



## Office of the City Auditor Policies and Procedures

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**Number:** 4.2.0**Title:** Allegation Receipt

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**Original Date:****Revision Date:****Approved by:**

10/01/1999

[Helen Niesner]

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**I. Policy**

An allegation received by the CAIU that indicates that an integrity violation may have occurred will be entered into the CAIU case file.

**II. Purpose**

This policy provides for an effective process for documenting allegations of integrity violations.

**III. Definition**

**Integrity violation criteria** is defined in Policy 4.1.0

**IV. Procedure**

- A. An allegation of an integrity violation will be logged as a new case, or combined with other related new allegations as a new case, or combined with an existing case. Therefore, a case may be one or more related allegations of possible integrity violations, depending on the degree to which planned investigative work overlaps.
- B. An integrity unit member who receives information indicating an integrity violation may have occurred will enter the information into the case file, assigning the next available case number. A hard file will also be created with the same assigned case number. Information entered should include the following when available:
  1. The Department and program involved,
  2. a description of the fraud, waste, or abuse,
  3. how and when the information was received.
- C. These data are subject to ratification and revision by a majority of members participating in an information evaluation.