



**Association of Inspectors General  
524 West 59<sup>th</sup> Street, 3532N  
New York, New York 10018**

September 4, 2018

Daniel Lucas  
Inspector General  
D.C. Office of Inspector General  
717 14<sup>th</sup> Street Northwest  
Washington D.C. 20005

Dear Inspector General Lucas,

The Association of Inspectors General (AIG) performed a Peer Review of the District of Columbia Office of Inspector General (DCOIG) Audit Unit (AU), Investigations Unit (IU), and Inspections and Evaluations Unit (I&E) at your request. The Peer Review Team (Team) evaluated the work of these three units covering the last three years (October 1, 2015 – September 30, 2017). The Team performed the review during the week of August 27, 2018 through August 30, 2018, and took place at your offices at 717 14<sup>th</sup> Street Northwest, Washington D.C., 20005. The Peer Review assessed the work of the AU, IU, and I&E Units for compliance with the AIG Principles and Standards for Offices of Inspector General (Green Book), the Government Auditing Standards (Yellow Book) issued by the U. S. Government Accountability Office (GAO), and the Council of Inspectors General on Integrity and Efficiency (CIGIE) Quality Standards for Investigations and the CIGIE Quality Standards for Inspections and Evaluations. These standards are consistent with the qualitative standards under which your office's AU, IU, and I&E Units have operated throughout the review period.

The six-person Peer Review Team consisted of the following individuals:

AU Review    Flora Tran, Regional Investigator/Accreditation Manager (Team Leader)  
                  Office of Inspector General, Florida Department of Children and Families

                  Erica Smith, Deputy Inspector General for Audit (Team Member)  
                  Office of Inspector General, City of New Orleans

Inspector General Daniel Lucas  
Peer Review Opinion Letter  
September 4, 2018

IU Review Robert C. Joyce, Assistant Director of Investigations (Team Member)  
Office of Inspector General, Port Authority of New York/New Jersey

Levin J. White, Special Agent, Investigations (Team Member)  
Office of the State Inspector General, Virginia

I&E Division James S. Smith, Deputy Inspector General (Team Member)  
Office of Inspector General, US Department of Defense  
Defense Contract Audit Agency

Sean M. Wood, Regional Investigator (Team Member)  
Office of Inspector General, Florida Department of Children and Families

On behalf of the Team, I am pleased to advise that we found no reportable instances of failure to meet these standards. There are no limitations or qualifications on our opinion. It is the unanimous conclusion of the Team that the AU, IU, and I&E Units met all relevant AIG, GAO, and CIGIE standards for the period under review.

The remainder of this letter sets forth the purpose, scope, and methodology of the Peer Review.

## **Purpose**

The Team conducted an independent, qualitative review of the operations of the AU, IU, and I&E Units of the DC OIG focusing on compliance with agreed-upon standards.

## **Scope**

The Peer Review covered AU, IU, and I&E operations, resulting work products, and related file materials chosen from closed audits, investigations, and completed inspections between October 1, 2015 and September 30, 2017 for all three Units. The Peer Review's scope also covered the Units' compliance with their relevant policy and process manuals and procedural guides; staff qualifications; and professional training requirements, including firearms training for law enforcement staff. Lastly, the Peer Review assessed supervisory review and quality control over the work product, reporting of results, and the DC OIG relationship and communications with outside agencies. For this last step, the Peer Review Team met with external stakeholders with whom the DC OIG frequently work, or who are the recipients of DC OIG work products.

## **Method**

The Peer Review Team generally followed the Peer Review/Qualitative Assessment Review Checklists developed by the Team for the AU, IU, and I&E Units. These Checklists are based on the AIG, GAO, and CIGIE standards. The Team also called upon their own professional experience as senior managers of various Offices of

Inspector General Daniel Lucas  
Peer Review Opinion Letter  
September 4, 2018

Inspectors General and through their knowledge of and familiarity with best practices within the Inspector General community.

Prior to the actual on-site review, the Team requested information from the AU, IU, and I&E Units, including but not limited to policy and procedures manuals, closed case logs, a list of issued reports, and a list of external stakeholders. The Team used this information to select the work products and related case materials that were ultimately reviewed.

On August 27, 2018, the Team held an entrance conference with your executive leadership and you, during which time we explained the Peer Review scope, methodology, limitations, and proposed schedule. During that morning, we also delivered our request for sample review materials. During the week, the Peer Reviewers conducted their fieldwork through examination of the selected case files. Peer Reviewers also interviewed staff from the AU, IU, and I&E Units. Interviewees for all the Units included the Deputy Inspector General (DIG) and Supervisors; and selected staff. Members of the Peer Review Team also interviewed the Supervisory Information Technology Specialist.

The Team also reviewed the personnel files of AU, IU, and I&E employees and reviewed their Training and Continuing Education files, Firearms Qualifications files, and all relevant policy and process manuals and procedural guides. All file requests were met fully and timely.

Team members also met with you and with members of your executive leadership to gauge their involvement and interaction with AU, IU, and I&E.

- Marie Hart, Principal Deputy Inspector General
- Karen Branson, General Counsel
- Keith Van Croft, Deputy General Counsel
- Matthew Wilcoxson, Deputy Inspector General for Operations

The Team conducted all interviews in confidence and without any limitation on scope or time. Reviewers requested follow-up interviews and explanations, as well as any supplemental documentation, and DC OIG staff graciously accommodated the Team.

The Team also independently chose several external stakeholders to interview, respective of their assigned Units. Meetings were arranged between the Peer Reviewers and the external stakeholders for the purpose of evaluating agency cooperation, effectiveness, and responsiveness. Stakeholders included representatives from the:

- D.C. Office of the Attorney General
- D.C. Board of Ethics and Accountability
- Federal Bureau of Investigation – Washington D.C. Field Office
- United States Attorney's Office for the District of Columbia

Inspector General Daniel Lucas  
Peer Review Opinion Letter  
September 4, 2018

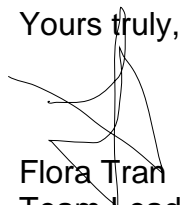
Finally, the Team held an exit conference with your executive leadership and you on August 30, 2018, during which time the Team shared its conclusion that all three Units fully met AIG, GAO, and CIGIE standards. Team members provided you with our observations and opinions gathered during the review. We held separate exit conferences with you and the respective DIGs of AU, IU, and I&E. During each of these exit conferences, Peer Review Team members elaborated on the observations made during the week of review. In each of the exit conferences, Team members provided several observations that did not limit or qualify the opinion of the Peer Review, but were shared with you and your leadership team as possible areas of consideration going forward. Throughout the week, we had productive discussions with DC OIG members (from leadership to professional staff) regarding their positive experiences from past Peer Reviews and their affirming opinions about the Peer Review process.

As noted above, it is the unanimous conclusion of the Peer Review Team that AU, IU, and I&E met all current and relevant AIG, GAO, and CIGIE standards for the review period.

On behalf of the AIG, I want to thank you for the confidence placed in the AIG by requesting that we conduct this review. On behalf of the Peer Review Team, we would like to acknowledge and thank Inspector General Daniel Lucas and his designee, Special Projects Coordinator Matthew Bohrer and Administrative Assistant Zanetta Holley, for all of their efforts in the coordination and planning of this event and for ensuring that we were provided with the necessary records and tools for a thorough and smooth review. Lastly, on behalf of the Team, we would like to recognize that in all of our interactions with your staff, we were shown the respect and cooperation that is the hallmark of a professional staff truly interested in a full and open review of their work. At the same time, this has been a learning experience for each member of the Peer Review Team, for which we wish to convey our sincerest thanks.

Please feel free to contact me or any member of the Peer Review Team if you have any questions.

Yours truly,



Flora Tran

Team Leader, AIG Peer Review for the District of Columbia Office of Inspector General,  
August 2018  
Peer Review Committee, Association of Inspectors General

cc:

Robert C. Joyce, Team Member, AIG Peer Review for the District of Columbia Office of Inspector General, August 2018

Inspector General Daniel Lucas  
Peer Review Opinion Letter  
September 4, 2018

Erica Smith, Team Member, AIG Peer Review for the District of Columbia Office of  
Inspector General, August 2018

James S. Smith, Team Member, AIG Peer Review for the District of Columbia Office of  
Inspector General, August 2018

Levin J. White, Team Member, AIG Peer Review for the District of Columbia Office of  
Inspector General, August 2018

Sean M. Wood, Team Member, AIG Peer Review for the District of Columbia Office of  
Inspector General, August 2018