



# **Your Guide to**

# THE OFFICE OF INSPECTOR GENERAL

Corporation for National  
and Community Service

2008 Edition

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For More Information on the Office of Inspector General, Visit our Website at [www.cnscsig.gov](http://www.cnscsig.gov), Where You'll find:

#### Reports

- Semiannual Reports to Congress.
- Audit Reports, including Corporation Fiscal Year Financial Statements, audits of State commissions and grantees, and audits of agency operations.
- Testimony before Congress by the Inspector General.

#### News and Information

- Details on the OIG's Hotline fraud reporting program.
- "For Your Information (FYI)," the OIG's newsletter.
- Investigative news on the latest OIG cases.
- Special focus reports on criminal background checks and other key issues.
- Downloadable OIG brochures on fraud detection and prevention, and on the OIG audit process.
- "The Inspectors General Story," an online video presentation featuring Senator John Glenn.

#### The Basics

- How to contact the OIG.
- Profiles of key OIG staff.
- Links to Corporation and other websites.

**This Guide is published by the Office of Inspector General, Corporation for National and Community Service, solely for informational purposes. The Guide is not intended to, does not, and may not be relied upon to create any rights, substantive or procedural, enforceable at law or in equity by any party in any matter civil or criminal, nor does it place any limitations on otherwise lawful investigative or litigation prerogatives of the U.S. Department of Justice, or otherwise lawful investigative or audit prerogatives of the Office of Inspector General, Corporation for National and Community Service.**

# MISSION AND ORGANIZATION

## **Mission**

### **Statutory Basis**

The Office of Inspector General (OIG), Corporation for National and Community Service (Corporation), was established in 1993 under the National Community Service Trust Act as an independent and objective entity within the Corporation.

The statutory language of the Inspector General Act of 1978, as amended, describes the OIG's mission:

- Conducting and supervising audits and investigations relating to Corporation programs and operations;
- Providing leadership and coordination and recommending policies for activities designed to prevent and detect fraud, waste, and abuse, and to promote economy, efficiency and effectiveness in the administration of Corporation programs and operations; and
- Keeping the Corporation's Chief Executive Officer and Congress fully and currently informed about problems and deficiencies in programs and operations, as well as the need for implementing corrective action.

Other specific obligations under the Inspector General Act require the OIG to:

- Review and provide comments on existing and proposed policies and legislation;
- Coordinate with the Corporation, other Federal agencies, and other entities relating to promoting economy and efficiency and prevention and detection of fraud, waste and abuse in agency administered or financed programs or prosecution of participants in such abuse in Corporation programs and operations;
- Comply with Comptroller General audit standards;
- Report expeditiously to the Attorney General whenever the OIG has reasonable grounds to believe that there has been a violation of Federal criminal law; and
- Prepare and submit semiannual reports to Congress summarizing OIG activities not later than April 30 and October 31 of each year.

Further, the law also provides that, after the receipt of a complaint or information from any Corporation employee, the OIG shall not disclose the identity of an employee without their consent unless the OIG determines that it is unavoidable during the course of an investigation.

## **Authority**

The Inspector General Act gives the Inspector General the authority to:

- Have access to all Corporation documents and records;
- Subpoena documents;
- Administer oaths;
- Have direct and prompt access to the Chief Executive Officer;
- Select, appoint and employ OIG employees; and
- Enter into contracts and consultant agreements.

The Inspector General also has the authority to report immediately particularly serious or flagrant matters to the head of the Corporation, who must transmit this report to Congress within seven calendar days along with any responsive comments.

To read the full text of the Inspector General Act of 1978, as amended, visit the Internet home of the Inspectors General of the United States at [www.ignet.gov](http://www.ignet.gov).

## **Oversight**

### **The Council of Inspector General on Integrity and Efficiency (CIGIE)**

The CIGIE was statutorily established as an independent entity within the Executive Branch by The Inspector General Reform Act Of 2008. All Federal Executive Branch agency Inspectors General are members of CIGIE, which is executive chaired by the Deputy Director for Management of the Office of Management and Budget (OMB) and chaired by an Inspector General elected by his or her peers for a two-year term. CIGIE's oversight responsibility includes development of policies to support professionalism in Federal OIGs. As part of that oversight, CIGIE also addresses allegations against Inspectors General and certain staff members.

### **Allegations Against Inspectors General/OIG Staff**

Allegations against Inspectors General, and certain staff members of the OIGs, will be received by the Integrity Committee of CIGIE for its review and disposition. Allegations made against OIG staff will likewise be reviewed by CIGIE's Integrity Committee if, among other reasons, the staff member is alleged to have acted with the knowledge of the Inspector General (IG); or the allegation against the staff person is related to an allegation against the IG.

Further, any administrative allegation against a senior staff member will, on a case-by-case basis, be referred by the Inspector General to CIGIE's Integrity Committee when (1) review of the substance of the allegation cannot be assigned to an Executive Branch agency with appropriate jurisdiction over the matter and (2) the Inspector General determines that an objective internal investigation of the allegation, or the appearance thereof, is not feasible.

## **Organization**

### **The Inspector General**

The Inspector General Act created in certain departments and agencies designated by Congress, including the Corporation, an Office of Inspector General, the head of which shall be an Inspector General appointed by the President, with the advice and consent of the Senate. Inspectors General are selected without regard to political affiliation, and solely on the basis of integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis and evaluations, public administration, or investigations.

To ensure the independence of the OIG, the Inspector General reports to and is under the general supervision of the agency head (at the Corporation, the Chief Executive Officer). The Corporation's Inspector General may only be removed from office by the President, who must communicate reasons for the removal to both Houses of Congress.

By statute, the Inspector General oversees and is responsible for all OIG activities and operations. Other members of OIG management include:

### **Assistant Inspector General for Audit**

- Supervises the performance of auditing activities relating to Corporation programs and operations; and
- Advises and assists the Inspector General on all OIG audits and reviews.

### **Assistant Inspector General for Investigations**

- Supervises the performance of investigative activities and inquiries relating to Corporation programs and operations; and
- Advises and assists the Inspector General on all OIG investigations and inquiries.

### **Assistant Inspector General for Support**

- Provides overall management of administrative and operational support for OIG programs, including formulating and executing the OIG budget, administering the information technology program, and coordinating strategic planning activities, training, and procurement support; and
- Prepares the OIG's Semiannual Reports to Congress.

### **Counsel to the Office of Inspector General**

- Provides independent legal counsel and representation for the Inspector General and OIG;
- Advises and assists the Inspector General on all legal issues and serves as legal advisor to the OIG staff; and
- Coordinates and drafts commentary in regard to reviews of existing and proposed regulations, legislation, and implementation of agency directives.

# AUDITS

*The Office of the Inspector General helps improve Corporation operations and programs by providing Corporation management with timely and independent audits.*

## **What is an OIG Audit?**

An audit examines a Corporation program or activity, and recommends solutions to issues, if warranted. The OIG conducts both financial and performance audits. Financial audits include annual examinations of the Corporation's financial statements, as well as audits of costs incurred on grants and contracts, indirect costs, and internal controls. Financial statement audits determine whether the financial statements of an entity are fairly presented. Performance audits include economy and efficiency audits and program audits. Economy and efficiency audits assess whether entities are managed with regard for program and financial integrity, effectiveness measurement, and compliance with applicable laws, regulations and grant provisions. Program audits measure achievement of desired results or benefits.

OIG audit staff are required to meet the occupational requirements for the GS-511 Auditing Series. The basic requirements for this series include a degree in accounting or related field that is supplemented by 24 semester hours of college-level accounting courses; or a combination of education and experience with specific background requirements. Additionally, all staffers are required to meet the educational requirements required by the Government Auditing Standards (Yellow Book).

The OIG staff is supplemented with Certified Public Accounting firms that work under contract with the OIG and are monitored by OIG auditors. OIG contract auditors are further required to meet specialized requirements, including strict adherence to Federal conflict-of-interest regulations, provisions of the Privacy Act and professional standards set forth in the Government Accountability Office's Yellow Book.

All audits performed by OIG staff and contractors under their supervision are conducted in accordance with Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States.

## **What are the Major Areas Covered by OIG Audits?**

Audits focus on areas intended to enhance the management and overall performance of the Corporation, review the Corporation's oversight of the various National Service programs, and assess the Corporation's progress toward achieving its strategic goals. Typical audits include examinations of financial statements, adherence to Strengthen AmeriCorps Program Act provisions, the security of information systems, grants made by the Corporation, and other operational areas.

The OIG Audit Section also conducts performance audits, which take a broader view of Corporation programs and procedures and provide useful, timely and reliable information to Corporation management with the goal of effecting positive change. Performance audits combine the best features of various disciplines, including traditional program and financial evaluations, survey research, operational auditing, program monitoring, compliance reviews, and management analysis. These audits make extensive use of Corporation documents and data, and interviews with Corporation, grantee and subgrantee personnel.

## **How are Subjects for OIG Audits Selected?**

Auditing is a risk-based process where specific audits are determined by a range of factors. Each year the OIG Audit Section develops an Annual Audit Plan that identifies the audits scheduled for the coming year. The plan includes all legislatively mandated audits and a number of discretionary audits. Discretionary audit work is prioritized, based on a number of factors including:

- Areas of emphasis by the President, Congress, the Corporation's Chief Executive Officer, members of the Corporation's Board of Directors or other stakeholders;
- Issues that pose a threat to public health and safety;
- Programs or processes identified as susceptible to fraud, manipulation, or other irregularities;
- Newness, changed conditions, or sensitivities of program activities;
- Dollar amounts or personnel resources involved in the audit area; and
- Adequacy of internal controls.

While the OIG Annual Audit Plan allocates all resources for the coming year to specific audit assignments, it is a flexible document that will also incorporate high-priority assignments that may arise during the course of the year.

## **What are the Steps in the OIG Audit Process?**

All audits begin with objectives that initially determine the type and scope of the work to be performed. The following steps are used in each OIG audit:

- **Notification Letter:** The OIG will usually notify the auditee, or subject of the audit, in writing, prior to the scheduled start date of an audit; however, there are circumstances where no advance notification will be provided.
- **Survey:** Early in the process, the auditors gain an understanding of the program by obtaining background information on the auditee's mission, resources, responsibilities, key personnel, operating systems and controls.
- **Developing the Audit Program:** The program provides a plan of the work to be done during the audit and is a set of procedures specifically designed for each audit. The program also assists in assigning and distributing work

to auditors working on the engagement, assists in controlling the work, and provides a checklist to guard against the omission of necessary procedures.

- **Entrance Conference:** Held at the beginning of each audit, its purpose is to provide auditee management with information on the function or activity being reviewed, and a description of the audit scope and objectives. Other areas covered include time frames for completing the audit; access to required records, information and personnel; and introduction of the audit team members. The entrance conference also provides a forum to answer questions about the audit process and establishes lines of communication among all parties.
- **Fieldwork:** This phase consists of applying the audit procedures described in the audit program and any modifications thereto, and reviewing the work performed. The review documents that audit procedures have been properly applied, that the work is satisfactory, that working papers are complete and adequate, and that all procedures have been completed.
- **Exit Conference:** This is conducted at the end of audit fieldwork. The OIG may provide a draft copy of the audit report to Corporation and auditee officials before the exit conference to facilitate a full and open discussion of the audit's findings and recommendations. It also provides Corporation and auditee officials with an opportunity to confirm information, ask questions, and provide clarifying data.
- **Draft Report:** After fieldwork is completed, a Draft Audit Report is prepared. This report will normally be issued to auditee and Corporation officials with a request that they provide written comments within 30 days. The Draft Audit Report is a "work-in-progress" and is not a public document.
- **Final Report:** At the end of the 30-day response period, and after reviewing and assessing the auditee's and Corporation's written responses to the Draft Audit Report, the OIG issues the Final Audit Report for resolution of the recommendations. The Final Audit Report aims to provide a fair, complete and accurate picture of the audited area at the time the audit took place. This report usually includes a description of the scope, objectives, and methodology of the audit, a statement that the audit was conducted in accordance with generally accepted government auditing standards, and a description of the findings and recommendations for corrective action. It also includes, as appendices, the written responses to the Draft Audit Report by Corporation and auditee officials.

## **What is the Audit Resolution Process?**

This is the process by which:

- The OIG and Corporation management agree on proposed corrective actions needed; and
- Corporation management takes action to improve operations or correct deficiencies identified in the Final Audit Report.

The resolution process, as established under Corporation Policy No. 101, tracks management's corrective actions until they are completed and the recommendation is closed. Corporation management must inform the OIG of its Proposed Management Decision, or plan for corrective action, within 180 days of the issuance of a Final Audit Report. Management's Notice of Final Action, indicating that all corrective actions have been taken, is due to the OIG within one year of the issuance of the Final Audit Report.

## **What Communication Takes Place During an OIG Audit?**

Communication is the key to successful completion of an OIG audit. The goal is to ensure that no unforeseen or potentially divisive issues arise during the exit conference. All issues should be disclosed and discussed prior to the exit conference. Communication begins with audit notification and does not end until the audit is resolved.

Audit communication may be informal or, if required, formal briefings may be held concerning significant issues. Communication between auditee management and the auditors during fieldwork helps the auditor understand facts and circumstances and, when applicable, clear up misunderstandings. Also during fieldwork, auditors can present initial findings, auditee management can provide additional documentation, and corrective actions can be taken. The exit conference, which includes a presentation of the audit findings, is also an opportunity to obtain auditee management's comments on the findings. Auditee management's input is important to ensure that OIG audit findings are presented fairly, that audit recommendations are reasonable and feasible, and that any errors or misrepresentations are corrected.

## **What if the OIG and Corporation Management Disagree on a Recommended Course of Action?**

When the OIG determines that a Corporation response is unsatisfactory, the Inspector General requests intervention by the Corporation's Chief Executive Officer. If the disagreement involves a significant issue, the Inspector General can also seek Congressional intervention.

## **What Types of Audit Reports are Issued?**

Audit reports are prepared in two stages. Stage one is the Draft Audit Report, which is prepared after fieldwork is completed and is normally issued only to

the auditee and Corporation management, with a request that both parties provide written comments within 30 days. Stage two is the Final Audit Report, which includes the Corporation and auditee responses. The Final Audit Report aims to provide a fair, complete and accurate picture of the audited area at the time the audit took place.

### **Who Gets Copies of Final Audit Reports?**

Reports that are legislatively mandated are distributed in accordance with legislated requirements. These reports include the Corporation's Fiscal Year Financial Statements Report. Other reports are generally distributed to the auditee and the Corporation. Most reports are accessible to the public at the OIG website: [www.cnctsig.gov](http://www.cnctsig.gov).

# INVESTIGATIONS

*The Office of Inspector General supports integrity and efficiency in Corporation programs by providing timely, objective, and independent investigative reports.*

## **What is an OIG Investigation?**

An investigation is a planned, systematic search for relevant, objective evidence derived from individuals, documents, tangible objects, and data. In addition to documentation of evidence discovered, an investigation typically includes identifying the basis for the original complaint, the issues involved, and citation of relevant statutes.

## **What does the OIG Investigate?**

The jurisdiction of the OIG extends to all matters relating to fraud, waste, and abuse by Corporation employees, grantees, contractors, and other recipients of funds under or relating to Corporation programs and operations. Investigations focus on violations of law or misconduct by employees and contractors, as well as allegations of irregularities or abuse in programs and operations. These investigations may involve one or more of the following violations of laws or regulations:

- Theft, conversion, misappropriation, embezzlement, or misuse of Government funds or property;
- False claims or statements;
- Forgery, falsification, or unauthorized destruction of Government records;
- Bribery, extortion, or blackmail or attempted bribery or blackmail of, or by, a Corporation employee;
- Violation of employee standards of conduct, conflict of interest; and
- Mismanagement, fraud, waste of Government funds, or abuse of authority relating to the Corporation's programs and operations.

## **How is an OIG Investigation Initiated?**

The first step in the course of an investigation is usually receipt of a complaint of wrongdoing, or an allegation. Allegations are received from Corporation employees, other Government employees, grantee and subgrantee employees and volunteers, contractors, Congress, citizens, and public interest groups.

## **What is the Hotline Program?**

The Hotline Program is and can be a confidential means of reporting suspicious activity to the OIG concerning agency programs and operations. Suspicious activity may include instances of fraud, waste, and abuse, mismanagement, or a danger to the public's health and safety.

No attempts are made to identify persons contacting the Hotline. Persons may contact the OIG by telephone, e-mail or surface mail. There is no caller identification feature associated with calling the Hotline. Other than the e-mail address appearing in the "from" section, no identifying information is captured when persons submit an e-mail. Contacts may provide their name, address, or phone number, if they wish. Providing this information will allow the OIG to contact the individual in case additional information is needed.

The Office of Inspector General hotline number is **(800) 452-8210**. The Hotline e-mail address is [Hotline@cncsoig.gov](mailto:Hotline@cncsoig.gov).

### **What are the Guidelines for an Investigation?**

Once an allegation is received, an analysis is conducted to determine whether OIG action is warranted and, if so, what type of action is needed. The OIG considers the following factors in evaluating a complaint:

- The plausibility that a violation of a statute or regulation under OIG jurisdiction has been committed;
- The presence of indicators that the matter may significantly affect public health and safety;
- The effect of the alleged illegal or improper activity on Corporation programs;
- Whether the matter is of interest to senior Corporation managers, one or more Congressional committees, or a public interest group;
- The level of the position of individuals against whom the allegations have been made (allegations of wrongdoing by high-ranking Corporation officials are of heightened concern); and
- The effect knowledge of the investigation may have by deterring others who may consider committing similar illegal or improper acts.

If an OIG investigation is not initiated in response to a complaint but does require additional action, the matter may be referred to Corporation management. Referral to Corporation management may occur in cases where an allegation reflects issues or facts indicating a performance matter or that a technical inquiry is warranted. It is expected that the cognizant Corporation management will examine the facts of the matter and take appropriate action. This action is to be reported by the Corporation to the OIG, as is any discovery of additional facts indicating more serious allegations.

Referral to another law enforcement agency or another Federal agency OIG occurs when the matter is outside the OIG's jurisdiction. Allegations not warranting immediate action may be retained for use as the basis for inquiries or audits.

## **What is the Investigative Process?**

Since the goal of an investigation is to obtain all available information on the matter or matters alleged, the procedures employed in the investigative process focus on obtaining relevant facts so as to address all aspects of a complaint.

Investigative activities can include examination of documents, such as files, contracts, vouchers, reports, and memoranda. Investigators also obtain information by interviewing witnesses, subject matter experts, and the individuals against whom the allegations have been made.

Information obtained is documented in records of interviews and written statements sworn under oath.

After all relevant information has been gathered, an investigative report is prepared. When there is evidence of Federal criminal wrongdoing, the report is presented to the Department of Justice (DOJ) for use in prosecution in Federal Court. Violations of other statutes are coordinated with State and local prosecutors.

If the investigation shows evidence of an administrative offense, the information will be provided to Corporation management for action. Corporation management is requested to advise the OIG of the action taken, and such action is incorporated into the investigative case file.

## **What Access does the OIG have to Documents?**

- **Within the Corporation:** Section 6 of the Inspector General Act provides specific authority for the OIG to have access to, and to obtain, all records, reports, audits, reviews, recommendations and other materials that relate to Corporation programs and operations.
- **Subpoena Authority:** This section of the Act also authorizes the OIG to issue subpoenas to obtain documents from outside the Federal Government. Access to financial records is authorized under the provision of the Right to Financial Privacy Act.

## **What Access does the OIG have to Individuals?**

Corporation personnel, as well as AmeriCorps members, volunteers and employees of grantees, subgrantees and contractors, mainly participate in OIG investigations by providing information to investigators in interviews. A majority of persons voluntarily consent to interviews and fully cooperate by supplying information and documents within their control. Federal employees who do not voluntarily consent may be ordered by a supervisor to appear for an interview with an OIG investigator. Federal employees who fail to comply with such an order are subject to disciplinary action. False statements made in the

course of an OIG investigation are subject to criminal and administrative penalties.

## **What Employee Rights and Warnings Cover Interviewees?**

Office of Inspector General interviews are conducted in compliance with applicable laws, regulations and policies. Before beginning an interview, OIG investigators identify themselves and state the nature and purpose of the interview.

When applicable, a statement of the individual's alternatives with regard to remaining silent and obtaining legal counsel are provided directly and personally to each interviewee. Statements of rights are referred to as "warnings." There are four basic types of warnings, commonly referred to as: Miranda, Garrity, Kalkines, and Administrative. The substance of each is summarized as follows:

1. **Miranda:** Given when an individual is being interviewed concerning his or her own potentially criminal misconduct and is taken into custody or deprived of freedom in a significant way. This warning advises, in accordance with the Fifth and Sixth Amendments to the Constitution, that the individual is entitled to remain silent or otherwise not incriminate himself or herself, and is entitled to the assistance of an attorney.
2. **Garrity:** Informs Federal employees who are subjects of investigations that, although they would normally be expected to answer questions regarding their official duties, refusal to answer on the ground that the answers may tend to incriminate them will not subject them to dismissal.
3. **Kalkines:** Advises Federal employees that the possibility of criminal prosecution has been removed, usually by a declination to prosecute by the Department of Justice, and that the employee is required to answer questions relating to the performance of their official duties or be subject to disciplinary action, including dismissal.
4. **Administrative:** Given when a Federal employee is the subject of an inquiry that is purely administrative in nature. Informs the employee that he or she is required to answer questions relating to the performance of their official duties or be subject to disciplinary actions, including dismissal.

## **Legal Representation**

Office of Inspector General policy is to allow an interviewed employee who requests legal representation to have an attorney present. Employees who make such a request are allowed a reasonable amount of time to arrange this representation. Legal representation is at the expense of the individual employee or as allowed by law.

## **Bargaining Unit Employees — Union Representation**

The Office of Inspector General is not obligated to advise an employee of their right to union representation during an interview. Bargaining unit employees have the right to union representation during OIG interviews if the employee reasonably believes that the examination may result in disciplinary action against them and the employee requests representation. Even an employee who is not considered a "subject" of an investigation has the right to union representation if the employee reasonably believes there is a possibility of disciplinary action. It is the individual employee's responsibility to obtain Union representation. Employees are given a reasonable amount of time to arrange for union representation.

### **Union Representative Role**

The union representative's role during an OIG interview includes conferring with the employee, clarifying matters and advising on union issues. The OIG investigator is responsible for conducting and controlling the interview. In the event of a dispute, the OIG investigator may give the employee the choice of proceeding without union representation or terminating the interview.

### **Who Should Report Allegations?**

All Corporation employees, AmeriCorps members, volunteers and employees of grantees, subgrantees and contractors are required to support and cooperate with OIG investigative efforts.

### **Why Report Wrongdoing?**

All Government employees are required to report wrongdoing. Corporation employees and other persons directly involved in Corporation programs are in the best position to observe wrongdoing and have the expertise to assess wrongful actions and their consequences. Also, under Federal Law and Executive Order, all Government employees are required to report violations.

### **How can Wrongdoing be Reported?**

Report any indications of fraud, waste, abuse of authority, mismanagement, or other wrongdoing directly to the OIG or through your supervisor. Managers and supervisors are responsible for ensuring that allegations of wrongdoing they receive are promptly reported to the OIG.

Reports can be made by:

- Contacting the OIG directly by telephone at **(202) 606-9390**
- Calling the OIG-HOTLINE at **(800) 452-8210**
- Submitting an e-mail to [Hotline@cncsoig.gov](mailto:Hotline@cncsoig.gov)
- Writing to:

**Office of Inspector General  
Corporation for National and Community Service  
1201 New York Avenue, NW, Suite 830  
Washington, DC 20525**

## **What Kinds of Information Should be Reported?**

The information you provide to the OIG should be sufficient to allow evaluation of your complaint and determine if action by the OIG is warranted or referral should be made to another agency, to Corporation management, or to some other office for their action. Among the key items to be reported are:

- Contract and procurement irregularities
- Conflicts of interest
- Theft and misuse of property
- Travel fraud
- Misconduct
- Time and attendance abuse
- Misuse of Government credit card
- Abuse of authority
- Program mismanagement
- Misuse of information technology resources
- Waste of Government supplies or services

The following information should be provided:

- A brief, accurate statement of facts believed to provide evidence of wrongdoing;
- Names, addresses, and office locations of pertinent individuals and organizations;
- Dates when the suspected wrongdoing took place or is expected to occur;
- How you became aware of the information;
- Memoranda, contracts, invoices, or other related documents; and
- Names, addresses, office locations, and telephone numbers of others who may have information about the suspected wrongdoing.

Employees who report suspected misconduct should not engage in any independent inquiry or investigation and should not discuss the matter with the persons suspected of wrongdoing. After the initial contact with the OIG, employees should provide the OIG with any new or additional information of which they become aware.

## **How am I Protected if I Report Wrongdoing to the OIG?**

You may anonymously make an allegation or request that your identity be kept confidential. If you choose to identify yourself, the Inspector General Act provides that your name will not be revealed unless the OIG determines that the disclosure is unavoidable.

Reprisal and retaliation for reporting wrongdoing is prohibited by Federal law and regulations, and no action may be taken against you for having complained

or disclosed information to the OIG. However, individuals may be subject to disciplinary or criminal action for knowingly making a false complaint or providing false information to the OIG.

### **What Investigative Products are Produced by the OIG?**

- **Report of Investigation:** A Report of Investigation relates facts and describes available evidence to address relevant aspects of an allegation against individuals, including aspects of an allegation that are not substantiated. Investigative reports do not contain recommendations to Corporation management as to disciplinary action. Investigative reports are given only to individuals who have a “need to know” in order to properly determine whether agency action is warranted. If administrative or disciplinary action is deemed appropriate, Corporation managers consult with the Office of Human Resources and the Office of the General Counsel for guidance in initiating discipline. The agency is expected to advise the OIG within 90 days of receiving the investigative report as to what disciplinary or other action has been taken in response to investigative report findings.
- **Letter to Management:** When the OIG observes that an issue identified is a recurring or systemic problem, or one reported in other OIG products, a letter is used to identify the problem to Corporation management in this broader context. The Corporation is requested to report to the OIG on managerial actions taken in response to the problems identified.
- **Consideration for Debarment:** If an OIG investigation leads to the conviction of an investigative target or reveals evidence of other criminal actions by that individual, the OIG may request that the Corporation consider debarring or suspending that individual from participation in Federal procurement and non-procurement programs. The decision on whether to debar or suspend an individual, and the length of any debarment or suspension, rests with the Corporation’s debarment official. The Corporation is also requested to notify the OIG of all debarment or suspension decisions.

### **How are Investigative Reports Distributed?**

Reports of Investigation are sensitive documents. Their distribution is restricted by the Privacy Act and is subject to Freedom of Information Act exemptions as law enforcement documents.

When an investigation is completed, copies of the investigative report and associated exhibits are forwarded, as appropriate, to the Chief Operating Officer, the Chief Financial Officer, the Chief Executive Officer and members of the Corporation’s Board of Directors. Corporation officials provide copies of the report to managers whose official duties present a “need to know” in connection with a particular case. As appropriate, copies of reports may be provided to Congressional Committees.

# REGULATORY REVIEW

## **What is Regulatory Review?**

Regulatory Review is the examination of existing and proposed legislation, regulations, and policies that assists the Corporation in preventing and detecting fraud, waste, and abuse in its programs and operations. Regulatory comments are provided to document OIG's objective analysis of vulnerabilities created within agency programs and operations by proposed or existing statutes, regulations, or policies. Comments cite the Inspector General Act as authority for the review; state the specific law, regulation, management directive or policy examined; the pertinent background information considered; and identify OIG concerns, observations, and suggestions.

## **What Process is used to Perform a Regulatory Review?**

All proposed revisions to legislation, regulations, directives, policy initiatives and other significant matters that affect the Corporation's programs and functions are forwarded in draft by Corporation managers. The OIG reviews the draft documents and if applicable, responds with comments that identify concerns and provide recommendations. Significant regulatory observations regarding action or inaction by the Corporation are reported by the OIG in its Semiannual Report to Congress.

## **How are Regulatory Review Reports Distributed?**

Regulatory commentaries are normally sent to the Corporation management and are intended only for internal use.

# SEMIANNUAL REPORT TO CONGRESS

## **What is the Semiannual Report?**

In accordance with requirements of the Inspector General Act, the Semiannual Report to Congress is a document prepared by the OIG that summarizes OIG activities for six-month periods ending March 31 and September 30. It is submitted to the Corporation's Chief Executive Officer no later than April 30 and October 31 of each year.

Corporation management may comment on the semiannual report, but may not change it. Within 30 days of receipt, the Chief Executive Officer must submit the Semiannual Report, along with the Corporation's comments, to Congress and members of the Corporation's Board of Directors.

## **What Information Must be Included in the Report?**

The reporting requirements for the Semiannual Report to Congress are contained in Section 5 of the Inspector General Act. Additional guidance has been provided by the PCIE and OMB. Items normally included in the report are:

- Descriptions of significant problems, abuses, and deficiencies relating to the administration of the Corporation's programs and operation;
- Descriptions of audit recommendations for corrective action;
- Identifications of audit recommendations described in previous semiannual reports for which the agency has not completed corrective action;
- Summaries of matters referred to prosecutive authorities and the results of those prosecutions;
- Selected regulatory commentary summaries and agency responses;
- Statistical tables demonstrating the dollar results of OIG audits performed during the reporting period.

## **How are Semiannual Reports Distributed?**

On the 10th business day following its transmittal to Congress by the Corporation, the Semiannual Report is published on the OIG's public website [www.cnctsig.gov](http://www.cnctsig.gov) (in the "Reports" section).

# FREEDOM OF INFORMATION AND PRIVACY ACTS

## **How Can Freedom of Information Act (FOIA) Requests Be Made?**

FOIA requests may be made by mail or fax to the following:

### **FOIA Officer**

**Corporation for National and Community Service**

**1201 New York Avenue, NW, Suite 10600**

**Washington, DC 20525**

**Fax: 202-606-3467**

Requests for OIG documents must adequately describe the records sought. Requests for information protected by the Privacy Act must include a written release, with sufficient information concerning identity, from the person about whom the record is concerned.

The OIG makes the initial determination on whether to release or withhold records under its control that have been requested under the Freedom of Information Act 5 U.S.C. § 552 and the Privacy Act 5 U.S.C. § 552a. These statutes provide the OIG with broad denial authority under exemptions that protect criminal investigative and privacy interests. Disclosure of investigative documents is normally very limited. The Inspector General acts as the initial denial authority for OIG documents. Administrative appeal may be made to the Corporation's Chief Operating Officer.

**CORPORATION FOR NATIONAL AND  
COMMUNITY SERVICE**

**OFFICE OF INSPECTOR GENERAL**

**Hotline**



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- ◆ You may remain anonymous.

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[hotline@cncsoig.gov](mailto:hotline@cncsoig.gov)

Visit our web page:  
[www.cncsig.gov](http://www.cncsig.gov)

Or write:

**OIG HOTLINE**  
Corporation for National and Community Service  
1201 New York Avenue NW, Suite 830  
Washington, DC 20525