
Office of Inspector General
Report

**REPORT ON THE QUALITY ASSESSMENT REVIEW OF
INVESTIGATIVE OPERATIONS**

Office of Inspector General

U.S. Department of Energy

July 13, 2017





**U.S. Department of
Transportation**
The Inspector General

Office of Inspector General
Washington, D.C. 20590

July 13, 2017

Ms. April Stephenson,
Acting Inspector General
U.S. Department of Energy
Office of Inspector General
1000 Independence Avenue, SW
Washington, DC 20585

Re: Report on the Quality Assessment Review of the Investigative Operations of the Office of Inspector General for the U.S. Department of Energy

Dear Ms. Stephenson:

We have completed our quality assessment review (QAR) of the system of internal safeguards and management procedures in effect from October 1, 2015, through September 30, 2016, for your office's (DOE-OIG) investigative operations. We conducted our review at DOE-OIG Headquarters in Washington, DC, and two field offices. The review conformed to the Council of the Inspectors General on Integrity and Efficiency's (CIGIE) Quality Standards for Investigations, CIGIE's Quality Assessment Review guidelines, and the Attorney General's Guidelines for Offices of Inspectors General with Statutory Law Enforcement Authority, as applicable.

We reviewed compliance with DOE-OIG's system of internal policies and procedures to the extent we considered appropriate. We also sampled investigative case files closed during the 12-month period ending September 30, 2016.

In performing our review, we considered the requirements of Section 6(e) of the Inspector General Act of 1978,¹ as amended, and Section 812 of the Homeland Security Act of 2002.² These statutes authorize designation of law enforcement powers to eligible personnel at offices of presidentially appointed inspectors general. Those powers may only be exercised for activities authorized by the

¹ Public Law 95-452.

² Public Law 107-296.

Inspector General Act of 1978, and other statutes, or as expressly authorized by the Attorney General.

In our opinion, the system of internal safeguards and management procedures for DOE-OIG's investigative function, in effect for the period October 1, 2015, through September 30, 2016, were in compliance with the quality standards established by CIGIE and the Attorney General's guidelines. These safeguards and procedures provide reasonable assurance that DOE OIG conforms to professional standards in the conduct of its investigations.

Sincerely,

A handwritten signature in black ink, appearing to read "C. L. Scovel III". The signature is written in a cursive style with a horizontal line under the last name.

Calvin L. Scovel III
Inspector General

cc: U.S. Department of Justice Office of the Attorney General
Executive Director, CIGIE

EXHIBIT A. OBJECTIVE, SCOPE, AND METHODOLOGY

The objective of our QAR was to determine whether DOE-OIG had internal control systems in place that provided reasonable assurance that DOE-OIG followed professional standards when conducting investigations. These professional standards were CIGIE's Quality Standards for Investigations and the Attorney General Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority. The Attorney General Guidelines apply to DOE-OIG because it has law enforcement powers pursuant to Section 6(e) of the Inspector General Act of 1978, as amended.

We performed the review in accordance with CIGIE Qualitative Assessment Review Guidelines for Federal Offices of Inspector General. We used the questionnaires and checklists attached to these review guidelines. We analyzed existing policies and procedures; conducted interviews with management officials and staff; reviewed closed investigative case files and other administrative records; and tested compliance with DOE-OIG's internal control systems to the extent we considered appropriate. We conducted our review from February through May 2017.

During the review, we visited the following DOE-OIG locations:

Headquarters, Washington, DC

Field Office, Livermore, CA

Field Office, Oak Ridge, TN

EXHIBIT B. INVESTIGATIVE CASE FILES

We selected a sample of investigative cases—closed between October 1, 2015 and September 30, 2016—to assess DOE-OIG’s consistency in practices regarding the topics in the CIGIE questionnaires and checklists.

Complaints/Preliminary Investigations

We randomly selected 10 of 539 closed complaints for review. The case numbers of the files selected were:

16-0105-C
16-0068-C
16-0260-C
16-0168-C
16-0200-C
16-0223-C
16-0034-C
16-0476-C
16-0307-C

Full Investigations

We randomly selected 19 of 137 closed full investigative files for review. The case numbers of the files selected were:

10-0006-I
14-0067-I
16-0007-I
11-0078-I
14-0122-I
15-0087-I
10-0122-I
16-0005-I
15-0099-I
14-0024-I
15-0031-I
16-0054-I
14-0076-I
15-0050-I
15-0079-I
10-0039-I
15-0089-I
15-0091-I

Assessments

We judgmentally selected one of six closed assessment activities for review. The case number of the file selected was:

15-0006-I



Department of Energy
Washington, DC 20585

July 5, 2017

The Honorable Calvin L. Scovel III
Inspector General
U.S. Department of Transportation
1200 New Jersey Ave., SE
Washington, DC 20590

Dear Mr. Scovel:

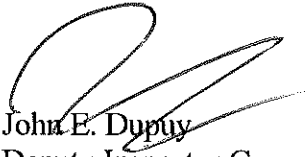
This is a follow-up to your letter dated June 26, 2017, outlining the results of the Quality Assessment Review (QAR) of the U.S. Department of Energy, Office of Inspector General (OIG), Office of Investigations.

I want to express my appreciation for the professionalism and thoroughness of the Department of Transportation (DOT) team that conducted the QAR. I am pleased the team found that the collective policies and procedures of the Office of Investigations incorporate language that facilitates compliance with the applicable guidelines and standards. I was also encouraged to hear the DOT team members identified our web-based, bar-coded evidence tracking system; templates in our electronic case management system; Leadership Development Program; Special Agent Advisory Committee; and our Internal Quality Assurance Review Program as systems and programs that increase our efficiency and effectiveness.

We have carefully reviewed your letter of observations, which was informative and enlightening. We are fully committed to an action plan to address those observations that can enhance our operations moving forward. We will prioritize the issues and implement updated policies and procedures as appropriate.

We look forward to working with you in the future. Should you need any additional information, please feel free to contact me at 202-586-2730 or john.dupuy@hq.doe.gov.

Sincerely,


John E. Dupuy
Deputy Inspector General
for Investigations
Office of Investigations