

FAEC Quality Assurance Working Group Charter

May 21, 2019, as amended September 22, 2020

Purpose: To enhance and improve the quality assurance (QA) review processes within the Federal Inspector General community.

Official Designation: FAEC Quality Assurance Working Group (QAWG).

Authority: The *Inspector General Reform Act of 2008 (P.L. 110-409)* established the Council of the Inspectors General on Integrity and Efficiency (CIGIE or Council) to address integrity, economy, and effectiveness issues that transcend individual Government agencies, and to increase the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the Offices of the Inspectors General. The Act also requires Federal Offices of Inspector General (OIG) to adhere to professional standards developed by the Council. CIGIE established the Federal Audit Executive Council (FAEC) as a subgroup whose purpose is to discuss and coordinate issues affecting the Federal audit community.

Background/History: In its *Quality Standards for Federal Offices of Inspector General*, August 2012, CIGIE requires each OIG establish and maintain a QA program to ensure that work performed complies with established OIG policies and procedures; meets applicable professional standards; and is carried out economically, efficiently, and effectively. CIGIE acknowledges that the nature and extent of each OIG's QA program can vary depending on the OIG's size, organizational structure, nature of its work, and cost-benefit considerations. However, the program must be structured and implemented to ensure an independent, objective, timely, and comprehensive appraisal of operations conducted with the same professional care for adequately planning the review, documenting findings, developing recommendations, and obtaining comments from the responsible officials of the activity or unit being reviewed.

In June 2016, Board of Governors of the Federal Reserve System / Consumer Financial Protection Bureau (FRB-CFPB) OIG sent a survey through CIGIE that included questions to determine the OIG community's interest in a QA-focused working group to share good practices and develop a network of QA professionals for advice and support. After the survey's results showed that almost all of the OIGs that responded stated an OIG community-wide working group would help improve the efficiency and effectiveness of their QA reviews, the FRB-CFPB OIG hosted the first (kick-off) meeting in October 2016.

In January 2019, the QAWG became a working group functioning under the CIGIE FAEC subgroup.

Membership: Working group membership and participation is voluntary. It is strongly recommended that members have roles/responsibilities associated with QA in their respective offices to facilitate identifying and sharing QA good practices.

Scope of Responsibilities: QA activities related to Federal OIGs' audits.

Goals/Objectives:

- **(Goal 1)** Enhance understanding of how offices across the OIG community select, perform, and report on the results of QA reviews.
- **(Goal 2)** Develop a pool of QA subject matter experts to whom working group members may contact for assistance.
- **(Goal 3)** Provide insight into current events in the OIG and QA communities.
- **(Goal 4)** Identify and document good practices to assist the OIG community with improving their QA functions (includes internal and external training).
- **(Goal 5)** Issue or establish practice advisories to disseminate good practices within the OIG community.

Organization: The QAWG functions under the CIGIE FAEC. The QAWG's official leadership shall consist of a Chair and Vice Chair. They are responsible for 1) effectively planning and conducting workgroup meetings; 2) ensuring that all discussions and working group decisions, including dissent, are documented and made available to all members; 3) conducting outreach as necessary and appropriate to strengthen workgroup ties to CIGIE; and 4) reporting out / representing QAWG to FAEC when called upon to do so. In addition, there shall be two Operational Officers responsible for performing the duties of maintaining QAWG membership records and the OMB MAX website (e.g., meeting information, surveys, policies, and procedures) and assisting with coordinating and scheduling meetings.

Elections: Elections of the Chair, Vice Chair, and Operational Officers will be held every 2 years with their positions elected in the third quarter of alternating fiscal years or when necessitated by a vacancy.

Subgroups: The QAWG may establish ad hoc subgroups as needed and agreed upon to accomplish its objectives.

Decisions: A quorum of at least seven OIGs must be present at a meeting to hold a vote on any action or endorsement taken by the QAWG. Decisions will be based on a simple-majority vote of participating members or their designees.

Meetings: The QAWG will meet on a quarterly basis or as agreed upon by the majority of the members. Meetings will be held in an OIG's Washington, DC area office with a location convenient to public transportation, adequate space, and teleconference capabilities. The hosting OIG's members will agree to hold the meetings for a 1-year period and to send an invitation and agenda to all QAWG members on record with the scheduled date, time, and means to attend in person or by teleconference. Member volunteers will document each meeting in the form of minutes. The agenda and minutes will be posted on the working group's OMB MAX website.

Reporting: The QAWG will report to the FAEC Chair and/or CIGIE when called upon to do so and/or when deemed appropriate by the QAWG Chair.

Amendments/Termination: This Charter will be posted on the QAWG's OMB MAX website and remain in effect until amended, replaced, or terminated as agreed to by the majority of the QAWG members, as described in the Decisions section.