

**REPORT ON THE QUALITY ASSESSMENT REVIEW
OF THE INVESTIGATIVE OPERATIONS OF THE
OFFICE OF INSPECTOR GENERAL FOR THE FEDERAL
ELECTION COMMISSION**

Conducted in Washington, D.C.

by

The Securities and Exchange Commission

Office of Inspector General

100 F Street, NE

Washington, D.C. 20549

Carl W. Hoecker, Inspector General

Daniel Mummert, Senior Special Agent

Kaizad Munshi, Senior Special Agent

January 2017

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UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF
INSPECTOR GENERAL

January 11, 2017

Ms. Lynne McFarland
Inspector General
Federal Election Commission
999 E Street, NW
Suite 940
Washington, D.C. 20463

Subject: Report on the Quality Assessment Review of the Investigative Operations of the Office of Inspector General for the Federal Election Commission

Dear Inspector General McFarland:

We have reviewed the system of internal safeguards and management procedures for the investigative operations of the Federal Election Commission (FEC), Office of Inspector General (OIG) in effect for the period April 1, 2014 through September 30, 2016. Our review was conducted in conformity with the Quality Standards for Investigations and the Quality Assessment Review Guidelines established by the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

We reviewed compliance with the FEC OIG's system of internal policies and procedures to the extent we considered appropriate. The review was conducted at the FEC OIG's office in Washington, D.C. Additionally, we reviewed the case files for the two investigations completed during our review period.

In our opinion, the system of internal safeguards and management procedures for the investigative function of the FEC OIG in effect for the period April 1, 2014 through September 30, 2016, is in compliance with the quality standards established by the CIGIE. These safeguards and procedures provide reasonable assurance of conforming with professional standards in the planning, execution and reporting of its investigations.

Sincerely,

A handwritten signature in blue ink, appearing to read "Carl W. Hoecker", with a long horizontal flourish extending to the right.

Carl W. Hoecker
Inspector General

Attachment A: List of Closed Investigative Files Reviewed

<u>Case File Number</u>	<u>Case Closing Date</u>
INV-16-01	January 20, 2016
INV-16-03	March 18, 2016

Attachment B: Inspector General Response



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

Office of Inspector General

January 10, 2017

The Honorable Carl W. Hoecker
Securities and Exchange Commission
100 F Street, N.E., Room
Washington, DC 20549

Re: **Quality Assessment Review of Investigation Operations**
(April 1, 2016 through September 30, 2016)

Dear Inspector General Hoecker:

I would like to express my appreciation to you and your staff for conducting a recent (November, 2016) Quality Assessment Review (QAR) of my office's investigative operations as prescribed by the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

Our office is pleased that your review concluded our office was in compliance with the quality standards established by CIGIE.

I would like to take time to commend your staff on their work and coordination with our investigative staff during this review. It has been a pleasure working with you and your staff on this assessment.

Sincerely,

A handwritten signature in black ink that reads "Lynne A. McFarland".

Lynne McFarland
Inspector General