



Department of Energy  
Washington, DC 20585

January 29, 2016

**JM Chronology**  
JM RECEIVED 2/2/16  
OUT FOR REVIEW 3/28/16  
DRB DISCUSSION 4/1/16

MEMORANDUM FOR: INGRID KOLB  
DIRECTOR  
OFFICE OF MANAGEMENT

THROUGH: KEVIN T. HAGERTY  
DIRECTOR  
OFFICE OF INFORMATION RESOURCES

FROM: RICKEY R. HASS  
ACTING INSPECTOR GENERAL

SUBJECT: Notice of Intent to Revise DOE Order 221.2A, "Cooperation with the Office of Inspector General"

**PURPOSE:** The order sets forth requirements and responsibilities for cooperating with the U.S. Department of Energy's (DOE) Office of Inspector General (OIG).

**BACKGROUND:** The OIG seeks to uncover fraud, waste, abuse, misuse, corruption, criminal acts, or mismanagement relating to DOE programs, operations, facilities, contracts, and information technology systems. Authority to conduct such activities is derived from the *Inspector General Act of 1978* (IG Act), as amended. Specifically, the IG Act grants authority to the OIG to:

1. Conduct and supervise audits and investigations relating to programs and operations within their respective departments and agencies;
2. Provide leadership and coordination and recommend policies for activities designed to (a) promote economy, efficiency, and effectiveness in the administration of, and (b) prevent and detect fraud, waste and abuse in, such programs and operations; and
3. Provide a means for keeping the head of the establishment 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.

The IG Act requires each such Inspector General to appoint an assistant inspector general for audits, with responsibility for supervising the performance of auditing activities relating to programs and operations of the establishment, and an assistant inspector general for investigations, with responsibility to supervise the performance of investigative activities, including criminal investigations, relating to their agencies' programs and operations.

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**JUSTIFICATION:** DOE Order 221.2A, “Cooperation with the Office of Inspector General,” is necessary to ensure DOE employees, program officials and managers, as well as employees of major facilities contractors, understand their obligation to cooperate with the OIG through interviews and the production of records.

There are no valid external, consensus or other “Standards” (e.g., ISO, VPP, etc.) available which can be used in place of this directive.

It is necessary to update the current version of this directive due to a lack of consistent application and understanding of its provisions. DOE employees, program officials and managers, as well as employees of major facilities contractors, have indicated to OIG personnel that the directive, as currently written, is not sufficiently clear with respect to the nature and extent of cooperation with the OIG that is required. Additionally, certain facilities, organizations and contractors have indicated the order is not sufficiently clear with respect to who is covered by the directive. It is expected that an update to the directive will resolve these areas of uncertainty.

Additionally, the OIG will be updating the directive to cover critical topics that are not addressed in the current version. This includes, for instance, access to electronic records, the timeliness of production, the prohibition of restricting employee cooperation, and related topics.

**IMPACT:** The proposed directive does not duplicate existing laws, regulations or national standards and it does not create undue burden on the Department. The impact of this directive will be to ensure DOE employees, program officials and managers, as well as employees of major facilities contractors, have clear guidance on the nature and extent of cooperation with the OIG that is required. This will facilitate the OIG’s ability to carry out its statutory mandates.

The directive does not mandate any specific recurring actions or work products. Rather, it outlines a general obligation to cooperate with the OIG and to not take reprisal actions against employees. With requirements such as this, it is difficult to assign a projected cost in order to implement the directive.

**WRITER:** Office of Inspector General. Contact Dustin Wright at (202) 586-1947.

**OPI/OPI CONTACT:** Office of Inspector General. Contact Felicia Jones at (202) 586-7013.

The OIG intends to provide a copy of the revised directive for RevCom review no later than March 31, 2016.

Ingrid Kolb, Director, Office of Management (MA-1):

Concur:  Nonconcur: \_\_\_\_\_ Date: 4-8-2016

<u>Standard Schedule for Directives Development</u>	<u>Days</u>
Draft Development	Up to 60 days
Review and Comment (RevCom)	30
Comment Resolution	30
Final Review	30
Total	150

***(NOTE: The standard schedule of up to 150 days will be used unless otherwise specified by the Directives Review Board.)***