

# NOAA PROTOCOLS FOR DOC OIG AND OTHER DEPARTMENT AUDITS AND EVALUATIONS



The NOAA Audit Staff is the focal point for Office of Inspector General (OIG) and Government Accountability Office (GAO) activities and serves as the central NOAA source of information and guidance. Housed in the Audit and Information Management Office, Office of the Chief Administrative Officer, the NOAA Audit Staff provides direction and guidance to NOAA offices on the development of responses to OIG and GAO reports.

Also, the NOAA Audit Staff assists in negotiations and resolution of disputed findings and recommendations, ensuring that responses reflect the NOAA perspective. The following outlined protocols are provided to assist in the execution of OIG audits and evaluations concerning NOAA. This includes the OIG from the Department of Commerce (DOC) as well as other department OIG.

## **Notification Memos or Letters for New Audits and Evaluations**

Please address notification memos or letters to the Under Secretary of Commerce for Oceans and Atmosphere if NOAA is the only bureau involved with the new audit or evaluation and include the following individuals in the email distribution:

- MaryAnn Mausser, DOC OIG Liaison, Office of Program Evaluation and Risk Management, [mmausser@doc.gov](mailto:mmausser@doc.gov)
- Mack Cato, NOAA, Director, Audit and Information Management Office, [Mack.A.Cato@noaa.gov](mailto:Mack.A.Cato@noaa.gov)
- NOAA Audit Staff at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov)

## **Entrance and Exit Conferences**

Please email requests for entrance and exit conferences to the NOAA Audit Staff at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov). The NOAA Audit Staff will facilitate the scheduling of the meetings, ensuring that the appropriate NOAA line and/or staff office representatives are in attendance.

Please submit meeting requests at least one week prior to the date you would like to hold the entrance and exit conference so that we can ensure appropriate subject matter experts can participate.

## **Requests for Documents and Interviews**

Once points of contacts within NOAA have been established by the NOAA Audit Staff and provided to the OIG, please cc: our group email account [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov) on requests for documents and follow-up meetings. This will assist NOAA in providing responsive documents and requests for subsequent meetings in a timely manner.

## **Progress Briefings**

When the OIG provides progress briefings as specified in DAO 213-2, *Inspector General Inspections and Evaluations*, Section 5.06, please coordinate these briefings with NOAA Audit Staff.

## **Preparing the Transmittal Memo**

Please address all memos transmitting draft and final reports to the Under Secretary of Commerce for Oceans and Atmosphere and cc: the following:

- MaryAnn Mausser, DOC, OIG Liaison
- Mack Cato, NOAA, Director, Audit and Information Management Office

## **Forwarding the Transmittal Memo and Report**

When transmitting draft or final audit reports to NOAA, we request that you include the NOAA Audit Staff who can be contacted by using our group account, [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov). The NOAA Audit Staff will distribute copies of the draft and final reports to the appropriate NOAA line and/or staff offices for their comments.

Due to the time needed to review as well as prepare and clear responses to draft reports, we request that transmittal letters reflect the 30-day response timeframe that is specified in DAO 213-2, *Inspector General*

*Inspections and Evaluations*, Section 6.03.

**Points of Contacts**

If you have any questions directed to NOAA, please contact one of the following members from the NOAA Audit Staff:

- Rhonda Lawrence, NOAA Audit Program Manager, 301-628-0948
- Brian Doss, NOAA GAO/OIG Audit Liaison, 301-628-0945
- Lisa Lim, NOAA GAO/OIG Audit Liaison, 301-628- 628-0967

The Director, Audit and Information Management Office, Office of the Chief Administrative Officer, NOAA, Mack Cato, [Mack.A.Cato@noaa.gov](mailto:Mack.A.Cato@noaa.gov) can be contacted at 301-628-0949.

The DOC OIG Liaison, MaryAnn Mausser, [mmausser@doc.gov](mailto:mmausser@doc.gov), can be reached at 202-482-8120.