

CIGIE Implementing Guidance for OIG Reporting of Peer Review Results in Semiannual Reports to the Congress

Offices of Inspector General (OIGs) are required to include in their semiannual reports (SAR) to Congress the “results” of peer reviews of their offices, as well as outstanding and not fully implemented recommendations from peer reviews the OIG received from another OIG, and outstanding and not fully implemented recommendations the OIG made in any peer review it performed for another OIG. The specific statutory requirements for this reporting, contained in Section 989C of P.L. 111-203, which amended Section 5 of the Inspector General Act of 1978, are as follows:

SEC. 989C. STRENGTHENING INSPECTOR GENERAL ACCOUNTABILITY.

Section 5(a) of the Inspector General Act of 1978 (5 U.S.C. App.) is amended--

(1) in paragraph (12), by striking "and" after the semicolon;

(2) in paragraph (13), by striking the period and inserting a semicolon; and

(3) by adding at the end the following:

"(14)(A) an appendix containing the results of any peer review conducted by another Office of Inspector General during the reporting period; or

"(B) if no peer review was conducted within that reporting period, a statement identifying the date of the last peer review conducted by another Office of Inspector General;

"(15) a list of any outstanding recommendations from any peer review conducted by another Office of Inspector General that have not been fully implemented, including a statement describing the status of the implementation and why implementation is not complete; and

"(16) a list of any peer reviews conducted by the Inspector General of another Office of the Inspector General during the reporting period, including a list of any outstanding recommendations made from any previous peer review (including any peer review conducted before the reporting period) that remain outstanding or have not been fully implemented."

CIGIE provides the following guidance to assist OIGs in deciding the information that should be reported, recognizing that each OIG must exercise their professional judgment in determining their reporting obligations, given their individual circumstances.

“Results of any peer review” as set forth in paragraph 14(A) means the opinion of the reviewing OIG at the conclusion of a peer review that a reviewed OIG complies with or does not comply with applicable peer review guidelines and professional standards.

“Recommendations” as set forth in paragraphs 15 and 16 mean, for audits, recommendations reported in any System Review Report. For investigations, it means recommendations associated with a reportable finding in any Quality Assurance Review. “Recommendations” in this context would not include observations, suggestions, narratives included in letters accompanying peer review reports, or other precatory language presented to the reviewed OIG by the reviewing OIG.

“Outstanding or not fully implemented” as set forth in paragraph 16 means, in the opinion of the reviewed OIG, corrective action has not been completed. The reviewed OIG should report the status of open recommendations to the reviewing OIG as consistent with then-current peer review guidelines. At the conclusion of each SAR period, coordination between the reviewed and reviewing OIGs regarding the implementation status of outstanding recommendations is critical. As such, the reviewing and the reviewed OIGs should discuss the status of any outstanding peer review recommendations for reporting in their respective SARs.

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