# Appendix E: Report Review Checklist

REVIEWED ORGANIZATION

PERIOD REVIEWED

REPORT/PROJECT REVIEWED

NAME OF REVIEWER

DATE COMPLETED

### A. Report Review Checklist Purpose and Instructions

##### General

Peer reviewers from the Reviewing OIG should use this checklist as a guide to determine whether the report selected for review and its associated documentation complied with: (1) the seven covered Blue Book standards, and (2) the Reviewed Organization’s associated internal policies and procedures. The Reviewing OIG should assess each report’s compliance with the covered Blue Book standards and internal policies and procedures, as appropriate, whether the Reviewing OIG has determined that the Reviewed Organization’s internal policies and procedures adequately or sufficiently address the reviewed standards. A separate checklist should be completed for each report reviewed. Peer reviewers should keep in mind the flexibility offered by the Blue Book. The overall conclusion as to whether a report generally complied with each standard should be based on the totality of the information gathered and assessed related to the requirements of that standard. Peer reviewers should not use this checklist to review the Reviewed Organization’s monitoring or oversight of a contracted out I&E if the contractor signed the report and the Reviewed Organization did not endorse or take responsibility for the report. Additional information on peer review responsibilities for reviewing the Reviewed Organization’s monitoring or overseeing contracted out I&Es is available in Section X., “Planning and Performing the External Peer Review,” paragraph 18.

##### Use of This Checklist

* + - 1. Each section and question in this checklist corresponds to one of the seven Blue Book standards required by this Guide. The checklist should be amended to include additional Blue Book standard(s), if any, included in the scope of the peer review. To facilitate the review, references to the pertinent Blue Book standards are provided. For additional information, the reviewer should refer to the Blue Book. The Reviewing OIG may modify the checklist to address organization internal policies and procedures.
			2. The Reviewing OIG should answer the questions listed as **“Yes,” “No,” or “N/A [Not Applicable]”** based on their assessment of whether the report and project documentation complied with the covered Blue Book standards and the Reviewed Organization’s associated internal policies and procedures. However, interpretation as to whether a report complied with a specific Blue Book requirement should rely on the Blue Book itself, not the checklist question. The reviewer also should provide a narrative explanation or comment to support each response. The completed checklist should be included in the peer review project file.

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| **QUALITY CONTROL*****Each OIG organization that conducts inspections should have appropriate internal quality controls for that work.****The nature and the extent of these internal controls and their associated documentation will be dependent on a number of factors, such as the size and structure of the organization and cost-benefit considerations.* |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| **Did the reviewed report generally comply with the Quality Control standard?** |  |  |  |  |  |
| Did the project team generally comply with the Reviewed Organization’s internal policies and procedures implementing the Quality Control standard? |  |  |  |  |  |
| Is there documentation or other evidence that an independent assessment and/or independent review was conducted of the inspection processes or work? |  |  |  |  |  |
| Does the project file include documentation demonstrating an adequate level of supervision over the work conducted? |  |  |  |  |  |
| In the absence of written, policies and procedures, is there documentation or other evidence of appropriate quality control over the report reviewed, such as an independent assessment of the inspection processes and work conducted or an adequate level of supervision overthe work conducted? |  |  |  |  |  |

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| **PLANNING*****Inspections are to be adequately planned.****Research, work planning, and coordination should be thorough enough, within the time constraints of the inspection, to ensure that the inspection objectives are met.* |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| **Did the reviewed report generally comply with the Planning standard?** |  |  |  |  |  |
| Did the project team generally comply with the Reviewed Organization’s internal policies and procedures implementing thePlanning standard? |  |  |  |  |  |
| In the absence of written internal policies and procedures to implement the Planning standard, is there documentation or other evidence demonstrating that theinspection was adequately planned? |  |  |  |  |  |
| Did selection of the inspection topic consider:--the relevance of the topic,--the significance, and impact of potential outcomes, and/or--the needs of the agency or other stakeholders? |  |  |  |  |  |
| Does the project documentation demonstrate coordination of the planned work with other inspection, audit, and investigative entities, asappropriate? |  |  |  |  |  |

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| **PLANNING*****Inspections are to be adequately planned.****Research, work planning, and coordination should be thorough enough, within the time constraints of the inspection, to ensure that the inspection objectives are met.* |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| Does the project file show research, such as reviewing existing data and literature, holding discussions with program and other appropriate officials, and identifying relevant results from previous reviews, to facilitate the understanding and of theprogram or activity being inspected? |  |  |  |  |  |
| Does the project file show consideration of performing followup on known significant findings and recommendationsthat directly relate to the current inspection? |  |  |  |  |  |
| Does the project file show development of a work plan that clearly defines the inspection objective(s), scope, and methodology? |  |  |  |  |  |

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| **DATA COLLECTION AND ANALYSIS*****The collection of information and data will be focused on the organization, program, activity, or function being inspected, consistent with the inspection objectives, and will be sufficient to provide a reasonable basis for reaching conclusions.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| **Did the reviewed report generally comply with the Data Collection and Analysis standard?** |  |  |  |  |  |

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| **DATA COLLECTION AND ANALYSIS*****The collection of information and data will be focused on the organization, program, activity, or function being inspected, consistent with the inspection objectives, and will be sufficient to provide a reasonable basis for reaching conclusions.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| Did the project team generally comply with the Reviewed Organization’s internal policies and procedures implementing the Data Collection and Analysis standard? |  |  |  |  |  |
| In the absence of written internal policies and procedures on data collection and analysis, is there documentation or other evidence that the project team collected information and data sufficient to provide a reasonable basis for reaching the conclusions in the reviewed project? |  |  |  |  |  |
| Is the project documentation of the information collected sufficient to allow reviewers to assess the adequacy of the project’s sources of information? |  |  |  |  |  |
| Does the project file adequately document that collection methods used by the project team resulted in sufficientlyreliable and valid data to address the objectives of the inspection? |  |  |  |  |  |
| Does the project file demonstrate that:-- the confidentiality of individuals providing information was maintained, as appropriate? |  |  |  |  |  |
| – safeguards for sensitive, personal, proprietary, or classified information were in place, as appropriate? |  |  |  |  |  |

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| **DATA COLLECTION AND ANALYSIS*****The collection of information and data will be focused on the organization, program, activity, or function being inspected, consistent with the inspection objectives, and will be sufficient to provide a reasonable basis for reaching conclusions.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| Is the data appropriately and logically presented and adequately documented in the work papers to ensure supportable interpretations? |  |  |  |  |  |
| Does the project file document that data was reviewed for accuracy and reliability, and, when appropriate, the methods used to collect, process, and report the data were reviewed and revised? |  |  |  |  |  |
| Does the report satisfy the inspection objectives and address elements of thefinding(s) (criteria, condition, cause, and effect), as applicable? |  |  |  |  |  |

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| **EVIDENCE*****Evidence supporting inspection findings, conclusions, and recommendationsshould be sufficient, competent, and relevant and should lead a reasonable person to sustain the findings, conclusions, and recommendations.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| **Did the reviewed report generally comply with the Evidence standard?** |  |  |  |  |  |
| Did the project team generally comply with the Reviewed Organization’s internal policies and procedures implementing theEvidence standard? |  |  |  |  |  |

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| **EVIDENCE*****Evidence supporting inspection findings, conclusions, and recommendationsshould be sufficient, competent, and relevant and should lead a reasonable person to sustain the findings, conclusions, and recommendations.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| In the absence of written internal policies and procedures on evidence, is there documentation or other evidence that the project team collected sufficient, competent, and relevant evidence to support the inspection findings,conclusions, and recommendations? |  |  |  |  |  |
| Did the project team use reasonable collection and evaluation methods to obtain reliable and best obtainable evidence (e.g., independent source, from a system with internal controls, physical evidence, testimonial evidence from individuals who are not biased or with completeknowledge)? |  |  |  |  |  |
| Did the project team obtain and document sufficient evidence to persuade a knowledgeable person that the findingswere valid? |  |  |  |  |  |
| Is the evidence logically related and important to the issue being addressed? |  |  |  |  |  |

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| **RECORDS MAINTENANCE*****All relevant documentation generated, obtained, and used in supporting inspection findings, conclusions, and recommendations should be retained for an appropriate period of time.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| **Did the reviewed report generally comply with the Records Maintenance standard?** |  |  |  |  |  |
| In the absence of written internal policies and procedures on records maintenance, is there documentation or other evidence that the project team retained the relevant documentation supporting theinspection findings, conclusions, and recommendations? |  |  |  |  |  |
| Did the project team generally comply with the Reviewed Organization’s internal policies and procedures implementing theRecords Maintenance standard? |  |  |  |  |  |
| Did the supporting documentation provide:--a record of the nature and scope of the inspections work performed; and--evidence of supervisory or team leader review? |  |  |  |  |  |

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| **RECORDS MAINTENANCE*****All relevant documentation generated, obtained, and used in supporting inspection findings, conclusions, and recommendations should be retained for an appropriate period of time.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| Is the inspection documentation maintained (retained, marked, etc.?)-- in accordance with Reviewed Organization’s specific document management processes or requirements for safe custody, including ensuring that documents supporting inspection findings not maintained in the project file but by agency management are appropriately safeguarded? |  |  |  |  |  |
| --in accordance with the records retention and disposal schedule approved by the National Archives and Records Administration and/or the agency? |  |  |  |  |  |

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| **REPORTING*****Inspection reporting shall present factual data accurately, fairly, and objectively and present findings, conclusions, and recommendations in a persuasive manner.****Various means may be used to report on the results of inspection work, e.g., written reports, oral presentations, videos, or slide presentations. The content of the reporting will be affected by the specific means used and the purpose it is serving. Regardless of the means used, there should be retrievable documentation of the reporting*. |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| **Did the reviewed report generally comply with the Reporting standard?** |  |  |  |  |  |

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| **REPORTING*****Inspection reporting shall present factual data accurately, fairly, and objectively and present findings, conclusions, and recommendations in a persuasive manner.****Various means may be used to report on the results of inspection work, e.g., written reports, oral presentations, videos, or slide presentations. The content of the reporting will be affected by the specific means used and the purpose it is serving. Regardless of the means used, there should be retrievable documentation of the reporting*. |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| In the absence of written internal policies and procedures on reporting, is there evidence that the project team presented:-- factual data accurately, fairly, and objectively; and--findings conclusions, and recommendations in a persuasive manner? |  |  |  |  |  |
| Are the findings, conclusions, and recommendations presented in accordance with the Reviewed Organization’s policies and procedures? |  |  |  |  |  |
| Does the project file contain a copy of the report and/or other means used to communicate inspection results? |  |  |  |  |  |
| Is the report language clear and concise, considering that some inspections deal with highly technical material? |  |  |  |  |  |
| Based on the review of the project file, does the report:--accurately describe the inspection’s objective(s), scope, and methodology; and |  |  |  |  |  |

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| **REPORTING*****Inspection reporting shall present factual data accurately, fairly, and objectively and present findings, conclusions, and recommendations in a persuasive manner.****Various means may be used to report on the results of inspection work, e.g., written reports, oral presentations, videos, or slide presentations. The content of the reporting will be affected by the specific means used and the purpose it is serving. Regardless of the means used, there should be retrievable documentation of the reporting*. |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| --state that the inspection was conducted in accordance with the CIGIE Quality Standards for Inspection and Evaluation? |  |  |  |  |  |
| Does the final report provide the reader with sufficient context to understand the subject matter reviewed and the impact of the report’s recommendations, if any? |  |  |  |  |  |
| Are findings supported by sufficient, competent, and relevant evidence? |  |  |  |  |  |
| Are conclusions logical inferences about the inspected program or activity, based on the inspection findings? |  |  |  |  |  |
| Are recommendations crafted to clearly convey what needs to be corrected or achieved, but not overly prescriptive; and addressed to the appropriate management officials? |  |  |  |  |  |
| Did the project team request management comments from responsible officials on the content of the report and include the comments or a summary ofthe comments in the final report? |  |  |  |  |  |
| If applicable, was the confidentiality of individuals providing information appropriately maintained during the reporting process? |  |  |  |  |  |

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| **REPORTING*****Inspection reporting shall present factual data accurately, fairly, and objectively and present findings, conclusions, and recommendations in a persuasive manner.****Various means may be used to report on the results of inspection work, e.g., written reports, oral presentations, videos, or slide presentations. The content of the reporting will be affected by the specific means used and the purpose it is serving. Regardless of the means used, there should be retrievable documentation of the reporting*. |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable****Project Documentation)** |
| Based on responses to above and any other applicable information, was the report timely, complete, accurate, objective, convincing, clear, and concise? |  |  |  |  |  |
| Did the Reviewed Organization distribute the report:--to the officials responsible for acting on the findings and recommendations; and |  |  |  |  |  |
| --in compliance with the Reviewed Organization’s internal policies and all applicable legal and regulatory requirements (e.g., Privacy Act, FOIA, security, HIPPA, contractor proprietaryinformation)? |  |  |  |  |  |

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| **FOLLOWUP*****Appropriate followup will be performed to ensure that any inspection recommendations made to Department/Agency officials are adequately considered and appropriatelyaddressed.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| **Did the reviewed report generally comply with the Followup standard?** |  |  |  |  |  |

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| **FOLLOWUP*****Appropriate followup will be performed to ensure that any inspection recommendations made to Department/Agency officials are adequately considered and appropriatelyaddressed.*** |
|  | **Yes** | **No** | **N/A** | **Reviewing OIG Explanation and Comments** | **Reference (Identify Applicable Project Documentation)** |
| Did the project team conduct followup in accordance with the Reviewed Organization’s policies and procedures? |  |  |  |  |  |
| In the absence of written internal policies and procedures on followup, is there documentation that the I&E organization took actions to determine whether agency officials have taken timely, complete, and reasonable actions to correct problems identified in inspection reports andpreviously agreed on by management? |  |  |  |  |  |