

**VOLUME 14, CHAPTER 6: “STATUS REPORTS ON INVESTIGATIONS”****SUMMARY OF MAJOR CHANGES**

All changes are denoted by **blue font**.

Substantive revisions are denoted by an \* symbol preceding the section, paragraph, table, or figure that includes the revision.

Unless otherwise noted, chapters referenced are contained in this volume.

Hyperlinks are denoted by **bold, italic, blue and underlined font**.

The previous version dated February 2008 is archived.

<b>PARAGRAPH</b>	<b>EXPLANATION OF CHANGE/REVISION</b>	<b>PURPOSE</b>
0602	Rearranged section content, referenced corrective actions in Chapter 5 and referenced reporting timeframes in Chapter 7.	Update

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## CHAPTER 6

STATUS REPORTS ON INVESTIGATIONS

## 0601 OVERVIEW

During the course of a formal investigation, [status](#) reports to the applicable Office of the Assistant Secretary of the Military Department for Financial Management [and](#) Comptroller, Senior Financial Manager for other Department of Defense (DoD) Components ([referred herein as DoD Component](#)), [or](#) the Office of the Under Secretary of Defense (Comptroller) [are required](#).

## 0602 INFORMATION REQUIREMENTS

## \*060201. Administration

When a formal investigation is initiated, the applicable [DoD Component](#) shall assign a case number and establish a completion date for the formal investigation. The completion date shall allow sufficient time for the DoD Component to [perform corrective actions, seek advance DoD Office of the Deputy General Counsel \(Fiscal\) decision, and administer discipline in accordance with Chapter 5, section 0504.](#)

## 060202. Oversight Office

When an investigating officer is appointed and a formal investigation [begins](#), the applicable [DoD Component](#) shall report the information in Figure 6-1 to the [Office of the Under Secretary of Defense \(Comptroller\) Deputy Chief Financial Officer \(OUSD\(C\) DCFO\)](#).

## 060203. Submission

[The DoD Component shall submit the Antideficiency Act Report to the OUSD\(C\) DCFO within the provisions and timeframes provided in Chapter 7.](#)

## 0603 STATUS

Status on formal investigations shall be reported to the [OUSD\(C\) DCFO](#) upon request. Requests can be made starting from the beginning of the formal investigation through the date the [final Antideficiency Act Report](#) is provided to the [OUSD\(C\) DCFO](#).

Figure 6-1. POTENTIAL ANTIDEFICIENCY ACT VIOLATION CASE

**SAMPLE FORMAT**  
**(Insert DoD Component Name and Case Number)**  
**(Insert Date)**

(1) CASE NUMBER	(2) ESTIMATED COMPLETION DATE	(3) AMOUNT	(4) APPN & TREASURY ACCT SYMBOL	(5) USC REF	(6) ORGAN- IZATION	(7) LOCATION
Two-digit Fiscal Year and sequence number assigned by the Component.  For example: 10-01	mm/dd/yyyy	Insert the amount of violation in dollars and cents.	Insert the Appropriation name, Treasury Index number, Fiscal Year, basic symbol, and limit. For example: Operation and Maintenance, Air Force, 57 3400 20102010 3400	Insert the USC reference suspected of being violated.  For example: 1341(a)(1)(A) 1341(a)(1)(B) 1517(a)(1) 1517(a)(2)	Insert the name or designation of the organization where the suspected or potential violation occurred.	Insert the location of the organization where the suspected or potential violation occurred.
(8) NATURE OF VIOLATION			(9) DATE POTENTIAL VIOLATION OCCURRED	(10) DATE POTENTIAL VIOLATION DISCOVERED	(11) DATE FORMAL INVESTIGATION BEGAN	
Insert the nature of the violation. 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, or Other (Explain).			mm/dd/yyyy	mm/dd/yyyy	mm/dd/yyyy	
(12) SOURCE OF POTENTIAL VIOLATION	(13) BRIEF DESCRIPTION OF POTENTIAL VIOLATION		(14) PROGRESS OF VIOLATION/OTHER COMMENTS			
Insert the source of the potential violation (audit report including the report number and title).	Briefly describe in a narrative what appears to have caused the potential violation – e.g., use of incorrect appropriation, over-obligation, inappropriate use of funds.		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. Also provide other comments as appropriate.			