



Date: September 24, 2024

Memorandum To: Michael E. Horowitz, Inspector General
Department of Justice

Subject | External Peer Review Report

We reviewed the system of quality control for the U.S. Department of Justice (DOJ), Office of the Inspector General (OIG) in effect for the year ended March 31, 2024. A system of quality control includes multiple aspects of an organization, including, but not limited to, policies and procedures designed to provide reasonable assurance of complying with the Council of the Inspectors General on Integrity and Efficiency's (CIGIE *Quality Standards for Inspection and Evaluation*, December 2020 (Blue Book)).

In our opinion, the system of quality control for the DOJ OIG in effect for the year ended March 31, 2024, has been suitably designed and complied with to provide the DOJ OIG with reasonable assurance of performing and reporting in conformity with the Blue Book.

Inspection and Evaluation (I&E) organizations can receive a rating of pass, pass with deficiencies, or fail. The DOJ OIG has received an External Peer Review rating of pass.

Letter of Comment

We have issued a letter dated September 24, 2024, that sets forth findings that were not considered to be of sufficient significance to affect our opinion expressed in this report.

Basis of Opinion

This required external peer review was conducted in accordance with CIGIE's *Guide for Conducting External Peer Reviews of Inspection and Evaluation Organizations of Federal Offices of Inspector General* (July 2023) and the Memorandum of Understanding between the Offices of the Inspectors General of the Federal Deposit Insurance Corporation (FDIC) and the DOJ, dated April 18, 2024.

During our review, we interviewed DOJ OIG personnel and obtained an understanding of the nature of the DOJ OIG's I&E function and the design of the DOJ OIG's system of quality control sufficient to assess the risks implicit in its I&E function. Based on our assessments, we selected I&E reports and administrative files to test for conformity with Blue Book standards and compliance with the DOJ OIG's system of quality control.

In performing our review, we obtained an understanding of the system of quality control for the DOJ OIG's I&E function. In addition, we tested compliance with the DOJ OIG's quality control policies and procedures to the extent we considered appropriate. These tests covered the application of the DOJ OIG's policies and procedures on selected I&E reports. Our review was based on selected tests; therefore, it would not necessarily detect all weaknesses in the system of quality control or all instances of noncompliance with it.

Prior to concluding the peer review, we reassessed the adequacy of the scope of the peer review procedures and met with DOJ OIG management to discuss the results of our review. We believe that the procedures we performed provide a reasonable basis for our opinion. Enclosure 1 to this report identifies the DOJ OIG's offices and the I&E reports we reviewed.

The DOJ OIG's management officials provided a response to our Peer Review Report (Enclosure 2) in which they agreed with our overall rating.

Responsibilities and Limitations

The DOJ OIG is responsible for establishing and maintaining a system of quality control designed to provide the DOJ OIG with reasonable assurance that the organization and its personnel comply in all material respects with Blue Book standards. Our responsibility is to express an opinion on the design of the system of quality control and the DOJ OIG's compliance based on our review.

There are inherent limitations in the effectiveness of any system of quality control; therefore, noncompliance with the system of quality control may occur and may not be detected. Projection of any evaluation of a system of quality control to future periods is subject to the risk that the system of quality control may become inadequate because of changes in conditions or because the degree of compliance with the policies or procedures may deteriorate.

/s/

Jennifer L. Fain
Inspector General

Enclosure(s)

cc: Jan Hamm, Chief Inspector, acting in the role of Assistant Inspector General, Evaluations and Inspections Division, DOJ OIG

ENCLOSURE 1: Scope and Methodology

The FDIC OIG reviewed compliance with the DOJ OIG's inspection organization's system of quality control in effect from April 1, 2021 to March 31, 2024, to the extent the FDIC OIG considered appropriate. The DOJ OIG's Evaluation and Inspections Division publishes reports under the Blue Book standards.

The DOJ OIG's universe had 24 projects during the peer review period. The FDIC OIG reviewed the universe of projects and considered the following factors in our random selection of projects:

1. Completed under the 2020 Blue Book Standards.
2. Represented work conducted by a diverse group of inspectors.
3. Sole projects conducted by DOJ OIG.
4. Conducted under DOJ OIG's 2020 or 2022 policies.

Based on the selection factors, the FDIC OIG selected the following three projects for review:

1. Project A-2020-003, *Evaluation of the Federal Bureau of Prisons' Policy Development Process*, issued September 28, 2022 (Report No 22-115).
2. Project A-2022-003, *Limited-Scope Review of the Federal Bureau of Prisons' Strategies to Identify, Communicate, and Remedy Operational Issues*, issued May 4, 2023 (Report No. 23-065).
3. Project A-2023-003, *Inspection of the Federal Bureau of Prisons' Federal Correctional Institution Tallahassee*, issued November 8, 2023 (Report No. 24-005).

The FDIC OIG completed the peer review remotely and did not conduct onsite visits. The FDIC OIG reviewed DOJ OIG internal policies and procedures, training documentation, and recommendation follow-up documentation. For reports selected, the FDIC OIG reviewed project documentation. The FDIC OIG interviewed DOJ OIG personnel as appropriate to follow up on concerns and questions. There were no constraints on the FDIC OIG's ability to exercise professional judgment nor were there limitations or impairments to the FDIC OIG's independence.

ENCLOSURE 2: Reviewed Organization's Comments to Draft Peer Review Report



DEPARTMENT OF JUSTICE | OFFICE OF THE INSPECTOR GENERAL

September 17, 2024

Jennifer L. Fain
Inspector General
Office of Inspector General
Federal Deposit Insurance Corporation
3501 Fairfax Drive
Arlington, VA 22226

Dear Ms. Fain:

Thank you for the opportunity to respond to the peer review report. The U.S. Department of Justice Office of the Inspector General's Evaluation and Inspections Division (E&I) places the highest importance on the quality of our oversight work and the peer review process. We are pleased that the Peer Review Team's overall conclusion is that E&I met the seven Quality Standards for Inspection and Evaluation and complied with its own internal policies and procedures with a rating of pass.

We value the peer review team's recognition of E&I's multiple efforts to improve its quality control system following its 2021 peer review. These efforts include revised operational policies, standardized workpaper requirements, incorporation of individual and project-specific independence forms, a Blue Book Checklist, and E&I's February 2024 transition to a new electronic project documentation system.

We appreciate the professionalism and thoroughness that the peer review team exhibited throughout the review and look forward to a continued exchange of best practices in the future. If you have any questions, please contact me or Jan Hamm, Chief Inspector, acting in the role of Assistant Inspector General for Evaluation and Inspections, at (202) 616-4600.

Sincerely,

A handwritten signature in blue ink that reads "Michael E. Horowitz".

Michael E. Horowitz
Inspector General