

UNCLASSIFIED

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Category: 1 - Organization

OPR: IG

Title: AR AR 1-3b APPENDIX A - AUDIT, INSPECTION AND SPECIAL ASSESSMENT REPORT HANDLING PROCEDURES

APPENDIX A

**(U) AUDIT, INSPECTION AND SPECIAL ASSESSMENT
REPORT HANDLING PROCEDURES**

- (a) **(U) SCOPE.** OIG audit, inspection, and special assessment reports will be processed as provided in procedures promulgated by the IG. OIG investigative reports will be handled as appropriate for each case, but appropriate Agency components will be provided an opportunity to comment on any major systemic recommendations and the factual findings that are included in investigative reports.
- (b) **(U) DRAFT REPORT REVIEW AND COMMENT.** Upon completion of an OIG audit, inspection, or special assessment, OIG will transmit a draft report to **Agency** components that would be responsible for implementing recommendations, and request their written comments within a period of up to 30 days, with extensions as OIG deems appropriate. Copies of draft reports will also be sent to the **Associate Deputy Director of the Central Intelligence Agency (ADD/CIA)** and cognizant **Directors**, and to the **Director of the Central Intelligence Agency (D/CIA) and other senior Agency managers** as the IG deems appropriate, for information and comment. OIG will consider all comments and make revisions to the report that OIG considers valid.
- (c) **(U) TRANSMITTAL OF FINAL REPORT.** OIG will transmit the final report to cognizant Agency managers, the **ADD/CIA** and appropriate **Directors**.
- (d) **(U) TEN AND SIXTY DAYS RESPONSES TO FINAL REPORT RECOMMENDATIONS.** Cognizant Agency managers will advise the IG in writing within ten working days whether they concur in whole or in part with the recommendations in the final report. If the managers concur with the recommendations, they must forward to the IG within 60 days, through the appropriate **Director**, a report explaining actions taken to implement the recommendations and providing a timetable for recommendations that will require longer than 60 days to implement. If feasible, this

description of actions taken or planned to respond to the recommendations can be included in the initial response that is done within ten days.

- (e) **(U) D/CIA DECISIONS.** The IG reserves the right to seek **D/CIA** concurrence for any recommendations with which a cognizant manager does not concur. In the event the IG elects to exercise this option, the cognizant Agency manager, the responsible **Director** and the **ADD/CIA** will be advised by the IG in writing 10 working days prior to elevating the issue to the **D/CIA**.
- (f) **(U) D/CIA NOTIFICATION.** The IG will ensure that the **D/CIA** is apprised of noteworthy findings and recommendations in OIG reports.
- (g) **(U) MONITORING OF RECOMMENDATIONS.** The OIG and the **ADD/CIA** shall monitor the implementation of OIG recommendations until the OIG and the **ADD/CIA** agree that appropriate corrective action has been taken. Agency managers will be responsible for keeping OIG informed of actions taken in response to OIG recommendations. If the IG and the **ADD/CIA** cannot agree that substantial implementation has been achieved, the IG shall so notify the **ADD/CIA** and the **D/CIA**, and note such disagreement in the next semiannual report to the **D/CIA**.
- (h) **(U) REPORTING UNSATISFIED RECOMMENDATIONS.** Significant recommendations from OIG reports that remain unsatisfied will be reported by the IG in the semiannual report to the **D/CIA**, as required by law, and forwarded by the **D/CIA** to Congress. If a recommendation remains unsatisfied for a lengthy period, the IG may conclude that the Agency does not intend to implement it. In such a case, the IG will include a statement in the semiannual report setting forth the reasons the recommendation remains unsatisfied as well as the IG's view of the impact of the failure to implement the recommendation. Thereafter, the OIG will cease to track its implementation.