



When an executive branch agency becomes aware that an employee may have violated federal law, the agency is required to refer the matter to the Department of Justice (DOJ). DOJ then determines whether criminal prosecution is appropriate. (This is separate from an agency’s determination whether administrative action is appropriate.) If a referral involves a criminal conflict of interest statute, the agency must also provide an initial notification to OGE when the referral is made and then provide additional disposition information until the matter is resolved. OGE is reliant on each agency for timely notification of referrals and subsequent disposition information.

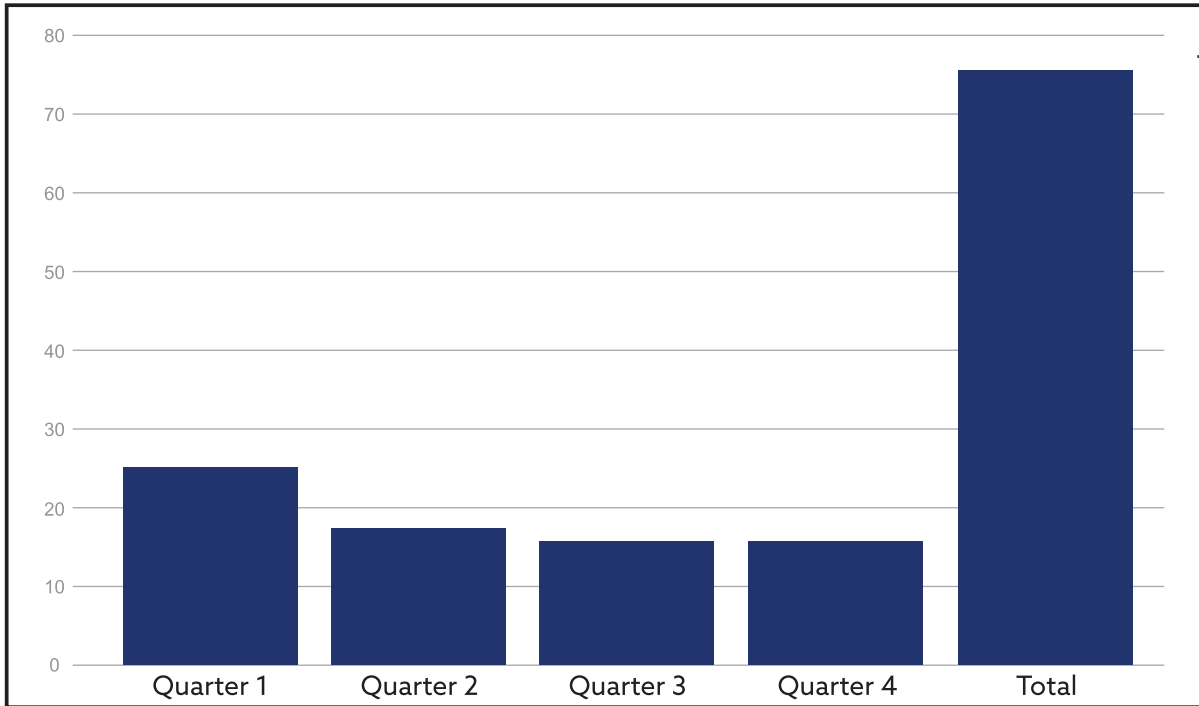


TABLE 01.
SHOWS THE NUMBER OF INITIAL REFERRAL NOTIFICATIONS RECEIVED WITHIN EACH QUARTER.

A single referral to DOJ (and initial notification to OGE) may address multiple violations, multiple statutes, and multiple individuals. To protect the integrity of any ongoing investigation, an agency’s initial notification to OGE only advises that the agency has made a referral to DOJ. The initial notification does not specify the number of potential violations, the specific statutes that may have been violated, or the number of individuals involved. That information is provided to OGE when disclosure will no longer jeopardize an investigation. OGE then updates Table 02 accordingly.

