



Homeland  
Security

OCT 21 2010

MEMORANDUM FOR: Assistant Directors  
Special Agents in Charge  
Deputy Assistant Directors  
Attachés

FROM: James A. Dinkins *Michael J. Holt*  
Executive Associate Director

SUBJECT: Updated OPR/MIU Inspection Response Procedures

The Homeland Security Investigations (HSI), Investigative Services Division (ISD) has been designated as the liaison for all Office of Professional Responsibility (OPR), Management Inspections Unit (MIU) inspections of HSI field offices and programs. OPR/MIU regularly inspects and reviews HSI field offices and programs in order to provide executive management with an independent review of the inspected entity's internal controls and compliance with applicable policies and procedures.

At the conclusion of each inspection, OPR/MIU provides detailed inspection reports that identify deficiencies and efficiencies within the HSI operational and universal core areas of the inspected entity. It is expected that HSI senior managers, assigned to the inspected office, review the reports and take immediate action to ensure that all applicable agency policy is adhered to and that future instances of similar deficiencies are mitigated. HSI offices and programs are required to provide a response to OPR/MIU in the form of a corrective action plan that addresses the identified deficiencies.

Due to the reorganization of HSI, ISD is providing an updated standardized process for responding to OPR/MIU preliminary and final inspection reports. This updated process for responding to OPR/MIU inspection reports supersedes previous guidance issued on December 31, 2008. An overview of the updated standardized process has been attached for your review. All responses to OPR/MIU inspections of HSI field offices and programs will be prepared in accordance with this process.

If you have any questions, please contact (b)(6) (b)(7)(C) Unit Chief, Management Oversight Unit, at 202- (b) (7)(E) .

Attachment



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### *OPR/MIU Inspection Response Process*

The Homeland Security Investigations (HSI), Investigative Services Division (ISD), Management Oversight Unit (MOU) has established a process for responding to the Office of Professional Responsibility (OPR), Management Inspections Unit (MIU) preliminary and final inspection reports. The following process and corresponding timelines will be used by all HSI field offices and programs when responding to OPR/MIU inspections.

#### *Preliminary Inspection Report*

After the completion of an OPR/MIU inspection, the inspection team prepares and publishes a preliminary inspection report. The completed preliminary report is provided to the HSI Executive Associate Director (EAD) for review and dissemination to the affected office. The preliminary inspection report outlines the core areas in which deficiencies were found and may also highlight notable efficiencies within the inspected office.

Following the EAD's review of the OPR/MIU preliminary inspection report, MOU will prepare a memorandum from the EAD to the affected Special Agent in Charge, Deputy Assistant Director, or Attaché (SAC/DAD/Attaché). The memorandum will indicate HSI's receipt of the preliminary inspection report and will instruct the affected SAC/DAD/Attaché to review the deficiencies identified in the preliminary report and begin implementing corrective actions. A copy of the OPR/MIU preliminary inspection report will be attached to the memorandum.

Upon receipt of the memorandum and preliminary report, the affected SAC/DAD/Attaché will have 30 business days to prepare and submit a preliminary corrective action plan. The SAC/DAD/Attaché must ensure that the preliminary action plan details the office's plan to address the deficiencies identified in the OPR/MIU preliminary inspection report. The template for the preliminary corrective action plan is attached. The completed preliminary action plan should be addressed to the inspected office's appropriate Assistant Director and submitted to MOU.

#### *Final Inspection Report & Deficiency Spreadsheet*

After the completion of an OPR/MIU inspection, the inspection team prepares and publishes a final inspection report and deficiency spreadsheet. The completed final report is provided to the EAD for review and dissemination to the affected office. The final inspection report contains a detailed analysis of the core areas and provides a concise evaluation of policy compliance. In addition to the detailed report, OPR/MIU lists all identified deficiencies on a spreadsheet, which will be provided with the report.

Following the EAD's review of the OPR/MIU final inspection report, MOU will prepare a memorandum from the EAD to the affected SAC/DAD/Attaché. The memorandum will indicate HSI's receipt of the final inspection report and will instruct the SAC/DAD/Attaché to review the deficiencies identified in the final report and begin implementing comprehensive corrective actions. A copy of the OPR/MIU final inspection report will be attached to the memorandum.

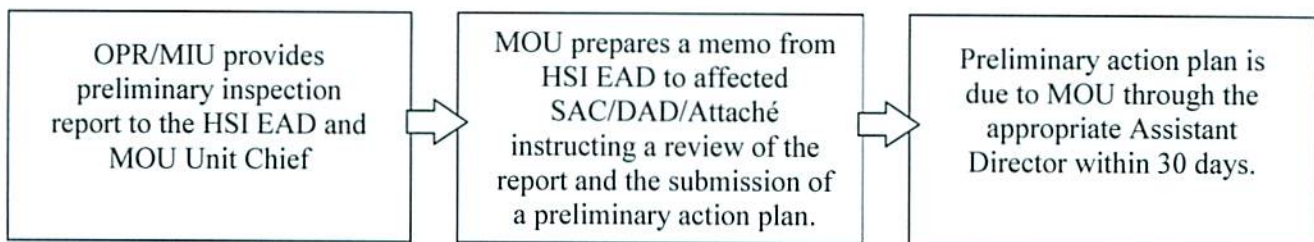


Upon receipt of the memorandum and final report, the affected SAC/DAD/Attaché will have 15 business days to prepare and submit a final corrective action plan. The SAC/DAD/Attaché must ensure that the final corrective action plan clearly details the office's plan to address all of the deficiencies identified in the OPR/MIU final inspection report. The template for the final corrective action plan is attached. Additionally, each inspected office is required to list all corresponding corrective actions in column H of the deficiency spreadsheet.

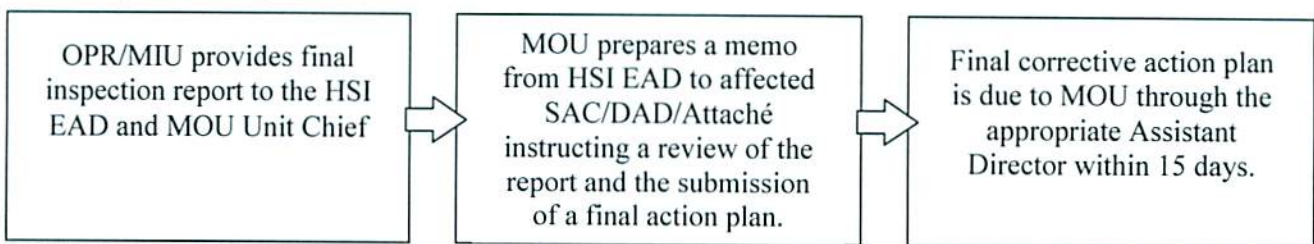
The completed final action plan should be addressed to the inspected office's appropriate Assistant Director and submitted to MOU along with the completed deficiency spreadsheet. MOU will notify the affected SAC/DAD/Attaché once the final corrective action plan has been approved and will provide instructions on releasing the plan to OPR/MIU. Corrective action plans are regularly utilized by OPR/MIU during follow-up inspections. All corrective action plans should enact meaningful procedures to ensure that identified deficiencies are corrected and that future instances of similar deficiencies are mitigated.

### Timeline Overview:

#### *Preliminary Inspection Report*



#### *Final Inspection Report*



#### *Response submission to OPR/MIU*

MOU will notify the affected SAC/DAD/Attaché once the final corrective action plan is approved. The SAC/DAD/Attaché will then have 5 days to forward the approved final corrective action plan to the designated OPR/MIU official.



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[Date]

MEMORANDUM FOR: Assistant Director

FROM: SAC/DAD/Attaché

SUBJECT: Preliminary/Final Corrective Action Plan

On [dates of inspection], OPR/MIU conducted an inspection of the [division/location]. On [date], the [inspected location] received a copy of the OPR/MIU preliminary/final inspection report. The SAC/DAD/Attaché [division/location] has prepared the following preliminary/final corrective action plan to address the deficiencies identified in the Office of Professional Responsibility, Management Inspections Unit (OPR/MIU) preliminary/final inspection report.

**Universal Core Areas**

Fleet Management

[List identified discrepancy]

Corrective Action:

[List detailed corrective action]

**Operational Core Areas**

Case Management

[List identified discrepancy]

Corrective Action:

[List detailed corrective action]

Recommendation:

**This preliminary/final corrective action plan enacts meaningful remedies to ensure that the identified deficiencies have been corrected and that future instances of similar deficiencies are mitigated. It is requested that the plan be approved for immediate implementation.**

**Approve:** \_\_\_\_\_

**Disapprove:** \_\_\_\_\_