



## **POLICY CHANGE ALERT #15-009F**

**TITLE: OSI REPORT OF INVESTIGATION**

**ISSUE DATE: 03/27/2015**

**EFFECTIVE DATE: EFFECTIVE IMMEDIATELY**

### **Summary**

Programs Impacted: NA and CA

The Office of Special Investigations (OSI) Report of Investigation (ROI) has been revised. The ROI no longer identifies the social security number of the person who is being investigated or the source of the investigation.

The ROI can now be viewed or provided to the participant or their representative at any DES/FAA local office. When the customer is not able to come to the local office for a copy they can request the document through the DES Public Records process.

### **Revision Details**

The FAA Policy Manual will be updated to include the information in this Policy Change Alert during one of the next bimonthly revisions. Until then, an alert will be placed in each revised section with a link to this document as a reminder of the policy change.

### **POLICY REFERENCE: FAA1.A06C.04 – CONFIDENTIALITY - PARTICIPANT REVIEW OF CASE INFORMATION**

A participant has the right to review their [case file\(g\)](#) and obtain information from it at any time.

#### **WARNING**

Confirm the identity of the participant and the [representative](#) prior to allowing the case file to be reviewed.

The participant must request an appointment to review their case file so that an FAA employee is present during the entire review. FAA must schedule and conduct the appointment within ONE [workday\(g\)](#) of the request.

#### **EXCEPTION**

When a participant has filed a fair hearing request and is in the local office, allow the participant or their representative to review the case file on the same day as the request to review, whenever possible.

Provide a copy of the determination notice to the PI, when requested. No appointment is needed.



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Copies may be provided for either the participant or their representative during the review, upon request.

### **EXCEPTION**

Specific confidential information CANNOT be viewed by or provided to the participant or their representative. FAA must remove documents containing this information from the case file prior to the review. Replace the documents after the participant has viewed the case file. This includes documents containing the following:

- Confidential information given to FAA without the participant's knowledge.
- OSI Information from [AFTS](#).
- Information from CHSP.

NOTE Participants may request support information directly from the Department of Child Support Services (DCSS).

- Information from HOSC.

When the documents containing confidential information must be removed from [OnBase\(g\)](#), complete the following:

- Print the confidential documents.
- Contact [Centralized Document Services \(CDS\)](#) via e-mail to delete the documents from OnBase. Indicate 'Participant Case Review' in the subject line of the e-mail.
- When the participant completes the case review, scan the previously printed documents into OnBase.

### **POLICY REFERENCE: FAA6.F08D.02 - ACTING ON OSI/AOIG REPORTS OF INVESTIGATION – POTENTIAL VIOLATIONS FOUND**

When the POTENTIAL Violations Found box is checked or indicated on the Report of Investigation (ROI) the agency MUST send the Investigation Information Request [C022](#) notice. This box is checked when a potential violation is found and Office of Special Investigation (OSI) or AHCCCS Office of Inspector General (AOIG) was unable to provide [due process](#).



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The mandatory verification needed based on the investigation findings must be included in the C022.

The C022 must inform the participant of the following:

- Allegations.
- Investigation findings.
- Specific information needed to rebut facts discovered in the investigation.
- Additional [mandatory verification](#) needed based on the results of the investigation. The EI must state which documentation or collateral verification is needed.
- The opportunity to respond to allegations of potential fraud.

NOTE **When the participant or their authorized representative is not requesting in person, they** must contact the [DES Public Records Request](#) Coordinator in order to view or obtain a copy of the ROI.

When the participant fails to provide verification requested in the C022, see [Acting on Reports of Investigation – Failure to Respond](#).

### **WARNING**

When a change results in a negative action, supervisor approval MUST be obtained prior to taking the action.

### **POLICY REFERENCE: FAA6.F08D.05 - ACTING ON OSI/AOIG REPORT OF INVESTIGATION – INFORMATION NEEDED**

When the Report of Investigation (ROI) indicates the outcome of the investigation and additional mandatory verification is needed, send both of the following:

[C011](#) Information Needed notice to request verification.

[C023](#) Notice of Investigation notice to inform the participant that a copy of the ROI is available upon request.

NOTE **When the participant or their authorized representative is not requesting in person, they** must contact the [DES Public Records Request](#) Coordinator in order to view or obtain a copy of the ROI.



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When the requested information or verification is received on a PENDING case, complete the eligibility determination. Review all information and verification provided by the participant and the investigators and determine its impact on the eligibility determination.

When the requested information is received on an ACTIVE case, take appropriate action to complete any necessary changes. For instructions on processing changes see the following policy:

[Effecting changes \(simplified reporting\)](#)

[Effecting changes \(standard reporting\)](#)

Ensure that all verification is documented prior to completing the eligibility determination.

Please contact the FAA Policy Support Team by phone at **(602) 774-5523** or by e-mail at **FAAPolicyMgmt@azdes.gov** with any questions or concerns regarding this broadcast.

**Please consider the environment before printing this broadcast.**

(15-0458)