

Inspection and Evaluation Committee



President's Council on Integrity and Efficiency
Executive Council on Integrity and Efficiency

2003 Annual Report

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“As we have worked together over the past year, I have time and again been impressed by your commitment to the goals of the IG Act and the mission of this committee, and by the invaluable contributions that have resulted to the benefit of OIGs throughout the federal government.”

~ **Johnnie Frazier**



UNITED STATES DEPARTMENT OF COMMERCE
The Inspector General
Washington, D.C. 20230

March 2004

**MESSAGE FROM THE CHAIR,
INSPECTION and EVALUATION COMMITTEE**

Inspection and Evaluation Committee 2003 Annual Report

This past year marked an important milestone for the IG community: the 25th anniversary of passage of the Inspector General Act—our mandate for making government work better. Each of us can take pride in the accomplishments of our individual offices and the good works they have wrought in our respective agencies through the years. Yet I believe some of our greatest achievements have been borne of our collaborative spirit, and in this regard the dedicated members of the PCIE Inspection and Evaluation Committee have much of which to be proud.

As we have worked together over the past year, I have time and again been impressed by your commitment to the goals of the IG Act and the mission of this committee, and by the invaluable contributions that have resulted to the benefit of OIGs throughout the federal government. This “annual report” features some of those accomplishments for 2003—such as the travel card guide, purchase card guide, and I&E survey. Equally important, it highlights continuing opportunities for collaboration, as well as work in progress and some of the challenges we share in improving I&E processes throughout the IG community. To this end, our efforts to update the *PCIE Standards for Inspections* are critical: these *Standards* have been in place for more than a decade and are in many instances out of sync with current I&E needs and practices. Our completion of this task should be a priority for 2004.

As you read these pages, congratulate yourselves for a job well done, consider how best to accomplish the work before us, and accept my thanks for the privilege of serving as chair of the I&E Committee. I look forward to the year ahead and our mutual pursuit of excellence.

A handwritten signature in blue ink that reads "Johnnie Frazier".

Johnnie Frazier



I&E Committee... *Goals*

The primary goals of the Inspection and Evaluation (I&E) Committee are to

- (1) **promote effective inspection and evaluation practices and insights, and**
- (2) **develop better ways to address and communicate inspection and evaluation findings on crosscutting or government-wide issues.**

The Committee also seeks to provide positive contributions to the inspector general community by improving inspection and evaluation methodologies and providing or developing training to enhance the analytic and administrative skills of OIG inspectors and evaluators.

Committee members include the Inspectors General from the Departments of Commerce, Homeland Security, Veterans Affairs, Justice, and Labor, the National Science Foundation, and the Farm Credit Administration, as well as the Acting Principal Deputy Inspector General from Health and Human Services. The Committee is effectively supported by the Inspections and Evaluation Roundtable, whose members include the Assistant Inspectors General or other OIG officials who have responsibility for conducting evaluations and inspections in their respective agencies. Both the Committee and its Roundtable have undertaken a number of projects and initiatives during fiscal year 2003.



I&E
Committee

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JOHNNIE FRAZIER
COMMERCE, CHAIR



RICHARD GRIFFIN
VETERANS AFFAIRS



CLARK KENT ERVIN
HOMELAND SECURITY



GORDON S. HEDDELL
LABOR

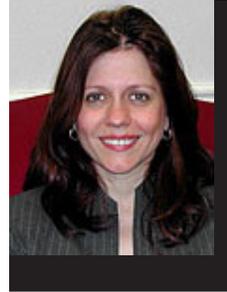


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CHRISTINE BOESZ
NATIONAL SCIENCE
FOUNDATION



DARA CORRIGAN
HEALTH AND HUMAN
SERVICES



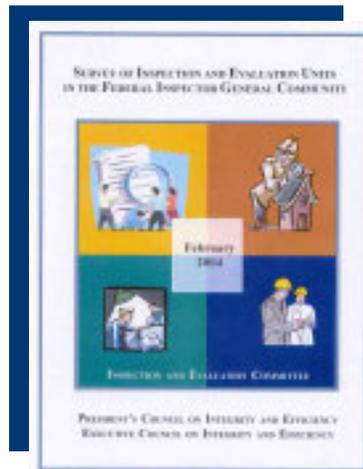
STEPHEN SMITH
FARM CREDIT
ADMINISTRATION



GLENN FINE
JUSTICE



I&E Committee... *News*



I & E SURVEY

The survey report—issued in March 2004—profiles the 26 inspection and evaluation units that currently are working as distinct units within federal Offices of Inspector General. It was prepared by the Inspections and Evaluation Roundtable at the request of the Inspection and Evaluation Committee. HHS OIG had the lead on this project.

The report covers the makeup and function of these units, and highlights some of their recent work. Information from the survey can be used to (1) illustrate crosscutting issues of concern to different OIGs, (2) provide ideas for future OIG work or internal OIG management initiatives, and (3) educate others—especially new inspectors general and those interested in establishing evaluation units—about the value of having inspections and evaluation units to aid OIGs in their mission.

I&E Committee...News

TRAVEL CARD GUIDE

Aware of the problems and in some cases outrage concerning abuses associated with government travel cards, a best practices travel card guide, *Common Problems and Uncommon Solutions: How OIGs are Helping Improve Federal Travel Card Programs*, was issued in December 2003. The guide synthesizes the results of travel card program reviews from 25 OIGs. But more important, it is offered as a primer that in very brief and simple terms highlights the most common problems identified by some OIGs while concurrently offering some proven solutions and best practices for fixing or avoiding these same problems. In addition, this publication incorporates other useful information about such matters as (1) the terms and conditions of GSA's Master Contract for the federal travel card program, (2) guidance that should be consulted in assessing a travel card program, (3) GAO's *Standards for Internal Control in the Federal Government*, and (4) the roles and responsibilities of parties involved in the federal travel card program.



While several OIGs participated in the development of this project, special thanks are due to the Department of Labor's Office of Inspector General for taking the lead and to the Commerce OIG staff who worked to finalize and prepare it for publication.

I&E Committee... News



January 2003

- ◆ On-line purchase & travel card project announced.
- ◆ I&E Survey start-up announced.
- ◆ Draft Travel Card Guide reviewed.

I&E Committee... *Year at a Glance*

February

- ◆ I&E Roundtable meeting at NASA cancelled due to Columbia disaster.
- ◆ I&E Survey data call issued.
- ◆ On-line directory of purchase and travel card reports data call issued.

March

- ◆ I&E Committee Chair presents the 2002 Report Card on I&E Committee activities at PCIE/ECIE retreat in St. Michaels, MD.
- ◆ Committee website improved—monthly newsletters added.
- ◆ Work continues on on-line directory project.

June

- ◆ I&E Roundtable held at NASA on June 5.
- ◆ Three new members welcomed to I&E Roundtable.
- ◆ I&E Committee meeting held at Homeland Security on June 11.

July

- ◆ Energy OIG takes lead in *Quality Standards for Inspections* update.
- ◆ I&E Survey responses include suggested crosscutting topics on security, training, IT, and emergency preparedness.

October

- ◆ I&E Roundtable meeting held at EPA OIG.
- ◆ PCIE Human Resources Committee held focus group session at Roundtable meeting.
- ◆ Two new members welcomed to I&E Roundtable.

November

- ◆ 125 reports available via on-line directory (www.ignet.gov).
- ◆ 26 units included in I&E Survey report.
- ◆ Draft Travel Card Guide reviewed.

I&E Committee... *Year at a Glance*

April

- ◆ Individual requests and inquiries received on establishing new I&E inspection units.
- ◆ I&E Committee continues to work with IGATI to develop training courses.
- ◆ I&E Survey work continues.

May

- ◆ I&E Survey responses continue to be received.
- ◆ 136 reports submitted to date for on-line directory.
- ◆ VA IG delivers presentation on I&E Committee for new IGs.

August

- ◆ Energy OIG request for comments on *Quality Standards for Inspections* sent to I&E Roundtable.
- ◆ Availability of on-line directory of OIG Purchase and Travel Card usage reports announced.

September

- ◆ IGATI training opportunities communicated to Roundtable members.
- ◆ Preparation begins for upcoming Roundtable meeting.

December

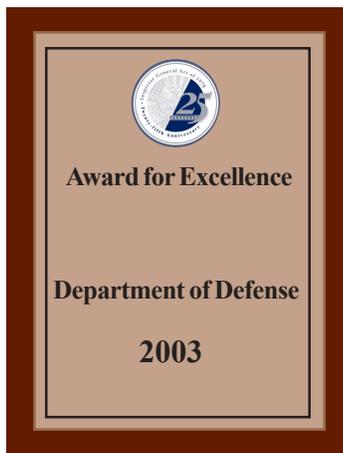
- ◆ Travel Card Guide issued.
- ◆ DOC OIG hosts 2-day writing course and includes Roundtable members.
- ◆ Clark Kent Ervin appointed IG for Department of Homeland Security.

January 2004

- ◆ NSF OIG hosts joint meeting of I&E Committee and Roundtable.
- ◆ Final draft of I&E Survey distributed for review and comment.
- ◆ Presentation on Misconduct in Scientific Research delivered at joint meeting.

I&E Committee... *Honor Roll*

PCIE AWARDS FOR EXCELLENCE ~ EVALUATIONS

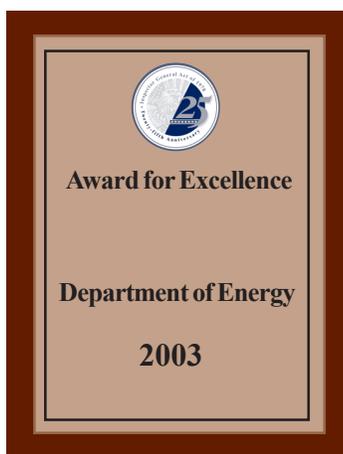


DoD Fire and Emergency Services Programs Evaluation Team

Citation: For exceptional performance on the evaluation of DoD fire and emergency services programs subsequent to the events of September 11, 2001.

Intelligence Support to Personnel Recovery Evaluation Team

Citation: For conducting an exhaustive evaluation and presenting significant findings and recommendations for improving the efficiency and effectiveness of intelligence support to personnel recovery operations.

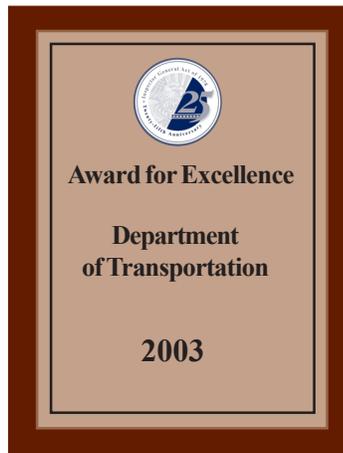


Office of Inspections

Citation: This award recognizes the timely and outstanding efforts of the Office of Inspections in working to enhance the safeguards and security of the U.S. Department of Energy.

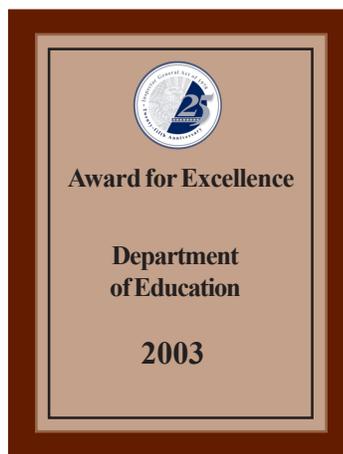
I&E Committee... *Honor Roll*

PCIE AWARDS FOR EXCELLENCE ~ EVALUATIONS



Aviation Security Technologies Audit Team

Citation: In recognition of outstanding contributions to aviation security by identifying and categorizing proposed technologies that have the potential for improving aviation security.

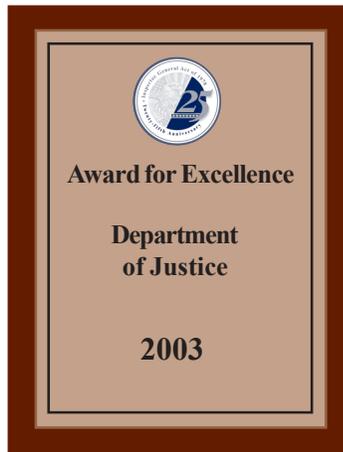


Puerto Rico Department of Education Team

Citation: This award recognizes the team for outstanding audit and investigative work, which led to the successful federal prosecution of former Puerto Rico Department of Education officials who conspired to extort and obtain approximately \$4.3 million from contractors in exchange for contracts valued at \$138 million.

I&E Committee... *Honor Roll*

PCIE AWARDS FOR EXCELLENCE ~ EVALUATIONS



Detainee Review Team

Citation: In recognition of their exceptional efforts on their review of the treatment of aliens detained in connection with investigation of the September 11 terrorist attacks.

FBI Hanssen Review Team

Citation: In recognition of their outstanding work and dedication in connection with special review of the Federal Bureau of Investigation's performance in investigating the espionage of former special agent Robert Philip Hanssen.

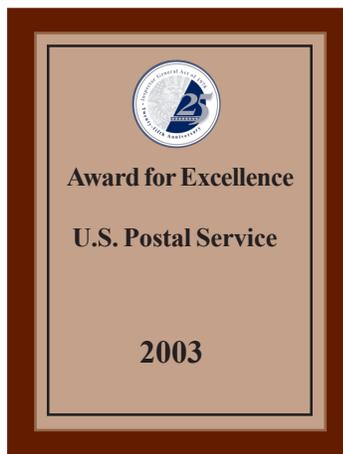
I&E Committee... *Honor Roll*

ECIE AWARDS FOR EXCELLENCE ~ EVALUATIONS



Telework Report Team

Citation: For exceptional performance and outstanding vision and leadership in all phases of the work associated with OIG's report on "Reducing Infrastructure Costs Through Increased Use of Telework in Four EEOC Field Offices."



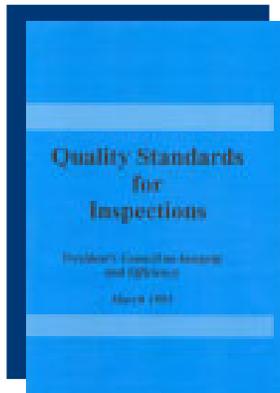
Employee Benefits Team

Citation: In recognition of outstanding achievement by the Employee Benefits Team in using innovative techniques to ensure the accuracy of employee benefits for Postal Service and the consolidated United States financial statements.

Protective Review Program Team

Citation: In recognition of outstanding development and implementation of the Protective Review Program, which provides a systematic method to review sensitive and high-risk activities at local Postal Service facilities and provides valuable and timely feedback regarding office and program management to postal management and the Board of Governors.

I&E Committee...*Work in Progress*



REVIEW OF PCIE STANDARDS FOR INSPECTIONS

The Committee, primarily with the assistance of the Energy OIG, is updating this important guide. A draft revision will be shared for comment soon.

CORE COMPETENCIES FOR INSPECTORS AND EVALUATORS

The I&E Roundtable is working with the PCIE Human Resources Committee to help develop core competencies for inspectors and evaluators. Standardized competencies will allow staff to move from OIG to OIG as well as progress from journeyman level to leadership and management roles. The Human Resources Committee staff previously worked with OIG auditors and investigators to identify skills needed to succeed in their jobs and to develop core competencies.



I&E Committee... *Work in Progress*

TRAINING FOR INSPECTORS AND EVALUATORS



The I&E Roundtable is continuing to work with the Inspectors General Auditor Training Institute (IGATI) to expand training opportunities for the I&E community. In addition, we are exploring other opportunities and innovative approaches to training for inspectors and evaluators. One example of our success in this area was delivery of a writing course for evaluators at several I&E units, including Commerce OIG and the Small Business Administration OIG. The course was developed and taught by HHS OIG staff.

I&E Committee... *Outreach*

OUTREACH TO PRIVATE AND PUBLIC SECTOR GROUPS

The Committee Chair briefed new inspectors general on the use of inspections as a proven tool at an IG's disposal. The I&E Roundtable continues to share findings on crosscutting issues that several OIGs are addressing (e.g., bioterrorism), select new Roundtable projects, and identify effective evaluation and inspection practices. The Committee also provides outreach to private and other public sector groups, and has revised its website to help its outreach efforts. During the past year this liaison work has included presentations to the Association of Inspectors General (state and local), Association of Government Accountants, American Evaluation Association, and other professional organizations.

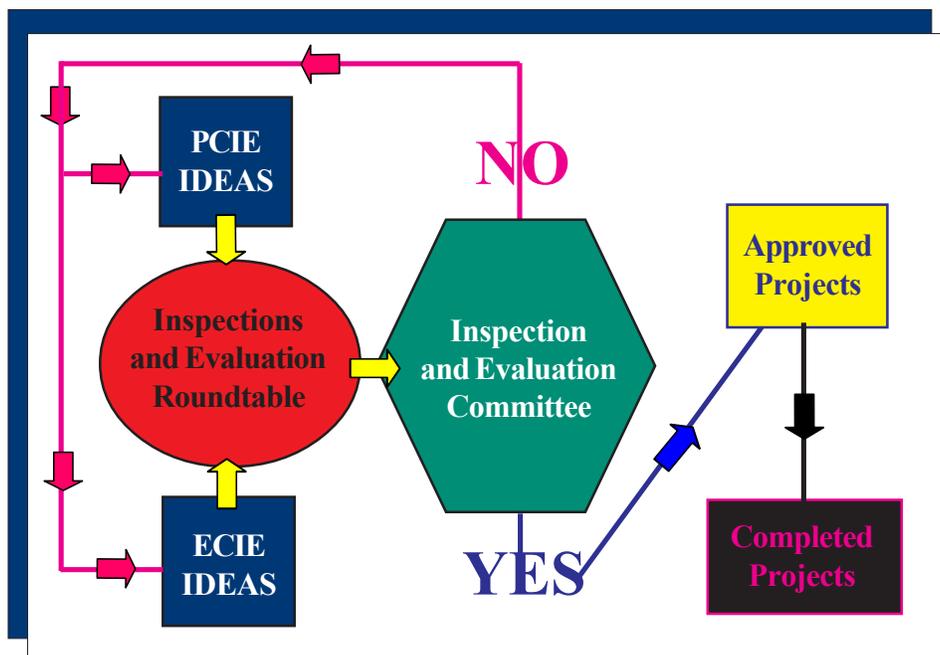
ON-LINE DIRECTORY OF OIG PURCHASE AND TRAVEL CARD REPORTS

With input from 41 OIGs, the Committee has prepared a searchable on-line database of 125 OIG reports on purchase and travel card programs in various federal agencies. This is a useful resource to OIGs and agency management officials who are seeking to review or improve management of purchase and travel card programs. The directory will be expanded on a regular basis as more OIG reports are issued. Commerce OIG had the lead on this project. The directory is available at www.ignet.gov.



I&E Committee... *Potential Projects*

I&E COMMITTEE
IS CONSTANTLY EXPLORING POTENTIAL PROJECTS
WE WELCOME YOUR IDEAS!



POTENTIAL PROJECTS

1. OIG reviews of special agreements and memorandums of understanding (MOUs) between federal agencies.
2. Rotational assignments/internal exchange programs within OIGs.

I&E Committee... *Potential Projects*

POTENTIAL PROJECTS (CONTINUED)

3. Compilation of crosscutting work performed by several offices:
 - physical and personnel security,
 - disaster preparedness,
 - procurement/government contracting,
 - information technology,
 - overseas inspections, and
 - visa and immigration concerns.
4. Report on physical security and disaster improvements as a result of the influx of funds after the September 11 attacks.
5. Lessons learned from agencies' response to biological incidents.
6. Exploration of potential conflicts of interest related to the award of federal grants.
7. Shared responsibility for visas—shared by State and Homeland Security, and other foreign affairs agencies.
8. Intelligence sharing—Defense, Homeland Security, and State.
9. Federal agencies' oversight and management of their vehicles.
10. Assessment of how effectively federal agencies are handling workers' compensation issues.
11. Development of a directory of OIG I&E reports by subject.

