



**USAID**  
FROM THE AMERICAN PEOPLE

# Partners' Day

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## Compliance

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# Compliance Division

## OBJECTIVES:

- **Prevent** fraud, waste, and abuse by using only “presently responsible” partners for implementation of USAID’s development programs thereby creating a foundation for success.
- **Promote** a culture of compliance by (1) serving as a central resource for compliance-related issues, by (2) limiting risk to both internal and external stakeholders, and by (3) facilitating constructive dialogue.

## ROLES AND RESPONSIBILITIES:

- **Protection** of taxpayer dollars
  - Review of disclosures and analysis of referrals
  - Recommendations to the Suspending and Debarring Official (SDO)
- **Engagement** with Partners
  - Outreach locally (Wash D.C. metro area) and at the Mission
  - Availability/access for questions and concerns
  - Discussions on “present responsibility”

## The Key: Present Responsibility

- Partners compliance with laws and regulations, award term conditions, internal controls, and ethical conduct.
- Some factors considered in assessing responsibility:
  - Standards of conduct
  - Voluntary disclosure
  - Internal investigation
  - Full cooperation
  - Paid costs
  - Remedial actions
  - Ethics training
  - Adequate amount of time for changes
  - Management recognition of issue
  - Disciplined employee

*Consider: What steps has a partner taken to identify, resolve, and prevent problems?*

# Suspension and Debarment Process

Referral for administrative action is received by USAID's Compliance Division (sent by OIG, partner disclosure, Mission, etc.)

1. Acts upon referral and initiates a recommended course of admin. action (e.g., show cause, susp., prop. debarment, no action).

2. Recommendation and the Admin. Record is sent to USAID's Office of General Counsel for legal review.

**USAID COMPLIANCE  
DIVISION**

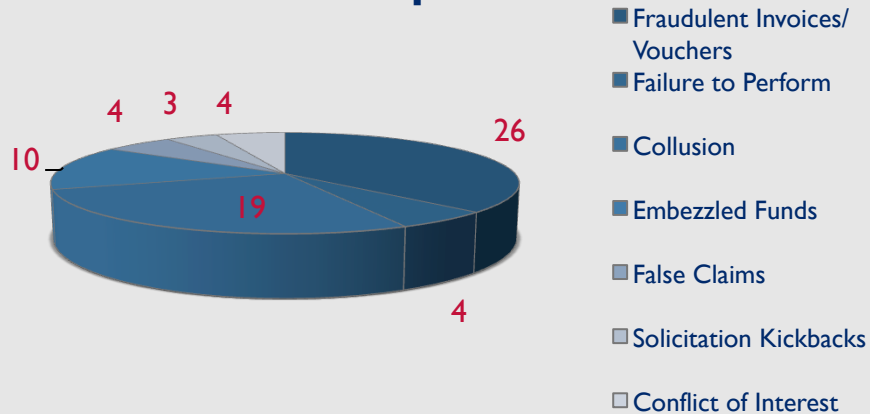
3. Recommendation and the Admin. Record is sent to the SDO for consideration and decision.

4. Administrative action is communicated to the partner or individual.

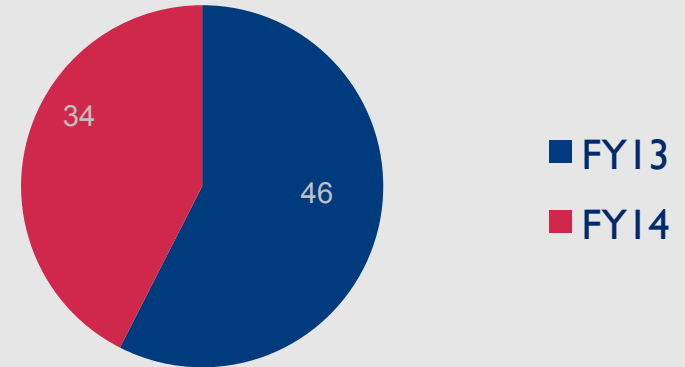
Potential Next Steps: Matters in Opposition, analysis of the Admin. Record for subsequent recommended action to SDO.

## Recent Trends, Referrals and Exclusions

### Recent Referrals to M/OAA Compliance



### Exclusions as a Result of S&D





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