

**REPORT ON THE QUALITY ASSESSMENT REVIEW  
OF THE INVESTIGATIVE OPERATIONS  
OF U.S. DEPARTMENT OF STATE AND  
BROADCASTING BOARD OF GOVERNORS  
OFFICE OF THE INSPECTOR GENERAL**



**Conducted at Arlington, Virginia**

**By**

**Tennessee Valley Authority  
Office of the Inspector General  
400 West Summit Hill Drive  
Knoxville, Tennessee 37902-1401**

**The Honorable Richard W. Moore, Inspector General**

**Special Agent in Charge Nancy Holloway (Lead)  
Special Agent in Charge James Hunter  
Assistant Special Agent in Charge J. D. Shelton  
Senior Special Agent Angela Blackmon  
Senior Special Agent Ryan Wilson  
Senior Special Agent Kyle Cox**

## **TABLE OF CONTENTS**

### **Section 1**

Report on the Quality Assessment Review of the Investigative Operations of the United States Department of State and the Broadcasting Board of Governors Office of Inspector General

Attachment 1 – Listing of Visited Field Offices

Attachment 2 – Listing of Sampled Closed Investigative Case Files

Attachment 3 – Preliminary Investigative Cases Reviewed

### **Section 2**

Letter of Observations Concerning the Investigative Operations of the United States Department of State and the Broadcasting Board of Governors Office of Inspector General

## **SECTION 1**



**Office of the Inspector General**

Tennessee Valley Authority, 400 West Summit Hill Drive, Knoxville, Tennessee 37902-1401

Richard W. Moore  
Inspector General

April 20, 2015

The Honorable Steve Linick  
Inspector General  
U.S. Department of State and  
Broadcasting Board of Governors  
2201 C Street, NW  
Room 8100, SA-3  
Washington, DC 20520-0308

Dear Mr. Linick:

**REPORT ON THE QUALITY ASSESSMENT REVIEW OF THE INVESTIGATIVE  
OPERATIONS OF THE UNITED STATES DEPARTMENT OF STATE AND THE  
BROADCASTING BOARD OF GOVERNORS OFFICE OF INSPECTOR GENERAL**

We have reviewed the system of internal safeguards and management procedures for the investigative operations of the Office of Inspector General (OIG) for the Department of State (DOS) in effect for the annual period ended January 31, 2015. Our review was conducted in conformity with the Quality Standards for Investigations and the Quality Assessment Review (QAR) Guidelines established by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), and the Attorney General's (AG) Guidelines for Office of Inspectors General with Statutory Law Enforcement Authority, as applicable.

We reviewed compliance with the DOS OIG's system of internal policies and procedures to the extent we considered appropriate. The review was conducted at the Investigations' headquarters office in Arlington, Virginia. Additionally, we reviewed 20 case files for investigations closed during the previous 12-month period. We interviewed 20 investigative and management personnel including phone interviews with selected overseas special agents. We reviewed the most recent QAR and the last four Semiannual Reports to Congress. We also reviewed the policies and procedures relating to firearms, training, and evidence.

In performing our review, we have given consideration to the prerequisites of Section 6(e) of the Inspector General Act of 1978, as amended, (IG Act) and Section 812 of the Homeland Security Act of 2002 (Pub.L. 107-296). Those documents authorize law enforcement powers for eligible personnel of each of the various offices of presidentially appointed Inspectors General. Those powers may be exercised only for activities authorized by the IG Act, other statutes, or as expressly authorized by the AG.

The Honorable Steve Linick  
Page 2  
April 20, 2015

In our opinion, the system of internal safeguards and management procedures for the investigative function of the DOS OIG in effect for the year ended January 31, 2015, is in full compliance with the quality standards established by the CIGIE and the applicable AG Guidelines. These safeguards and procedures provide reasonable assurance of conforming with professional standards in the planning, execution, and reporting of its investigations.

Finally, we would like to express our appreciation to the entire DOS OIG staff for their accommodating assistance throughout this peer review.

If you have further questions, please don't hesitate to call me at (865) 633-7300.

Very truly yours,

A handwritten signature in black ink that reads "Richard W. Moore". The signature is written in a cursive style with a large, prominent initial "R".

Richard W. Moore

Attachment 1

Review Locations

Locations Included in the Assessment

**Office Location**

**Number of Personnel Interviewed**

Arlington, Virginia

20

Attachment 2

List of Closed Investigative Files Reviewed

<u>Case File Number</u>	<u>Case Closing Date</u>
C2013027	1/20/2014
C2012101	8/22/2014
C2014013	7/15/2014
C2011082	6/13/2014
C2013034	12/5/2014
C2011062	11/26/2014
C2010027	9/16/2014
C2013035	9/29/2014
C2014055	8/28/2014
C2010097	3/12/2014
C2013051	8/28/2014
C2011086	8/26/2014
C2013028	6/22/2014
C2013050	4/16/2014
C2014054	12/12/2014
C2013016	9/9/2014
C2013047	4/18/2014
C2011011	12/4/2014
C2011023	1/8/2014
C2012109	4/15/2014

Attachment 3

Preliminary Investigative Cases Reviewed

**Case File No.**

P2013-041  
P2013-067  
P2013-033  
P2013-025  
P2014-015

## SECTION 2



**Office of the Inspector General**

Tennessee Valley Authority, 400 West Summit Hill Drive, Knoxville, Tennessee 37902-1401

Richard W. Moore  
Inspector General

April 20, 2015

The Honorable Steve Linick  
Inspector General  
U.S. Department of State  
Broadcasting Board of Governors  
2201 C Street, NW  
Room 8100, SA-3  
Washington, DC 20520-0308

Dear Mr. Linick:

A handwritten signature in blue ink that reads "Steve". The signature is written in a cursive, flowing style.

**LETTER OF OBSERVATIONS CONCERNING THE INVESTIGATIVE OPERATIONS  
OF THE UNITED STATES DEPARTMENT OF STATE AND THE BROADCASTING  
BOARD OF GOVERNORS OFFICE OF INSPECTOR GENERAL**

During the course of our review of your policies, procedures, operations, and files, we made observations which do not have an impact on your office's compliance with the guidelines and standards at the heart of the review. We are sharing our observations with you with the hope of improving the overall efficiency and effectiveness of your investigative operations that may be considered at the discretion of the Inspector General. The following is a description of our observations and suggestions including your comments to the draft report:

Best Practices

1. Computer Forensics Program

Department of State (DOS) Office of Inspector General (OIG) Investigations (INV) Computer Forensics Branch (CFB) has developed a robust Computer Forensics Program with an in-house developed Quality Management Program. The use of the quality management system to streamline workflow and maintain case-related actions and notes ensures CFB staff is producing quality work products which enhance DOS OIG investigations and meet Council of the Inspectors General on Integrity and Efficiency (CIGIE) Guidelines for conducting forensic examinations.

## 2. Procurement Fraud Investigations/Suspension and Debarment Actions

DOS OIG INV's Procurement Fraud investigations have resulted not only in substantial savings to the agency, but additionally have resulted in significant criminal and administrative actions. The highly effective Suspension and Debarment Program has prevented and deterred potential future losses and further protected the agency's interests. The success of these programs is, in part, the result of agent training in the contracting process and the devotion of agent resources. DOS OIG INV's efforts have been recognized throughout the OIG community as a standard of excellence in this area.

### Areas for Improvement

#### 1. Firearms Program

The Qualitative Assessment Review (QAR) team noted 16 of 34 agents were granted waivers from a quarterly firearms qualification in Fiscal Year 2014. The DOS INV Manual Section 18-38, Quarterly Qualification states "Firearms qualification will be conducted quarterly, beginning with the new fiscal year starting on October 1, by all Special Agents, utilizing an INV (FLETC) approved course of fire." Additionally, the DOS OIG/INV Manual Section 18-39 Special Agent Obligations states "All INV Special Agents are expected to attend all regular quarterly firearms qualification sessions unless they are specifically excused in advance by their supervisor or in the event of illness or family emergency on the day of training. If a Special Agent is unable to attend a regularly scheduled firearms qualification, he/she shall notify the INV Firearms Coordinator and/or a Firearms Instructor as soon as possible." DOS OIG/INV Manual Section 18-38B states "The supervisor, with the firearms coordinator's concurrence, may grant one waiver per year, if the agent will be unavailable to qualify due to circumstances beyond his/her control."

Section 18-38 does not include a requirement that documentation of waivers granted be included in OIG Investigative records. As such, this documentation was not maintained. The QAR team suggests DOS OIG/INV give consideration to revising Section 18-38 to ensure all waivers are appropriately documented and maintained.

In response to the draft report, DOS OIG has revised their investigative manual to include the requirement that waivers be documented and maintained. In addition, a medical waiver section has been added.

The Honorable Steve Linick  
Page 3  
April 20, 2015

## 2. Use of Agent Notes in Information Record Form (IRF)

The QAR team observed utilization of Agent Notes on a regular basis, rather than sparingly as spelled out by policy. DOS OIG/INV Manual Chapter 10-13 states "The use of Agent's Note in the text of the IRF is restricted to reporting factual, relevant, and substantive observations. When used, they should be indented from the main body of the report and preceded by the caption "AGENT'S NOTE" which will be in upper case letters and underlined. Agent's notes may be used, for example, to point out apparent contradictions between the statement of a witness and actual conditions or events." The policy states in bold type that the use of Agent Notes should be used sparingly.

DOS OIG responded to the draft report that DOS OIG has included use of agent notes as a training topic during the previous two in-service training sessions held in February and November 2014 and is addressing this issue during supervisory case reviews.

If you or your staff have any questions concerning these observations, please contact Paul B. Houston, Assistant Inspector General, Investigations, at (865) 633-7351.

Very truly yours,

A handwritten signature in cursive script that reads "Richard W. Moore".

Richard W. Moore