Certified Inspector General Inspector / Evaluator Course

INSPECTOR GENERAL INSTITUTE®

TRAINING AND CERTIFICATION FOR INSPECTION AND OVERSIGHT PROFESSIONALS

Types of Inspections, Evaluations and Reviews

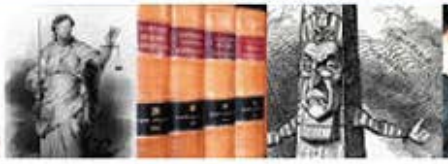
Presented by

Leigh R. Anderson, Ph.D.

ASSOCIATION OF INSPECTORS GENERAL

Course Objectives

- Understand three broad categories of I&Es
- Become familiar with the various types of I&Es
- Review Standards
- Reviews of I&Es
- Review Examples of I&Es



IMPORTANT TO REMEMBER

NO TWO INSPECTORS GENERAL FUNCTIONS ARE EXACTLY THE SAME

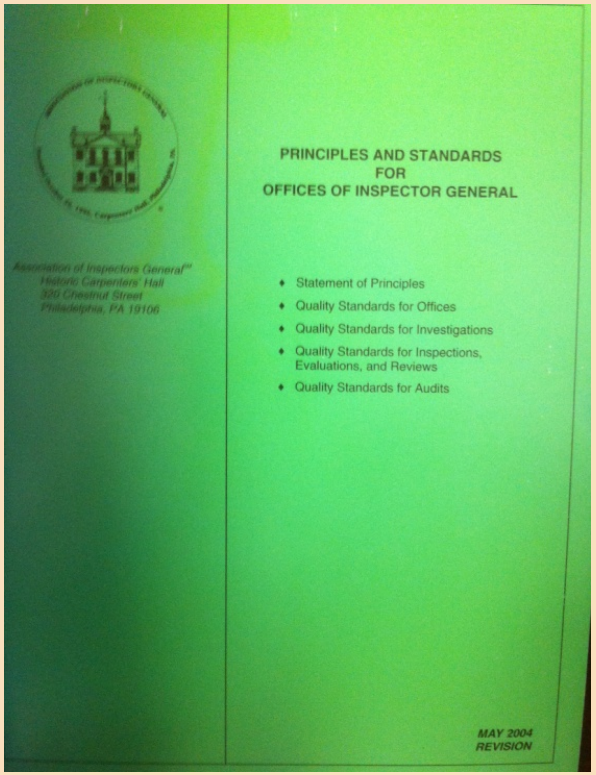
WE MAY LOOK DIFFERENT BUT WE HAVE THE SAME GOAL

Standards: Inspections, Evaluations, & Reviews (I&Es)

Quality Standards for Inspections, Evaluations, and Reviews

Information and data obtained about the organization, program, activity, or function being examined should be consistent with the inspection, evaluation, or review objectives, carefully documented and organized, and lead to a reasonable basis for conclusions.

(Principles And Standards For Offices Of Inspector General, 2014 Edition, Green Book)

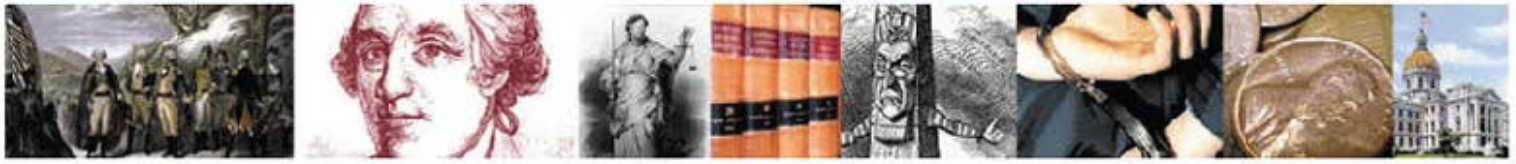


Three Broad Categories of the Types of I&Es

Compliance

Performance

Combination/Other



Compliance I&Es

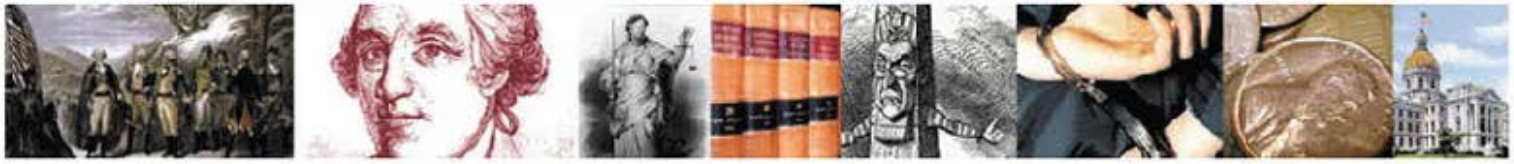
- Are examinations performed to determine whether standards are followed

  Is the organization or actions compliant with standards?

- Sometimes referred to as a *"checklist" inspection*

Compliance I&Es (cont'd)

- Findings are often limited to "compliant" or non-compliant" a.k.a. "Pass" or "Fail"
- Recommendations are typically limited in nature
- May be unannounced
- May be used to determine "readiness"
- May be completed in preparation for an upcoming assessment/accreditation

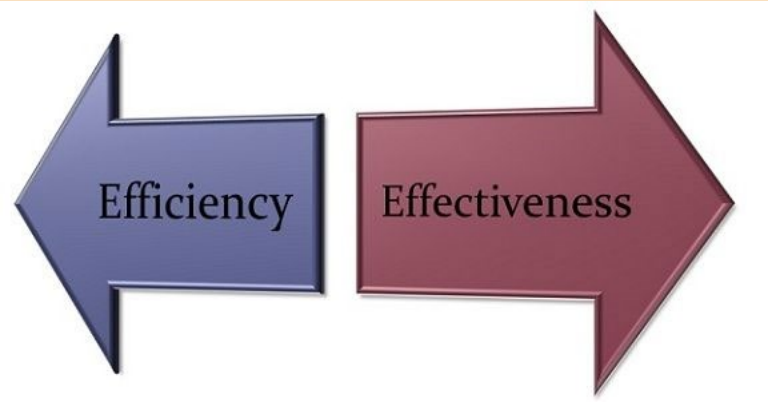


REQUIREMENTS
RULES
LAW
STANDARDS
COMPLIANCE
POLICIES
GOVERNANCE
TRANSPARENCY
REGULATIONS

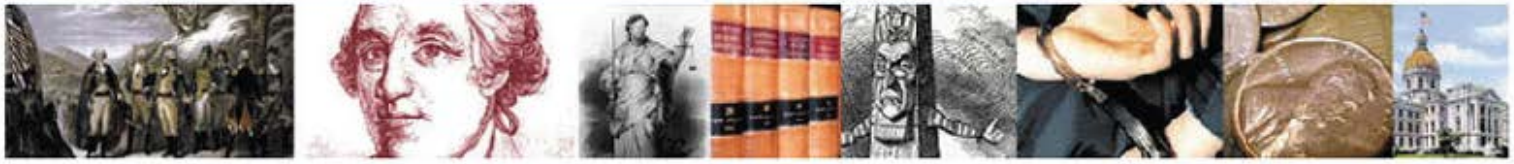
Performance I&Es

Generally characterized as an examination to measure/assess effectiveness and/or efficiency of programs, functions, procedures, and processes.

*Is the organization **efficiently** and **effectively** achieving its objectives?*



Effectiveness	Efficiency
Doing the right things	**Doing things right**
Being Adequate to accomplish a purpose; producing the intended or expected result	Performing or functioning in the best possible manner with the least waste of time and effort
Focus	***Focus***
• To Achieve Goal • Alignment with Goals • Optimize Vs. Minimize • Increase Opportunities • Long-term / Broad Scope	• To Enhance Process • Speed • Minimize Resource Usage • Reduce Costs & Efforts • Short-term / Narrow Scope
Disadvantage	***Disadvantage***
Irrespective to Resources	Un-predictable
Examples	***Examples***
Effective: A Sales Man that makes sales consistently.	**Efficient:** A Sales Man that makes completes his sales target using the least resources (i.e. Visits) in less time than expected.
Ineffective: A Sales Man who struggles to persuade customers to make a purchase	**Inefficient:** A Sales man that achieves his sales target while exceeding the resources limit and passing the dead-line.



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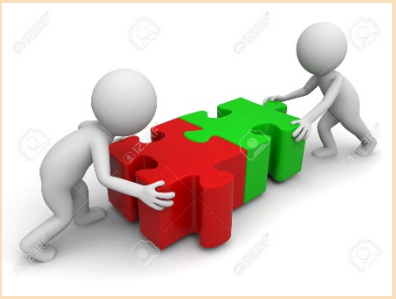
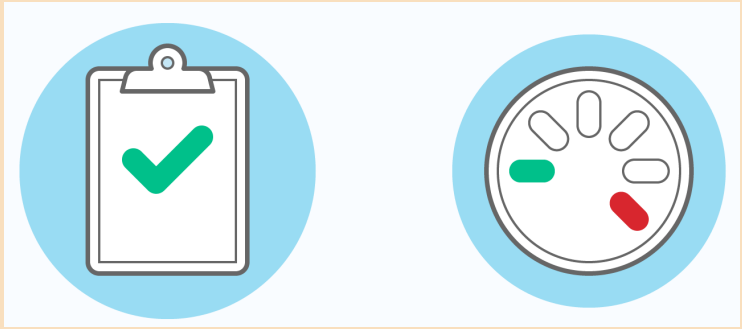
Performance I&Es (cont.)

- Similar to performance audit in nature and execution
- Objective based
- Usually requires more in-depth examination and analysis than compliance inspections
- Cost benefit analysis may be utilized
- Findings are often detailed
- Recommendations are typically robust

Combination I&Es

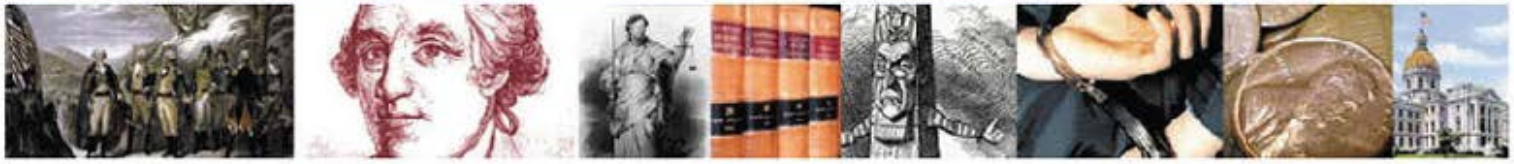
- Both compliance and performance I&Es assess compliance and performance
- The lines often “blur”
- Provides adaptability by users
- Typically more time consuming than other types of I&Es





Examples of Compliance I&Es

- Staff Inspections - e.g., conducted in Law Enforcement, Military Organizations
- Regulatory Reviews - conducted to determine if current governance is obsolete
- Command Inspections- military units
- Quality Assurance/Control Reviews
- Accreditation Assessments/Peer Reviews



Examples of Performance I&Es

- Efficiency and Effectiveness Review
- Six Sigma Review
- Zero Based Review
- Cost Benefit Analysis
- Security/Vulnerability Assessments

Examples of Combination/ Other I&Es

- Program/Management Reviews
- Monitoring
- Contract Review
- White Paper Review
- Climate Review/Morale Assessment
- Strengths, Weaknesses, Opportunities, Threats (SWOT) Reviews
- Complaint Driven
- Follow-Up
- Re-inspection

MANY TYPES OF INSPECTIONS

In Conclusion…

Despite difference in terminology…inspection, review, evaluation, compliance, performance… all seek the

Questions?
Comments?
Suggestions?