

SAMPLE FORMATS FOR CIGIE INVESTIGATIONS QUALITATIVE ASSESSMENT REVIEW REPORTS

Following are sample reports and attachments that may be used by review teams in preparing a Qualitative Assessment Report and related documents in connection with peer reviews of investigative operations.

S A M P L E E N G A G E M E N T L E T T E R

[date]

The Honorable [name of IG whose OIG is being reviewed]
Inspector General
[name of OIG being reviewed]
[street address of OIG being reviewed]
[city, state, & zip of OIG being reviewed]
Subject: Qualitative Assessment Review Notice

Dear [name of IG whose OIG is being reviewed],

The Council of Inspectors General for Integrity and Efficiency Peer Review Schedule for Fiscal Years 2010 – 2014 indicates that the [name of OIG conducting review] is responsible for conducting a Qualitative Assessment Review (QAR) of the [name of OIG being reviewed] Inspector General's investigative operation between [month] and [month] [year of final month to be reviewed].

The peer review process is based on the Guide for Conducting Qualitative Assessment Reviews for Investigative Operations of Inspectors General dated [date]. The actual process has several steps, including a pre-site review, entrance briefing, sample selection, and exit conference. The final report will be provided to you and the Chairperson of the CIGIE Investigations Committee.

The team leader for this review will be [name of QAR review team leader]. I ask that whomever you designate as your point of contact for this review discuss with [name of QAR review team leader] the documents required during the pre-site review stage of the process. I anticipate that the entrance briefing and the sample selection stage will commence on [date]. The entire process should be concluded by [date].

Please call me at [phone number of IG conducting QAR] if you wish to discuss this activity, or have your staff contact [name of QAR review team leader] at [phone number of QAR review team leader] in order to begin the review.

Sincerely,

[name of IG whose OIG is being reviewed]
Inspector General

S A M P L E C O V E R P A G E

REPORT ON THE QUALITATIVE ASSESSMENT REVIEW OF THE INVESTIGATIVE OPERATIONS OF THE OFFICE OF INSPECTOR GENERAL FOR [Insert Agency Name]

**Conducted in *[Insert State & City]*
by
*[Insert Name and Address of Reviewing Organization]***

***[Insert Name of Reviewing Inspector]*
*[Insert Name of Team Leader]***

[Insert Date]

S A M P L E

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SAMPLE REPORT #1

COMPLIANT RATING

Report on the External Qualitative Assessment Review

[insert date]

[Insert Standard Address Header]

Subject: *Report on the Qualitative Assessment Review of the Investigative
Operations of the Office of Inspector General for the [Insert Agency
Name]*

Dear [Inspector General's Name]:

We have reviewed the system of internal safeguards and management procedures for the investigative operations of the Office of Inspector General for the [insert name of OIG being reviewed] in effect for the period ended _____. Our review was conducted in conformity with the Quality Standards for Investigations and the Qualitative Assessment Review Guidelines established by the Council of the Inspectors General on Integrity and Efficiency.

We reviewed compliance with the [reviewed OIG's name] system of internal policies and procedures to the extent we considered appropriate. The review was conducted at the headquarters office in [insert location], and ____ satellite/field locations. Additionally, we sampled ____ case files for investigations closed during [insert period].

[For OIGs that do not have law enforcement authority (therefore, not included in the peer review), the letter will close out with the final opinion. See next page.]

[For OIGs that derive their law enforcement authority from the IG Act, add the following]: In performing our review, we also gave given consideration to the Attorney General's Guidelines for Office of Inspectors General with Statutory Law Enforcement Authority and Section 6(e) of the Inspector General Act of 1978, as amended. Those documents authorize law enforcement powers for eligible personnel of each of the various Offices of Inspectors General. Law enforcement powers may be exercised only for activities authorized by the IG Act, other statutes, or as expressly authorized by the Attorney General.]

[For OIGs that derive their law enforcement authority from a source other than IG Act, add the following]: In performing our review, we also gave consideration to the prerequisites of [insert citation to relevant legal authority]. This [statute, regulation, etc.] authorizes law enforcement powers for eligible personnel of [name of OIG being

reviewed]. Those powers may be exercised only for activities authorized by [insert citation to relevant legal authority and other information deemed relevant about the exercise of the authority].

In our opinion, the system of internal safeguards and management procedures for the investigative function of the [insert reviewed organization name] in effect for the year ended _____, is in compliance with the quality standards established by the CIGIE and the other applicable guidelines and statutes cited above. These safeguards and procedures provide reasonable assurance of conforming with professional standards in the planning, execution and reporting of its investigations [add where appropriate: and in the use of law enforcement powers].

Sincerely,

SAMPLE REPORT #2

NONCOMPLIANCE RATING

Report on the External Qualitative Assessment Review

[Insert Date]

[Insert Standard Address Header]

Subject: *Report on the Qualitative Assessment Review of the Investigative Operations of the Office of Inspector General for the [Insert Agency Name]*

Dear [Inspector General]:

We have reviewed the system of internal safeguards and management procedures for the investigative operations of the Office of Inspector General for the [insert name of OIG being reviewed] in effect for the period ended _____. Our review was conducted in conformity with the Quality Standards for Investigations and the Qualitative Assessment Review Guidelines established by the Council of the Inspectors General on Integrity and Efficiency.

We reviewed compliance with the [reviewed OIG's name] system of internal policies and procedures to the extent we considered appropriate. The review was conducted at the headquarters office in [insert location], and ____ satellite/field locations. Additionally, we sampled ____ case files for investigations closed during [insert period].

[For OIGs that do not have law enforcement authority (therefore, not included in the peer review), the letter will close out with the final opinion. See next page.]

[For OIGs that derive their law enforcement authority from the IG Act, add the following]: In performing our review, we also gave given consideration to the Attorney General's Guidelines for Office of Inspectors General with Statutory Law Enforcement Authority and Section 6(e) of the Inspector General Act of 1978, as amended. Those documents authorize law enforcement powers for eligible personnel of each of the various offices of presidentially appointed Inspectors General. Law enforcement powers may be exercised only for activities authorized by the IG Act, other statutes, or as expressly authorized by the Attorney General.]

[For OIGs that derive their law enforcement authority from a source other than IG Act, add the following]: In performing our review, we also gave consideration to the

prerequisites of [insert citation to relevant legal authority]. This [statute, regulation, etc.] authorizes law enforcement powers for eligible personnel of [name of OIG being reviewed]. Those powers may be exercised only for activities authorized by [insert citation to relevant legal authority and other information deemed relevant about the exercise of the authority].

In our opinion, the system of internal safeguards and management procedures for the investigative function of the [insert agency name] OIG in effect for the year ended [insert date], is not in compliance with the quality standards established by the CIGIE or other applicable guidelines and statutes cited above. Our opinion is based on X deficiencies identified during the review. These deficiencies are enumerated in Attachment X. In our view, the safeguards and management procedures in this organization do not provide reasonable assurance of conforming with professional standards in the planning, execution and reporting of its investigations [add where appropriate: an/or in the use of law enforcement powers].

Sincerely,

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Attachment X: Deficiencies

1. Criteria: The *Attorney General Guidelines for Offices of Inspector General with Statutory Law Enforcement Powers* mandate, in part, that “All individuals exercising authorities under section 6(e) must receive initial and periodic firearms training and qualification in accordance with Federal Law Enforcement Training Center standards. This training will focus on technical proficiency in using the firearms the Special Agent will carry, as well as the policy and legal issues involved in the use of deadly force. The initial training for this requirement must be met by successful completion of an appropriate course of training at the Federal Law Enforcement Training Center or an equivalent course of instruction (that must include policy and law concerning the use of firearms, civil liability, retention of firearms and other tactical training, and deadly force policy). In addition to basic firearms training, each covered Office of Inspector General will implement a program of quarterly firearms qualifications by all individuals exercising authorities under section 6(e). Such program will be conducted in accordance with recognized standards.”

Summary of Deficiency: A review of the training records for the organization revealed that 5 of 50 Special Agents had not received quarterly firearms training for a period of over 12 months. Two of these Special Agents had not received any firearms training for over 24 months.

Details of Deficiency: [Review team will insert clear, specific and articulable information from the case file or from other sources to support the team’s finding that a deficiency exists.]

Recommendations: [See “Reporting Review Results” in the peer review guide for details on formulating and coordinating recommendations with the CIGIE Investigations Committee]

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Attachment X: Satellite Locations

Locations Included in the Assessment

<u>Satellite Location</u>	<u>No. of Personnel Interviewed</u>
[Insert office location, name, etc.]	10
[Insert office location, name, etc.]	2
[Insert office location, name, etc.]	2

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Attachment C: List of Closed Investigative Files Reviewed

<u>Case File Number</u>	<u>Case Closing Date</u>

SAMPLE REPORT #3

Letter of Observations

[Insert Date]

[Insert Standard Address Header]

Subject: Letter of Observations following the *Report on the Qualitative Assessment Review of the Investigative Operations of the Office of Inspector General for the [Insert Agency Name]*

Dear [Inspector General's Name]:

The is a supplement to our *Report on the Qualitative Assessment Review of the Investigative Operations of the Office of Inspector General for the [Insert Agency Name]*, dated [Insert date].

In addition to reporting a rating of [insert compliant or noncompliant], the peer review team identified X “Best Practices” or similar notable positive attributes of your investigative operations. Specifically, the review team identified the following best practice (or practices):

[Identify the specific practices, policies, programs, accomplishments, etc., that are particularly worthy of praise or acknowledgement. Include sufficient detail to explain how and why the team arrived at the “Best Practice” conclusion. The team may recommend that the reviewed OIG share the best practice with the CIGIE.]

In addition to reporting a rating of [insert compliant or noncompliant], the peer review team the team identified areas for improvement or increased efficiency or effectiveness. Specifically, the review team identified the following area (or areas):

[Identify the specific observation, finding or deficiency that triggered the team’s decision to identify an area or areas for improvement or increased efficiency/effectiveness. The review team will identify a specific applicable Quality Standards or Attorney General Standard as a benchmark. If suggestions are offered (beyond identifying an area or areas), implementation of the suggestions is done at the discretion of the reviewed OIG and will not be tracked or monitored by the review team.]

[Insert closing]

Sincerely,