

Department of the Interior Departmental Manual

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Series: Organization

Part 110: Office of the Secretary

Chapter 4: Office of Inspector General

Originating Office: Office of Inspector General

110 DM 4

4.1 General. This chapter provides the authorities, responsibilities, and organizational description for the Office of Inspector General (OIG).

4.2 Authority. The OIG was established by the Inspector General Act of 1978, as amended 5 U.S.C.A. App.3, (the IG Act.) Pursuant to Section 9(a)(1)(H) of the IG Act, the functions, powers, and duties of the former Office of Audit and Investigation were transferred to the OIG upon establishment.

A. The purpose of the IG Act is to create an independent and objective unit to:

(1) Conduct and supervise audits and investigations relating to programs and operations of the Department of the Interior (DOI or the Department) (Sec. 2(l) of the IG Act);

(2) Provide leadership and coordination and recommend policies for activities designed (1) to promote economy, efficiency, and effectiveness in the administration of, and (2) to prevent and detect fraud and abuse in such programs and operations (Sec. 2(2) of the IG Act); and

(3) Provide a means for keeping the Secretary of the Interior and the Congress fully and currently informed about problems and deficiencies relating to the administration of such programs and operations and the necessity for and progress of corrective action (Sec. 2(3) of the IG Act).

B. Under the IG Act, the OIG is authorized to:

(1) Have access to all records, reports, audits, reviews, documents, papers, recommendations, or other material available to the Department relating to its programs and operations (Sec. 6(a)(1) of the IG Act);

(2) Make such investigations and reports relating to the administration of the programs and operations of the Department as are, in the judgment of the Inspector General, necessary or desirable (Sec. 6(a)(2) of the IG Act);

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(3) Request such information or assistance as may be necessary for carrying out the Inspector General's duties and responsibilities from any Federal, State, or local governmental agency or unit thereof (Sec. 6(a)(3) of the IG Act);

(4) Require by subpoena the production of all information, including, but not limited to, those in electronic media, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions assigned by the IG Act, which subpoena, in the case of contumacy or refusal to obey, shall be enforceable by order of any appropriate United States district court; provided that procedures other than subpoenas shall be used by the Inspector General to obtain documents and information from Federal agencies (Sec. 6(a)(4) of the IG Act);

(5) Administer to or take from any person an oath, affirmation, or affidavit, whenever necessary in the performance of the functions assigned by this Act, which oath, affirmation, or affidavit when administered or taken by the Inspector General or designated employees shall have the same force and effect as if administered or taken by or before an officer having a seal (Sec. 6(a)(5) of the IG Act).

(6) Have direct and prompt access to the Secretary when necessary for any purpose pertaining to the performance of the Inspector General's functions and responsibilities under the IG Act (Sec. 6(a)(6) of the IG Act);

(7) Select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the OIG subject to the provisions of Title 5, United States Code, governing appointments in the competitive service, and the provisions of Chapter 51 and Subchapter III of Chapter 53 of such title relating to classification and General Schedule pay rates (Sec. 6(a)(7) of the IG Act);

(8) Obtain services as authorized by 5 U.S.C. Section 3109 (Sec. 6(a)(8) of the IG Act);

(9) To the extent and in such amounts as may be provided in advance by appropriations Acts, enter into contracts and other arrangements for audits, studies, analyses, and other services with public agencies and with private persons, and to make such payments as may be necessary to carry out the provisions of the IG Act (Sec. 6(a)(9)); and

(10) Report the circumstances to the Secretary whenever information requested under (1) or (3) of this section is unreasonably refused or not provided (Sec. 6(b)(2) of the IG Act).

4.3 Additional Authorities. In addition to the duties otherwise required by the Inspector General Act, as amended, the Chief Financial Officers Act of 1990 (Public Law 101-576), and the Single Audit Act of 1984 (Public Law 98-502), as amended (Public Law 104-156), the Inspector General is authorized to exercise Secretarial authority for Senior Executive Service personnel management within the OIG, which includes establishing Executive Resources Boards

and Performance Review Boards, maintaining a separate Senior Executive Service performance award (bonus) pool, allocation of approved Senior Executive Service spaces, selecting and appointing individuals to Senior Executive Service positions; fixing the rate of pay under 5 U.S.C. Section 5383 for senior executives appointed; appraising the performance of senior executives under 5 U.S.C. Section 4314; and removing senior executives because of poor performance under 5 U.S.C. Section 3592.

4.4 Responsibilities. It shall be the duty and responsibility of the Inspector General, with respect to the Department, to:

A. Provide policy direction for and to conduct, supervise, and coordinate, audits and investigations relating to the programs and operations of the Department (Sec. 4(a) (1) of the IG Act);

B. Review existing and proposed legislation and regulations relating to programs and operations of the Department and to make recommendations in the semiannual reports to the Secretary and the Congress concerning the impact of such legislation or regulations on the economy and efficiency in the administration of programs and operations administered or financed by the Department or the prevention and detection of fraud and abuse in such programs and operations (Sec. 4(a)(2) of the IG Act);

C. Recommend policies for and to conduct, supervise, or coordinate other activities carried out or financed by the Department for the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud and abuse in, its programs and operations (Sec. 4(a)(3) of the IG Act); These recommendations may be developed and forwarded, in assessments, evaluations or management advisories or inspections conducted in accordance with the Quality Standards for Inspections issued by the President's Council on Integrity and Efficiency, as well as in formal audits and investigations,

D. Recommend policies for and to conduct, supervise, or coordinate relationships between the Department and other Federal agencies, state and local governmental agencies, and nongovernmental entities with respect to (1) all matters relating to the prevention and detection of fraud and abuse in programs and operations administered or financed by the Department, or (2) the identification and prosecution of participants in such fraud or abuse (Sec. 4(a)(4) of the IG Act);

E. Keep the Secretary and the Congress fully and currently informed, by means of the reports required by Section 5 of the IG Act and otherwise, concerning fraud and other serious problems, abuses, and deficiencies relating to the administration of programs and operations administered or financed by the Department, to recommend corrective action concerning such problems, abuses, and deficiencies, and to report on the progress made in implementing such corrective action (Sec. 4(a)(5) of the IG Act). The IG Act (Sec. 5(d)) further requires the Inspector General to report immediately to the Secretary and for the Secretary to transmit the information to the Congress within seven (7) calendar days of the time the Inspector General reports a particularly serious or flagrant problem, abuse, or deficiency relating to the administration of programs and operations of the Department.

F. Comply with standards established by the Comptroller General of the United States for audits of Federal establishments, organizations, programs, activities, and functions (Sec. 4(b)(1)(A) of the IG Act);

G. Establish guidelines for determining when it shall be appropriate to use non-Federal auditors (Sec. 4(b)(1)(B) of the IG Act);

H. Take appropriate steps to assure that any work performed by non-Federal auditors complies with the standards established by the Comptroller General (Sec. 4(b)(1)(C) of the IG Act);

I. Give particular regard to the activities of the Comptroller General of the United States with a view toward avoiding duplication and ensuring effective coordination and cooperation (Sec. 4(c) of the IG Act);

J. Carry out the duties and responsibilities established under the IG Act, by reporting expeditiously to the Attorney General whenever the Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law (Sec. 4(d) of the IG Act); and

K. Receive, conduct, supervise, and coordinate investigations of complaints or information from employees of the Department concerning the possible existence of any activity constituting a violation of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety (Sec. 7(a) of the IG Act; also see 355 DM 2).

4.5 Additional Statutory Responsibilities. In addition to the duties conferred upon the Inspector General of the Department of the Interior by the IG Act, the Inspector General has statutory responsibilities, pursuant to the Insular Areas Act (Public Law 97-357) and the Compacts of Free Association Act of 1985 (Public Law 99-239 as amended by Public Law 108-239 and Public Law 99-658), to maintain a satisfactory level of independent audit oversight of the following: the government of Guam (48 U.S.C. 1422d), the government of the Marshall Islands, the governments of the Federated States of Micronesia, Palau, and the Northern Mariana Islands (48 U.S.C. 1681b), the government of the Virgin Islands (48 U.S.C. 1599), and the government of American Samoa (48 U.S.C. 1668(b)).

4.6 Organization. The OIG is headed by the Inspector General who is assisted by a Deputy. The Deputy Inspector General supervises the day-to-day activities of the Office. The OIG (see attached organization chart) includes the following:

A. Office of General Counsel (OGC). The Office of General Counsel, an in-house legal staff that provides legal advice and assistance to all OIG components, represents the OIG in matters arising out of or affecting OIG operations, including, but not limited to, fiscal law, procurements, Equal Employment Opportunity and personnel law, and issues involving the IG Act, audits and investigations, law enforcement, administrative and Right to Financial Privacy

Act subpoenas, security and computer technology. In addition, the OGC manages the Freedom of Information Act and Privacy Act program of the OIG.

B. Associate Inspector General for Whistleblower Protection protects whistleblowers from retaliation or reprisal through oversight, monitoring, and if necessary, early intervention.

C. Associate Inspector General for External Affairs interacts with Members of Congress, Congressional Committees and other Federal agencies or entities.

D. The Assistant Inspector General for Investigations (AIG-Investigations) manages, supervises, coordinates and conducts investigations relating to Departmental programs and operations, including, but not limited to, investigations of fraud and abuse in such programs and operations and actual or suspected criminal activity or other wrongdoing by Departmental employees, contractors, grantees, lessees, or any other persons doing business with the Department; coordinates the Office of Inspector General's investigative activities with other agencies; develops and implements policies, procedures, and guidelines for investigative activities and the prevention and detection of fraud and procedures to promote economy, efficiency, and effectiveness in such programs and operations. (Sec. 3(d)(2) of the IG Act; also see 355 DM 1 and 2.) Additionally, this office manages, supervises, and coordinates the oversight of the Department's integrity issues; conducts highly sensitive and complex investigations relating to congressional inquiries; conducts investigations concerning allegations of civil and criminal misconduct and other integrity issues against senior level Departmental officials; conducts investigations regarding charges of misconduct and neglect of duty; assesses the effectiveness and efficiency of DOI's law enforcement integrity programs; and conducts comprehensive program assessments. The Office includes the following:

(1) The Principal Deputy Assistant Inspector General for Program Integrity, responsible for the Program Integrity Division and the regional offices; and

(2) The Deputy Assistant Inspector General for Investigation Support, responsible for the Investigative Support Division.

E. The Assistant Inspector General for Audits (AIG-Audits) manages, supervises, coordinates, and conducts audits relating to Departmental programs and operations; provides audit services to all management levels within the Department; determines and oversees the use of all contracted audit activities of the Department; develops and implements policies, procedures, and guidelines for the prevention and detection of fraud and abuse relating to Departmental programs and operations; and recommends policies and procedures to promote economy, efficiency, and effectiveness in such programs and operations. (Sec. 3(d) (1) and 4(b) of the IG Act; also see 360 DM.) In addition, the AIG-A is responsible for maintaining a satisfactory level of independent audit oversight of the governments of Guam, Marshall Islands, Federated States of Micronesia, Palau, Northern Mariana Islands, Virgin Islands, and American Samoa. The AIG-Audits is assisted by the following:

(1) The Principal Deputy Assistant Inspector General for Audits who is responsible for field operations, including day-to-day operations and reports from the Regional Offices and External Audits; and

(2) The Deputy Assistant Inspector General for Audits who is responsible for coordinating the activities of the Headquarters operations that includes Financial Audits and Program Analysis and Technical Support.

F. The Assistant Inspector General for Administrative Services and Information Management (AIG-ASIM) manages, coordinates, and conducts functions of the office relating to program planning, budgeting, finances, personnel, training, procurement, contracting, communications management, information technology management and administrative services. The AIG-ASIM develops, signs, and issues policies and procedures relative to OIG activities. The AIG-ASIM also evaluates and assesses the Department's IT Security and prepares an annual evaluation required by the Federal Information Security Management Act (FISMA - Public Law 107-347.) The AIG-ASIM is assisted by the following:

(1) The Principal Deputy AIG for Administrative Services who manages the Human Resources Management Division, the Financial Management Division and the Operations Support Division; and

(2) The Deputy Assistant Inspector General for Information Technology/Chief Information Officer who manages the Information Security Division and the Information Technology Division.

4.7 Field Office Locations. The OIG has regional and area field offices for Audits and Investigations located throughout the United States and the Insular Areas. (See attached map). The Regional Directors report to the Assistant Inspector General for their respective program area, i.e., audits or investigations. The address and telephone number for each office is located at: **www.doioig.gov**.