**Section 420.250 Investigation Procedures and Reports**

a) TIME DURING WHICH INVESTIGATION IS TO BE CONDUCTED. Any person authorized to participate on behalf of the Auditor General in an investigation shall make every effort to assure that the orderly and efficient conduct of agency activities are subject to a minimum amount of disruption. Interviewing of personnel and examination of records and materials in the possession of agencies or individuals shall be confined to normal business hours unless otherwise agreed upon.

b) FURNISHING OF WORK AREA. An agency involved in an investigation, shall make reasonable effort to furnish the Auditor General's representatives a private area to carry out their duties.

c) PRIVACY. In the discretion of any auditor assigned to an investigation, or at the request of the individual being questioned, any part of the investigation may be held outside the presence of all persons other than representatives of the Office of the Auditor General; the individual being questioned; and the individual's counsel, if the individual desires to have his or her counsel present.

d) SAFEGUARDING OF INFORMATION DURING INVESTIGATION. All information obtained during the conduct of an investigation shall be held in strict confidence by the Office of the Auditor General and the personnel of the agencies or offices involved in the investigation during the conduct of an investigation except as provided in subsections (e) and (f) below and Section 420.630(b)(1) of this Part. This Section shall not prohibit the communication of information among persons involved in the investigation in furtherance of the investigation.

e) RESPONSE TO REPORT BY INDIVIDUALS.

1) When the Audit Manager has determined the proposed findings and recommendations to be included in an investigation report, the Audit Manager shall forward to each individual who was the subject of an investigation report those proposed findings and recommendations which relate to him or her. After the receipt of these materials an individual shall have 21 days in which to direct to the Auditor General any written comments the individual may have concerning the findings or recommendations involving him or her. Copies of an individual's written comments will be included in the final version of the investigation report if they are received in the Springfield Office of the Auditor General on or before the 21st day after the materials being commented upon were received by the individual.

2) Any written comments received after the period indicated above will be maintained in the official files of the Office of the Auditor General and thereafter dispensed with copies of the investigation report to which they pertain.

3) The Auditor General, in his or her sole discretion, may extend any time period or deadline specified in this Section.

4) For purposes of this subsection, the term "individual" means any person, business, partnership, corporation or other entity, other than a State agency, that is specifically named in a recommendation contained in an investigation report.

f) RESPONSE TO REPORT BY HEADS OF AGENCIES.

1) When the Audit Manager has determined the proposed findings and recommendations to be included in an investigation report, the Audit Manager shall forward a copy to the head of each agency involved in the investigation. An agency head (or his or her designee) shall have

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i) 7 days from receipt of the proposed findings and recommendations in which to request a conference (if he or she desires one) with the Office of the Auditor General concerning the proposed findings and recommendations. All requested conferences shall be completed within 14 days from the agency's receipt of the proposed findings and recommendations.

ii) Within 3 days of the close of the conference, the Office of the Auditor General shall forward to the agency head any changes in the proposed findings and recommendations.

B) 21 days from receipt of the proposed findings and recommendations in which to deliver to the Auditor General any written comments the agency may have concerning the findings and recommendations involving the agency.

2) A copy of an agency's written comments will be included in the final version of the investigation report if they are received in the Springfield Office of the Auditor General on or before the 21st day after the agency's receipt of the proposed findings and recommendations.

3) In the absence of a written response from the agency, within 21 days from the receipt by the agency head of the proposed findings and recommendations, the investigation report may be submitted without response. If no conference was held, the reason therefore shall be included in the audit workpapers. Any written comments received after the period indicated above will be maintained in the official files of the Office of the Auditor General and thereafter dispensed with copies of the investigation report to which they pertain.

4) The Auditor General, in his or her sole discretion, may extend any time period or deadline specified in this Section.

g) INVESTIGATION REPORTS. Upon completion of the investigation, the Auditor General will issue a report and submit copies in accordance with the provisions of Section 3-4 ISAA and maintain the records in accordance with the provisions of Section 3-11 ISAA and the regulation promulgated in relation thereto.

(Source: Amended at 20 Ill. Reg. 701, effective January 31, 1996)