Investigations Committee
Agenda
Tuesday April 29, 2014

Department of the Treasury
1500 Pennsylvania Ave., N.W.
Washington, D.C.
Room 5432 MT
10:00 a.m. to 11:00 a.m.

ADMINISTRATION

10:00  Opening Remarks

10:10  Review of amended February 4, 2014 IC minutes to
       acknowledge IC approval of PFCRA report and
       March 20, 2014 IC minutes review

       Eric Thorson

NEW BUSINESS

10:20  Quality Standards for Investigations (QSI) – Revision planning

       David Montoya, Todd Zinser

10:30  Debriefing from Annual AIGI Conference

       Timothy Camus

10:40  Investigations Peer Review Schedule presentation

       Timothy Camus

11:00  Adjourn

       Eric Thorson

Below are the anticipated dates for the next IC meetings.

   June 3, 2014
   August 5, 2014
   September 23, 2014
   November 12, 2014
Investigations Committee
Agenda
Tuesday, February 4, 2014

SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:00 a.m.

ADMINISTRATION

10:00  Opening Remarks
       Carl Hoecker

10:10  November 5, 2013 IC minutes review
       Carl Hoecker

OLD BUSINESS

10:20  Presentation – PFCRA Report
       Glenn Harris

NEW BUSINESS

10:30  Senator McCaskill request evaluating information sharing
       with security clearance review offices
       Carl Hoecker

10:40  IG Training Institute/IGCIA Update
       Tom Caulfield

11:00  Adjourn
       Carl Hoecker
Investigations Committee  
February 4, 2014 10 a.m.  
United States Securities and Exchange Commission  
100 F Street NE 

Meeting Minutes 

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative 
- Approval of minutes — Mr. Hoecker asked that the minutes from the November 5, 2013 meeting be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

Old Business 
- Program Fraud Civil Remedies Act (PFCRA) Practitioner’s Guide — Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group's final draft and provided a handout (see attached, p.1). Mr. Harris noted that the guide Money on the Table covers the process of PFCRA cases from “cradle to grave.” Following a brief discussion, the IC voted approval of the guide.

New Business 
- Congressional Request — Mr. Carl Hoecker introduced a discussion [redacted]

Adjournment 
- There being no further business, Mr. Hoecker adjourned the meeting at 11:00 a.m.
Investigations Committee
Agenda
Thursday, March 20, 2014

SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:00 a.m.

ADMINISTRATION
10:00  Opening Remarks
Carl Hoecker

10:10  February 4, 2014 IC minutes review
Carl Hoecker

NEW BUSINESS
10:20  Discussion Annual AIGI Conference (April)
Timothy Camus

10:30  Investigations Peer Review Schedule
Timothy Camus

10:40  Presentation of Draft IC response to (b)(5)
Carl Hoecker

11:00  Adjourn
Carl Hoecker

Below are the anticipated dates of the next IC meetings.

April 22, 2014
June 3, 2014
July 8, 2014
Investigations Committee
Thursday, March 20, 2014 10 a.m.
United States Securities and Exchange Commission
100 F Street NE

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

Approval of minutes – Mr. Hoecker asked that the minutes from the February 4, 2014 meeting be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

Old Business

Program Fraud Civil Remedies Act (PFCRA) Practitioner’s Guide – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group’s final draft). Mr. Harris told the group that there is now a PFCRA Road show that OIGs can request for on-site presentation to their respective staffs.

New Business

• AIGI Conference – Mr. Timothy Camus discussed the April event and indicated that he planned to circulate a draft agenda shortly.

• Investigations Peer Review Schedule – Mr. Camus also disclosed that the schedule is planned through 2015 and that per SIGAR’s request, the schedule will be evaluated to try to identify an OIG to conduct a peer review of EHEA’s OIG’s Investigations Office.

• Congressional Request – Mr. Carl Hoecker introduced an initial letter to the IGs from the IC Chair, (b)(5) Following a brief discussion regarding the issues associated with the IC memo, the IC agreed to provide the IC Chair comments in anticipation of circulation to the IG community.

Adjournment

There being no further business, Mr. Hoecker adjourned the meeting at 11:00 a.m.
Investigations Committee Agenda
Tuesday, November 5, 2013

SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:00 a.m.

ADMINISTRATION
10:00  Opening Remarks  Carl Hoecker
10:10  September 24, 2013 IC minutes review  Carl Hoecker

OLD BUSINESS
10:20  Update Program Fraud Civil Remedies Act (PFCRA) Guide  Glenn Harris
       VOTE
10:30  QSI Update Project status  Alan Boehm/James O’Neill
10:40  2014 IC project ideas feedback  Carl Hoecker

NEW BUSINESS
10:50  AIGI Update  Aaron Jordan/Tim Camus
11:00  Adjourn  Carl Hoecker

** The next Investigations Committee meeting will be December 10, 2013. **
Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative
- Approval of minutes — Mr. Hoecker asked that the minutes from the September 24, 2013 meeting be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With two corrections and no objection, the motion was passed.

Old Business
- Program Fraud Civil Remedies Act (PFCRA) Practitioner’s Guide — Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group’s final draft and provided a handout (see attached, p.1). Mr. Harris noted that the guide covers the process of PFCRA cases from “cradle to grave.” The IC unanimously voted to move the guide to the Executive Committee.

- Quality Standards for Investigations (QSI) Update Project — Mr. Alan Boehm briefed the Committee on the common competencies and periodic training updates and provided a handout (see attached, p.2-6). The updates will be emailed to IC members for review in advance of the December 10, 2013 IC meeting and vote. If approved, the revisions will be presented to the Executive Council for vote before going to the full CIGIE membership.

- Fiscal Year 2014 Project Proposals - Mr. Hoecker announced that the results of IC electronic votes on FY 2014 projects. The concerns of the IC members were that the proposals for CIGIE crosscutting projects were such that the IC should not be involved with at this point. He will notify the Executive Council.

- Update to the “Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General” Appendix C2 — Mr. Charles Coe, AIG for IT Audits & Computer Crime Investigations, Department of Education OIG, briefed the Committee that the checklist update has been approved by the IC and Information Technology Committee (ITC). Mr. Coe stated that ITC Chair plans Kathy Tighe to present the update to the Executive Council.

New Business
- AIGI Update — Mr. Aaron Jordan, PBGC AIGI and former AIGI Committee Chairman, stated that the last AIGI Committee meeting was postponed due to the government shutdown. The IC discussed False Claims training for special agents and auditors, not just attorneys.

- Peer Reviews — Mr. Jordan stated that the peer review schedule will be discussed at the next AIGI meeting.

Adjournment
- There being no further business, Mr. Hoecker adjourned the meeting at 11:00 a.m.
The following members were present:

Carl Hoecker, SEC IG, IC Chair
Mark Bialek, FRB IG
Allison Lerner, NSF IG
Todd Zinser, DOC IG

The following guests and observers were present:

Alan Boehm, AIGI, NSF OIG
Richard Clark, DAIGI, DOL OIG
Joe Clarke, DAIGI, HUD OIG
Charles Coe, AIG for IT Audits & Computer Crime Investigations, Ed OIG
Brian Crane, AIGI, SEC OIG
Lester Davis, DAIGI, HUD OIG
Peter Emerzian, DIGI, FHFA OIG
Rene Febles, AIGI, FHFA OIG

Glenn Harris, Counsel to the inspector General, SBA OIG
Aaron Jordan, AIGI, PBGC OIG

Dan O’Rourke, AIGI, SBA OIG
John Phillips, A/AIGI, Treasury OIG

Sheldon Shoemaker, Special Assistant, SBA OIG
Michael P. Stephens, Acting IG, FHFA OIG
Tewana Wilkerson, FHFA OIG
Allan Williams, AIGI, EPA OIG
Investigations Committee
Agenda
Tuesday, September 24, 2013
SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:30 a.m.

ADMINISTRATION
10:00 Opening Remarks
Carl Hoecker
10:10 August 6, 2013 IC minutes Review
Carl Hoecker

OLD BUSINESS
10:20 Update Appendix C2—9/13 vote result
Carl Hoecker
10:30 Update Program Fraud Civil Remedies Act (PFCRA) Guide
Glenn Harris
10:40 Suspension & Debarment Report
Ken Chason
10:50 QSI Update Project
Alan Boehm

NEW BUSINESS
11:00 MD.AUSAs presentation on working with IGs
(b)(6)
Allison Lerner
11:25 AIGI Update
(b)(6)
Aaron Jordan
11:30 Adjourn
Carl Hoecker

** The next Investigations Committee meeting will be November 5, 2013. **
Investigations Committee  
September 24, 2013 10 a.m.  
United States Securities and Exchange Commission  
100 F Street NE

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:05 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on August 6, 2013 be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection or correction, the motion was passed.

Old Business

- Update to the “Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General” Appendix C2 – Mr. Hoecker announced the results of IC electronic votes—all votes received were for approval of the C2 revisions. The revisions will be presented to the Executive Council for vote before going to the full CIGIE membership.

- Program Fraud Civil Remedies Act (PFCRA) – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group’s progress and provided a handout (see attached, p. 1). Mr. Harris noted that next PFCRA Working Group meeting has been scheduled for October 30, 2013.

- Suspension and Debarment Report – Ms. Allison Lerner, IG, NSF, briefly described the contents of the suspension and debarment report that was distributed to IC members before the meeting. IC agreed to review the report this week and vote on approval by Friday, September 27, 2013. Then, the final report will be brought to the CIGIE Executive Committee for vote. In addition, Ms. Lerner reminded the IC that the 4th Annual Suspension and Debarment workshop will be November 15, 2013. The workshop will be free, but limited to 250 attendees. Ms. Lerner advised that a formal announcement will be sent soon.

- Quality Standards for Investigations (QSI) Update Project – Mr. James O’Neill, AIGI, VA briefed the committee on the progress of the QSI. Mr. O’Neill stated that the working group received comments and only one remained to be addressed. Mr. O’Neill expects to have the final draft ready for IC review by the November 5, 2013 meeting. Then, the final updates will be brought to the CIGIE Executive Committee for vote.

New Business

- Peer Review Extension – Mr. Hoecker announced that he granted a two-quarter extension to SIGAR. In addition, Mr. Hoecker requested the IC approve his request to postpone the SEC OIG’s investigative peer review from FY 2014 Quarter 1 to FY 2014 Quarter 3. Ms. Lerner moved to approve the extension and Mr. Mark Bialek, IG, FRB, seconded the motion. The motion passed unanimously.
• MD AUSAs presentation discussed tips and gave advice on presenting fraud and corruption cases to their offices.

• AIGI Update – Mr. Aaron Jordan, PBGC AIGI and AIGI Committee Chairman, stated that the AIGIs discussed the concerns over Emergency Support Function (ESF) #13 activation roles. Mr. Jordan confirmed that OIG’s are limited to security support roles in national emergencies under the Attorney General’s current guidance. The committee briefly discussed this issue.

• AIGI Committee leadership change – Mr. Jordan’s term as AIGI Committee Chair will expire on September 30, 2013. His replacement will be Mr. Alan Boehm, NSF AIGI. In addition, Mr. Brian Crane, SEC AIGI, (formerly Treasury AIGI) will be replaced as AIGI Committee Vice Chair by Timothy Camus, TIGTA Deputy IG for Investigations.

Adjournment

• Mr. Bialek announced that his AIGI, Harvey Witherspoon, will be retiring and Export-Import AIGI Larry Valett will act in Mr. Witherspoon’s place.

• Mr. Hoecker summarized the FY 2014 proposed IC projects and the IC agreed to review the proposals and later decide on the projects via email.

• There being no further business, Mr. Hoecker adjourned the meeting at 11:35 a.m.

The following members were present:

Carl Hoecker, SEC IG, IC Chair
Eric Thorson, Treasury IG, IC Vice Chair
Mark Bialek, FRB IG
Peg Gustafson, SBA IG
Allison Lerner, NSF IG
David Montoya, HUD IG

The following guests and observers were present:

Alan Boehm, AIGI, NSF OIG
Tim Camus, DIGI, TIGTA
Ken Chason, Counsel, NSF
Brian Crane, AIGI, SEC OIG
George Dorsett, AIGI, DOJ OIG
Peter Emerzian, DIGI, FHFA OIG
Rene Febles, AIGI, FHFA OIG
Glenn Harris, Counsel to the Inspector General, SBA OIG
Kathy Horsley, DAIGI, USDA OIG
Aaron Jordan, AIGI, PBGC OIG
James O’Neill, AIGI, VA OIG
John Phillips, A/AIGI, Treasury OIG
Allan Williams, AIGI, EPA OIG
Investigations Committee
Agenda
Tuesday, August 6, 2013

SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:20 a.m.

ADMINISTRATION

10:00  Opening Remarks                      Carl Hoecker

10:10  June 25, 2013 IC minutes Review

OLD BUSINESS

10:20  Update Appendix C2                  Mark Smith

10:30  Program Fraud Civil Remedies Act (PFCRA)

10:40  Communities of Practice (COP) initiative

10:50  FLETC Certification of Digital Forensics

11:00  QSI Update Project                  Tom Caulfield

11:00  QSI Update Project                  Jim O'Neill/Aaron Jordan

NEW BUSINESS

11:10  AIGI Update                        Aaron Jordan

11:20  Adjourn                            Carl Hoecker

** The next Investigations Committee meeting will be September 24, 2013. **
Investigations Committee  
August 6, 2013 10 a.m.  
United States Securities and Exchange Commission  
100 F Street NE

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:05 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

- **Approval of minutes** – Mr. Hoecker asked that the minutes from the meeting on June 25, 2013 be reviewed for content. After review and one correction, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

Old Business

- **Update to the “Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General” Appendix C2** – Mr. Mark Smith, on behalf of Charles Coe AIG for IT Audits & Computer Crime Investigations, Department of Education OIG, briefed the IC on the Appendix C2 checklist revisions, stating that the CIGIE IT Committee received and reviewed checklist comments. Mr. Smith also stated that during this review, the IT Committee realized that the C1 checklist requires an update. Finally, Mr. Smith stated that the IT and Investigations Committees will need to vote on final approval of the revisions. To expedite the vote, Mr. Hoecker will email the final list to members and request electronic votes.

- **Program Fraud Civil Remedies Act (PFCRA)** – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group’s progress and provided a handout (see attached, p. 1). Mr Harris noted that next PFCRA Working Group meeting has been scheduled for September 4, 2013.

- **Communities of Practice (COP) initiative** – Ms. Allison Lerner, NSF IG, and Mr. Bill Siemer, USPS AIGI, briefed the Committee on the COP initiative. The IC members agreed to monitor COP efforts and offer the IC’s concerns to the CIGIE Professional Development Committee.

- **FLETC Certification of Digital Forensics** – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, presented a brief overview of the distinction between a certification of a digital forensics program and a digital forensics program certificate. Mr. Caulfield stated that the Federal Law Enforcement Training Center will likely not pursue certification of a program—opting instead to have certificates of digital forensics course completion.

- **Quality Standards for Investigations (QSI) Update Project** – Mr. Alan Boehm, NSF AIGI, briefed the committee on the progress of the QSI and provided the members a handout (see attached, p. 2). Mr. Boehm stated that any comments can be send to him or VA AIGI James O’Neill and that the AIGIs will also vet any proposed changes. When changes are in final draft, they will be brought to the IC for vote before moving before the CIGIE Executive Committee.
New Business

- **AIGI Update** – Mr. Brian Crane, SEC AIGI, on behalf of Aaron Jordan, PBGC AIGI and AIGI Committee Chairman, stated that there are still concerns over Emergency Support Function (ESF) #13 activation roles. The committee briefly discussed this issue.

Adjournment

- Ms. Allison Lerner, IG NSF, offered a reminder that the 4th Annual Suspension and Debarment workshop will be November 15, 2013. The workshop will be free, but limited to 250 attendees. Ms. Lerner advised that a formal announcement will be sent.

- There being no further business, Mr. Hoecker adjourned the meeting at 11:00 a.m.

The following members were present:

- Carl Hoecker, SEC IG, IC Chair
- Scott Dahl, SI IG
- Arthur Elkins, EPA IG
- Michael Horowitz, DOJ OIG
- Allison Lerner, NSF IG
- Brian Miller, GSA IG
- David Montoya, HUD IG
- Todd Zinser, DOC IG

The following guests and observers were present:

- Olga Acevedo, FHFA OIG
- Matt Alessandrino, AIGI, FDIC OIG
- Alan Boehm, AIGI, NSF
- Tom Cauifield, Executive Director, CIGIE Training Institute
- Brian Crane, AIGI, SEC OIG
- John Dupuy, AIGI, DHS OIG
- Karen Ellis, AIGI, USDA OIG
- Glenn Harris, Counsel to the Inspector General, SBA OIG
- Marie Ingol, AIGI GAO
- Dan O’Rourke, AIGI, SBA OIG
- Lee Quintyne, DAIGI, GSA OIG
- Sheldon Shoemaker, Special Assistant, SBA OIG
- Bill Siemer, AIGI, USPS OIG
- Mark Smith, Ed OIG
- Patrick Sullivan, AIGI, EPA OIG
- Harvey Witherspoon, AIGI, FRB OIG
Council of the Inspectors General on Integrity and Efficiency

Investigations Committee
Draft Agenda
Tuesday, June 25, 2013

SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:30 a.m.

ADMINISTRATION
10:00 Opening Remarks and New Member Welcome
   Carl Hoecker
10:05 May 14, 2013 IC minutes Review

OLD BUSINESS
10:10 Update Appendix C2
   Chuck Coe
10:20 Program Fraud Civil Remedies Act (PFCRA)
   Glenn Harris

NEW BUSINESS
10:30 Communities of Practice (COP) initiative
   Allison Lerner
10:40 Committee activities for year
   Carl Hoecker
10:50 QSI Update Project
   Aaron Jordan
11:00 AIGI Update
   Aaron Jordan
11:30 Adjourn
   Carl Hoecker

** The next Investigations Committee meeting will be August 6, 2013. **
Meetings Minutes

The meeting was called to order at 10:25 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

- **Approval of minutes** – Mr. Hoecker asked that the minutes from the meeting on May 14, 2013 be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.
- **CIGIE Job Task Analysis (JTA)** – Mr. Hoecker announced that the JTA was accepted for CIGIE Executive Council review.
- **New Member Welcome** – Mr. Hoecker welcomed Federal Reserve Board IG Mark Bialek, Smithsonian Institute IG Scott Dahl, Intelligence Community IG i. Charles McCullough III, Commerce IG Todd Zinser, and GAO IG Adam Trzeciak.

Old Business

- **Update to the “Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General” Appendix C2** – Mr. Charles Coe, AIG for IT Audits & Computer Crime Investigations, Department of Education OIG, briefed the Committee on the Appendix C2 checklist revisions, stating that the revisions reflect the new QSI for Digital Forensics. Mr. Coe advised that the CIGIE IT committee has approved the revisions. The revised checklist will be emailed to Investigation Committee members for comment in 1-2 days.
- **Program Fraud Civil Remedies Act (PFCRA)** – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peggy Gustafson, SBA IG, briefed the Committee on the PFCRA working group's progress. A PFCRA Practitioner's Guide finalization has been delayed. There are plans to schedule a merger proposal meeting with the DOD and NASA. Finally, Mr. Harris requested that the working group be scheduled a 45 minute presentation block during the November 16, 2013 Suspension and Debarment conference. The next working group meeting has not yet been scheduled. The IC thought this was appropriate.

New Business

- **Communities of Practice (COP) initiative** – Mr. Ken Chason, Counsel to the Inspector General, NSF, briefed the Committee on the COP initiative. Mr. Chason noted that the initiative has just recently been established at CIGIE Professional Development Committee working group. Mr. Chason stated that the COP would be a multi-agency online forum to share best practices. The forum may have a variety of roles or permission. The working group is discussing objectives and success measures.
- **Investigations Committee activities for the year** – Mr. Hoecker announced that VA AIGI Jim O'Neill will help revise the Quality Standards for Investigations Appendices A and B and possibly the Quality Assessment Review Guide.
• **AIGI Update** – Mr. Hoecker, on behalf of Aaron Jordan, PBGC OIG AIGI and AIGI Committee Chairman, stated that the next AIGI committee meeting will be July 9, 2013. Mark Jones, CIGIE Executive Director, plans to discuss investigation statistics reporting during that meeting.

**Adjournment**
- Steve Linick offered to share a Suspension and Debarment video. It will be shared through email.
- There being no further business, Mr. Hoecker adjourned the meeting at 11:20 a.m.

The following members were present:

Carl Hoecker, SEC IG, IC Chair  
Eric Thorson, Treasury IG, IC Vice Chair  
Scott Dahl, SI IG  
Arthur Elkins, EPA IG  
Steve Linick, FHFA IG  
David Montoya, HUD IG

The following guests and observers were present:

Tim Camus, DIGI, TIGTA  
Tom Caulfield, Executive Director, CIGIE Training Institute  
Ken Chason, Counsel, NSF  
George Dorsett, DAIGI, DOJ OIG  
John Dupuy, AIGI, DHS OIG  
Glenn Harris, Counsel to the Inspector General, SBA OIG  
Tony Ogden, DIG, FRB  
James O’Neill, AIGI, VA OIG  
(b)(6)  
Michael P. Stephens, FHFA Principal Deputy IG  
(b)(6)  
Patrick Sullivan, AIGI, EPA OIG  
Mary Beth Sullivan, A/AIGI, SEC OIG
Investigations Committee  
Draft Agenda  
Tuesday, May 14, 2013

SEC Headquarters  
100 F Street, NE  
Washington, DC 20549  
10:00 a.m. to 11:30 a.m.

ADMINISTRATION
10:00 OPENING REMARKS                                     Carl Hoecker
10:05 April 2, 2013 IC minutes Review

OLD BUSINESS
10:10 Job Task Analysis                                           Geoffrey Cherrington
    Committee Action/Approval Required
    Please see read ahead documents
10:20 Program Fraud Civil Remedies Act (PFCRA)                  Glenn Harris
10:30 UC Guidelines update                                       Joseph McMillan

NEW BUSINESS
10:40 FLETC Accreditation of Digital Forensics                 Tom Caulfield
10:50 Update Appendix C2                                         Chuck Coe
11:00 AIGI Update                                               Aaron Jordan
11:15 Discussion: Joint Investigative Statistics               Carl Hoecker
11:30 Adjourn

The next Investigations Committee meeting will be June 25, 2013.
Investigations Committee
May 14, 2013 10 a.m.
United States Securities and Exchange Commission
100 F Street NE

Meeting Minutes

The meeting was called to order at 10:05 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on April 2, 2013 be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

Old Business

- CIGIE Job Task Analysis (JTA) – Mr. Hoecker opened the floor for discussion regarding the JTA report. The Committee discussed and agreed to add language concerning the AIGI’s endorsement of the report before the report is brought to the CIGIE Executive Council on June 5, 2013. The Investigations Committee unanimously voted in favor of presenting the revised JTA report as optional guidance to Executive Council.

- Program Fraud Civil Remedies Act (PFCRA) – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peggy Gustafson, SBA IG, briefed the Committee on the PFCRA working group’s progress. A PFCRA Practitioner’s Guide has been drafted; this handbook will be sent to the IC Chair for Committee discussion/comment. The target distribution is the OIG and OCG communities. Mr. Harris informed the Committee that the working group has made progress on (b) (5) in addition, meeting attendees discussed (b) (5).

  The next working group meeting is scheduled for late June.

- Undercover Review Committee (URC) – Mr. Hoecker informed the Committee that the three URC recommendations for revision to the CIGIE Undercover Review Guidelines would be presented to the Executive Council at the June 5th meeting.

New Business

- FLETC Certification of Digital Forensics – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, presented a brief overview of the Federal Law Enforcement Training Center’s certification of a Digital Forensics program. Mr. Caulfield stated that FLETC had made no decisions and was considering many concerns brought to its attention.

- Update to the “Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General” Appendix C2 – Mr. Charles Coe, AIG for IT Audits & Computer Crime Investigations, Department of Education OIG, briefed the Committee that the revised Appendix C2 checklist is simple but referenced against the QSI. The revised checklist will be ready for Committee comment in approximately two weeks.

- AIGI Update – Mr. Aaron Jordan, PBGC OIG AIGI and AIGI Committee Chairman, summarized four topics from the AIGI Conference. The topics were (1) audio recording of OIG interviews, (2) OIG internal affairs investigations, (3) lessons learned from peer reviews, and (4) Emergency Support Function activation.
• **Joint Investigative Statistics** – Mr. Hoecker, on behalf of Mr. Mark Jones, CIGIE Executive Director, distributed a “Sample for Potential Future Reporting of Investigations Statistics” and thanked TIGTA AIGI Tim Camus for his assistance with the statistical query used to calculate the joint statistics. The Committee discussed joint investigative efforts and differences among calculations used to determine cost savings. Mr. Hoecker suggested Mr. Jones provide another sample of statistics table and present to the AIGI Committee.

**Adjournment**
• There being no further business, Mr. Hoecker adjourned the meeting at 11:40 a.m.

The following members were present:

Carl Hoecker, SEC IG, IC Chair  
Eric Thorson, Treasury IG, IC Vice Chair  
Allison Lerner, NSF IG

The following guests and observers were present:

Matt Alessandrino, AIGI, FDIC OIG  
(b)  
Tim Camus, DICI, TIGTA  
Tom Caulfield, Executive Director, CIGIE Training Institute  
Geoff Cherrington, AIGI, GSA OIG  
Brian Crane, AIGI, Treasury OIG  
Lester Davis, DAIGI, HUD OIG  
John Dupuy, AIGI, DHS OIG  
Bill Hamel, AIGI, Ed. Dept. OIG  
Glenn Harris, Counsel to the Inspector General, SBA OIG  
Aaron Jordan, AIGI, PBGC OIG  
(b)  
Michael P. Stephens, FHFA Principal Deputy IG  
Patrick Sullivan, AIGI, EPA OIG  
Mary Beth Sullivan, A/AIGI, SEC OIG  
Joe Vallowe, DAIGI, VA OIG
Investigations Committee
Agenda
Tuesday, April 2, 2013

SEC Headquarters
100 F Street, NE
Washington, DC 20549
10:00 a.m. to 11:55 a.m.

ADMINISTRATION
10:00 OPENING REMARKS

January 8, 2013 IC minutes

OLD BUSINESS
10:05 Job Task Analysis

NEW BUSINESS
10:20 IGClA Accreditation of IGITP
10:40 Program Fraud Civil Remedies Act (PFCRA)
10:55 Voluntary Peer Review
11:10 AIGl conference
11:25 UC guidelines update
11:40 Joint Investigative Statistics
11:55 Adjourn

Carl Hoecker
Geoffrey Cherrington
Tom Caulfield
Glenn Harris
J. Cameron Thurber
Aaron Jordan
Joseph McMillan
Mark Jones
Investigations Committee  
April 2, 2013 10 a.m.  
United States Securities and Exchange Commission  
100 F Street NE

Meeting Minutes

The meeting was called to order at 10:05 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on January 8, 2013 be reviewed for content. After review, Mr. Jordan noted needed corrections and Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.
- Agenda Review – Mr. Hoecker gave an overview of the agenda items and order.

Old Business

- CIGIE Job Task Analysis – Mr. Geoffrey Cherrington, AIGI, GSA OIG, briefed the committee on the review of a 90 page draft report from the CIGIE Training Institute. IC committee members discussed using the JTA as a non-mandatory guide and updating the Quality Standards for Investigations.

New Business

- IGClA Accreditation of Inspector General Investigator Training Program (IGITP) – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, presented a brief overview of the Federal Law Enforcement Training Accreditation process. IGITP and Basic Non-Criminal Investigator Training Program accreditation is expected in July 2013. IGClA will work to receive accreditation on other Academy courses next year.
- Program Fraud Civil Remedies Act (PFCRA) – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peggy Gustafson, SBA IG, presented a brief overview, with a status report handout. Having been approved by the CIGIE as a cross-cutting project in November 2012, the working group meet January 9, 2013. The next meeting is scheduled for April 24, 2013. A PFCRA handbook has been drafted; the handbook team will meet April 3, 2013, to assess status. DOJ correspondence template and PFCRA training course are being developed.
- Undercover Review Committee (URC) – Mr. Joseph McMillan, AIGI, NRC OIG, briefed the committee on URC guidelines with a status report handout. The URC currently uses eight members and two alternates. URC made three recommendations for revision to the CIGIE Undercover Review Guidelines.
- Joint Investigative Statistics – Mr. Mark Jones, CIGIE Executive Director, briefed the committee on the difficulty of eliminating duplicate reports of investigation statistics and and provided a handout regarding four options to improve the statistic reporting process. TIGTA AIGI Tim Camus offered staff support to determine if electronic queries could be used to reduce or eliminate duplicate reporting.

Adjournment

- There being no further business, Mr. Hoecker adjourned the meeting at 11:30 a.m.
The following members were present:

Carl Hoecker, SEC IG, IC Chair

The following guests and observers were present:

Matt Alessandrino, AIGI, FDIC OIG
(b) (3) (B)

Ken Chason, Counsel to the Inspector General, NSF
Tim Camus, DIGI, TIGTA
Tom Caulfield, Executive Director, CIGIE Training Institute
Geoff Cherrington, AIGI, GSA OIG
Brian Crane, AIGI, Treasury OIG
John Dupuy, AIGI, DHS OIG
Charles K. Edwards, DIG, DHS OIG
Bill Hamel, AIGI, Ed. Dept. OIG
Glenn Harris, Counsel to the Inspector General, SBA OIG
Mark Jones, Executive Director, CIGIE
Aaron Jordan, AIGI, PBGC OIG
Joseph McMillan, AIGI, NRC OIG
Dan O'Rourke, AIGI, SBA OIG
(b) (6)

Sheldon Shoemaker, Special Assistant, SBA OIG
Michael P. Stephens, FHFA Principal Deputy IG
Robert P. Storch, Counsel to the Inspector General, DOJ
Patrick Sullivan, AIGI, EPA OIG
Mary Beth Sullivan, A/AIGI, SEC OIG
Joe Vallowe, DAIGI, VA OIG
(b) (6)
Investigations Committee
Agenda
Tuesday, January 8, 2013

USCP Headquarters
119 D Street, NE
Washington DC 20510
10:00 AM to 11:30 PM

ADMINISTRATION
10:00 OPENING REMARKS

October 23, 2012 IC minutes

OLD BUSINESS
10:05

NEW BUSINESS
10:10 Program Fraud Civil Remedies Act (PFCRA)

10:25 Job Task Analysis

10:45 Investigations Academy Course Curriculum Reviews

11:00 IGClA Update

11:15 Voluntary Peer Review

11:30 Adjourn

Carl Hoecker

Glenn Harris

G. Cherrington/A. Jordan

G. Cherrington

Tom Caulfield

J. Cameron Thurber
Investigations Committee  
January 8, 2013 10 a.m.  
United States Capitol Police Headquarters  
119 D Street NE

Meeting Minutes

The meeting was called to order at 10:00 a.m. by Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP).

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on October 23, 2012 be reviewed for content. After review Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

- Agenda Review – Mr. Hoecker gave an overview of the agenda items and order.

Old Business – There being no outstanding business items from the previous meeting, Mr. Hoecker moved directly to the new business before the committee.

New Business

- Program Fraud Civil Remedies Act (PFCRA) – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peggy Gustafson, SBA IG, presented a brief overview, with a handout, of “The Program Fraud Civil Remedies Act of 1986”. Having been approved by the CIGIE as a cross-cutting project in November 2012, the first meeting to examine putting out a survey and developing a white paper will be held January 9, 2013.

- CIGIE Job Task Analysis – Mr. Geoffrey Cherrington, AIGI, GSA OIG, briefed the committee on the progress of a 90 page draft report from the CIGIE Training Institute, currently under review by the AIGI committee. Subsequent to this review, comments will be due back from the AIGI Committee on the draft to Mr. Cherrington by January 15, 2013.

- Investigations Academy Course Curriculum Reviews – Mr. Cherrington then briefed the committee and discussed that historically the IGCA has taken the recommended changes from the CRCs and incorporated them into the new lesson plans for each respective class. The AIGIs were advised of the changes and it was then incumbent upon each AIGI to brief their individual IGs on those changes. Currently the AIGI Training Subcommittee reviews the Curriculum Review Committee (CRC) changes and provides feedback whereupon the changes are incorporated and then sent to the AIGIs as an “FYI”. Because the IC has expressed interest in having more exposure to changes, the following options were suggested as a way forward:
Ms. Angela Hrdlicka, Executive Director, Inspector General Criminal Investigator Academy (IGCIA), offered some overview and an update of the curriculum review for the Public Corruption CRC and staffing support.

- **IGCIA FLET Update Briefing** – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, introduced Ms. Angela Hrdlicka, who provided a summary presentation, with handout, of the IG Investigator Training Program. A committee member inquired, pursuant to ongoing issues at their agency, whether the curriculum incorporates education dealing with union issues such as representatives present during interviews. Ms. Hrdlicka confirmed that the IGITP curriculum did include course work and scenario based training on cases involving unions and union representatives. Ms. Hrdlicka reminded the committee that the FY13 training catalog is now available on the IGCIA website.

- **H.R. 4310-339** – Mr. Hoecker distributed copies of a portion of the National Defense Authorization Act for Fiscal Year 2013, which pertains to the protection of law enforcement officers with regard to liability purposes, who act under the color of their office in the line of duty during off duty hours.

- **Voluntary Peer Review** – Mr. J. Cameron Thurber, Counsel/Chief Investigator, FEC OIG, who is managing the scheduling of the DFE investigations peer review program, provided attendees with a revised peer review schedule for DFEs (Investigations) dated November 29, 2012. Mr. Thurber mentioned there may be a training session held to assist those OIGs conducting the review.

- Mr. Hoecker advised the committee that effective January 4, 2013, Mr. Joseph McMillan, AIGI, NRC OIG, has been reappointed as the chairperson of the Undercover Review Committee (URC) and will be appointing a minimum of five AIGIs to serve on the URC with him.

- Mr. Aaron Jordan, AIGI, PBGC OIG, and AIGI Committee co-chairperson, informed the committee that on January 17, 2013, he will brief the OGC on the new ombudsman and the impact of the Whistleblower Retaliation Act on investigations. Mr. Jordan also mentioned that his committee is working on an updated peer review schedule through 2015, for those OIG whose peer review is mandatory. This schedule will be issued when deconflicting audit and investigation peer review schedules and participants have been resolved. Also being worked on is a training website for the entire IG community.

**Adjournment**

- There being no further business, Mr. Hoecker adjourned the meeting at 11:00 AM
The following members were present:

Carl Hoecker, USCP IG, IC Chair
Eric Thorson, Treasury IG, IC Vice Chair
Allison Lerner, NSF IG
Steve Linick, FHFA IG
David Montoya, HUD IG
Karl Schornagel, LOC IG

The following guests and observers were present:

Matt Alessandrino, AIGI, FDIC OIG
Mark Beames, XO, USCP OIG

Alan Boehm, AIGI, NSF
Tim Camus, DIGI, TIGTA
Tom Caulfield, Executive Director, CIGIE Training Institute
Geoff Cherrington, AIGI, GSA OIG
Brian Crane, AIGI, Treasury OIG
George Dorsett, DAIGI, DOJ OIG
John Dupuy, AIGI, DHS OIG
Karen Ellis, AIGI, USDA OIG
Bill Hamel, AIGI, Ed. Dept. OIG
Glenn Harris, Counsel to the Inspector General, SBA OIG
Angela Hrdlicka, Executive Director, IGClA
Aaron Jordan, AIGI, PBGC OIG
James O’Neill, AIGI, VA OIG
Dan O’Rourke, AIGI, SBA OIG

Lee Quintyne, DAIGI, GSA OIG
Sheldon Shoemaker, Special Assistant, SBA OIG
Michael P. Stephens, FHFA Principal Deputy IG
Patrick Sullivan, AIGI, EPA OIG
J. Cameron Thurber, Counsel/Chief Investigator, FEC OIG
Joe Vallone, DAIGI, VA OIG
Investigations Committee
Agenda
Tuesday, October 23, 2012

USCP Headquarters
119 D Street, NE
Washington DC 20510
10:00 AM to 11:30 PM

ADMINISTRATION
10:00  OPENING REMARKS  Carl Hoecker

September 4, 2012 IC minutes

OLD BUSINESS
10:05  Job Task Analysis Paper  Tom Caulfield

10:15  Voluntary Peer Review  Aaron Jordan

10:25  Digital Forensics Quality Standards – vote to adopt (tentative)  Carl Hoecker/Becky Batts

10:35  S&D Workshop  Allison Lerner

NEW BUSINESS
10:55  IGClA FLETC Update Briefing  Angela Hrdlicka

11:15  S&D Video  Steve Linick

11:30  Adjourn
Investigations Committee  
October 23, 2012 10 a.m.  
United States Capitol Police Headquarters  
119 D Street NE

Meeting Minutes

The meeting was called to order at 10:00 a.m. by Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP).

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on September 4, 2012 be reviewed for content. After review Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

- Agenda Review – Mr. Hoecker gave an overview of the agenda items and order.

Old Business

- CIGIE Job Task Analysis (JTA) Paper – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, updated the committee on the status the “Job Task Analysis” paper. A synopsis was given of points previously covered to include that the draft report.

Mr. Caulfield sent out an email and retracted the JTA research report which had been prematurely sent to the AIGI community. The Training Institute would work to address the concerns raised by the IC by working more closely with the AIGI Committee and the Training subcommittee in the development of the JTA report. Mr. Caulfield reported on progress made thus far on each of the five taskings as listed in the September 6, 2012, Memorandum for the Record, Status of Taskings for the CIGIE Training Institute. The consensus of the committee was that the retraction email is sufficient.

Mr. Hoecker inquired as to the intended timeline to provide the draft JTA to the Investigations Training Subcommittee and the Professional Development Committee. Mr. Jordan and Mr. John Dupuy, A/AIGI DHS OIG, accepted thirty days for each group as an acceptable time table with a subsequent submission to the AIGI Committee, the final draft coming back to the IC on or about January 15, 2013. The IC would like to see, then forward, the JTA final draft to the EC soon after that.

- Voluntary Peer Review – Mr. Aaron Jordan, AIGI, PBGC OIG, provided background on what has transpired regarding the development of a peer review schedule for DFE OIG, deconflicting audit and investigation peer review schedules and participants, and putting together a training program for DFE OIG.

Mr. Jordan introduced Mr. J. Cameron Thurber, Counsel/Chief Investigator, FEC OIG, who has volunteered to take over scheduling for the DFE investigations peer review program. Mr. Thurber has proposed revisions to the schedule to account for conflicts and changes, and hopes to have this finalized very soon. He also plans to have a meeting of all entities to make sure everyone is on the same page, and present an overview of the training NSF held in the past either at that meeting or at a second one. Mr. Thurber also mentioned that Alan Boehm at NSF has agreed to assist as needed, especially in the areas of training and conducting the review. A
Peer Review Schedule for DFEs (Investigations) dated October 22, 2012, was provided to the members.

- **Digital Forensics Quality Standards (DFQS)** – Ms. Becky Batts, PBGC IG and IT Committee Chairperson, requested a vote on the draft DFQS by the IC members subsequent to having it referred to the Executive Council membership. Background was provided by Mr. Charles Coe, DIG IT Audit, ED OIG, who pointed out that certain areas within the DFQS were intentionally left nonspecific, given the various differences between the 73 OIGs and the need for mission adaptability when sharing resources. Mr. Hoecker asked for a motion that the IC accept the DFQS and support moving the DFQS to the CIGIE EC for further action. The motion was made and carried.

- **Suspension and Debarment Workshop** – Representing IG Allison Lerner, Mr. William Killgallin, Director of Legal, NSF OIG, provided an update on the Suspension and Debarment (S&D) Working Group. The S&D workshop is on target and, due to an overwhelming response, is currently working from a waiting list of prospective attendees. An S&D survey went out on October 21, 2012, and an S&D white paper will be forthcoming, most likely after the S&D workshop.

**New Business**

- **Federal Audit Executive Council (FAEC)** – Mr. Hoecker apprised the committee that he would be speaking at the FAEC meeting on November 27, 2012.

- **Suspension & Debarment Video** – In the absence of Mr. Steve Linick, FHFA IG, Mr. Michael Stephens, FHFA Principle Deputy IG, informed the committee that the S&D video is currently in production through a partnership with the US Attorney’s Office.

- **IGCIA FLETC Update Briefing** – Ms. Angela Hrdlicka, Executive Director, Inspector General Criminal Investigator Academy (IGCIA), provided handouts and an overview of achievement highlights of the IGCIA for fiscal year 2012. Ms. Hrdlicka noted that the FY13 training catalog is now available on the IGCIA website, and a course curriculum review will be held at CIGIE for the public corruption training program. Mr. Hoecker reminded the committee that tuition fees are not covered by CIGIE and inquired as to an AIGI Committee review of the prepared curriculum.

Mr. Jordan stated that the Training Subcommittee is developing a web-based learning management system. The website would carry course information and descriptions, downloads, notification capability and reporting functions. Mr. Mark Jones, CIGIE Executive Director, pointed to the USPS OIG website as a possible site with hosting or integration possibilities. Ms. Mary Kendall, Interior Department Acting IG, posited the idea of an expanded online site that would serve the entire IG community.

**Adjournment**

- There being no further business, Mr. Hoecker adjourned the meeting at 11:05 AM.

**The following members were present:**

Carl Hoecker, USCP IG, IC Chair  
Eric Thorson, Treasury IG, IC Vice Chair  
Michael Horowitz, DOJ IG  
Karl Schornagel, LOC IG  
Kathleen Tighe, Ed. Dept. IG
The following guests and observers were present:

Rebecca Battis, IG, PBGC
Mark Beames, XO, USCP OIG
Tim Camus, DIGI, TIGTA
Tom Caulfield, Executive Director, CIGIE Training Institute
Brian Crane, AIGI, Treasury OIG
Chuck Coe, AIG for IT Audits and Computer Crime Investigations, ED OIG
John Davidovich, Counsel, FDIC OIG
John Dupuy, AIGI, DOI OIG
Karen Ellis, AIGI, USDA OIG
Bill Hamel, AIGI, Ed. Dept. OIG
Glenn Harris, Legal Counsel, SBA OIG
Angela Hrdlicka, Executive Director, IGClA
Mark Jones, Executive Director, CIGIE
Aaron Jordan, AIGI, PBGC OIG
Mary Kendall, Acting IG, DOI
Bill Killgallin, Director of Legal, NSF OIG
James O’Neill, AIGI, VA OIG
Dan O’Rourke, AIGI, SBA OIG
John Phillips, SAC, Treasury OIG
Lee Quintyne, DAIGI, GSA OIG
Michael P. Stephens, FHFA Principal Deputy IG
Patrick Sullivan, AIGI, EPA OIG
J. Cameron Thurber, Counsel/Chief Investigator, FEC OIG