

OFFICE OF STATE INSPECTOR GENERAL

FIELD INVESTIGATION PAPER REFERRAL PROCESS



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Field Investigation Process

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INTRODUCTION

This paper referral process is only to be followed on confidential cases and Tips received from the Office of State Inspector General (OSIG). All other referrals initiated by OIM must be referred to the OSIG through the electronic referral process in OARS.

For investigation requests on cases where a manager or administrator needs a confidential matter investigated, the manager or administrator will complete and forward the OSIG 12 paper referral and attached document(s) to the OSIG Special Agent. OSIG 12 paper referrals will also be used when a OSIG Special Agent refers findings from a Tipline investigation to the IMCW to take any needed actions based on the investigative findings. All other requests for investigations should be made using the electronic referral process as outlined in the “Electronic Processing of a Field Investigation Referral” document.

For OSIG 12 paper referrals, the OSIG Special Agent will conduct an investigation, complete the Investigative Findings Section of the Field Investigation Referral, and return the Field Investigation Referral to the manager, administrator, or IMCW assigned to the subject’s caseload (for Tips). The OSIG Special Agent will strive to complete the investigation within five workdays or notify the CAO liaison when extensions are required on referrals involving applications or reapplications. All other field investigations will be completed as soon as the OSIG Special Agent can develop the facts. Managers and administrators will only refer confidential cases with known domestic violence if they involve the TANF program after the referral has been reviewed and approved by DHS’s Bureau of Policy (BOP). Do not refer a case for investigation involving expedited SNAP benefits.

For Tips, the IMCW, upon review of the investigative findings, will make an eligibility determination. The IMCW will complete Section IV, Result of Investigation, and return the OSIG 12 to the OSIG Special Agent within 30 days.

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The manager or administrator initiates the Field Investigation Process by completing specific sections of the Field Investigation Referral (OSIG 12). The manager or administrator forwards the Field Investigation Referral and the appropriate application document (if referral involves an application) to the OSIG Special Agent. The OSIG 12 is processed as follows:

Manager or
Administrator

1. Completes Section I and Section II of the OSIG 12.
2. Provides comments to identify specific information that requires a field investigation. Information should include all steps the manager or administrator has conducted prior to the referral.
3. Submits the OSIG 12, a copy of the applicant's/individual's application document (if referral involves an application), and/or other supporting documentation to the OSIG Special Agent.

OSIG

4. Initiates an investigation. For Tips, the OSIG Special Agent receives the Tip and completes Section I and II of the OSIG 12 with all relevant information prior to initiating investigation.
5. Completes Section III of the OSIG 12, using the Investigative Findings Continuation Page, if necessary. The OSIG Special Agent will not use specific identifying information on contacts gathered during the investigation due to confidentiality concerns.
6. Returns the OSIG 12 to the manager or administrator, or the IMCW assigned to the caseload containing the subject of the Tip.

IMCW, Manager or
Administrator

7. Completes Section IV of the OSIG 12 indicating the action taken and forwards the OSIG 12 to the OSIG Special Agent within 30 days.

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INSTRUCTIONS FOR COMPLETING THE FIELD INVESTIGATION REFERRAL (OSIG 12)

SECTION I: REFERRAL INFORMATION - Completed by Manager or Administrator (OSIG Special Agent for Tips)

- Item 1** **INDIVIDUAL’S NAME** - Enter the applicant’s/individual’s first name, middle initial, and last name.
- Item 2** **IMCW NAME** - Enter the first name, middle initial, and last name of the manager or administrator who completes Sections I and II. (OSIG Special Agent will enter IMCW name for Tips)
- Item 3** **COUNTY/RECORD NUMBER** - Enter the applicant’s/individual’s two-digit county number and seven-digit record number.
- Item 4** **INDIVIDUAL NUMBER** – Enter the applicant’s/client’s nine-digit individual number
- Item 5** **LANGUAGE PREFERENCE** - Enter the applicant’s/client’s preferred language (do not enter code).
- Item 6** **DOES INDIVIDUAL CLAIM DOMESTIC VIOLENCE?** - Enter a check mark in the appropriate box to indicate if the applicant/client claims domestic violence. If domestic violence is known/indicated in the casefile, indicate that the client has claimed domestic violence. If domestic violence is known and the client is receiving TANF, the referral will be forwarded to DHS’s Bureau of Policy (BOP) for review via the resource account RA-PWDFADVREVIEWS@pa.gov. BOP will review the referral and the domestic violence circumstances. If it is determined by BOP that a referral should be made, BOP staff will return the referral indicating it is approved for referral to the OSIG. Once the approval is received from BOP, check “Yes” next to “If Yes, was referral reviewed and approved by BOP” in Box 9 and send the referral to the OSIG for investigation. If it is determined by BOP a referral should not be made, BOP staff will disapprove the referral and return it indicating no further action will be taken. The BOP staff member who reviewed the referral will complete the “Referral Reviewed By” field and add any relevant information in the “Comments” field.

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If domestic violence is known and the client is not receiving TANF, indicate that the client has claimed domestic violence on the OSIG 12, add any relevant information in the “Comments” field, and forward the referral to the OSIG.

- Item 7** **ASSISTANCE PROGRAMS/SERVICES INVOLVING INVESTIGATION -**
Enter a check mark in the appropriate box for each category of assistance or services for which the applicant/individual is applying or receiving. Include categories for Cash (TANF or GA), Supplemental Nutrition Assistance Program, Medical Assistance, GA Related Medical Assistance, TANF Related Medical Assistance, SSI Related Medical Assistance, PCA Related Medical Assistance, MG Related Medical Assistance, Special Allowance, Long Term Care, Child Care, Employment and Training, LIHEAP, and Other. Check all that apply.
NOTE: LIHEAP investigations are only to be referred if there is a suspicion of fraud.
- Item 8** **REFERRAL FOR -** Enter a check mark in the appropriate box to indicate the type of referral. Check all that apply.

SECTION II: REASON(S) FOR REFERRAL (Explain) - Completed by Manager or Administrator (OSIG Special Agent for Tips)

Complete this Section providing specific details about the information needed and all steps taken to verify information. The information provided will be used by the OSIG Special Agent when conducting the investigation. Managers and Administrators should use this area to indicate if this is a confidential referral and any necessary details. The OSIG Special Agent will enter specific details regarding the Tip received.

SIGNATURE & DATE – Sign/date the form.

REFERRAL DATE TO OSIG – Enter the date the referral is forwarded to the OSIG Special Agent.

SECTION III: INVESTIGATIVE FINDINGS - Completed by OSIG Special Agent

BFPP The BFPP file number is a tracking number used by the OSIG and is unique
FILE NO. to each investigation.

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- Item 1** **DATE RECEIVED** - Enter the date the OSIG Special Agent received the referral from the CAO or the date the OSIG Special Agent received the Tip.
- Item 2** **SPECIAL AGENT NAME** - Enter the OSIG Special Agent's first name, middle initial, and last name.
- Item 3** **DATE RETURNED** - Enter the date the OSIG Special Agent returns the referral form to the CAO.
- Item 4** **INVESTIGATIVE FINDINGS (USE CONTINUATION PAGE, IF NECESSARY)** - Enter a summary of the investigative findings without specific identifying information.
- SPECIAL AGENT SIGNATURE /DATE** - Sign/date the form and return it to the CAO.

SECTION IV: RESULT OF INVESTIGATION - Completed by Manager, Administrator, or IMCW for Tips

ACTION TAKEN: (CHECK BOX THAT APPLIES) - Enter a check mark in the box which best describes the action taken on the application. Check one box. **NOTE:** For Codes 62, 63, and 64 below, if the category of assistance is Special Allowances, Child Care, and/or LIHEAP, the IMCW, Manager or Administrator must provide the amount that the applicant would have received or recipient is ineligible to receive.

Codes:

- **61 - NO REDUCTION IN BENEFITS** - Eligibility for all categories of assistance was not affected by the OSIG Special Agent's findings.
- **62 - BENEFITS DENIED OR CLOSED AS RESULT OF OSIG INVESTIGATION** - The IMCW, Manager or Administrator, based on the OSIG Special Agent's findings, either denied issuing benefits for all categories of assistance on an application or closed all of an active recipient's benefits.
- **63 - VOLUNTARY WITHDRAWAL** - The applicant or recipient voluntarily withdrew their application for benefits or requested case closure.

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- **64 - REDUCED BENEFITS*** - Benefits were authorized, however, based on the OSIG Special Agent's findings the original amount of benefits requested for any category of assistance was reduced to correspond with the applicant's/recipient's eligibility or one category was closed or reduced while others remained open. As indicated by the asterisk (*), if Code 64 is marked, enter the reduced benefit amount(s) and/or number of persons in the **AUTHORIZED WITH REDUCED BENEFITS** field and include comments describing why benefits/persons were reduced in the **COMMENTS** field.

- **65 - CAO ACTION UNRELATED TO OSIG INVESTIGATION** - The application was denied before the OSIG Special Agent began or completed the investigation or for other reasons. If the reduction or closure is based on the OSIG Special Agent's findings, use Code 62 or 64.

COMMENTS: Explain the action taken.

SIGNATURE/DATE - Sign/date the form and return it to the OSIG Special Agent.