objectively planning, conducting, or otherwise participating on my current assignment; (2) will affect the extent of my inquiry, limit disclosure, or alter findings in any way; or (3) will interfere with my ability to form independent and objective opinions and conclusions. I am responsible for promptly notifying my supervisor should my circumstances change and affect my personal and/or external independence.

_____________________________________
Assignment

_____________________________________
Signature

_____________________________________
Printed Name

_______________
Date
Management Decision Record for Inspections
(For additional information see GSA Order ADM P 2030.2D)

A. **Report Data:**

Report Number: ____________________________  Report Date: ________  Region: ________

Report Title: ____________________________

Total Number of Recommendations: ______  Number of Non-Monetary Recommendations: ______  Number of Monetary Recommendations (Fill in Below): ______

Dollars Reviewed: $ ____________________________

Questioned Costs: $ ____________________________  Total Amount: $ ________  Unsupported Amount: $ ________

Funds Put to Better Use: $ ____________________________  Total Amount: $ ________  Unsupported Amount: $ ________

B. **Management Decision:**

Due By: ____________________________

**Non-Monetary Recommendations:** A management decision is needed as follows:

If you agree with the non-monetary recommendations, initial here ______ , attach a management determination action plan.

If you disagree, in full or in part, with the non-monetary recommendations, initial here ______ , attach the basis for your disagreement and provide supporting materials.

**Monetary Recommendations:**

If you fully agree with the monetary recommendations, initial here ______ , attach a management determination and action plan.

If you fully disagree with the monetary recommendations, initial here ______ , attach the basis for your disagreement and provide supporting materials.

If you partially disagree with the monetary recommendations, initial below ______ to indicate whether you disagree with the Questioned Costs and/or Funds Put to Better Use, attach the basis for your disagreement and provide supporting materials.

Questioned Costs ________  Funds Put to Better Use ________

**Regional Management Decision:** ____________________________  Date: ____________________________

**HSSO Management Decision:** ____________________________  Date: ____________________________

(Send the management determination along with the signed Management Decision Record and action plan to the GAO/IG Audit Response Division (H1C) and the inspection manager. If applicable, attach the basis for your disagreement and provide supporting materials.)

C. **OIG Response to Management Decision:**

If you fully agree, initial here ______ , sign below, and send to JE and H1C.

If you fully disagree, initial here ______ or partially disagree, initial here ______ , sign below, and send to JE and H1C along with an explanation of your disagreement. If applicable, send a Form 3 to JE indicating a revised management decision amount.

OIG Signature: ____________________________  Date: ____________________________
Footnotes:

1 Questioned Costs pertain to recommendations that represent expended funds that the agency should seek to recover. The Unsupported Amount is the portion of the Total Amount that is not supported by adequate documentation.

2 Funds Put to Better Use pertain to recommendations that represent the avoidance of unnecessary future expenditures. The Unsupported Amount is the portion of the Total Amount that is not supported by adequate documentation.

3 Your initials represent agreement with the calculation of the reviewer’s Questioned Costs and/or Funds Put to Better Use, and your intent to either take action to recover the monies owed the Government or avoid the spending of unnecessary future expenditures.

4 Your initials represent full disagreement with the calculation of the reviewer’s Questioned Costs and/or Funds Put to Better Use, and your intent to explain the basis for your disagreement and provide supporting materials.

5 If you partially disagree with the monetary recommendation, complete the Management Decision Record with an explanation of your disagreement, and indicate whether you disagree with the Questioned Costs and/or Funds Put to Better Use.

6 Your initials represent full agreement with the Agency’s management decision and action plan.

7 Your initials and signature represent:
   (1) All avenues of communication were taken to discuss the issues of full disagreement or partial disagreement, and agreement could not be achieved.
   (2) This is the final position of the issues of full disagreement or partial disagreement.
Calculation of the Reviewer’s Questioned Costs and/or Funds Put to Better Use:
The calculation below is the review team’s estimate of the potential recoveries/savings based on the information that supported the report recommendations.