

Certified Inspector General Inspector / Evaluator Course



INSPECTOR GENERAL INSTITUTE
TRAINING AND CERTIFICATION FOR INSPECTION
AND OVERSIGHT PROFESSIONALS

Supervision of Inspections, Evaluations, and Reviews

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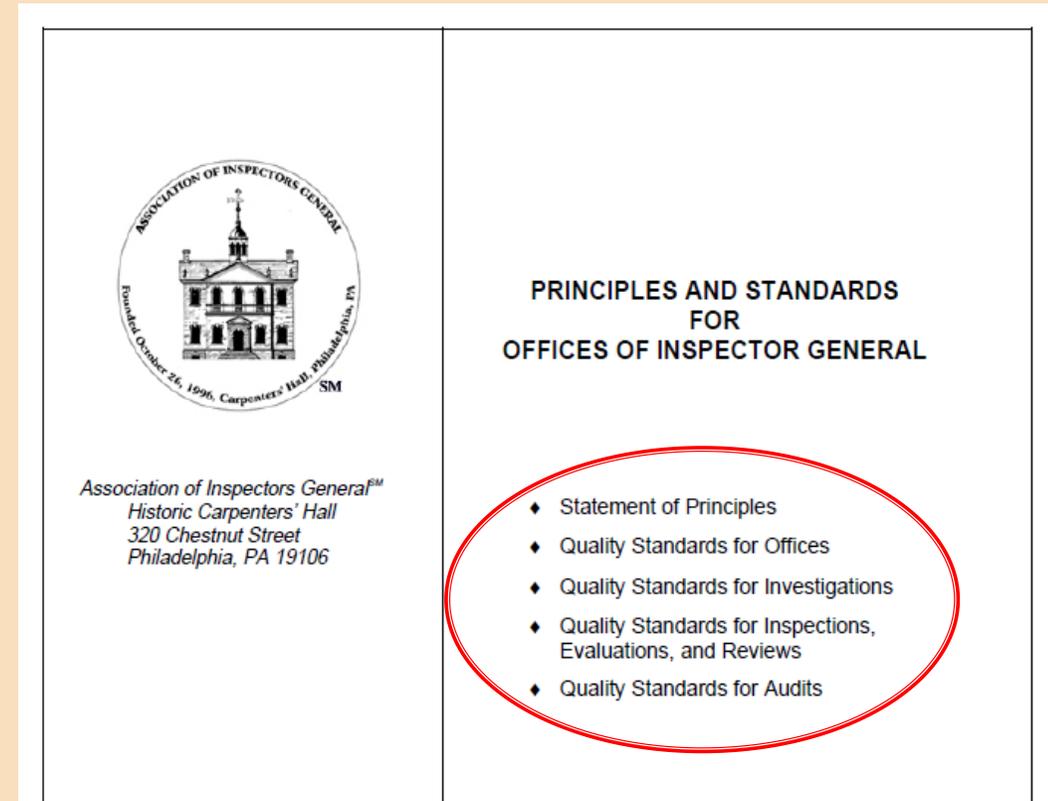
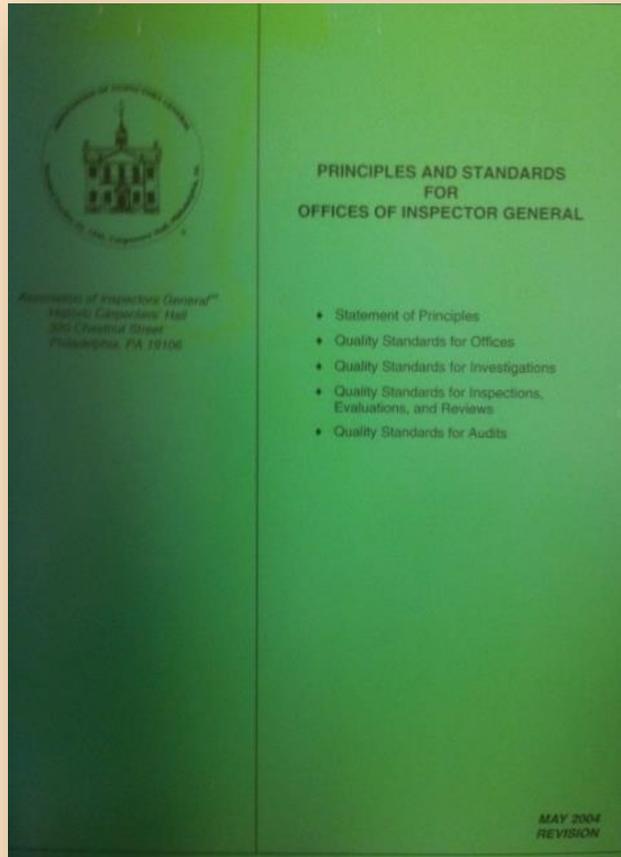




Course Objectives:

- Identify supervisory activities required by Green Book standards and best practices
- Identify methods of supervision
- Discuss supervisory reviews
- Discuss qualities and behaviors of a good supervisor

Professional Standards

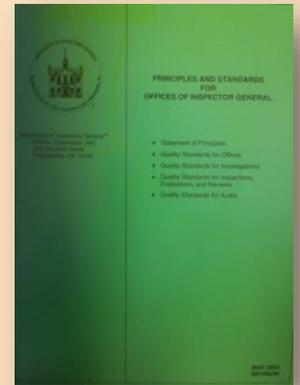


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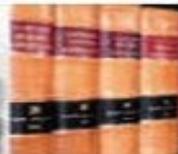


Quality Standards for OIGs – Independence – Section A: General Standard

The inspector general and OIG staff involved in performing or supervising any assignment should be free from personal or external impairments to independence and should constantly maintain an independent attitude and appearance.



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Quality Standards for OIGs – Direction and Control – Section B: Supervision

- OIG supervisors at all levels should ensure that OIG staff receive effective direction, guidance, and oversight, and training.
- Supervision should be exercised at each level of the organization and for each level of task responsibility.



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Quality Standards for OIGs – Direction and Control – Section B: Supervision (cont'd)

- Proper supervision is required throughout project assignments.
- The actual amount of supervision provided will vary, based on resources available, complexity, and sensitivity of the work, and experience of staff assigned to the assignment.



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Quality Standards for OIGs – Direction and Control – Section B: Supervision(cont'd)

This includes making sure that personnel explicitly understand, without ambiguity, the nature, scope, content and timing of the work assigned to them, and what product is expected.



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Quality Standards for OIGs – Direction and Control – Section B: Supervision (cont'd)

It also includes sufficient interim checks to determine whether jobs are on schedule and are being executed in accordance with plans, so that necessary mid-course corrections can be made without disrupting the assignments.



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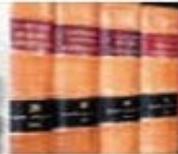


Quality Standards for OIGs – Section C: Quality Control

- Quality control is an inherent responsibility of the OIG supervisors.
- Quality control is the process by which supervisors ensure that the work of their immediate staff meets professional standards.



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Quality Standards for OIGs – Section C: Quality Control (cont'd)

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Quality Standards for Inspections, Evaluations, and Reviews – Section A: Quality Control

Quality Standards For Inspections, Evaluations, and Reviews

QUALITATIVE STANDARDS

A. Quality Control

The first qualitative standard for OIG inspections, evaluations, and reviews is:

To ensure quality and expedite the progress of an inspection, evaluation, or review, proper supervision will be exercised from the start of such work to completion of the final report.



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Quality Standards for Inspections, Evaluations, and Reviews – Section A: Quality Control

Supervision:

- Adds expert judgment to the work done by less experienced staff.
- Provides necessary training for them
- Ensures team clearly understand their assigned tasks before starting the work.
- Ensures team members should be informed why the work is to be done and what it is expected to accomplish.



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Quality Standards for Inspections, Evaluations, and Reviews – Section A: Quality Control (cont'd)

Supervisory reviews should determine that:

1. Evidence adequately supports findings, conclusions, and recommendations.
2. Inspection, evaluation, or review objectives are met.
3. Work plans are followed, unless deviation is justified and authorized.

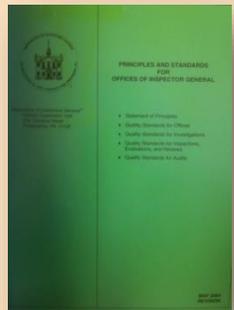


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Quality Standards for Inspections, Evaluations, and Reviews – Section C: Data Collection and Analysis

Data collection and analysis procedures should be appropriately controlled and supervised to protect the resulting findings and reports from distortion by the personal feelings and biases of any party to the inspection, evaluation, or review.



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What is Supervision?

- ✓ Understanding
- ✓ Guidance
- ✓ Adjustment
 - ✓ Work
 - ✓ Self
- ✓ Stewardship
- ✓ Regulation
- ✓ Development
- ✓ Protection



- ✓ Motivation
- ✓ Coaching
- ✓ Delegating
- ✓ Supporting
- ✓ Management
- ✓ Direction
- ✓ Review
- ✓ Professional

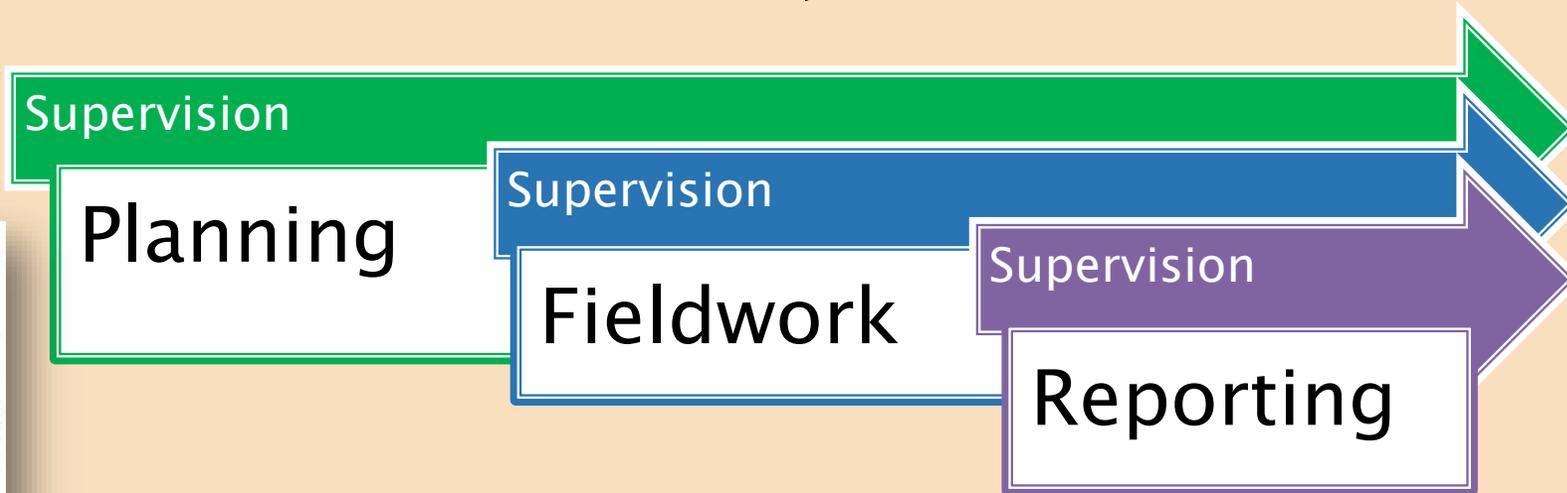


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When is Supervision?

Ongoing and happens at each stage of each inspection, evaluation, and review.



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Who is Supervision?

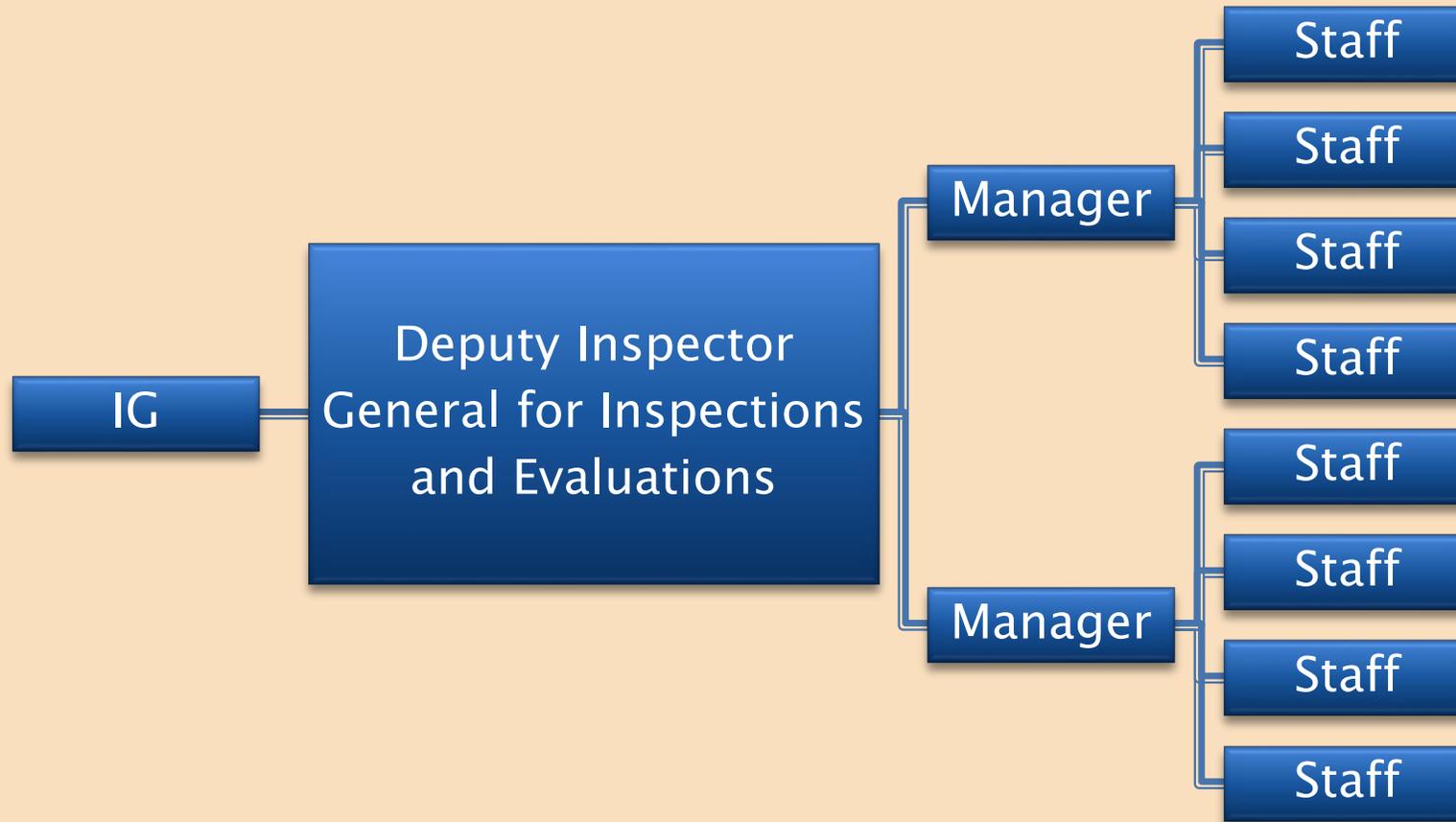
- Ultimately, the IG But functionally, the DIG
- DIG may delegate
- Clarify supervisory responsibilities in policies & procedures manual
- Document any further delegation



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Who is Supervision? (cont'd)



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Behaviors and Qualities of a Good Supervisor

- ✓ Listen
- ✓ Coach
- ✓ Support
- ✓ Challenge
- ✓ Correct
- ✓ Teach
- ✓ Learn
- ✓ Role model
- ✓ Inclusion
- ✓ Gratitude
- ✓ Encourage Innovation (allow failure)
- ✓ Patient
- ✓ Self-aware
- ✓ Self-control
- ✓ Adaptable
- ✓ Humble



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How does Supervision Happen?

Providing suitable instructions to staff at the outset of the inspection, evaluation, or review and approving the annual plan.



Determining that objectives are being met.



Seeing that the approved annual plan is carried out unless deviations are both justified and authorized.



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How does Supervision Happen? (cont'd)

Determining that workpapers adequately support the findings, conclusions, and information included in the reports.



Making sure that reports are accurate, objective, clear, concise, constructive, and timely.



Providing on-the-job training and coaching for improvement.



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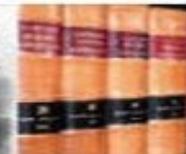
Guiding Staff

- ✓ Team Meetings
- ✓ Role Model
- ✓ Demonstrate
- ✓ E-mails
- ✓ Scheduled updates
- ✓ One-on-One progress reports
- ✓ In-house training
- ✓ Group

- presentations of Key Information
- ✓ Tracked Changes
- ✓ Mock Interviews
- ✓ De-briefs for Evaluations and Inspections



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Methods of Supervision

- ▶ Nature and Extent of supervision depends on inspection, evaluations, or review objectives and staff experiences
- ▶ Meet professional standards, but be thoughtful about how to achieve the broader goals of staff development, quality assurance, and continuous improvement for the OIG.



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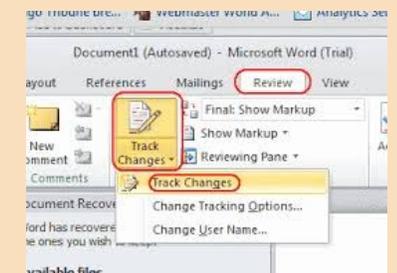
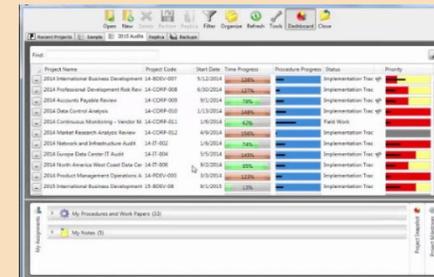
Supervisory Review



No required method of documenting supervisory review – select a method that works operationally

- Initial and date (electronically or hard copy)
- Tracked Changes in Microsoft Word
- Approval through electronic case management system
- Consensus Meetings

Make sure that method is documented in policies and procedures manual



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Supervisory Review (cont'd)

What is the best way to promote staff improvement and development while ensuring quality control?

- Identify needed changes to document templates or P&P manual?
- Use a Review Form with space for author to confirm correction (or refute) and supervisor to sign off?

How can you make it a learning experience?

- Make written corrections on the document but discuss orally first?
- Discuss positive aspects first to reinforce those? (what to keep doing)
- Explain rationale for your changes?



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Review: Detailed & General

- Detailed workpaper reviews should be performed at the level of the Inspectors and Evaluators and supervisor focus on accuracy, completeness.
- General reviews should be performed by the Deputy and focus on whether standards are followed, inspection and evaluation objectives are being met, and staff are carrying out their responsibilities.
- While Deputies may delegate supervisory reviews, they should have a plan for reviewing critical workpapers, such as workpaper summaries and those workpapers that support the report's findings. Note: when a director prepares workpapers, they should be reviewed by someone else.



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Review: Planning & Fieldwork

Planning Review

- During the Inspection, Evaluation, or Review: Document supervisor's approval of objectives, scope, and methodology—and of any significant changes to them.
- At the end of the Inspection, Evaluation, or Review: Review the planning documents to ensure the workplan was followed and documentation is complete.



Fieldwork Review

- Evidence is sufficient, relevant, competent, and 'appropriate'.
- Data analysis is complete, accurate, reasonable, documented.
- Findings and conclusions are present and supported.



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Review: Reporting



Draft Report Review

1. Conclusions and recommendations are supported by documented evidence.
2. Background information is necessary and sufficient.
3. Scope limitations/qualifications are properly stated.
4. Report form and content comply with OIG policy and IG preferences. “So what” message is clear.



This review process is repeated before the final report is issued; however, only those sections that are changed (findings added or removed) must be reviewed.



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Independent Review of Report

- Use an Independent Review process to ensure reports are complete, accurate, and meet all standards.
- Assign an inspector or evaluator that is not involved with the inspection, evaluation, or review to check all references and verify that all facts and assertions are supported by workpapers.



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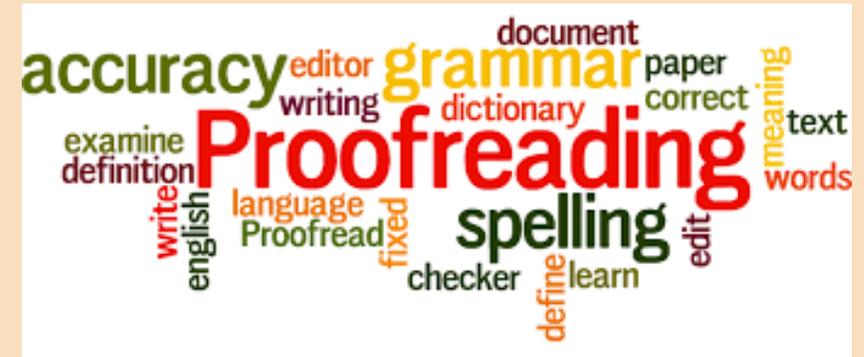
Additional Review of Report

Prior to review by the IG, draft and final reports should undergo extensive reviews at several levels, such as by:

- Inspectors and/or evaluators not involved with the project
- Leadership from other sections om the OIG
- General Counsel
- Public Information Officer/Director of Communications, etc.

Instruct reviewers on the purpose of their review:

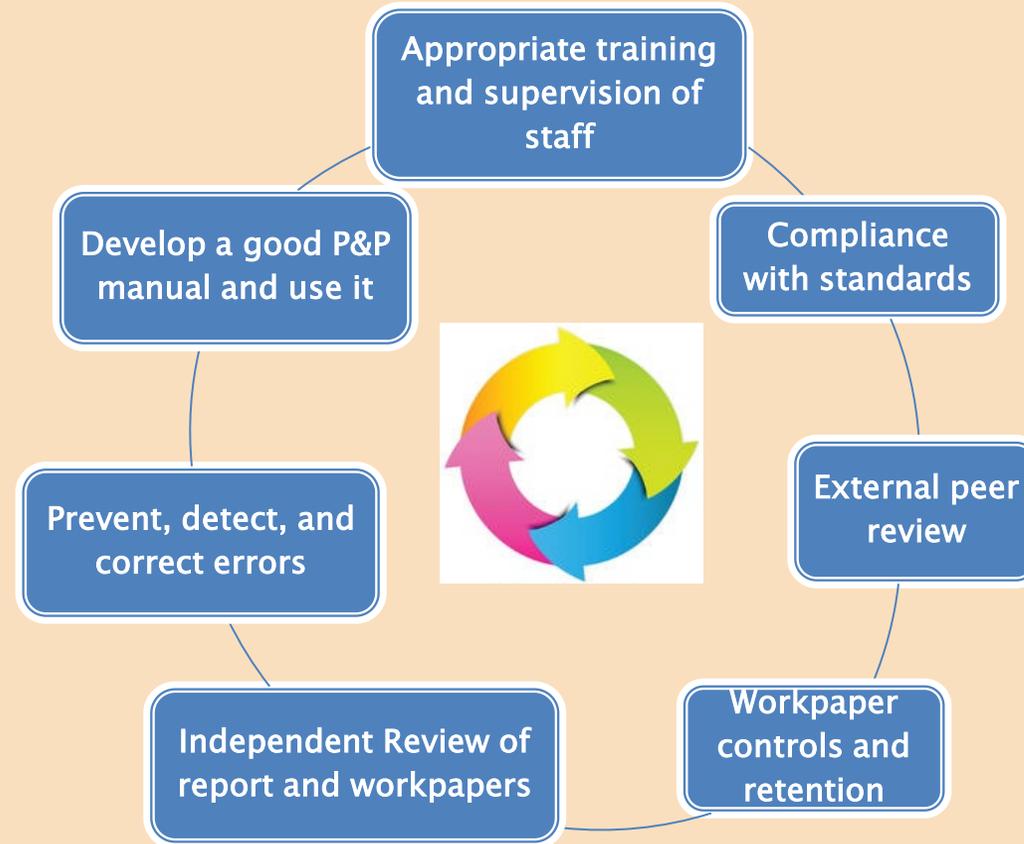
- Proofreading/typographical
- Logic/flow
- “So what” message
- Clarity/tone



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Organization Internal Quality Control System



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