# Appendix B: Letter of Comment Template

**[Place on Reviewing OIG Letterhead]**

**[Date]**

To **[Insert Name]**, Inspector General

**[Insert Name of Reviewed Organization]**

We have reviewed the internal policies and procedures for implementing the CIGIE *Quality Standards for Inspection and Evaluation*, December 2020 (Blue Book) for the I&E organization of **[Insert Reviewed Organization]** Office of Inspector General (OIG) in effect for **[Insert the appropriate time period or date]**. We also reviewed **XX** **[Insert number of reports reviewed]** reports for compliance with the Blue Book standards and the **[Insert Reviewed Organization]** OIG’s internal policies and procedures. We issued our Peer Review Report on **[Insert the date]** in which we summarized our overall conclusions as to the I&E organization’s compliance with the Blue Book standards. That report should be read in conjunction with the comments in this letter, which were considered in reaching our conclusions. The finding**(s)** or noncompliances described below was **(were)** not considered to be of sufficient significance to impact our overall conclusions. The finding**(s)** or noncompliances also did not rise to the level of a significant noncompliance affecting whether a Blue Book standard was complied with.[[1]](#footnote-2)

**[Examples provided below:]**

**Finding 1. Reporting**

Requirement 5.1 of the Blue Book Reporting Standard states that all inspection reports must state that the inspection was conducted in accordance with the Council of the Inspectors General on Integrity and Efficiency’s (CIGIE) Quality Standards for Inspection and Evaluation. For two of four reviewed reports, the reports did not include the required statement.

Recommendation. OIG management should review and revise its I&E report review process to ensure that each report contains the required inclusion statement as required within Standard 5 of CIGIE’s Quality Standards for Inspection and Evaluation, Dec. 2020.

Views of Responsible Official. Agree.

**Finding 2. Independence**

Requirement 1.2 of the Blue Book Independence Standard states that inspectors must document all known threats to independence or document that there are no known threats to their independence for each inspection they are assigned to conduct. For one of the four products reviewed, there were no statements of independence found. Statements of independence are critical to ensuring that inspectors, inspection organizations, and their reports are impartial and without bias in both fact and appearance.

Recommendation. OIG management should implement additional safeguards and procedures to ensure that statements of independence are completed and retained for anyone performing or supervising inspection work, to include anyone who may directly influence the outcome of the inspection.

Views of Responsible Official. Agree.

**Finding 3. Quality Control – Supervision**

Requirement 7.2 of the Blue Book Quality Control Standard states that inspection organizations must provide supervision over the inspection work performed. The OIG’s policies and procedures require that supervisors be involved and review work on an ongoing basis throughout the inspection. For one of four reviewed reports, the supervisory review of the work occurred at the end of the inspection. According to the supervisors involved, this occurred because other ongoing, higher priority inspections required their participation and attention. When review of the work is delayed until the end of the inspection, greater risk exists that problems with the work performed, such as failure to obtain needed evidence as planned or misinterpretation of criteria, will not be identified until it is too late to correct them.

Recommendation. OIG management should review the workload assigned to supervisors involved and determine whether the workload was reasonable based on the experience of the assigned staff, the number of assigned projects, and the complexity of the assigned subject matter or area. Using the results of that review, OIG management should decide whether:

1. the supervisors could have reasonably been expected to comply with the OIG’s policy requiring an ongoing review of all inspection work;
2. workload needs to be rebalanced among supervisors; and/or
3. other factors, such as a lack of training, prevented the supervisors from complying with the OIG policy.

Views of Responsible Official. Agree. OIG management will review the assignment of supervisors and determine what, if any, changes would appropriately address the identified noncompliance.

/s/

**[Insert Name]**, Inspector General

Enclosure

## ENCLOSURE: Reviewed Organization Comments to Draft Letter of Comment

Reviewed Organization’s comments to the draft Letter of Comment, when provided, should be included as an enclosure to the final Letter of Comment.

1. A finding is only included in the Letter of Comment. It is not included in the Peer Review Report because the finding did not rise to the level of a significant noncompliance. [↑](#footnote-ref-2)