

Inspection and Evaluation Committee

President's Council on Integrity and Efficiency

INSPECTION AND EVALUATION COMMITTEE MEMBERS

JOHNNIE FRAZIER

IG Commerce, Chair

CHRISTINE BOESZ

IG NSF

CLARK KENT ERVIN

IG Homeland Security

GLENN FINE

IG Justice

GORDON HEDDELL

IG Labor

RICHARD GRIFFIN

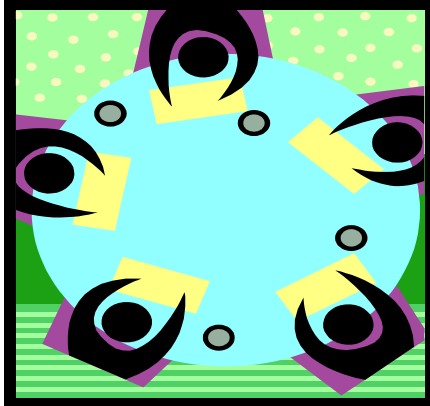
IG VA

DANIEL LEVINSON

Acting IG HHS and IG GSA

STEPHEN SMITH

IG FCA



I&E COMMITTEE MEETING HELD OCTOBER 20 AT DEPARTMENT OF LABOR OIG

Johnnie Frazier opened the October 20 I&E Committee meeting by welcoming everyone and thanking Gordon Heddell for hosting the meeting, and David Pine (from Gordon's staff) for his assistance.

Gordon Heddell gave a brief overview of his department's I&E work. He said he merged the relatively small evaluations staff with the audits staff about a year and a half ago.

He also created a small new inspection unit that performs internal OIG reviews and conducts sensitive investigations of OIG or high-level agency officials. He said he believes the unit is a valuable tool and recommended other IGs consider forming one.

November 2004 UPDATE OF QUALITY STANDARDS FOR INSPECTIONS IS READY FOR PCIE APPROVAL

Considerable progress has been made on this project. At the October 20 committee meeting, Johnnie introduced Elise Ennis from Energy OIG who spearheaded the effort to revise the I&E standard. Elise and Jill Gross, chair of the Inspections and Evaluations Roundtable, then provided an overview of the update.

This update to the standards is an expansion of the 12 standards in the original inspection standards, the so-called "Blue Book" from March 1993, with the addition of two new standards-- Performance Measurement and Working Relationships and Communication.

The suggested changes came from 16 agencies and included recommendations from the members of the I&E Committee and the Roundtable's I&E units. It also included language adapted from the:

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For more information about any item in this newsletter, contact Debbie Holmes at 202-482-2600 (Dholmes@oig.doc.gov) or Jill Gross at 202-482-2754 (Jgross@oig.doc.gov).



UPCOMING MEETINGS

The I&E Committee will hold its next meeting in January 2005. VA's Dick Griffin has agreed to host the next I&E Roundtable meeting.

THANKS!

Special thanks to Gordon Heddell for hosting the October 20 Committee meeting and Clark Kent Ervin for hosting the November 3 Roundtable meeting.

- ❑ PCIE Quality Standards for Federal Offices of Inspector General (Silver Book);
- ❑ Association of Inspectors General Principles and Standards for Offices of Inspector General (State/Local IGs); and
- ❑ GAO's Government Auditing Standards (Yellow Book).

The major proposed changes to the I&E standards, in addition to the two new standards and expanded explanations of each standard, include:

- ❑ **Competency**—The 40-hour biennial training requirement was maintained but the revised standard says that I&E offices should strive to provide 80 hours if resources permit.
- ❑ **Independence**—There is an expanded discussion of different types of impairments and reporting requirements.
- ❑ **Fraud, other illegal acts, and abuse**—A list of conditions that might indicate risk of fraud was added.
- ❑ **Appendix**—The core competencies developed by the PCIE HR Committee, in cooperation with the I&E Roundtable, were added to the existing appendix listing general skill levels for inspectors.

The only area of significant debate on the proposed changes was related to peer reviews, which was initially proposed as an addition to the quality control standard. After considerable discussion on the differ-

ences of opinion on peer reviews, the I & E Committee decided to take the peer review requirement out of the inspection standards and handle that issue separately.

A peer review working group has been established under the leadership of DHS' Bob Ashbaugh. Johnnie said that he was convinced that a one-size-fits-all approach to peer reviews would not work in the I&E community, since I&E units are very different.

I&E ROUNDTABLE MEETING HELD ON NOVEMBER 3 AT DEPARTMENT OF HOMELAND SECURITY OIG

The Department of Homeland Security OIG hosted the November I&E Roundtable meeting. Clark Kent Ervin told the group that he had been a strong supporter of the inspection and evaluation function since he was IG at the State Department.

At Homeland Security, Clark and his AIG, Bob Ashbaugh, are building a strong I&E unit that is now at 33 staff. Clark noted that he expects his office will continue to grow as DHS expands, and he anticipates that his I&E unit will be comparable in size to the audits unit, which has about 200 staff.

Several recent I&E reviews have focused on the Transportation Security Administration's airport screeners, its award system, and inappropriate sharing of passenger information in violation of the Privacy Act.

Jill Gross, Roundtable chair, and Elise Ennis, Energy OIG, briefed Roundtable members on the final proposed changes to the Quality Standards for Inspections, and Bob Ashbaugh provided an update on peer review options. The Roundtable had a lively discussion on these issues.

Jennifer Carmichael, from the Defense Intelligence Agency, proposed a new Roundtable project on disaster preparedness. With input from other OIGs, she will head up a project to develop a best practices guide to be used for conducting a review of disaster preparedness.

Jennifer also told Roundtable members that she will be able to offer them 10 slots in a DIA training course on strategic decision making and negotiation (critical thinking) in January 2005. More information on this will follow.

READER'S CORNER

Thanks to Editor-in-Chief Dan Levinson, the Spring/Summer 2004 edition of *The Journal of Public Inquiry* includes two articles on the I&E community that PCIE members may find interesting and pertinent to their daily work.

"Rounding Out the Power and Potential of the IG Act," by Johnnie E. Frazier, and "Looking Back, and Forward Too," by George F. Grob, are easy to find and read at the *Journal's* web site address:

<http://www.ignet.gov/randp/sp04jpi.pdf>.