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Description of document: Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee Meeting Minutes, 2012-2015

Requested date: 12-April-2016

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Note: Material released 07-September-2020 starts on PDF page 16

Source of document: FOIA Officer
Council of the Inspectors General on Integrity and Efficiency
1717 H Street, NW, Suite 825
Washington, DC 20006
Fax: (202) 254-0162
Email: FOIASTAFF@cigie.gov

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Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

January 21, 2020

Subject: CIGIE Freedom of Information/Privacy Act Request [6330-2016-13]

This letter serves as the first interim response to your Freedom of Information Act (FOIA) request, to the Council of the Inspectors General on Integrity and Efficiency (CIGIE). You initially filed the request on April 12, 2016. This request was assigned FOIA case number 6330-2016-13. In your own words, you stated the following:

I request the meeting minutes of the Investigations Committee covering meetings during the time period January 2012 through December 2015.

Enclosed you will find the redacted 2015 meeting minutes for the CIGIE Investigations Committee. In 2015, the CIGIE Investigations Committee met during the following months: January, March, April, June, August, September and November.

Furthermore, you may find it helpful to know that CIGIE's web page has a FOIA reading room where you can find meeting minutes. Specifically, the Investigations Committee has already posted meeting minutes for part of 2012, all of 2013, and part of 2014. The link to those minutes is here:

<https://ignet.gov/sites/default/files/files/Investigations%20Committee%20Minutes.pdf>.

Meanwhile, the CIGIE FOIA team is in the process of locating the remaining responsive records so that we can process them and release them to you.

Also included with the redacted meeting minutes is a one-page summary explaining the CIGIE FOIA redactions. The applicable redactions for this interim response include FOIA exemptions (b)(3) (50 U.S.C. § 3507); (b)(5) and (b)(6).

If you have questions, you may contact CIGIE's FOIA Public Liaison, Deborah Waller, Supervisory Government Information Specialist, at (202) 616-1210 or FOIASTAFF@cigie.gov.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows:

January 21, 2020

FOIA Case No. 6330-2016-13

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road-OGIS
College Park, Maryland 20740-6001
ogis@nara.gov
(202) 741-5770
(877) 684-6448 (toll free)
(202) 741-5769 (facsimile)

Sincerely,

A handwritten signature in black ink, appearing to read "Alan F. Boehm", written over a horizontal line.

Alan F. Boehm
Executive Director

Enclosures as stated

Investigations Committee
Tuesday, January 13, 2015
Securities and Exchange Committee
100 F ST NE, Room 6000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the November 12, 2014, IC meeting were then approved without changes.

Old Business

- Quality Standards for Investigations (QSI) and Peer Review Working Group - Carl Hoecker began the discussion by raising the question of (b) (5) (b) (6) then informed the group of his prior experience evaluating how various OIGs manage “internal” investigations and the associated issues with peer reviews of that body of work.

New Business

- **IT Committee Update** – Tyler Smith provided a general description of the activities of the group.
- **Feasibility Study** - The IC had previously approved for Executive consideration a “crosscutting” CIGIE project, a feasibility study on an investigative resource for the primary purposes of de-conflicting and collaborating on investigations and identifying patterns of entitlement fraud and contracting wrongdoings and assisting in achieving comprehensive background checks.
- **AIGI Committee Update** - Tim Camus and Alan Boehm informed the group that the topics and training are currently being identified and developed for the upcoming (April) AIGI meeting.

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Investigations Committee
Wednesday, March 4, 2015
Securities and Exchange Committee
100 F ST NE, Room 4000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the January 13, 2015, IC meeting were approved without changes.

Old Business

- **Quality Standards for Investigations (QSI) and Peer Review Working Group** – Tim Camus described the survey sent to the IG community requesting (b) (5) [REDACTED]
- **Feasibility Study** - The IC had previously approved a “crosscutting” CIGIE project, a feasibility study on an investigative resource for the primary purposes of de-conflicting and collaborating on investigations and identifying patterns of entitlement fraud and contracting wrongdoings and assisting in achieving comprehensive background checks. During the discussion, Carl Hoecker (b) (5) [REDACTED] (b) (6) [REDACTED] then described the various technical backgrounds he is seeking input from for the technical portion of the study, including (b) (5) [REDACTED]
(b) (6) [REDACTED] then initiated a related discussion advising the group that (b) (5) [REDACTED]
[REDACTED] In response, several members of the IC mentioned (b) (5) [REDACTED]

New Business

- **IG Legal Authority Working Group** – Carl Hoecker discussed that the CIGIE Executive Council directed the Investigations Committee to create a working group with the Legislative Committee to gather information about the history, requirements and necessity of OIGs LFA, partly in response to issues raised in response to the RAD Act. John Hartman then described the survey (b) (5) [REDACTED]
- **AIGI Committee Update** - Tim Camus and Alan Boehm informed the group that the topics and training are currently being identified and developed for the upcoming (April) AIGI meeting.

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Investigations Committee
Wednesday, April 15, 2015
Securities and Exchange Committee
100 F ST NE, Room 4000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the March 4, 2015, IC meeting were approved without changes.

Old Business

- **Quality Standards for Investigations (QSI) and Peer Review Working Group** – Carl Hoecker provided an overview of the pilot conducted by USDA IG who will report on their pilot at the May meeting. Jim Ives and Tim Camus briefed on the response to the survey sent to the IG community requesting (b) (5). The responses are being analyzed. Additional input will be solicited at the AIGI Conference on April 28-29, 2015. Preliminary results of the survey indicate (b) (5).
- **Feasibility Study** - The CIGIE had previously approved a “crosscutting” CIGIE project, a feasibility study on an investigative resource for the primary purposes of de-conflicting and collaborating on investigations and identifying patters of entitlement fraud and contracting wrongdoings and assisting in achieving comprehensive background checks. Aaron Jordan advised that the working group was meeting the afternoon of April 15, 2015, to continue exploring (b) (5).

New Business

- **IG Law Enforcement Authority Working Group** – Carl Hoecker provided historical background that the CIGIE Executive Council directed the Investigations Committee to create a working group with the Legislative Committee to gather information about the history, requirements and necessity of OIGs LFA, partly in response to issues raised in response to the RAD Act. John Hartman then described the survey results (approximately (b) (5) IGs to whom it would apply) and he will follow up with the others. The working group will (b) (5).
- **AIGI Committee Update** - Tim Camus and Alan Boehm provided an overview of the agenda and speakers for the April 28-29, 2015, AIGI Conference at the HHS facility in Largo.

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Atenndanees

Carl Hoecker (SEC)
Mark Bialek (FRB & CFPB)
Brian Crane (SEC)
Rod Fillinger (SEC)
Tim P. Camus (TIGTA)
Alan Boehm (NSF)
Aaron Jordan (Ed)
James O'Neill (VA)
Matthew Elliott (DOI)
John Phillips (Treasury)
John Hartman (DOE)
Howard Arp (GAO)
Joe Clarke (HUD)
Heide Kaser (IC)
Geoffrey Cherrington (State)
Lee Quintine (GSA)
Robert Erickson (GSA)
Ronald Powell (DOJ)

Investigations Committee
Tuesday, June 30, 2015
Securities and Exchange Committee
100 F ST NE, Room 5000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the April 15, 2015, IC meeting were approved without changes.


Old Business

- **Quality Standards for Investigations (QSI) and Peer Review Working Group** – USDA’s Deputy IG David Gray and (b) (6) (Compliance and Integrity) (OCI), along with Dept. of Ed’s Deputy IG Sandra Bruce and (b) (6) (Quality and Integrity Group) briefed the IC on the recently completed peer review conducted of USDA OIG’s OCI.
 - According to Gray, USDA OIG’s most recently conducted peer review recommended, in part, the Office of Compliance and Integrity (OCI) be subject to an external peer review of its investigations.
 - Gray then explained OCI operates as an independent internal affairs office which is specifically positioned outside of the Office of Investigations in order to enhance OCI’s independence and objectivity. Enabling OCI to objectively conduct its internal affairs investigations and quality assurance reviews of all OIG operations. As such, OCI does not fall within the scope of an Office of Investigations peer review. Although OCI is not situated within Investigations, the recommendation suggested an external peer review of OCI by another OIG.
 - USDA OIG then requested such review which was subsequently conducted by (b) (6) of the Quality and Integrity Group at Dept. of Ed OIG. (b) (6) (b) (5)
- **OIG Law Enforcement Authorities Working Group** - DoE’s Deputy IG John Hartman informed the IC that (b) (5).
- **Whistleblower/Ombuds Committee Update** - DoJ’s Deputy IG Robert Storch provided a summary briefing to the IC on the recent meetings of the Whistleblower/Ombuds Committee Update and (b) (5)

New Business

- **Presentation on Detail Opportunities** - (b) (6), AUSA, EDVA (Supervisor of the Alexandria Division of the U.S. Department of Justice, Affirmative Civil Enforcement Unit (ACE). (b) (6) @usdoj.gov, (b) (6) provided a brief history of ACE explaining the unit

primarily recovers debts, damages and penalties for the United States in a wide variety of contexts. Enforcement actions include health care fraud, procurement fraud, and grant fraud; “qui tam” whistle-blower cases and other civil actions. (b) (5)



Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Atenndanees

Carl Hoecker (SEC)
Mark Bialek (FRB & CFPB)
Brian Crane (SEC)
Rod Fillinger (SEC)
Tim P. Camus (TIGTA)
Alan Boehm (NSF)
Aaron Jordan (Ed)
James O'Neill (VA)
Matthew Elliott (DOI)
John Phillips (Treasury)
John Hartman (DOE)
Howard Arp (GAO)
Joe Clarke (HUD)
Heide Kaser (IC)
Geoffrey Cherrington (State)
Lee Quintine (GSA)
Robert Erickson (GSA)
Ronald Powell (DOJ)



Investigations Committee
Tuesday, August 11, 2015
Securities and Exchange Committee
100 F ST NE, Room 5000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of Minutes –Minutes from the June 30, 2015, IC meeting were approved without changes.

Old Business

- **Quality Standards for Investigations (QSI)** - The discussion showed that (b) (5)

[REDACTED]

The discussion indicated (b) (5)

[REDACTED]

- **Peer Review Working Group** - HHS' AIGI Tyler Smith reports that several of the smaller IG offices (b) (5)

[REDACTED]

- **Scoping the Target Share Feasibility Study, Technical Operations** - (b) (5)

[REDACTED] Also,

the benefits IGs (Labor, SSA, RRB, HHS and VA) have established a data sharing working group. (b) (5)

[REDACTED]

New Business

- **21st Century Policing Initiative** - In May 2015, FLETC convened a working group to review the Final Report of the President's Task Force on 21st Century Policing. The curriculum

development team, consisting of FLETC and Partner Organization trainers, (b) (5)

In addition to working group activities, the
FLETC (b) (5)

Though the
FLETC has not decided where they will hold the summit, (b) (5)

- Next IC meetings are 9/29 at 10am and 11/3 at 10am.

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Investigations Committee
Tuesday, September 29, 2015
Securities and Exchange Committee
100 F ST NE, Room 3000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of Minutes –Minutes from the August 11, 2015, IC meeting were approved without changes.

Old Business

- **Quality Standards for Investigations (QSI) & Peer Review Working Group** – Update and status of proposed changes and peer review working group; Tim Camus described the history and need for the working group.
 - Jim Ives, AIGI NASA OIG, then described the objective was to assess (b) (5) [REDACTED]
[REDACTED] Then to make recommendations of (b) (5) [REDACTED]
(b) (5) [REDACTED] Secondly, to determine (b) (5) [REDACTED]
 - Ives summarized the findings, (b) (5) [REDACTED]
[REDACTED]
 - Ives further notes that (b) (5) [REDACTED]
[REDACTED]
- **Law Enforcement Authorities (LEA) Working Group** – Carl Hoecker explained the CIGIE Executive Council directed the Investigations Committee to create a working group with the Legislative Committee to gather information about the history, requirements, and necessity of OIGs' LEA, in part to increase the awareness of the importance of LEA within the IG community. John Hartman then presented and described the working group's draft report for initial comment and consideration. (b) (5) [REDACTED]
[REDACTED]

New Business

- **21st Century Policing Initiative** - In May 2015, FLETC convened a working group to review the Final Report of the President's Task Force on 21st Century Policing. (b) (3) [REDACTED]

(b) (3) explained the goal of the working group was to develop proposals to address the complex challenges facing today's law enforcement professionals by ensuring FLETC's training fully prepares officers and agents to safely and effectively enforce the law in an impartial and ethical manner.

- (b) (3) explained FLETC and the Partner Organizations (PO) began by (b) (5)
[REDACTED]
The findings were then provided to a joint FLETC and PO Content Team for review and action.
- Leveraging the information compiled the team then reviewed and analyzed the information and developed an action plan that outlined their recommendations with justifications. The Content Team completed their work, and the final report was presented to FLETC's Curriculum Advisory Committee (CAC) on September 17, 2015.
 - The CAC will (b) (5)
[REDACTED]

- Next IC meeting will be held on 11/4 at 10am.

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Investigations Committee
Wednesday November 4, 2015
Securities and Exchange Committee
100 F ST NE
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of Minutes –Minutes from the September 29, 2015, IC meeting were approved without changes.

Old Business

- **Quality Standards for Investigations (QSI) & Peer Review Working Group** – Alan Boehm, speaking on behalf of the group, reiterated the group’s findings, (b) (5)
[REDACTED]
 - Boehm announced the formation of a committee to implement the recommendations of the working group.
 - Hoecker further explained that the committee would incorporate the takeaways from the recently completed peer review of USDA OIG’s independent internal affairs unit, conducted by the Department of Education OIG.
 - Additionally, Hoecker requested that (b) (5)
[REDACTED]
 - Specifically, Hoecker (b) (5)
[REDACTED]
- **Law Enforcement Authorities (LEA) Working Group** – Hoecker explained the CIGIE Executive Council directed the Investigations Committee to create a working group with the Legislative Committee to gather information about the history, requirements, and necessity of OIGs’ LEA, in part to increase the awareness of the importance of LEA within the IG community. The working group drafted a report for initial comment and consideration by the AIGI Committee in October. (b) (5)
[REDACTED]

New Business

- **Investigative Document release authority** - Hoecker gave a general explanation for the purpose of the project, (b) (5) [REDACTED]
- **NCFS accreditation recommendation** – Keith Bonanno explained that in 2013, DOJ established the National Commission on Forensic Science (NCFS), in partnership with the National Institute of Standards and Technology (NIST), “to enhance the practice and improve the reliability of forensic science.” NCFS is co-chaired by Deputy Attorney General Sally Q Yates. NCFS includes Federal, state, and local forensic science service providers; research scientists and academics; law enforcement officials; prosecutors, defense attorneys and judges; and most notably certification service providers from across the country, who sit on the board recommending across the board certifications. Representatives of CIGIE plan to (b) (5) [REDACTED]

The next IC meeting will occur on January 12, 2016, at 10 a.m.

Adjournment

Hoecker adjourned the meeting at 11:00 a.m.



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

February 27, 2020

Subject: CIGIE Freedom of Information/Privacy Act Request [6330-2016-13]

This letter serves as the final response to your Freedom of Information Act (FOIA) request, to the Council of the Inspectors General on Integrity and Efficiency (CIGIE). You initially filed the request on April 12, 2016. This request was assigned FOIA case number 6330-2016-13. In your own words, you stated the following:

I request the meeting minutes of the Investigations Committee covering meetings during the time period January 2012 through December 2015.

In the first interim response, which CIGIE provided on January 21, 2020, you received redacted copies of the minutes from the 2015 meetings.

In this response, you are being provided with redacted copies of all the available meeting minutes for the years 2012 and 2014. As for the meeting minutes from 2013, they are already posted to the CIGIE FOIA Reading Room. For this reason, the 2013 minutes have not been duplicated in this response.

Also included with the redacted meeting minutes from 2012 and 2014 is a one-page summary explaining the CIGIE FOIA redactions. The applicable redactions for this response include FOIA exemptions (b)(5) and (b)(6).

If you have questions, you may contact CIGIE's FOIA Public Liaison, Deborah Waller, Supervisory Government Information Specialist, at (202) 616-1210 or FOIASTAFF@cigie.gov.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows:

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road-OGIS
College Park, Maryland 20740-6001
ogis@nara.gov

February 27, 2020
FOIA Case No. 6330-2016-13

(202) 741-5770
(877) 684-6448 (toll free)
(202) 741-5769 (facsimile)

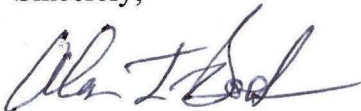
For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. *See* 5 U.S.C. 552(c) (2006 & Supp. IV 2010). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

A requester may appeal a determination denying a FOIA request in any respect to the CIGIE Chairperson c/o Office of General Counsel, Council of the Inspectors General on Integrity and Efficiency, 1717 H Street NW, Suite 825, Washington, DC 20006. The appeal must be in writing, and must be submitted either by:

- (1) Regular mail sent to the address listed in this subsection, above; or
- (2) By fax sent to the FOIA Officer at (202) 254-0162; or
- (3) By email to FOIAAPPEAL@cigie.gov.

Your appeal must be received within 90 days of the date of this letter. The outside of the envelope should be clearly marked "FOIA APPEAL."

Sincerely,



Alan F. Boehm
Executive Director

Enclosures: as stated

REPORT OF MEETING: CIGIE INVESTIGATIONS COMMITTEE
January 24, 2012 - 10:00 a.m.

LOCATION: Treasury Department
1500 Pennsylvania Avenue, N.W.
Room 3327

Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP), and Chair, CIGIE Investigations Committee (IC), called the meeting to order.

ADMINISTRATIVE

1. **Approval of minutes** – Mr. Hoecker asked that the minutes from the November 16, 2011, meeting be approved. With no objection the motion was carried.

OLD BUSINESS

2. **FinCen Update** – Mr. Nicholas Colucci, FinCen Associate Director Analysis/Liaison, gave an overview of what the mission of the Financial Crimes Enforcement Network. Mr. Colucci introduced Mr. Eric Vondra, FinCen, Senior Intelligence Research Specialist, who gave a more in-depth briefing of the parameters of operations and capabilities of the FinCen with regard to the Inspector General community.

Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, offered to have the IGCIA help Nick develop an informative briefing on the future capabilities of FinCen in supporting IG investigators and that IGCIA would help ensure FinCen instructors had time during some of the courses offered.

3. **2011 Committee Business Summary** – Mr. Hoecker gave a brief review of the committee's accomplishments for 2011. Those mentioned were the IC and AIGI Committee revision of the *Quality Standards for Investigations* (QSI) and the *Quality Assessment Review (QAR) Guidelines*, both of which were adopted by the CIGIE membership adopted during 2011.

Mr. Hoecker also mentioned the very successful Suspension and Debarment (S&D) conference organized by the IC S&D Working Group led by National Science Foundation IG Allison Lerner and Federal Housing Finance Agency IG Steve Lincik in 2011.

Lastly, the IC, working with the AIGI Committee and the Council of Counsels, developed guidance and a sample Memorandum of Understanding for Mutual Law enforcement assistance.

NEW BUSINESS

1. **Peer Review Schedule** – Mr. Hoecker opened discussion regarding peer review scheduling and a deconfliction of peer reviews between agencies who had been last been peer reviewed for audits and were in line to be reviewed or review that agency's Office of Investigation. At the request of the committee chair, Mr. Tom Caulfield will follow up with Mr. Mark Jones, CIGIE Executive Director to work on a deconfliction process. Ms. Allison Lerner, NSF Inspector General and Mr. Michael Stephens, Deputy IG, FHFA, mentioned that their agencies will have statutory law enforcement soon and will need to have statutory law enforcement peer reviews. Because of this, Ms. Lerner suggested further attention should be paid to peer review for and by those OIG whose agencies not having statutory LE authority, as well as those whose mission is purely national security/intelligence gathering oriented versus those with a blended mission, such as the State Department and the Justice Department.
2. **IC Strategic Plan/Crosscutting Issues** – Mr. Hoecker reviewed with the committee the four goals and the tie-in to their respective strategies as set forth in the in the IC strategic plan. Members should think of potential cross-cutting issues for consideration.
3. **AIGI Committee Updates** – Mr. Bill Hamel, the outgoing AIGI Committee Chair, was recognized by Mr. Hoecker for his significant contributions and the contributions made by the AIGI subcommittee in support of the IC during his tenure as chair. A presentation of a plaque and CIGIE certificate recognizing this was made by Mr. Hoecker and Ms. Mary Mitchelson, DIG, ED OIG. Mr. Hoecker recognized Mr. Aaron Jordan, AIGI, PBGC OIG and Mr. Brian Crane, AIGI, Treasury OIG as the new AIGI Committee Chair and Vice-Chair, respectively.

Aaron briefed the committee on the business covered at the first quarter AIGI Committee meeting. Aaron also informed the committee that the FBI will be moving permanently to an electronic fingerprinting database which will entail submissions as well. Mr. Jordan also brought the committee up to date on the establishment of a standing AIGI Training subcommittee.

The annual AIGI Conference will be hosted by the HHS OIG for 2 to 3 days during the week of April 23, 2012. The exact date has not yet been determined.

Mr. John Dupuy, AIGI, DOI OIG, briefed the committee on progress with the Training Subcommittee to support the IG Academy with regard to training requirements, approach and practices along with development of a liaison with Tom Caulfield to the IG Academy. John is looking for direction from the community and input on concerns regarding practical matters involving joint matters with investigations and audits for future needs.

4. **1811 Job Task Analysis** – Mr. Caulfield discussed the concerns raised regarding the survey information being used to put 1810 against 1811 because of pay differences. There was also concern that (b) (5)

(b) (5)

Mr. Hoecker would like to ensure the IGs and the committee had input into the final product and then afford the CIGIE Executive Council the opportunity to act further on the results.

5. Council of Counsels Update – Mr. Glenn Harris, Chair of the Council of Counsels, briefed the committee on work being done with regard to a Memorandum of Understanding covering the sharing of agents; a Peer Review Guidelines review; the results of a state to state survey covering policy with regard to home to work government vehicles and input pertaining to this survey from other agencies to include DHS, HHS, USPS and NASA. The 50 state survey, when completed, will be provided to the AIGI committee and posted on the CIGIE business side of the website.

Mr. Patrick Sullivan, AIGI, EPA OIG, briefed the committee on the hiring of retired 1811 retired annuitants and subsequent training at the IG Academy. These personnel cannot work more than 1400 hours per annum. A status update from Mr. Sullivan will be forthcoming at the next IC meeting.

ADJOURNMENT

Mr. Hoecker opened the floor to any last items of business with the IC. There being no further business, Mr. Hoecker adjourned the meeting at 11:40 a.m.

The following members were present at the CIGIE Investigations Committee meeting on Tuesday, August 9, 2011:

Carl W. Hoecker, USCP IG, and IC Chair
Eric Thorson, Treasury IG, and IC Vice-chair
Lanie D'Alessandro, NRO IG
Allison Lerner, NSF IG
Steve Linick, FHFA IG
Cynthia Schnedar, DOJ Acting IG
Mike Stevens, on behalf of the FHFA IG

The following guests and observers were present:

Mark Beames, XO, USCP OIG
Eric Beatty, AIGI, NRO OIG
Tom Caulfield, Executive Director, CIGIE Training Institute
Geoff Cherrington, AIGI, GSA OIG
P. Brian Crane, AIGI, Treasury OIG/ AIGI Committee Vice-Chair

Nicholas Colucci, FinCen, Associate Director Analysis/Liaison, Division Acting Deputy
Director

Nicole Dotson, PBGC OIG, Special Assistant

John Dupuy, AIGI, DOI OIG

Karen Ellis, AIGI, USDA OIG

William Hamel, AIGI, ED OIG

Glenn Harris, Counsel, SBA OIG

Aaron Jordan, AIGI, PBGC OIG/AIGI Committee Chair

Ken Keeler, AIGI, LOC OIG

Mary Mitchelson, DIG, ED OIG

Eric Vondra, FinCen, Senior Intelligence Research Specialist

Dan O'Rourke, AIGI, SBA OIG

Sheldon Shoemaker, SBA OIG, Special Assistant

Patrick Sullivan, AIGI, EPA OIG

Tom Williams, SAC, LOC OIG



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

Investigations Committee
Agenda
Tuesday, March 6, 2012

**USCP Headquarters
119 D Street, NE
Washington DC 20510**

10:00 AM to 12:00 PM

ADMINISTRATION

10:00 *OPENING REMARKS*

Carl Hoecker

Previous IC minutes

OLD BUSINESS

10:05 *Green Dot Fraud Scheme*

Crane/Rohde

10:30 *CIGIE Job Task Analysis – Status Update*

Tom Caulfield

11:00 *CIGIE IT Committee Update*

Rebecca Batts

11:30 *AIGI COMMITTEE UPDATE*

Aaron Jordan

AIGI Conference

Aaron Jordan

NEW BUSINESS

11:45 *Council of Counsels update*

Glenn Harris

12:00 *Adjourn*



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

Investigations Committee
March 6, 2012 10a.m.
United States Capitol Police Headquarters
119 D Street NE

Meeting Minutes

The meeting was called to order at 10:00 by Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP)

Administrative

- Agenda Review
- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on January 24, 2012 be approved. With no objection, the motion was passed.

Old Business

- **(b) (5) Fraud Scheme** – Social Security Administration Representatives Rich Rohde, AIGI, and Mike Ryan, SAIC, presented information regarding (b) (5) fraud scheme. Mr. Ryan indicated that this type of fraud involves the theft of PII in an effort to redirect Social Security payments. He noted the (b) (5) [REDACTED]
[REDACTED]
[REDACTED] SSA has partnered with TIGTA and Treasury to assist in addressing the matter. According to February 2012 statistics, SSA received an average of 40 complaints per day and since October 2011 have received 7600 reported cases (including attempts).
- **CIGIE Job Task Analysis (JTA)** – Tom Caulfield updated on the status of the JTA. He indicated that insufficient data was received from 1810s with only 36 responses. 400 responses are needed for a valid sample. There were over 430 responses from 1811s and therefore only this position will be analyzed. Partnerships have been developed with IG Criminal Investigators Academy, AIGI Committee and FLETC. The JTA addresses a CIGIE goal — workforce competency. Expected outcomes include: tool for better hiring practices to invoke more appropriate interview questions; potential information to consider for an update to the quality standards for investigations; database for skills and abilities along with research; aid with training; and to assist with other IG areas. Recommendations are projected to be presented to the Investigations Committee during September 2012. Mr. Caulfield noted that the information will most likely be releasable via FOIA.

Mr. Caulfield also noted that the new FLETC Advisory Board had its first meeting. Long term goals and training were discussed and bylaws were drafted. Their mission statement was adopted. The Advisory Board is planning to hold three meetings per year.

- **CIGIE IT Committee Update** – Rebecca Batts, PBGC IG was not present. Mr. Hoecker presented the “Business Case for Recommended Changes to the FAR.” He and Ms. Batts discussed the

(b) (5)

- **AIIG Committee Update** – Aaron Jordan

- AIIG Conference – Shimon Richmond from HHS indicated that the conference dates have been confirmed for April 24 – 26, 2012. The Conference is to be held at HHS Headquarters, Hubert Humphrey Building, Penthouse Suite located at 200 Pennsylvania Avenue NW. The topics to be covered include: updates from the IG Academy; CIGIE Institute and Committee Updates; preparation for Congressional Testimony; OIG undercover operations; OMB fiscal responsibility; FinCen; and Strategic Thinking (Tom Grahams, VA). Mr. Richmond noted that they are working on ideas for the closing and noted that a 2 hour time block remains open and welcomed suggestions. (b) (6)

suggested (b) (5)

- Undercover Review Committee –This Committee was established in June of 2010 but has been inactive. The members were to serve 18 to 24 month terms. (b) (5)

- Training Subcommittee – A meeting is scheduled for March 9, 2012. At that time the charter will be discussed along with the IG Academy, key dates, AIIG Conference and a review of the first deliverable.

- Peer Review – There are a number of agencies seeking law enforcement authority that would like to be placed on the mandatory peer review schedule. However, this is not required and might not be feasible given the scheduling issues. Mr. Jordan indicated that he will disseminate guidance on the matter. Mr. Hoecker noted that there are small IG offices with limited/no investigators who are working together to create an applicable peer review.

New Business

- Council of Counsels update – Glenn Harris spoke on the liability issue of regarding the use of government vehicles commuting to and from work. He indicated that states have differing laws. Mr. Harris noted that a Wiki site was established so that people can add additional documents and information on the issue for each state. Mr. Harris suggested that agents contact their personal insurance company to find out if their coverage is sufficient. He noted that he contacted USAFeds and their President indicated they would cover as a secondary insurance policy. Mr. Harris provided a 50 state analysis and indicated that a memo on the issue will be submitted to CCIG.

Additional Comments/Discussion

- Mr. Hoecker indicated that he received an e-mail request from Phyllis Fong, which forwarded a request from the Office of Government Ethics requesting assistance with a risk assessment on the integrity of systems. She is seeking volunteers to review the survey instrument and provide feedback within one week.
- Mike Stephens discussed the shortage of AUSAs and how the DOJ hiring freeze may impact the cases they are willing to accept. He suggested (b) (5)
- Next Meeting – May 1, 2012 at United States Capitol Police Headquarters, 119 D Street NE.

Adjournment

- There being no further business, Mr. Hoecker adjourned the meeting at 11:30am.

The following members were present:

Carl Hoecker, USCP IG, IC Chair
Eric Thorson, Treasury IG, IC Vice-Chair
Arthur Elkins, EPA IG
Cynthia Schnedar, DOJ Acting IG
Karl Schornagel, LOC IG

The following guests and observers were present:

Eric Beatty, NRO AIGI
Alan Boehm, NSF AIGI
Tim Camus, TIGTA
Tom Caulfield, Executive Director CIGIE Training Institute
Nicole Dotson, PBGC Special Assistant
John Dupuy, DOI AIGI
Lester Fernandez, ED
William Hamel, ED AIG
Glenn Harris, SBA Legal Counsel
Aaron Jordan, PBGC AIGI
Steve Mason, SSA
Dan O'Rourke, SBA AIGI
John Phillips, Treasury
Shawn Rice, HUD
Shimon Richmond, HHS
Michael P. Stephens, FHFA Principal Deputy IG
Patrick Sullivan, EPA AIGI
Sheldon Shoemaker, SBA Special Assistant to the IG, CIGIE Liason



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

Investigations Committee
July 24, 2012 10 a.m.
United States Capitol Police Headquarters
119 D Street NE

Meeting Minutes

The meeting was called to order at 10:00 a.m. by Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP)

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on May 1, 2012 be reviewed for content. After review Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.
- Agenda Review – Mr. Hoecker gave an overview of the agenda items and order.

Old Business

- **AIGI Committee Update** – Mr. Brian Crane, Treasury AIGI, and co-chair of the AIGI Committee, thanked the PBGC OIG for hosting the July 12, 2012 quarterly meeting, and reviewed some of the important subjects and areas presented. Among them was a session on data mining presented by USPS OIG. The other session covered recovery and was presented by Mr. John McCarty, Assistant Director, RATB. The next AIGI Committee meeting will be held October 18, 2012 at FDIC.

CIGIE Job Task Analysis (JTA) update – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, updated the committee on the status the “*IG Investigator Workforce Competency Initiative*.” The following points were covered;

- There were 510 respondents to the Job Task Analysis Survey deployed to CIGIE Investigators in January 2012.
- The largest number of respondents were 1811 Criminal Investigators at the GS-13 level.
- As the only statistically valid sample size, the 1811 population was selected to determine competencies associated with the 101 knowledge, skills and abilities addressed in the survey.
- The competencies and their definitions were derived from the results of the job task analysis survey, and are being validated in part via an assessment survey that was disseminated to supervisors throughout the IG workforce in May – July 2012.
- There were approximately 200 respondents to the assessment survey from Investigations supervisors, which equates to a 90% confidence level that the results are representative of all OIG supervisors. That survey data is currently being analyzed.
- A draft report will be prepared and submitted to the AIGI Training Subcommittee and the IC in August 2012.

New Business

- **OIG long-gun policy** – Mr. Hoecker brought before the Committee the issue of whether or not the Committee should become involved with the issue of long-gun usage by individual OIG. The idea of whether a survey should be conducted was discussed as well as whether FLETC guidelines might be useful. It was generally agreed to by the Committee that the issue would be handled through the AIGI Committee rather than the IC as it did not affect CIGIE membership as a whole.
- **CIGIE IT Committee Update** – Ms. Kathleen Tighe, ED IG provided a synopsis of the development thus far of the draft Quality Standards for Digital Forensics and its approval by the IT Committee. Ms. Tighe introduced Mr. Chuck Coe, Assistant Inspector General Information Technology Audits, Dept. of Ed. OIG, who presented an overview of the Digital Forensics Quality Standards draft. Mr. Coe requested feedback from the Committee members on the draft in preparation for the next IC meeting on September 4, 2012. The IC members will receive a copy and provide comments before the next IC meeting.
- **Fleet Management Success** – Ms. Mary Kendall, Acting IG, DOI, and Mr. Robert Knox, Assistant Inspector General for Recovery Oversight, DOI, spoke to a mission versus management strategy for agency fleet management of GSA leased vehicles, specifically “home to work” vehicles. The target outcome was driven by the preservation of existing FTE through funds saved by decreasing the fleet size by 50%. Working from a liberal “home to work” agency policy, each assigned vehicle was analyzed on a case-by-case basis, based upon a trend analysis of usage. Ms. Kendall did not expect the desired final outcome of a 50% reduction in fleet vehicle size to affect either COOP or COG function. Target date for completion is October 1, 2012.
- **Internal Affairs/Quality Assurance Working Group** – Mr. Jeffrey Pittano, Chief of Inspections, USDA OIG, and Chairman of the Internal Affairs/Quality Assurance Working Group, gave an overview of the working group. He also suggested the working group may be a mechanism to assist the IG community in the development of training for peer reviews. Two major points brought before the Committee were to offer the support of the group and to begin discussion regarding a comparative QAR process for OIG OI Peer Review Training Program and the establishment of a “ready” detail for internal affairs within the OIG community.

Additional Comments/Discussion

- (b) (6) asked whether the Committee might consider [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED] This could be a topic for follow-up discussion.
- Next Meeting – September 4, 2012 at United States Capitol Police Headquarters, 119 D Street NE.

Adjournment

- There being no further business, Mr. Hoecker adjourned the meeting at 11:00am.

The following members were present:

Carl Hoecker, USCP IG, IC Chair
Eric Thorson, Treasury IG, IC Vice-Chair
Lanie D'Alessandro, NRO IG
Peg Gustafson, SBA IG
Mary Kendall, DOI Acting IG
Allison Lerner, NSF IG
Brian Miller, GSA IG
Kathy Tighe, ED IG

The following guests and observers were present:

Matt Alessandrino, AIGI, FDIC OIG
Mark Beames, XO, USCP OIG
Tim Camus, DIG, TIGTA
Tom Caulfield, Executive Director, CIGIE Training Institute
Geoff Cherrington, AIGI, GSA OIG
Brian Crane, AIGI, Treasury OIG
Chuck Coe, DIG IT Audit, ED OIG
Lester Davis, DIG/I, HUD OIG
George Dorsett, DAIG, DOJ OIG
John Dupuy, AIGI, DOI OIG
Karen Ellis, AIGI, USDA OIG
Zachary Filis, DAIG/I, NRO OIG
William Hamel, AIGI, ED OIG
Glenn Harris, Legal Counsel, SBA OIG
Robert Knox, Legal Counsel, DOI OIG
John McCarty, Assistant Director, RATB
Jeffery Pittano, Chief of Inspections, USDA OIG
Sheldon Shoemaker, SBA Special Assistant to the IG, CIGIE Liason
Michael P. Stephens, FHFA Principal Deputy IG
Patrick Sullivan, AIGI, EPA OIG
Tom Williams, AIGI, LOC OIG



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

Investigations Committee
September 4, 2012 10 a.m.
United States Capitol Police Headquarters
119 D Street NE

Meeting Minutes

The meeting was called to order at 10:00 a.m. by Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP)

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on July 24, 2012 be reviewed for content. After review Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.
- Agenda Review – Mr. Hoecker gave an overview of the agenda items and order.

Old Business

- **CIGIE Job Task Analysis (JTA) Paper** – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, updated the committee on the status the “*Job Task Analysis*” paper. A synopsis was given of points previously covered to include that a draft report was to have been prepared and submitted to the AIGI Training Subcommittee and the IC in August 2012. Mr. Hoecker noted for the committee that the cover of the paper was labeled as “FINAL REPORT” and was printed with the CIGIE logo. Further, this paper had not yet been thoroughly reviewed by the IC or the AIGI Committee. Mr. Hoecker inquired, and members agreed, that a more useful report would list and answer the four objectives cited by Mr. Caulfield at the beginning of briefing. A committee member raised concerns regarding the significance of certain findings for training purposes in the report, in particular “Influencing/Negotiating” and their impact on training funds. Another member called for more involvement from CIGIE on this matter. Mr. Caulfield told the committee that he would send out an email and retract the errors made on the initial version and would work to address the concerns raised by the IC, by working more closely with the AIGI Committee and the Training subcommittee in the development of the JTA report. According to Mr. Caulfield, the IGCIA is currently going through and comparing information in the subject report to the courses currently offered by IGCIA to determine gaps.
- **Investigations Subcommittee Review of JTA Paper** – Mr. Brian Crane, AIGI, Treasury OIG, and AIGI Committee co-chair, following up with the vetting of the JTA paper based upon the last AIGI committee meeting, spoke to the need for the paper to be reviewed from a “supervisors vs. agents” perspective. Mr. Crane also mentioned that the four objectives that had been cited were not specifically addressed. An IC member also expressed concern that the four objectives be addressed so as to more succinctly present the survey’s findings. Another IC member raised concerns over funding for training and any perception mistakenly made by OIG staff to this end, based upon the JTA paper as it was issued.

- **Digital Forensics Quality Standards (DFQS)** – Mr. Charles Coe, DIG IT Audit, ED OIG, attending for Ms. Becky Batts, PBGC IG and IT Committee Chairperson, related that the IT committee needs to work through additional items provided to the IT committee, upon review of a draft DFQS by the IC members subsequent to the July 24th IC meeting.

New Business

- **Department of Justice Reporting** – Mr. Aaron Jordan, AIGI Committee co-chair, provided the IC with an overview of annual reporting requirements under Attorney General (AG) guidelines for the law enforcement OIGs. Statutory OIGs must file by November 1 of each year using a standardized format. As several AIGIs have definitional questions, Ms. Deborah Sorkin will be at the October 18, 2012 AIGI Committee meeting to present on this and answer questions. Ms. Sorkin is the Chief of the Office of Enforcement Operations, Policy & Statutory Enforcement Unit, DOJ. In addition, Acting Deputy Chief Charles D. Griffith, Jr., has also committed to attending the AIGI Committee meeting to discuss the Annual Report requirement for statutory law enforcement OIGs.
- **Peer Review Schedule Update** – Mr. Jordan reviewed the current schedule for the peer review of Offices of Investigation and reminded the committee that the reviews occur on a three-year cycle. Currently the peer review calendar runs through 2014. Ms. Lerner inquired as to voluntary peer review for those OIG without statutory authority. Mr. Jordan stated that someone needs to take over the oversight of this function. Mr. Hoecker will have this business on the agenda for the next IC meeting.
- **Suspension & Debarment Survey Discussion** – Ms. Allison Lerner, Suspension & Debarment (S&D) Working Group chairperson, will have a draft 25 question survey sent out to IC members for vetting and consensus prior to posting the final document in October 2012. On November 16, 2012, there will be a one day workshop entitled the *2012 Suspension and Debarment Workshop* at the Patent & Trademark training facility in Alexandria, VA. The workshop will be tuition free. Additionally, Mr. Steve Linick informed the committee that he is moderating an hour long video of US Attorney McBride and Suspension and Debarment Official Dick Pelletier. The topic is S&D and the new AG guidelines.
- **Jurisdictional Conflict with Other Agencies** – (b) (6) Inspector General, asked for the committee's input on the handling of threats to agency employees or externally perceived threats. (b) (6) OIG, gave an overview of several circumstances for discussion purposes. A discussion was had pertaining to various issues associated with OIG mission and authority. (b) (6) OIG, reminded the committee that this type of provision has been written into law as part of the statutory authority of TIGTA. (b) (6) thanked the committee for their input (b) (5)
- **Counterfeit Microelectronics Case Studies** – Mr. Eric Beatty, AIGI, NRO OIG, introduced Ms. (b) (6) Asst. US Attorney, whose presentation on counterfeit microelectronics covered counterfeit avoidance, detection, mitigation and the need for increased reporting.

Adjournment

- There being no further business, Mr. Crane, on behalf of Mr. Hoecker, adjourned the meeting at 11:45 AM

The following members were present:

Carl Hoecker, USCP IG, IC Chair
Arthur Elkins, EPA IG
Allison Lerner, NSF IG
Steve Linick, FHFA IG
David Montoya, HUD IG
Karl Schornagel, LOC IG

The following guests and observers were present:

Matt Alessandrino, AIGI, FDIC OIG
Mark Beames, XO, USCP OIG
Eric Beatty, AIGI, NRO OIG
Alan Boehm, AIGI, NSF OIG
Tim Camus, DIG, TIGTA
Tom Caulfield, Executive Director, CIGIE Training Institute
Brian Crane, AIGI, Treasury OIG
Chuck Coe, DIG IT Audit, ED OIG
Michael Daggett, DAIGI, EPA OIG
George Dorsett, DAIG, DOJ OIG
John Dupuy, AIGI, DOI OIG
Glenn Harris, Legal Counsel, SBA OIG
Aaron Jordan, AIGI, PBGC OIG
Mary Mitchelson, D/IG, ED OIG
John Phillips, SAC, Treasury OIG
Sherri Schornstein, AUSA, District of Columbia
Sheldon Shoemaker, SBA Special Assistant to the IG, CIGIE Liason
Michael P. Stephens, FHFA Principal Deputy IG

Investigations Committee
October 23, 2012 10 a.m.
United States Capitol Police Headquarters
119 D Street NE

Meeting Minutes

The meeting was called to order at 10:00 a.m. by Carl W. Hoecker, Inspector General (IG), United States Capitol Police (USCP).

Administrative

- Approval of minutes – Mr. Hoecker asked that the minutes from the meeting on September 4, 2012 be reviewed for content. After review Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.
- Agenda Review – Mr. Hoecker gave an overview of the agenda items and order.

Old Business

- **CIGIE Job Task Analysis (JTA) Paper** – Mr. Tom Caulfield, Executive Director, CIGIE Training Institute, updated the committee on the status the “*Job Task Analysis*” paper. A synopsis was given of points previously covered to include that the draft report.

Mr. Caulfield sent out an email and retracted the JTA research report which had been prematurely sent to the AIGI community. The Training Institute would work to address the concerns raised by the IC by working more closely with the AIGI Committee and the Training subcommittee in the development of the JTA report. Mr. Caulfield reported on progress made thus far on each of the five taskings as listed in the September 6, 2012, Memorandum for the Record, *Status of Taskings for the CIGIE Training Institute*. The consensus of the committee was that the retraction email is sufficient.

Mr. Hoecker inquired as to the intended timeline to provide the draft JTA to the Investigations Training Subcommittee and the Professional Development Committee. Mr. Jordan and Mr. John Dupuy, A/AIGI DHS OIG, accepted thirty days for each group as an acceptable time table with a subsequent submission to the AIGI Committee, the final draft coming back to the IC on or about January 15, 2013. The IC would like to see, then forward, the JTA final draft to the EC soon after that.

- **Voluntary Peer Review** – Mr. Aaron Jordan, AIGI, PBGC OIG, provided background on what has transpired regarding the development of a peer review schedule for DFE OIG, deconflicting audit and investigation peer review schedules and participants, and putting together a training program for DFE OIG.

Mr. Jordan introduced Mr. J. Cameron Thurber, Counsel/Chief Investigator, FEC OIG, who has volunteered to take over scheduling for the DFE investigations peer review program. Mr. Thurber has proposed revisions to the schedule to account for conflicts and changes, and hopes to have this finalized very soon. He also plans to have a meeting of all entities to make sure everyone is on the same page, and present an overview of the training NSF held in the past either at that meeting or at a second one. Mr. Thurber also mentioned that Alan Boehm at NSF has agreed to assist as needed, especially in the areas of training and conducting the review. A

Peer Review Schedule for DFEs (Investigations) dated October 22, 2012 , was provided to the members.

- **Digital Forensics Quality Standards (DFQS)** – (b) (6) [REDACTED], requested a vote on the draft DFQS by the IC members subsequent to having it referred to the Executive Council membership. Background was provided by Mr. Charles Coe, DIG IT Audit, ED OIG, (b) (5) [REDACTED]. Mr. Hoecker asked for a motion that the IC accept the DFQS and support moving the DFQS to the CIGIE EC for further action. The motion was made and carried.
- **Suspension and Debarment Workshop** – Representing IG Allison Lerner, Mr. William Killgallin, Director of Legal, NSF OIG, provided an update on the Suspension and Debarment (S&D) Working Group. The S&D workshop is on target and, due to an overwhelming response, is currently working from a waiting list of prospective attendees. An S&D survey went out on October 21, 2012, and an S&D white paper will be forthcoming, most likely after the S&D workshop.

New Business

- **Federal Audit Executive Council (FAEC)** – Mr. Hoecker apprised the committee that he would be speaking at the FAEC meeting on November 27, 2012.
- **Suspension & Debarment Video** – In the absence of Mr. Steve Linick, FHFA IG, Mr. Michael Stephens, FHFA Principle Deputy IG, informed the committee that the S&D video is currently in production through a partnership with the US Attorney's Office.
- **IGCIA FLETC Update Briefing** – Ms. Angela Hrdlicka, Executive Director, Inspector General Criminal Investigator Academy (IGCIA), provided handouts and an overview of achievement highlights of the IGCIA for fiscal year 2012. Ms. Hrdlicka noted that the FY13 training catalog is now available on the IGCIA website, and a course curriculum review will be held at CIGIE for the public corruption training program. Mr. Hoecker reminded the committee that tuition fees are not covered by CIGIE and inquired as to an AIGI Committee review of the prepared curriculum.

Mr. Jordan stated that the Training Subcommittee is developing a web-based learning management system. The website would carry course information and descriptions, downloads, notification capability and reporting functions. Mr. Mark Jones, CIGIE Executive Director, pointed to (b) (5) [REDACTED]. Ms. (b) (6) [REDACTED], posited the idea of an expanded online site that would serve the entire IG community.

Adjournment

- There being no further business, Mr. Hoecker adjourned the meeting at 11:05 AM

The following members were present:

Carl Hoecker, USCP IG, IC Chair
Eric Thorson, Treasury IG, IC Vice Chair
Michael Horowitz, DOJ IG
Karl Schornagel, LOC IG
Kathleen Tighe, Ed. Dept. IG

The following guests and observers were present:

Ann Anaya, AUSA Minnesota, detailed to Treasury OIG
Rebecca Batts, IG, PBGC
Mark Beames, XO, USCP OIG
Eric Beatty, AIGI, NRO OIG
Tim Camus, DIGI, TIGTA
Tom Caulfield, Executive Director, CIGIE Training Institute
Brian Crane, AIGI, Treasury OIG
Chuck Coe, AIG for IT Audits and Computer Crime Investigations, ED OIG
John Davidovich, Counsel, FDIC OIG
John Dupuy, AIGI, DOI OIG
Karen Ellis, AIGI, USDA OIG
Bill Hamel, AIGI, Ed. Dept. OIG
Glenn Harris, Legal Counsel, SBA OIG
Angela Hrdlicka, Executive Director, IGCIA
Mark Jones, Executive Director, CIGIE
Aaron Jordan, AIGI, PBGC OIG
Mary Kendall, Acting IG, DOI
Bill Killgallin, Director of Legal, NSF OIG
James O'Neill, AIGI, VA OIG
Dan O'Rourke, AIGI, SBA OIG
John Phillips, SAC, Treasury OIG
Lee Quintyne, DAIGI, GSA OIG
Michael P. Stephens, FHFA Principal Deputy IG
Patrick Sullivan, AIGI, EPA OIG
J. Cameron Thurber, Counsel/Chief Investigator, FEC OIG
Jerome Winkle, ASAC, HUD OIG

Investigations Committee
February 4, 2014 10 a.m.
United States Securities and Exchange Commission
100 F Street NE

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

- **Approval of minutes** – Mr. Hoecker asked that the minutes from the November 5, 2013 meeting be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

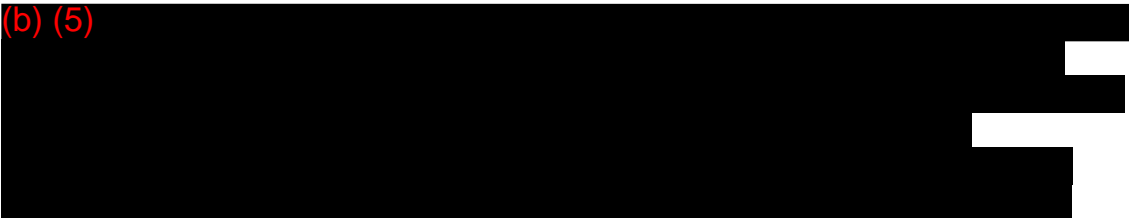
Old Business

- **Program Fraud Civil Remedies Act (PFCRA) Practitioner's Guide** – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group's final draft and provided a handout (see attached, p.1). Mr. Harris noted that the guide Money on the Table covers the process of PFCRA cases from "cradle to grave." Following a brief discussion, the IC voted approval of the guide.



Summary for
Investigations Comm

New Business

- (b) (5)
A large black rectangular redaction box covering the majority of the text in this section. The text "(b) (5)" is visible in red at the top left of the redacted area.

Adjournment

- There being no further business, Mr. Hoecker adjourned the meeting at 11:00 a.m.

Investigations Committee
Thursday, March 20, 2014 10 a.m.
United States Securities and Exchange Commission
100 F Street NE

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Carl W. Hoecker, Inspector General (IG), United States Securities and Exchange Commission (SEC).

Administrative

Approval of minutes – Mr. Hoecker asked that the minutes from the February 4, 2014 meeting be reviewed for content. After review, Mr. Hoecker asked for a motion to approve the minutes. With no objection, the motion was passed.

Old Business

Program Fraud Civil Remedies Act (PFCRA) Practitioner's Guide – Mr. Glenn Harris, Counsel to the Inspector General, SBA OIG, on behalf of Ms. Peg Gustafson, SBA IG, briefed the Committee on the PFCRA Working Group's final draft). Mr. Harris told the group that there is now a PFCRA Road show that OIGs can request for on-site presentation to their respective staffs.

New Business

- **AIGI Conference** – Mr. Timothy Camus discussed the April event and indicated that he planned to circulate a draft agenda shortly.
- **Investigations Peer Review Schedule** – Mr. Camus also disclosed that the schedule is planned through 2015 and that per SIGAR's request, the schedule will be evaluated to try to identify an OIG to conduct a peer review of FHFA's OIG's Investigations Office.
 - As part of the discussion, an issue of how best to handle peer reviews of Internal Affairs Unit was raised. Following a brief discussion of the various concerns, including whether these units should be included during a general Investigations Peer review was referred for further discussion at the upcoming AIGI conference with a request of a report back to the IC following the conference.

- (b) (5)

Adjournment

There being no further business, Mr. Hoecker adjourned the meeting at 11:00 a.m.

Investigations Committee
Tuesday, April 29 2014 10 a.m.
Department of Treasury
1500 Pennsylvania Ave., N.W.

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Eric Thorson, Inspector General (IG), United States Department of Treasury.

Administrative

Approval of minutes –The minutes from the February 4, 2014 IC meeting were approved without objection, then after the March 20, 2014 IC meeting minutes were approved without objection.

New Business

- **Quality Standards for Investigations (QSI)** – Revision planning, Todd Zinser explained the current standards call for an investigation plan, (b) (5). However, (b) (5) (b) (6) representing (b) (6) then raised concerns about (b) (5). Accordingly the AIGI Committee plans to review the matters and make recommendations for changes.
- **AIGI Conference** –Timothy Camus discussed the April event and stated that a majority of the returned surveys indicated that it was a very productive training program that was well attended.
- **Investigations Peer Review Schedule** – Mr. Camus also disclosed the schedule is planned now through 2019 and that the Calendar is built with a macro allowing the schedule to auto-correct itself when adjustments are required. Currently, the draft schedule is being reviewed by Allen Beam prior to broader circulation.
- **IG Training Institute/IGCIA Update** - Tom Caulfield requested that the IG Training Institute/IGCIA increase its audit training staff by two persons to meet the higher demands and increased travel and training budgets OIGs are now utilizing. Additionally, Mr. Caulfield explained that (b) (5). No alternative recommendations to continuing IG training at FLETC were made.

Adjournment

There being no further business, Mr. Thorson adjourned the meeting at 11:15 a.m.

Investigations Committee
Tuesday, June 3 2014 10 a.m.
Securities and Exchange Committee
100 F ST NE, Room 9000
Washington DC, 20003

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:10 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the April 29, 2014 IC meeting were approved with minor clarification.

Old Business

- Glenn Harris expounded on his PFCRA Presentations and explained that his group is currently performing brown-bag sessions to convey the broad strokes of the program and available remedies. He further explained that his group is currently working on a full day training program to offer both to OIG staff and Agency or Department General Counsel offices. To date the brown-bag presentation has been delivered to: DOJ OIG (Investigations) -- approximately 17 participants, & NSF OIG (All Hands) -- approximately 40-50 participants.
- Road Show Scheduled: Department of Commerce OIG Investigations -- September 11 at 10:15 & Dept of Homeland Security ICE - June 17.

New Business

- **Quality Standards for Investigations (QSI)** – Revision planning, Timothy Camus explained the current standards call for an investigation plan, (b) (5). However, as questions have arisen (b) (5).
Upon agreement, the recommendations will be advanced to the IC for approval, then referred to the Executive Committee for review and if approved, distributed to the Inspector General Community for final approval and implementation.
- **Investigations Peer Review Schedule** – Mr. Camus also disclosed the schedule is planned through 2019 and the Calendar is built with a macro allowing the schedule to auto-correct itself when adjustments are required. Currently, the draft schedule is being reviewed to adjust for OIGs that had been previously excluded.

Adjournment

There being a pending evacuation, Mr. Hoecker adjourned the meeting at 10:45 a.m.

Atenndanees

Carl Hoecker (SEC)
Brian Crane (SEC)
Raphael Kozolchyk (SEC)
Tim P. Camus (TIGTA)
Patrick Sullivan (EPA)
Brian Hess (NSF)
Mark Hines (HUD)
James O'Neill (AIGI)
Michael Stephens (FHFA)
Sheldon Shoemaker (SBA)
Glenn Harris (SBA)
Dan O'Brian (SBA)
Jason Loeffler (Dept. of State)

Investigations Committee
Tuesday, August 5, 2014 10 a.m.
Securities and Exchange Committee
100 F ST NE, Room 4000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the June 3, 2014 IC meeting were approved without issue.

Old Business

- Glenn Harris expounded on his PFCRA Presentations and explained that his group is currently performing brown-bag sessions to convey the broad strokes of the program and available remedies. He further explained that his group is currently working on a half-day training program to offer both to OIG staff and Agency or Department General Counsel offices. Recent sessions were performed for HHS OIG and DHS OIG.

New Business

- **Giglio Revisited and Recording of Interviews** - DOJ attorneys, (b) (6) and (b) (6) presented information concerning the issues associated with technological advancements and the impacts on the 1996 Giglio memo. They discussed the potential availability of an information practice video.
- **RAD Act** – Sheldon Shoemaker provided an explanation of the three components of HR 4934, Regulatory Agency Demilitarization Act “RAD Act.” As of the meeting the bill had 27 cosponsors, all of which are Republicans. The bill seeks to undo the portions of the Homeland Security Act of 2002 (HSA) that gave a large number of Inspectors General law enforcement authority. (b) (5)
- **Quality Standards for Investigations “QSI”** – Revision planning, the AIGI Committee continues to address the validity of verbal investigative plans in terms of peer reviewability. Additionally, the AIGI Committee will provide recommendations addressing Internal Affairs type entities within OIGs and the applicability of the investigative peer-review process and standards. Upon agreement, the recommendations will be advanced to the IC for approval, then referred to the Executive Committee for review and if approved, distributed to the Inspector General Community for final approval and implementation.
- **Investigations Peer Review Schedule** –The draft schedule is being reviewed to adjust for OIGs that had been previously excluded and other necessary adjustments.
- **Call for cross cutting CIGIE projects** – Carl Hoecker requested the submission of ideas for the IC to consider that would benefit the IG community across various practice areas.

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Attenndanees

Carl Hoecker (SEC)
Brian Crane (SEC)
Raphael Kozolchyk (SEC)
Tim P. Camus (TIGTA)
Patrick Sullivan (EPA)
Brian Hess (NSF)
Mark Hines (HUD)
James O'Neill (AIGI)
Michael Stephens (FHFA)
Sheldon Shoemaker (SBA)
Glenn Harris (SBA)
Dan O'Brian (SBA)
Jason Loeffler (Dept. of State)

Investigations Committee
Tuesday, September 23, 2014 10 a.m.
Securities and Exchange Committee
100 F ST NE, Room 6000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

At the onset of the meeting Mr. Hoecker introduced and distributed a Congressional Research Service (CRS) Report memorializing the various sources of IG authority.

Administrative

Approval of minutes –The minutes from the August 5, 2014 IC meeting were then approved with minor corrections.

Old Business

- Glenn Harris expounded on his PFCRA Presentations and explained that his group is planning training for November 6 at SBA. This will bring the total number of training sessions to 10. Thereafter there was a brief discussion regarding arranging for the local chapter of the Certified Fraud Examiners to be involved.

New Business

- **AIGI Committee Update** – Tim Camus told the group that the next quarterly AIGI committee meeting will be held on October 14, 2014. Investigations Peer Review Schedule – Mr. Camus also disclosed the schedule is planned through 2019 and is being reviewed to adjust for OIGs that had been previously excluded.
- **Feasibility Study** - The IC approved for Executive consideration a “cross cutting” CIGIE project, (b) (5)

During the meeting, Charles Coe, Assistant Inspector General for IT, Dept. of Ed OIG, Jim O’Neill, Assistant Inspector General for Investigations, VA OIG, and Jim Ives, Assistant Inspector General for Investigative Operations, Defense Criminal Investigative Service, DOD IG, volunteered to assist IG Dickman who will lead this effort.

- **Recording of Investigative Interviews** – Brian Crane informed the committee that there will be a two-day training opportunity in January with more information to follow.
- **Discussion regarding (b) (5) & CIGIE IT committee update** – Chuck Coe informed the IC that his group is evaluating the various issues associated with (b) (5)

Adjournment

Mr. Hoecker adjourned the meeting at 11:15 a.m.

Atenndanees

Carl Hoecker (SEC)
Brian Crane (SEC)
Raphael Kozolchyk (SEC)
Tim P. Camus (TIGTA)
Geoffrey Cherrington
Charles Coe
Jerome Marshall
Dermot O'Reilly
Alan Boehm,
John Dupuy
Lester Fernandez
Sheldon Shoemaker (SBA)
Glenn Harris (SBA)
James O'Neill (AIGI)
Joseph Clarke
Kenneth Ehinger
Morgan Kim
Steve Linick
Rene Febles
Michael Stephens (FHFA)

Investigations Committee
Wednesday, November 12, 2014
Securities and Exchange Committee
100 F ST NE, Room 6000
Washington DC, 20549

Meeting Minutes

The Council of the Inspectors General on Integrity and Efficiency (CIGIE) Investigations Committee (IC) meeting was called to order at 10:00 a.m. by Carl Hoecker, Inspector General (IG), Securities and Exchange Commission.

Administrative

Approval of minutes –The minutes from the September 23, 2014 IC meeting were then approved without changes.

Old Business

- Glenn Harris expounded on his PFCRA Presentations and explained that his group is planning additional half-day trainings. This will bring the total number of training sessions to 10. Thereafter there was a brief discussion regarding arranging for the local chapter of the Certified Fraud Examiners to be involved.

New Business

- **AIGI Committee Update** – Investigations Peer Review Schedule – Mr. Camus discussed the schedule which is now planned through 2019 and is being reviewed to adjust for OIGs that had been previously excluded and to match up appropriately sized offices.
- **Feasibility Study** - The IC had previously approved for Executive consideration a “cross cutting” CIGIE project, (b) (5)

During the meeting, Charles Coe, Assistant Inspector General for IT, Dept. of Ed OIG, Jim O'Neill, Assistant Inspector General for Investigations, VA OIG, and Jim Ives, Assistant Inspector General for Investigative Operations, Defense Criminal Investigative Service, DOD IG, and Lester Fernandez, Assistant Inspector General, Office of Labor Racketeering and Fraud Investigations, DOL IG volunteered to assist this effort.

(b) (5)

Adjournment

Mr. Hoecker adjourned the meeting at 10:45 a.m.

Atenndanees

Carl Hoecker (SEC)
Brian Crane (SEC)
Raphael Kozolchyk (SEC)
Tim P. Camus (TIGTA)
Charles Coe (Dept. of Ed)
Jerome Marshall
Dermot O'Reilly
Alan Boehm (NSF)
John Dupuy (DHS)
Lester Fernandez
Sheldon Shoemaker (SBA)
Glenn Harris (SBA)
James O'Neill (AIGI)
Kenneth Ehinger (DNI)
Steve Linick (Dept. of State)
Rene Febles (FHFA)
Michael Stephens (FHFA)