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STATUS REPORTS ON INVESTIGATIONS

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CHAPTER 6**STATUS REPORTS ON INVESTIGATIONS****0601 OVERVIEW**

During the course of an investigation, reports of progress are required to provide status to the DoD Component concerned and to the Office of the Under Secretary of Defense (Comptroller). In addition, status of investigations that are overdue to the Office of the Under Secretary of Defense (Comptroller) is required.

0602 MONTHLY ACTIVITY INFORMATION

Information as indicated on Figure 6-1 is required on a monthly basis to report progress on overdue investigations and status on all other ongoing investigations.

0603 INFORMATION REQUIREMENTS

The Assistant Secretary of the Military Department for Financial Management, or the Comptroller or Senior Financial Manager for other DoD Components, shall report the required information on a monthly basis to the Office of the Under Secretary of Defense (Comptroller) by the fifth business day of the month following the reporting month.

060301. When a formal investigation is initiated, the applicable Office of the Assistant Secretary of the Military Department for Financial Management, or the Comptroller or Senior Financial Manager for other DoD Components, shall assign a case number and ensure that the appointing official establishes a completion date for the investigation. That completion date shall allow sufficient time for the DoD Component to submit the final report of violation to the Under Secretary of Defense (Comptroller) within 9 months after the formal investigation began.

060302. If the 9-month completion date for final reports of violation is not met, a monthly report providing status of those overdue investigations is required. In addition, the status of ongoing investigations must be reported each month.

A. The information required by Figure 6-1 includes a list of the overdue reports of violation, the date each report is due to the Under Secretary of Defense (Comptroller), and the current status.

B. The information required by Figure 6-1 also includes any information not reported previously, including changes or new information for on-going investigations.

C. If necessary, all information on all on-going investigations may be reported each month, but the new or revised information should be highlighted in bold or underlined. Annotating the reporting of changes and new information will facilitate the analysis of the current status of the investigations.

0604 STATUS

Status on cases shall continue to be reported on a monthly basis from the beginning of the formal investigation through the date a final violation report or a “No Violation” Report is provided to the Office of the Under Secretary of Defense (Comptroller). Procedures for reporting a violation to the Office of the Under Secretary of Defense (Comptroller) are contained in [Chapter 7](#) of this volume.

060401. If a case is returned to a DoD Component by the Office of the Under Secretary of Defense (Comptroller), monthly status reporting shall be resumed by the DoD Component until that case is again provided to the Office of the Under Secretary of Defense (Comptroller).

060402. When the case is returned, a suspense date for returning the case shall be assigned to the DoD Component commensurate with the time required to (a) provide the additional information, (b) correct the report, or (c) complete other actions requested.

**SUMMARY STATUS OF ANTIDEFICIENCY ACT INVESTIGATIONS
AS OF (Insert Last Day of Month)**

PART I--OVERDUE CASES

CASE #	DATE DUE TO USD(C)	CURRENT STATUS

NOTE: Include the case number for all cases that are overdue, the initial date due to the Under Secretary of Defense (Comptroller), and a statement of the most current status. Address any steps taken to expedite the case. If the status has not changed since the prior month's report, indicate "status unchanged from previous month."

Figure 6-1 (continued)

**SUMMARY STATUS OF ANTIDEFICIENCY ACT INVESTIGATIONS
AS OF (Insert Last Day of Month) (continued)**

PART II

The key below contains field descriptions.

(1) CASE NUMBER	(2) STATUS	(3) AMOUNT	(4) APPN & TREASURY ACCT SYMBOL	(5) US CODE REF	(6) ORGANIZATION	(7) LOCATION
95-01	Under Investigation Completed--No Violation Completed--A Violation	\$1,000.00	SCN, 17 __ 1611 O&M, 57 __ 3400 WPN, 17 __ 1507 OPA, 21 __ 2035	1341(a)(1)(A) 1341(a)(1)(B) 1342 1517(a)(1) 1517(a)(2)		

(8) NATURE OF VIOLATION	(9) DATE POTENTIAL VIOLATION OCCURRED	(10) DATE POTENTIAL VIOLATION DISCOVERED	(11) DATE INVESTIGATION BEGAN	(12) SOURCE OF POTENTIAL VIOLATION
(See examples attached as Figure 6-1)	00/00/00	00/00/00	00/00/00	Source (If identified by an audit report, provide the report number and title).

(13) BRIEF DESCRIPTION OF POTENTIAL VIOLATION	(14) PROGRESS OF VIOLATION/OTHER COMMENTS
Briefly describe what appears to have caused the potential violation.	Provide significant milestones regarding progress of the case--e.g., date investigating officer was appointed, date report was submitted to the appointing official, the FM, the Legal Office, etc. Also, provide other comments as appropriate.

Field Description Key

- (1) Insert the case number assigned by the DoD Component.
- (2) Insert the current status of the case.
- (3) Insert the amount of the violation.
- (4) Insert the Appropriation and the Treasury Account Symbol.
- (5) Insert the United States Code Reference suspected of being, potentially at risk of being, or actually violated.
- (6) Insert the name/designation of the organization where the suspected or potential violation occurred.
- (7) Insert the location of the organization where the suspected or potential violation occurred.
- (8) Insert the nature of the violation. (See Figure 6-2, below.)

Figure 6-1 (continued)

**SUMMARY STATUS OF ANTIDEFICIENCY ACT INVESTIGATIONS
AS OF (Insert Last Day of Month) (continued)**

- (9) Insert the date the suspected, potential, or actual violation occurred.
- (10) Insert the date the suspected, potential, or actual violation was discovered.
- (11) Insert the date the investigation began.
- (12) Insert the source of the suspected, potential or actual violation (if identified by an audit report, include the report title and number).
- (13) Insert a brief narrative description of the suspected, potential or actual violation--describe what appears to have caused the suspected, potential or actual violation.
- (14) Insert a brief narrative on the progress of the investigation--include significant milestones, such as date the report was submitted to the appointing official, date the report was submitted to the FM. In addition, provide other appropriate comments regarding the violation.

NOTE: The case number, amount, and appropriation should be reported each month for all investigations not yet formally submitted to the OUSD(C). For all other information requested, report only information that previously has not been reported, or information that has changed since reported previously.

Figure 6-1

NATURE OF VIOLATIONS

The following list of possible violations is related to the Nature of Violation field (8) on Figure 6-1, above.

Accepted Voluntary Services
Charged Incorrect Appropriation
Disbursement(s) Exceeded Recorded Obligation(s)
Exceeded Appropriation/Fund Availability
Exceeded Available Obligation Authority
Exceeded Expense Versus Procurement Limitation
Exceeded Minor Construction Limitation
Charged Incorrect Fiscal Year
Exceeded Repair and Maintenance Family Housing Limitation
Obligation Not Recorded
Other (Explain)

Figure 6-2