



NASA Policy Directive

NPD 9800.1AEffective Date: April 07, 2004
Expiration Date: April 07, 2009**COMPLIANCE IS MANDATORY**[Printable Format \(PDF\)](#)

Subject: NASA Office of Inspector General Programs

Responsible Office: Office of the Inspector General

1. Policy

a. General

NASA recognizes the statutory basis of Inspector General (IG) operations. It is NASA policy to abide by the requirements established for the Agency under the Inspector General Act (IG Act) and to otherwise cooperate with the Office of Inspector General (OIG) in the performance of its statutory duties.

b. OIG Programs

Pursuant to the IG Act and in conformance with other applicable laws, Executive orders, and Federal regulations, the OIG conducts independent and objective audits, investigations, and other reviews of Agency programs and operations.

(1) Audits

The OIG, through financial and performance audits and other reviews, examines NASA activities, programs, operations, and organizations. The OIG focuses on whether programs are organized, managed, and implemented economically, effectively, and efficiently; funds are expended in a manner consistent with laws, regulations, and policies; desired program results are achieved; and management controls are in place to prevent crimes, fraud, waste, abuse, and mismanagement.

(2) Investigations (Criminal, Civil, and Administrative)

The OIG conducts an investigations program to detect and deter crimes, fraud, waste, abuse, and mismanagement.

(3) Other Programs

The OIG will establish and staff other programs, as necessary, to carry out the functions, powers, and duties of the office.

c. Access to Records, Documents, Personnel, and Premises

It is NASA policy that all NASA employees, organizations, contractors, grantees, and programs receiving NASA funds cooperate fully with the OIG and its designees. During audits, investigations, reviews, or other activities, such cooperation includes providing:

(1) Complete and free access to all files (electronic and paper), documents, premises, and employees, except as limited by law, including access to records, premises, and employees through any access provision governing NASA's arrangements with third parties (e.g., contract access clauses).

(2) Statements, both oral and written, including statements under oath or affirmation.

(3) Technical consultation, examination, and assistance regarding information or evidence being developed.

(4) Such other information and assistance as may be requested in order to complete the task.

d. Law Enforcement Authority

By authority granted in section 812 of the Homeland Security Act, Pub. L. 107-296, and in accordance with U.S. Department of Justice guidelines, the IG, the Assistant Inspector General for Investigations (AIGI), and NASA OIG Special Agents supervised by the AIGI are authorized to:

- (1) Carry a firearm while engaged in official duties as authorized under the IG Act or other statute, or as expressly authorized by the Attorney General.
- (2) Make an arrest without a warrant while engaged in official duties as authorized under the IG Act or other statute, or as expressly authorized by the Attorney General, for any offense against the United States committed in the presence of such IG, Assistant Inspector General, or Special Agent, or for any felony cognizable under the laws of the United States if such individual has reasonable grounds to believe that the person to be arrested has committed or is committing such felony.
- (3) Seek and execute warrants for arrest, search of a premises, or seizure of evidence issued under the authority of the United States upon probable cause to believe that a violation has been committed.

2. Applicability

This NPD is applicable to all NASA programs and activities, including those at NASA Headquarters and Centers, including Component Facilities, contractor facilities, the facilities of any other entity receiving NASA funds, or to any other NASA-related entity, as authorized by the IG Act.

3. Authority

- a. 42 U.S.C. 2473(c)(1), section 203(c)(1) of the National Aeronautics and Space Act of 1958, as amended ("Space Act").
- b. Inspector General Act of 1978, as amended, Title 5 U.S.C. App. III.
- c. Homeland Security Act of 2002, Pub. L. 107-296, Section 812.

4. References

- a. 31 U.S.C. 3521
- b. 41 U.S.C. 57-58
- c. 41 U.S.C. 265, 422
- d. 42 U.S.C. 2456a
- e. 14 CFR 1201.200(d)
- f. NPD 1200.1, Internal Management Controls and Audit Liaison and Followup.
- g. NPR 1000.3, The NASA Organization.
- h. Attorney General Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority, December 8, 2003.
- i. Memorandum of Understanding Between the Federal Bureau of Investigation and the Office of Inspector General, National Aeronautics and Space Administration, dated April 16, 1982.
- j. Memorandum from the General Counsel to the Deputy Administrator, Subject: Roles and Responsibilities of NASA's Office of Inspector General (OIG) and Office of Security Management and Safeguards (Code X), December 10, 2003.

5. Responsibility

a. Inspector General (IG). The IG has a statutory mandate to promote economy, efficiency, and effectiveness in the administration of NASA programs and operations and to prevent and detect fraud, waste, abuse, and mismanagement in such programs and operations. Pursuant to the IG Act, the IG provides policy and direction for, and conducts, supervises, and coordinates audits, investigations, and other reviews as necessary relating to the programs and operations of NASA. No NASA official, including the Administrator, may prevent or prohibit the IG from initiating, carrying out, or completing any audit or investigation, or from issuing any subpoena. Except for security-related matters such as counterintelligence, counterterrorism, and security of NASA property and installations, the OIG has primary jurisdiction of investigation of criminal cases at NASA.

The IG Act established investigative jurisdiction for the offices of presidentially appointed Inspectors General with respect to crimes and other violations of law at or relating to their respective agencies. The law enforcement authority of the IG was reinforced by the Homeland Security Act of 2002. Accordingly, the OIG is NASA's focal point for investigating and coordinating with the U.S. Department of Justice on violations of Federal criminal and civil statutes (except those directly related to security), including violations of Federal criminal and civil statutes related to cyber-related crime, including computer system intrusions. The IG, or designee, is also NASA's focal point for

referrals of violations of state and local laws, to state, county, and local investigative, prosecutive, and law enforcement authorities (except those directly related to security). The IG's law enforcement authority is derived from the IG and Homeland Security Acts.

b. Assistant Inspector General for Investigations (AIGI). The AIGI performs all appropriate investigative functions under the policy, direction, and supervision of the IG and maintains records on all allegations and their resolution, regardless of whether the individual complaint results in an investigation by the OIG.

c. Assistant Inspector General for Audits (AIGA). The AIGA develops, implements, and manages the OIG auditing activities under the policy, direction, and supervision of the IG. Auditing activities are conducted in accordance with Government auditing standards prescribed by the Comptroller General of the United States.

d. Other Assistant Inspectors General (AIG). Any other AIGs appointed by the IG shall develop, implement, and manage their programs under the policy, direction, and supervision of the IG.

e. NASA Managers. NASA managers are responsible for the following activities:

(1) Ensuring that all allegations of violations of Federal criminal and civil law, including cyber-related crimes, and all allegations pertaining to other crimes, fraud, waste, abuse, and mismanagement received by management are reported to the IG and that NASA Headquarters, Centers, and Component Facilities fully cooperate in the conduct of audits, investigations, reviews, and other OIG activity.

(2) Participating in the timely resolution and disposition of recommendations for corrective action or management improvement made by the OIG and promptly advising the IG of the actions taken on each recommendation.

(3) Ensuring that employees, organizations, and programs receiving NASA funds fully cooperate in the conduct of audits, investigations, reviews, and other OIG activity.

(4) Maintaining an effective audit followup system.

(5) Transmitting to the OIG information for reports to Congress required to be prepared by the Inspector General. Such reports are transmitted by the Administrator to Congress.

(6) Providing adequate equipment and support, including office space at NASA Headquarters and NASA Centers, including Component Facilities, other locations, and necessary maintenance services for equipment and offices provided.

f. NASA Employees. Any NASA employee who observes crime, fraud, waste, abuse, or mismanagement or receives an allegation of crime, fraud, waste, abuse, or mismanagement from a Federal employee, contractor, grantee, contractor or grantee employee, or any other source shall report such observation or allegation to the OIG. An employee may make such a report personally by contacting any OIG employee; calling the OIG Hotline (1-800-424-9183), which has been established specifically for receiving confidential reports; by mailing to the NASA Inspector General, P.O. Box 23089, L'Enfant Plaza Station, Washington, DC 20026; or by sending a message to the NASA OIG Cyber Hotline at <http://www.hq.nasa.gov/office/org/hq/hotline.html>. To ensure free and unimpeded access to the OIG, an employee may ask for confidentiality, which shall be provided under the terms of the IG Act. Employees are not required to report to their supervisors their contacts with the OIG.

6. Delegation of Authority

None.

7. Measurements

The OIG's semiannual report, mandated by the IG Act, requires reporting on the success of all OIG programs and activities. The semiannual report includes measurement of results in 13 areas specified in the IG Act.

8. Cancellation

NPD 9800.1, dated February 10, 1998.

/s/ Sean O'Keefe
Administrator

Attachment A: (Text)

None.

(URL for Graphic)

None.

DISTRIBUTION:
NODIS

This Document Is Uncontrolled When Printed.
Check the NASA Online Directives Information System (NODIS) Library
to Verify that this is the correct version before use: <http://nodis3.gsfc.nasa.gov>
