



# **ASSOCIATION OF INSPECTORS GENERAL**

## **POLICY MANUAL**

May 12, 2010

# TABLE OF CONTENTS

	Page(s)
<b>ELECTED MEMBERS:</b>	
OFFICERS.....	1
EXECUTIVE COMMITTEE.....	2
CHARTER MEMBERS .....	2
BOARD OF DIRECTORS .....	2
TERMS.....	2
STANDING COMMITTEES.....	3
RESPONSIBILITIES.....	3
ASSIGNMENTS.....	3
RULES OF ORDER.....	6
CODE OF CONDUCT.....	8
CONFLICTS OF INTEREST.....	9
APPLICABILITY.....	9
DEFINITIONS.....	9
PROHIBITED ACTIVITIES.....	10
REPORTING SUSPECTED VIOLATIONS.....	12
INTEGRITY COMMITTEE.....	13
ESTABLISHMENT AND COMPOSITION.....	13
ADVISORY OPINIONS.....	13
PROCEDURES.....	13
DISTRIBUTION OF POLICY.....	14
RECORDS RETENTION.....	14
PROCESSING OF MAIL/CORRESPONDENCES.....	15

## TABLE OF CONTENTS (continue)

	Page(s)
INCOMING/OUTGOING MAIL/CORRESPONDENCES.....	15
REVIEW OF MAIL/CORRESPONDENCES .....	15
RESPONSE TO MAIL/CORRESPONDENCE.....	15
RECEIPT, DISTRIBUTION, AND REVIEW OF COMPLAINTS/ALLEGATIONS.....	17
STIPENDS (PAYMENT OF).....	19
REFUND POLICY (INSTITUTES AND CONFERENCES).....	19
TRAVEL & PER DIEM .....	20
DEFINITIONS.....	20
IN GENERAL.....	20
LODGING.....	20
TRANSPORTATION.....	21
DOCUMENTATION.....	21
TRAVELING COMPANIONS.....	22
PER DIEM.....	22
LOCAL CHAPTER MEMBERSHIP.....	23
RETENTION OF RECORDS.....	23
AIG AFFILIATION WITH EDUCATIONAL INSTITUTIONS.....	24
ENDORSEMENTS.....	26
INSPECTORS GENERAL INSTITUTE™ .....	27

## TABLE OF CONTENTS (continue)

	Page(s)
GENERAL POLICIES.....	29
CANCELLATION.....	29
REFUNDS.....	30
PARTICIPANT RECORDS.....	30
PAYMENTS.....	30
ATTENDANCE.....	30
MAKE-UP ATTENDANCE.....	30
CPE CREDITS.....	30

## ***ELECTED MEMBERS***

*Pursuant to the Association's Articles of Organization, Constitution and Bylaws (hereafter referred to as the "Constitution"), in part, with an amendment under Executive Committee.*

### ***I. OFFICERS***.....

- a. **President** The President shall preside at all meetings of the Association of Inspectors General (hereafter, "AIG" or "Association"), the Board of Directors and of the Executive Committee. The President shall be an ex officio member, with vote, of all committees, and shall perform all such other duties as usually pertain to that office and as determined by the Board of Directors.
- b. **Vice Presidents** The Vice President shall perform the duties of the President in his or her absence or at his or her request. In case a vacancy shall occur in the office of the President, the first Vice President shall become President and shall serve for the balance of the term. In case more than one Vice President is elected by the Board of Directors, each Vice President shall be designated in succession by number, and in case of a vacancy shall succeed to the next higher office. With the exceptions of the Nominations and Elections Committee, and the Committee on Hearings, the Vice Presidents shall be ex officio members, with vote, of all standing and special committees. The Vice President shall perform such duties as may be delegated by the President or assigned by either the President or the Board of Directors.
- c. **Secretary** The Secretary of the Association, under the direction of the President, shall have the following duties: he or she shall have charge of the archives of the Association and may appoint an Historian from the membership to maintain and document the history of the Association; he or she shall attend to the proper publication of official notices and reports, attest documents and perform such other duties as usually pertain to his or her office; and he or she shall have such other duties as may be assigned to him or her from time to time by the President. He or she shall be Secretary of the Board of Directors and of the Executive Committee. A vacancy in the office of the Secretary of the Association may be filled by a majority vote of the Board of Directors to fill the unexpired term.
- d. **Treasurer** The Treasurer, under the direction of the President, shall have charge of the books of account of the Association. He or she shall assist an auditor selected by the Board of Directors to make an annual audit of the Association's books of account and prepare a statement of financial condition as of the close of each fiscal year as may be established by the Board of Directors, and shall furnish a copy of such statement, together with the certificate of audit, to each member of the Board of Directors. The funds of the Association shall be placed in such banks or accounts as may be designated by the Board of Directors. The Treasurer shall have such other duties as may be assigned to him or her from time to time by the President. A vacancy in the office of the Treasurer may be filled by a majority vote of the Board of Directors to fill the unexpired term.

**II. EXECUTIVE COMMITTEE**.....

- a. There shall be an Executive Committee consisting of the President, First Vice President, Second Vice President, Third Vice President, Treasurer, Secretary of the Association and ten (10) members elected at-large from the Board of Directors, provided that no more than two (2) at-large members shall be from the same state. The immediate past president of the Association of Inspectors General shall, for two years hence, be an ex-officio member, with vote, of the Executive Committee.

**III. CHARTER MEMBERS**.....

- a. Charter Membership This class of membership entitles individuals with life membership to full voting rights in the Association. Charter members shall be members of the Association for life. These members shall be the initial members of the corporation who signed the Charter of the organization in Carpenters' Hall in Philadelphia, Pennsylvania on October 26, 1996.

**IV. BOARD OF DIRECTORS**.....

- a. The Board of Directors shall consist of all Charter members of the Association present and voting at the Charter meeting of the Association at 12:15 p.m. on October 25, 1996 at the Independence Seaport Museum in Philadelphia, Pennsylvania. These members of the Board of Directors shall hold life tenure on the Board of Directors and life membership in the Association provided that they are members in good standing, and further that such member is absent for no more than two consecutive meetings.

**V. TERMS**.....

- a. The Board of Directors shall elect from among its own members for a term of two (2) years commencing January 1 following the election a President, a First Vice President, a Second Vice President, a Third Vice President and other Vice Presidents as the Board of Directors shall determine. It shall also elect from its own members for a term of two (2) years commencing January 1 following the election a Treasurer and a Secretary of the Association and members of the Executive Committee.
- b. The ten (10) members of the Executive Committee nominated by the Nominations and Elections Committee or from the floor at any meeting of the Board of Directors, and elected annually by and from said Board, shall serve for a two (2) year term or until their successors are elected and qualified.
- c. Each such Board of Director member shall serve in a newly designated seat for a term of three (3) consecutive years or until their successors are elected and qualified and such seat shall hereinafter be filled in accordance with the provisions in Article IV, provided that they are members in good standing, and further that such member attends one of the first two meetings of the Board of Directors after the member's election and that the member is absent for no more than two consecutive meetings of the Board of Directors.

# ***STANDING COMMITTEES***

## ***I. PURPOSE***

- a. The purpose of this policy is to outline the assignment of committee chairs/co-chairs and the responsibilities of each committee.

### **(1) *RESPONSIBILITIES*.....**

- (a) The President will, annually, review and assign a Chair for each committee of his/her choice. If desired, the President may also assign a co-chair. The President will further assign members of the board to one or more committees and encourage membership to volunteer as well.
- (b) The Board of Directors or the Executive Committee shall assign responsibilities to the committees relating to the administration, conduct, regulation, or oversight of particular activities or special areas or endeavors of the Association, except that no corporate authority may be delegated to any committee unless all members of such committee are members of the Board of Directors of the Association, and unless such committee has been delegated such authority by a resolution adopted by a majority of the entire Board of Directors.

### **(2) *COMMITTEE ASSIGNMENTS*.....**

- (a) ***Chapter Development*** – This committee is designed to assist in the establishment of and support for on-going activities for local Association chapters.
- (b) ***Conference/Professional Development*** – This committee is designed to assist and provide conference support from logistics, planning to implementation to the hosting state.
- (c) ***Constitution and Bylaws*** - The Constitution and Bylaws Committee identifies the need for, drafts, reviews, and makes recommendations to the Executive Committee and Board of Directors on proposed amendments to the *Articles of Organization, Constitution and Bylaws*. The committee may also interpret and provide advice on the requirements of the *Articles of Organization, Constitution and Bylaws*.
- (d) ***Integrity Committee*** - This committee is responsible for receiving and reviewing complaints/allegations of misconduct and/or conflicts of interest made against any officer, Executive Committee member, Board of Director or association member, where the complaints/allegations pertain to their capacity/affiliation with the Association, and reporting its findings to the Board of Directors for appropriate action.

- (e) **Legislative** – This committee is a liaison between AIG members and legislators (federal, state, city, county and other local governments) and will keep Association members informed on all current or pending industry-related legislative issues, policy outcomes, and analyses. The Committee will provide information, policy and impact analysis, white papers or other information to members of the Legislature or Congress or staff.
- (f) **Membership Outreach**- This committee is responsible for identifying and reaching out to members in the community that would have an interest in becoming members of the Association.
- (g) **Peer Review** - The AIG is committed to improving the quality of work conducted by IG offices. Many offices are mandated to go through a peer review process in order to ensure that professional standards are adhered to in the performance of audits, inspections and investigations. The objective of an external quality control review is to determine whether the organization's internal quality control system is in place and operating effectively to provide reasonable assurance that established policies and procedures and applicable standards are being followed. Through this committee, the Association provides the IG community this service.
- (h) **Hearings** – To Be Determined
- (i) **Professional Certification Board** – The Professional Certification Board oversees the Association's Inspectors General Institute™ Certification Programs. The AIG's Professional Certification Board carries out all aspects of the Association's Inspectors General Institute™ Certification Programs with administrative support from the Executive Director. The functions and responsibilities of the Professional Certification Board include, but may not be limited to:
  - (i) Establishing, maintaining, and interpreting the AIG Professional Certification Programs' qualification standards.
  - (ii) Overseeing the updates of the AIG Examinations, including the maintenance and currency of the common body of knowledge.
  - (iii) Establishing overall AIG examination policies and procedures.
  - (iv) Establishing criteria for proper education and experience documentation for AIG Certification applicants, including acceptance or rejection of applications or waivers where appropriate.

- (j) **Professional Standards** - This committee establishes generally accepted inspector general principles and standards consistent with its mission statement, which includes the “standardization of practices, policies and ethics, encouragement of professional development in providing and sponsoring educational programs, and the establishment of professional qualification, certification, and licensing.”
- (k) **Strategic Planning** – This committee conducts an ongoing strategic assessment of the Association, within the context of the Association’s Mission Statement, so that it can be responsive to the needs of its membership.
- (l) **Training** - The Training Committee identifies training courses based on established standards and AIG policy for members of the Association with particular emphasis on audit, investigation, and evaluation or inspection professions. The committee evaluates established training standards, policies and courses for consistency with best practices.
- (m) **Treasury and Finance** – This committee is responsible for maintaining the financial records of the AIG. With the approval of the Executive Committee, the Finance Committee makes decisions as to investments and other financial matters.

## ***RULES OF ORDER***

### ***I. PURPOSE***

- a. All meetings will be conducted in accordance with the Robert's Rules of Order newly revised.
- b. In addition to the pertinent provisions of the Association of Inspectors General Bylaws and Constitution, the following rules of order shall apply to all meetings of the Association of Inspectors General Board of Directors and to meetings of the organization's Executive Committee.
  - (1) A proposed agenda shall be supplied prior to or at the start of any meeting. The proposed agenda shall be the order of the day. The President shall establish a time prior to the start of business by which all topics and matters of new business to come before the voting body shall be reported to the president and to the Secretary for inclusion on the agenda.
  - (2) The President may, when it is in the best interests of the voting body and to accommodate the needs of the voting body or any person called upon to provide a report, change the order of business.
  - (3) The voting body at any meeting shall consist of all Charter and all Elected Members of the Board of Directors, including the elected officers. If the meeting is one of the Executive Committee, then the voting body shall consist of the elected officers and the members of the Executive Committee.
  - (4) All motions, except those concerning matters of procedure, will be provided in a written form, the motion will be signed by the maker and the person seconding the motion, and given to the Secretary prior to the adjournment of the meeting. The Presiding Officer may require that a copy of the written motion be furnished to him/her before any action is taken. This rule shall not apply in meetings conducted by telephone conference.
  - (5) Only members of the voting body may introduce motions.
  - (6) Discussion on a motion shall be limited to two (2) minutes for each speaker. Additional time may be granted to a speaker by general consent of the voting body, or, a speaker's time may be extended, if, in the opinion of the President or Presiding Officer, it is advisable to do so.
  - (7) No Board or Executive Committee member may speak a second time until all others who wish to speak have had the opportunity to do so.
  - (8) Non-Board or non- Executive Committee members may not speak unless invited to do so by the President or the Presiding Officer.
  - (9) The President or Presiding Officer shall appoint a timekeeper. It shall be the timekeeper's duty to indicate to each speaker a 30 second warning before the expiration of the time allotted and to

signal to each speaker the expiration of his/her allotted speaking time. Time keeping begins when the speaker actually begins the presentation and after the speaker is recognized by the President or the Presiding Officer.

- (10) Reports of the elected officers, bylaws amendment proposals, and the report of the Association's Executive Director shall not be restricted to a time limit.

# ***CODE OF CONDUCT***

## ***I. PURPOSE***

- a. The purpose of the Code of Conduct is to establish ethical guidelines for members of the Association. Public confidence in the integrity of this Association is essential to the exercise of good government. This Code of Conduct shall not supersede the laws, rules and regulations of the international, federal, state and local jurisdictions of any Association member.

## ***II. CODE OF CONDUCT***

- a. Members are expected to meet high standards of personal conduct. They must:
  - (1) Carry out their duties with integrity and honesty
  - (2) Be courteous, reasonable and fair in their dealings with all members, colleagues and members of the public
  - (3) Be truthful, honest and forthright
  - (4) Not make use of their formal position in the Association to further their private interests
  - (5) Not bring discredit to the Association
  - (6) Not engage in actions, transactions, or involvements that have the potential to become a conflict of interest
- b. Any member convicted of a felony or a misdemeanor crime of moral turpitude shall forfeit their membership in the Association.
- c. "Convicted" means an adjudication of guilt or, an order of deferred adjudication entered against a person by a court of competent jurisdiction whether or not the imposition of the sentence is subsequently probated and the person is discharged from community supervision. The term does not include an adjudication of guilt or an order of deferred adjudication that has been subsequently:
  - (1) expunged; or
  - (2) Pardoned under the authority of a state or federal official.

## ***CONFLICTS OF INTEREST***

### ***I. PURPOSE***

- a. The purposes of the Association shall be to foster and promote public accountability and integrity in the general areas of the prevention, examination, investigation, audit, detection, elimination and prosecution of fraud, waste and abuse, through policy research and analysis; standardization of practices, policies, conduct and ethics; encouragement of professional development by providing and sponsoring educational programs; and the establishment of professional qualifications, certifications and licensing. Members of the Association carry out these purposes on a volunteer basis by their participation in the Association.
- b. This Policy is intended to assist and guide members' actions in carrying out the purposes of the Association in accordance with the law, and the high ethical standards the Association espouses. This Policy shall not supersede the laws, rules and regulations of the international, federal, state and local jurisdictions of any Association member.
- c. This policy is intended to guide members' actions in avoiding actual conflicts of interest, as well as potential conflicts of interest. The appearance of impropriety can damage and diminish the public's trust, as much as unethical behavior or situations that present an actual conflict of interest.

### ***II. APPLICABILITY***

- a. This Policy applies to all Officers, members of the Executive Committee, members of the Board of Directors, and all other members of the Association.

### ***III. DEFINITIONS***

- a. **Board:** The Board of Directors.
- b. **Business Decision:** Is one concerning the purchase of services, equipment, materials or other items or the negotiation of any contract involving the Association.
- c. **Compensation:** Any money and things of value or economic benefits conferred on or received by a person in return for services rendered or to be rendered by oneself or another.
- d. **Competitive Bidding:** All bidding given and tendered to the Association in response to an open solicitation of bids or requests for proposals from the general public, by public pronouncement, or public advertising.
- e. **A Conflict of Interest:** Includes any set of circumstances (actual or perceived) that may compromise or appear to compromise a person's fairness, independence, objectivity, or impartiality.

- f. **Executive Committee:** The Executive Committee of the Association.
- g. **Immediate Family:** A member and his or her spouse, parents, children, brothers, and sisters.
- h. **Member:** A member, regardless of category of membership, of the Association.
- i. **Officer:** An officer of the Board.
- j. **Official Action:** Any act of an Association Officer, or member of the Executive Committee or Board, involving participation in, the decision-making process leading up to a vote or final determination.
- k. **Official Duties:** Direct administrative control or operating authority to approve, disapprove, or otherwise direct action of the Association.
- l. **Participate:** Take any action personally and substantially in the approval, disapproval, decision, recommendation, or rendering advice.
- m. **Particular Matter:** Any award, contract, competitive procurement, claim, determination, decision, or finding involving the powers, duties, finances, and property of the Association.
- n. **Substantial Interest:** A situation, including, without limitation, a financial stake in the outcome of a decision in which, considering all of the circumstances, would tend to influence the decision of a reasonable person faced with making the same decision.
- o. **Transaction:** Any interest of any kind to include a contract, employment application, material or services.

#### ***IV. PROHIBITED ACTIVITIES***

- a. Fiduciary Duties of Officers, Executive Committee members, Board, and other Members with Respect to Financial Issues.
  - (1) The purpose of this Conflict of Interest Policy is to protect the Association's interests when it enters into a transaction that might benefit the personal financial interests of an Officer, Executive Committee member, Board member, or other member who participates in conducting the business of the Association. Officers and such other members have a fiduciary responsibility to the Association in connection with transactions or arrangements of the Association that includes a duty of care and a duty of loyalty.
  - (2) The duty of care concerns an officer's or other member's competence in performing his or her responsibilities in connection with transactions or arrangements of the Association ("Responsibilities"). The officer or other member must carry out his or her Responsibilities with that degree of diligence, attention, care and skill that a reasonable prudent person would exercise under similar circumstances.
  - (3) A conflict of interest arises when an officer or other member has a personal financial interest that affects the objectivity of the officer or member in performing his or her responsibilities on behalf of

the Association or conflicts with the best interests of the Association.

b. Rule on Business Decisions.

- (1) No Officer or other member who participates in conducting the business of the Association shall participate in any discussion, debate, business decision, contract or transaction of the Association, in which the subject of discussion, debate, or business decision, contract, transaction, or situation in which there may be a perceived or actual conflict of interest. However, they may be present to provide information in such a discussion or debate unless objected to by any present Officer, Executive Committee member, Board member or committee member.
- (2) Any officer, employee, executive director, member of the Executive Committee, or member of the Board shall notify the Board of its intention to seek any contract or participating in any competitive procurement with the Association, prior to taking such steps. Upon the Board's recorded vote, the officer, employee, executive director, member of the Executive Committee or member of the Board might be instructed that they must resign from their position with the Association to pursue the subject competitive procurement. However, this paragraph shall not prohibit the executive director of the Association from participating in a single contract or competitive bidding process solely for the renewal of his or her individual employment as executive director within the Association.
- (3) In addition to any other remedies provided by this Policy, and the Articles of Organization, Constitution, and Bylaws, the Board or Executive Committee may review the matter and may rescind, cancel, invalidate any official action taken in violation of this Policy, take no action or some other action as they deem appropriate.

c. Disclosure And Recusal:

- (1) Any Association officer, Executive Committee member or member of the Board with a potential Conflict of Interest shall give written notice that a potential conflict of interest exists to the Association's Board as soon as reasonably possible, after the possible conflict of interest has arisen. Until such time as the Board votes on the appropriate course of action to be taken in connection with the potential conflict of interest, the interested Officer, Executive Committee member or member of the Board shall thereafter:
  - (a) Refrain from voting upon or otherwise acting in an official capacity in such transaction;

- (b) Physically absent him or herself from the room or conference call in which a matter related to such transaction is being considered or discussed; and
    - (c) Not discuss any matter related to such transaction with any other Officer or member of the Executive Committee or Board.
  - (2) An officer or other member of the Association may not act in carrying out his or her responsibilities if those actions may be affected by a conflict of interest; provided, however, that any member, prior to participating in such matter, may notify the Board in writing or orally at a Board meeting with such oral notification recorded in the meeting minutes, fully describing the conflict. Upon a recorded vote by the Board that the conflict is not substantial, or, where appropriate, that the matter would apply equally to a class of Association members or to multiple Board members and is outweighed by the benefit to the Association by the member's participation, the member may participate.
  - (3) Recusal by order of the Board: On application made by any elected member of the Board, the Board may vote on the recusal of one of its members if that member has an obligation to do so under this procedure and has failed to do so. Such an order is valid if reached after majority vote of the Board of the Association, not including the member whose recusal is sought.
- d. Rule on Receipt of Gifts
- (1) No officer, board members, or other member who participates in conducting the business of the Association shall solicit or accept any gift, either in cash or in kind, where it could reasonably be inferred that the gift was intended to obtain a benefit from the Association.

## **V. *REPORTING SUSPECTED VIOLATIONS***

- a. Any Officer, Executive Committee member, Board member, or other member who possesses knowledge that any other member has engaged in conduct while acting on behalf of the Association that raises a substantial question as to whether the member has violated this Policy has an obligation and should make a report of such suspected misconduct to the Association's Integrity Committee.
- b. The Association does not permit retaliation against any officer or other member who, in good faith, reports a possible violation of this Policy and any officer or other member found to have been involved in improper retaliation may be subject to sanctions.

## **VI. INTEGRITY COMMITTEE**

### **a. ESTABLISHMENT AND COMPOSITION**

- (1) The Board shall, pursuant to Article VII of the Articles of Organization, Constitution and Bylaws of the Association appoint a standing Integrity Committee, comprised of seven members of the Association, including not fewer than four members of the Board, to receive reports of suspected violations of this policy and to review and make a recommendation concerning the disposition of any alleged violation of any provision of this Policy.

### **b. ADVISORY OPINIONS**

- (1) All Association members shall be entitled to the opinion of the Integrity Committee upon any question arising under this Policy. All requests for such opinions shall be made in writing directly to chair of the Committee. No opinion will be rendered by the Committee except upon the submission of detailed existing facts that raise a question of actual, prospective, or perceived violation of any provision of this Policy.
- (2) Upon receipt of a request for opinion, the Committee shall meet and consider such request as expeditiously as possible. Any opinion rendered by the Committee will be made in writing and addressed to the requesting member.

### **c. PROCEDURES**

- (1) The Integrity Committee has the authority to conduct a preliminary review of any allegations.
- (2) The Chair of the Integrity Committee shall cause a thorough and timely preliminary review of each allegation to be conducted. The Chair will call upon the members of the Integrity Committee to assist in such review.
- (3) As part of the review, the Integrity Committee will interview the subject of the allegation, during which the allegation (maintaining the confidentiality of the source, if appropriate) will be shared with the subject and an opportunity will be provided for the subject to be heard.
- (4) Reviews initiated under this subsection shall be conducted in accordance with the Association's Quality Standards for Investigations.
- (5) Any alleged violation of this Policy shall be referred to the Integrity Committee and shall not be disclosed, other than to the officers of the Association, other than those officer(s) that might be

the subject of the violation, unless and until the Integrity Committee submits its findings and recommendations to the Board under the procedures set forth in this section.

- (6) The Integrity Committee shall notify the alleged violator, if such notice has not previously been given, describing the alleged violation of the Policy, and provide such alleged violator with a fifteen day period in which to submit a written response setting forth information relating to the activities cited as an alleged violation.
- (7) If the Integrity Committee thereafter makes a determination that further inquiry is justified, it shall give the alleged violator an opportunity to be heard by the Committee. If the Integrity Committee determines at any time that there has been no violation, it shall so advise the alleged violator and the complainant, and close the matter.
- (8) If the Integrity Committee determines that there has been no violation, all of the foregoing shall be confidential. Absent such determination, the Integrity Committee shall submit its findings and recommendation to the Board and the Board may have access to all material considered by the Integrity Committee. The Board shall determine whether a violation of this Policy occurred, by a majority vote without counting the vote of any interested director. If the Board finds that a violation of the Policy has occurred, the Board may impose such sanctions as it deems fair and appropriate.

**d. DISTRIBUTION OF POLICY**

- (1) A copy of this Policy shall be given to all Officers, Executive Committee members and Board of Director members, upon commencement of such person's assuming his/her term of service and shall sign and date receipt of the Policy. Failure to sign does not nullify the Policy.

**VII. RECORDS RETENTION**

- a. The Integrity Committee shall be the repository of its own records including advisory opinions, reports, and final dispositions.

## ***PROCESSING OF MAIL/CORRESPONDENCES***

### ***I. INCOMING OUTGOING MAIL/CORRESPONDENCES***

#### **a. REVIEW OF MAIL/CORRESPONDENCES**

- (1) All mail/correspondence received by the AIG, including mail addressed to individual officers, Executive Committee members, or Board of Director members, will be processed through the Executive Director so that there is a full and proper accounting of all items received by the AIG. Unless the mail/correspondence is marked "Personal," "Confidential," or the person opening the mail can identify the mail as being personal, all mail/correspondence will be opened, date stamped, logged in and reviewed by the Executive Director for initial determination as to what action is required.
- (2) All mail/correspondence received by the AIG from a government agency, that pertains to AIG business will be shared with the AIG officers, and if the officers determine it to be necessary, with the members of the Executive Committee.
- (3) All mail/correspondence received by the Executive Director of the AIG or any of the officers, Executive Committee members or Board of Director members in their official AIG capacity, that contains any allegation/complaint against the AIG, its officers, members of the Executive Committee, members of the Board of Directors, or any member of the AIG, regardless of category of membership, and where the allegation pertains to their official capacity/affiliation with the AIG, will be forwarded to the Chairman of the Integrity Committee as detailed below under Receipt, Distribution and Review of Complaints/Allegations.
- (4) All mail/correspondence received by the Executive Director of the AIG, or any of the officers, Executive Committee members or Board of Director members, that contain any allegation/complaint against any of the above or any member of the AIG, regardless of category of membership, where the allegation pertains to their official government position, will be forwarded to the Integrity Committee Chair for immediate referral to the Inspector General of the office in which the individual is employed; unless the individual against whom the allegation/complaint is made, is the Inspector General, in which case the Integrity Committee Chair will consult with the other members of the Committee as to whom it would be most suitable to refer the allegation/complaint to.

#### **b. RESPONSE TO MAIL/CORRESPONDENCES**

- (1) Routine inquiries about the AIG can be responded to directly by the Executive Director.

- (2) Responses to any mail/correspondence that is seeking information from the AIG that is more than routine information about the AIG, must go through a review by the officers. If determined by the officers that a further review is necessary, the mail/correspondence will be provided to the members of the Executive Committee for their review and recommendation for appropriate handling.

# ***RECEIPT, DISTRIBUTION AND REVIEW OF COMPLAINTS/ALLEGATIONS***

## ***I. PURPOSE***

- a. To appropriately receive, distribute, review and dispose of complaints/allegations. This section shall not supersede the laws, rules and regulations of the international, federal, state and local jurisdictions of any Association member.
  - (1) All complaints and/or allegations pertaining to any AIG officer, Executive Committee, Board of Director member, or member of the AIG, received as indicated in accordance with these procedures and when the allegation pertains to their official capacity/affiliation with the AIG, shall be immediately sent to the Chair of the Integrity Committee. If the Chairman is the subject of the complaint/allegation, the complaint/allegation shall be sent to the Vice Chair.
  - (2) If there is a pending matter before the AIG in which there might be a discussion and/or vote on the matter, and this matter is the subject of the complaint/allegation, the Integrity Committee will notify the subject of the complaint/allegation and the need for the subject to recuse him or herself while the AIG considers or reviews the complaint/allegation concerning that member. The recusal will be noted in the minutes of any relevant meeting.
  - (3) All mail/correspondence received by the Executive Director of the AIG, or any of the officers, Executive Committee members or Board of Director members, that contain any allegation/complaint against any of the above or any member of the AIG, regardless of category of membership, where the allegation pertains to their official government position, will be forwarded to the Integrity Committee Chair for immediate referral to the Inspector General of the office in which the individual is employed; unless the individual against whom the allegation/complaint is made, is the Inspector General, in which case the Integrity Committee Chair will consult with the other members of the Committee as to whom it would be most suitable to refer the allegation/complaint to.
- b. Review of allegations/complaints.-- The Integrity Committee shall--
  - (1) Review all complaints/allegations received regarding an AIG Officer, member of the Executive Committee or Board of Directors or AIG member of any category, pertaining to any conduct/actions of any of the above listed individuals having some relevance to the AIG.
    - (a) The Chair of the Integrity Committee will review the complaint/allegation and send it to the members of the Integrity Committee with a recommendation for handling/reviewing it.

- (b) If the allegations are of potential criminal nature, the complaint will be forwarded to the appropriate law enforcement agency.
- c. Authority to conduct a preliminary review of allegations.-
  - (1) Requirement--The Chair of the Integrity Committee shall cause a thorough and timely preliminary review of each allegation to be conducted pursuant to Section I a. (1) above. The Chair will call upon the members of the Integrity Committee to assist in such review.
  - (2) As part of the review, the Integrity Committee will interview the subject of the complaint/allegation, during which the complaint/allegation (maintaining the confidentiality of the source, if appropriate) will be shared with the subject and an opportunity will be provided for the subject to be heard.
- d. Standards applicable--Reviews initiated under this subsection shall be conducted in accordance with the most current AIG Quality Standards for Investigations.
- e. Upon completion of the preliminary review conducted by the Integrity Committee, a copy of the complaint/allegation and the findings of its review, including whatever information is provided by the subject of the review, will be shared with the Officers, and the members of the Executive Committee and Board of Directors.
- f. The Board of Directors will consider the findings and vote on the appropriate action to take, if any.
- g. No Right or Benefit
  - (1) These procedures are not intended to create any right or benefit, substantive or procedural, enforceable at law by a person against the United States, its agencies, its offers, or any person.

## ***STIPENDS***

### ***I. PURPOSE***

- a. The purpose of this policy is to provide clear guidelines when the Association pays stipends (in addition to travel expenses) to obtain speakers for AIG Inspectors General Institute™ Certification Programs, Conferences, and other training sessions.
- b. This section describes the procedure outlining the approval and payment of stipends for the above listed purposes.
  - (1) No Stipends are to be provided without advance approval of the Executive Committee.
  - (2) Stipends are only to be approved when there are no other available funds being provided.
  - (3) A Stipend is not to exceed \$500.00.
  - (4) An instructor must teach a minimum of 4 hours in order to be eligible for a Stipend.
  - (5) No more than one Stipend can be received by an individual over a two year period without a survey rating of 4 or better.
  - (6) Where a Stipend is provided, all receipts of travel, hotel, parking, tolls, and food shall be provided.
  - (7) The instructor critique results of the individual receiving the Stipend shall be conducted and reported to the Executive Committee at the next meeting (telephone or in person).
  - (8) Stipends can only be provided to individuals who are either in the private sector or with authorization from their government agency.
- c. No monies are expended without knowledge of the Executive Committee.

## ***REFUND POLICY***

### ***I. PURPOSE***

- a. The purpose of this policy is to provide clear guidelines for individuals who cancel prior to a Certification Program or Conference. As adopted on January 23, 2007:
  - (1) It shall be the policy of the Association of Inspectors General to fully refund fees paid for attendance at an Association of Inspectors General Conference or an Association of Inspectors General Certification Program if the cancellation and refund request is made not less than thirty-five days prior to the first day of the Conference or Institute. In all other circumstances, a \$100 administrative fee will be deducted from the amount paid.

## ***TRAVEL & PER DIEM POLICY***

### ***I. PURPOSE***

- a. The purpose of this policy is to provide guidelines for individuals seeking travel reimbursement for AIG activities.

### ***II. DEFINITIONS***

- a. **REASONABLE EXPENSES:** expenses as deemed reasonable by the Board, the Executive Committee, the President of the Board, or the Treasurer.
- b. **AUTHORIZED SERVICE:** any service provided to the AIG which requires out of town travel and for which the individual is authorized by the Board, the Executive Committee, or the President of the Board to provide such service.
  - (1) It is assumed that individuals who have been requested to and have agreed to perform instructional services for the AIG Inspectors General Institute™ are authorized to travel to the location where the AIG Institute's Certification Program is being held and are providing authorized services to the AIG.

### ***III. IN GENERAL***

- a. The AIG will reimburse individuals for all reasonable expenses related to travel for authorized service to the AIG.
- b. The AIG will also provide a per diem for each day of authorized service provided to the AIG.
- c. Reasonable expenses include, but are not limited to, lodging, air fare, train fare, ground transportation, and parking.
- d. When an individual has occasion to travel on behalf of the AIG, the individual is expected to exercise good judgment in managing travel costs and to make every effort to ensure that the cost of travel arrangements is the most economical available.

### ***IV. LODGING***

- a. Reimbursement for lodging will be for the cost of a standard single room rate only, unless government, corporate, or some other discounted rate is available.
- b. If the AIG contracts with a place of lodging in conjunction with an AIG event, like an AIG Inspectors General Institute™ Certification Program, it is presumed that the contracted AIG rate at the place of lodging is reasonable. Individuals should seek lodging at the AIG contracted place of lodging unless accommodations are not available there.

- c. All other expenses incurred at the place of lodging, i.e., in-room movies, internet service, laundry services, room service or other food or refreshments, telephone calls, etc., will not be reimbursed.

## **V. TRANSPORTATION**

- a. Reimbursement for air fare or train fare will include the expenses of the departing and returning legs of travel, all applicable taxes and fees, and applicable storage fees for one piece of luggage.
- b. Reimbursement for vehicle mileage will be based on the privately owned vehicle mileage reimbursement rates found on the United States General Services Administration (“USGA”) website located at [www.usga.gov](http://www.usga.gov).
  - (1) Expenses for vehicle mileage will only be reimbursed if such expense or mode of transportation is authorized, prior to travel, by the Board, Executive Committee or President of the Board.
- c. Expenses for car rental will only be reimbursed if such expense is authorized, prior to the travel, by the Board, Executive Committee or President of the Board.
- d. Parking expenses incurred at the airport or train station, from which the individual travels and to which the individual returns, are reimbursable if deemed reasonable.
- e. Parking expenses at the place of lodging or the place at which the service to the AIG will be provided will be reimbursed only if the vehicle expense was approved pursuant to sub-sections (b) or (c) of this section.

## **VI. DOCUMENTATION**

- a. In order to receive reimbursement for travel related expenses, the individual must submit a request for reimbursement to the AIG Treasurer.
- b. The request for reimbursement shall include the following:
  - (1) a description of the authorized service performed and the dates on which the service was performed;
  - (2) copies of all original, itemized receipts for all expenses for which reimbursement is sought; and
  - (3) the address to which the individual wants the reimbursement payment sent.
- c. Print-outs from airline websites documenting all air travel related expenses are to be considered original, itemized receipts.
- d. The request for reimbursement shall be submitted to and must be received by the AIG Treasurer within thirty (30) days of the last day of the authorized service performed.
  - (1) The Treasurer shall solely determine whether the request for reimbursement was received in a timely fashion.
- e. Individuals who fail to submit original, itemized receipts or fail to submit a request for reimbursement within 45 days of the last day of the

authorized service performed shall not be entitled to reimbursement unless otherwise approved by the Board.

## ***VII. TRAVELING COMPANIONS***

- a. Expenses incurred by individuals who are traveling with the individual providing the authorized service to the AIG, but not themselves involved in the service provided to the AIG, will not be reimbursed.

## ***VIII. PER DIEM***

- a. Individuals who engage in an authorized service for the AIG shall receive a per diem for meals and incidental expenses for each day in which the individual is engaged in authorized service on behalf of the AIG.
- b. The rate of the per diem for each day of service shall be determined according to USGA per diem rates as found for various locations on the General Services Administration website located at [www.gsa.gov](http://www.gsa.gov).
- c. In lieu of per diem, an individual may request actual reimbursement for specific meal and incidental expenses, if:
  - (1) the individual provides all original, itemized receipts for the expenses; and
  - (2) the total expenses are no more than the per diem to which the individual is entitled pursuant to sub-section (b) of this section.

## ***LOCAL CHAPTER MEMBERSHIP***

### ***I. PURPOSE***

- a. The purpose of this policy is to provide direction for local chapters who wish to participate in AIG activities to include continuing professional education credits. As adopted on April 23, 2008:
  - (1) Chapter Membership. This class of membership entitles an individual who is a member of a local chapter of the Association, organized pursuant to Article IV, Section 6 of these Bylaws, to have membership in the Association. Such membership shall not include voting rights but may include such limited rights and privileges as determined periodically by the Board of Directors. Chapter members are required to pay dues to the local chapter as determined by the local chapter. Local chapters are required to pay annual dues to the Association, at a time and in an amount determined by the Board of Directors, based on the number of chapter members in the local chapter who are not otherwise members of the Association.

## ***RETENTION OF RECORDS***

### ***I. PURPOSE***

- a. The purpose of this policy is to assign ownership of maintenance of AIG records (historical and present).
  - (1) It is the responsibility of each Secretary to maintain a copy of all minutes created at the time in office.
  - (2) It is the responsibility of each Secretary to provide a copy of all minutes created to the incoming Secretary.
  - (3) It is the responsibility of each Executive Director to maintain a history/archive of all records created under his/her tenure.
  - (4) It is the responsibility of each Executive Director to provide copies of all history/archive records maintained to the incoming Executive Director.
  - (5) It is the responsibility of each Executive Director to maintain and have available a history of all certifications that are issued, to whom and their respective Certificate Number.
    - (a) It is required that all records either be scanned and/or stored via electronic method(s) [AIG website, Flash drive, etc.]

## ***AIG AFFILIATION WITH EDUCATIONAL INSTITUTIONS***

### ***I. PURPOSE***

- a. Article II Section 1 of the Articles of Organization, Constitution and Bylaws of the Association of Inspectors General provides that one of the purposes of the Association is to support education programs in the fields of inspection and oversight. The Section further states: “To advance this purpose the Association shall direct, facilitate, coordinate and support joint educational ventures, enterprises, and operations among centers, professional associations, schools, colleges, universities and individual faculty and professionals.”
- b. Consistent with this purpose, the Association approved on October 21, 2009, the following policy on the Association’s affiliation with graduate degree programs.
  - (1) Justification
    - (a) The policy implements a core purpose of the Association as reflected in the Association’s Constitution.
    - (b) The Policy encourages agency memberships.
    - (c) The Policy encourages students to achieve Association certification, and rewards students who have achieved certification.
    - (d) The Policy structures and rationalizes the process by which the Association engages in joint educational initiatives with graduate academic programs.
  - (2) Procedures
    - (a) Affiliation can be approved for a complete academic program, or for an extension program, subprogram, cohort program or specialized track of a complete academic program.
    - (b) A program seeking affiliation, or renewal of affiliation, shall apply to the Association, demonstrating compliance with the standards set forth below. The President shall refer the application to the appropriate committee. If the committee determines that the standards are met, the committee shall recommend to the President, Executive Committee, and the full Board of Directors, a 3-year period of affiliation with the program. The Board of Directors shall vote on whether or not to affiliate with the program.
    - (c) The Association shall maintain a roster of affiliated academic and professional programs on the Association website, and shall include links to information about each such program on the Association website. The Training Committee may define additional ways and means to

encourage the education and professional development of students in affiliated programs, including joint educational initiatives.

(3) Standards for Affiliation

- (a) To qualify for affiliation, the graduate academic program or extension program, subprogram, cohort program or track must meet the following standards:
- (b) The program curriculum must cover the topics of each of the Association's seven core competency areas for inspectors general and their senior staff:
  - Context of the inspector general function
  - Ethics
  - Public management issues
  - Legal issues
  - Audits, inspections, evaluations and reviews
  - Investigating fraud, waste and abuse
  - Principles and Standards for Offices of Inspector General
- (c) The college or university must maintain an agency membership with the Association; students must maintain membership in the Association as regular, agency, or student members.
- (d) The academic institution offering the program must be accredited, and the program itself must maintain accreditation with any commonly-accepted professional academic accreditation program associated with the program's professional and/or academic field of study.
- (e) At least one course of graduate transfer credit must be offered for matriculated students who complete an Association certification program.
- (f) The academic institution offering the program must incorporate mandatory attendance to at least one of the Association's Spring and/or Fall conferences into its annual academic requirements.

## ***ENDORSEMENTS***

### ***I. PURPOSE***

- a. The purpose of this policy is to outline the Board's concept of any endorsement to include members and individuals the Association contracts with:
  - (1) A member or any individual who contracts with the Association shall not use his/her Association membership for his/her own private gain related to the endorsement of any product, service or enterprise, or for the private gain of friends, relatives, or persons with whom the member is affiliated, including nonprofit organizations of which the member is an officer or member, or persons with whom the member has or seeks employment or business relations. Further, no member or any individual who contracts with the Association shall use or permit the use of his/her Association membership in a manner that could reasonably be construed to imply that the Association sanctions or endorses any product, service or enterprise, unless the endorsement is on behalf of the Association, with the prior approval of the Association's Executive Board.

# ***INSPECTORS GENERAL INSTITUTE™***

## ***I. PURPOSE***

- a. The purpose of this policy is to outline the procedures for who qualifies, setting fees, testing, and emergencies.
  - (1) Institute Fees are fees are set by the Executive Committee. The Institutes currently have the same fee structure. The current Institute fee policy is \$1,000 for current members at the time of application, and \$1,200 for non current members.
  - (2) Qualifications
    - (a) Certified Inspector General™ Program  
Applicants for the Certified Inspector General™ Program are selected by one of three standards:
      - (i) Currently hold an appointed position as an inspector general in a public jurisdiction.  
OR
      - (ii) Currently serve or have served as a senior-level staff member in an inspector general's office, (including assistant inspector general, deputy inspector general, or legal counsel) who has earned a Bachelor's degree from an accredited college or university; has ten years of public sector experience performing or managing audits, investigations, or directly related legal functions; and has at least three years experience as a senior-level staff member in an inspector general's office managing and overseeing audits or investigations.  
OR
      - (iii) Currently serve or have served as a senior-level staff member in an inspector general's office, (including assistant inspector general, deputy inspector general, or legal counsel) who has earned a graduate degree in Public Administration, Law, or a related field from an accredited college or university; has seven years of public sector experience performing or managing audits, investigations, or directly related legal functions; and has at least three years experience as a senior-level staff member in an inspector general's office managing and overseeing audits or investigations.

The Professional Certification Board will review the information provided by registrants to make a determination about individual qualifications for the designation of Certified Inspector General™.

The Professional Certification Board of the Association of Inspectors General shall make all decisions regarding interpretations of these requirements and determinations made pursuant to these requirements. The Board will use the following definitions:

- (i) ***Inspector General*** shall mean the individual appointed by a government authority to a position designated "Inspector General"; any individual appointed to direct an office with the title of "Office of the Inspector General"; or the head of any government agency with responsibilities and authority commensurate with those typically assigned to offices of inspectors general.
- (ii) ***Managing and overseeing*** shall mean managing or administering financial or management audits or investigations. The position must entail decision-making authority with respect to the audits or investigations or substantial responsibility for providing legal advice on related cases, and the position share direct responsibility for case outcomes.

(b) Certified Inspector General Auditor™ Program

The applicants for the Certified Inspector General Auditor™ Program are selected by meeting three standards;

- (i) Currently hold an appointed position as an inspector general auditor in a public jurisdiction.

AND

- (ii) Have earned a bachelors or graduate degree from an accredited college or university or have equivalent experience.

AND

- (iii) Have four years of public sector experience performing or managing audits, or directly related functions.

The Professional Certification Board will review the information provided by registrants to make a determination about individual qualifications for the designation of Certified Inspector General Auditor™.

No prerequisites other than the eligibility criteria listed above are required to attend this Institute and no course preparation is required in advance of the Institute.

Participants are required to pass the comprehensive exit examination given the afternoon of the last day.

If the participant does not pass the exam, the applicant may sit in or audit the next Institute without a fee.

- (c) Certified Inspector General Investigator™ Program  
The applicants for the Certified Inspector General Investigator™ Program are selected by meeting three standards;
- (i) Currently hold an appointed position as an inspector general investigator in a public jurisdiction.  
AND
  - (ii) Have earned a bachelors or graduate degree from an accredited college or university or have equivalent experience.  
AND
  - (iii) Have four years of public sector experience performing or managing investigations, or directly related functions.

The Professional Certification Board will review the information provided by registrants to make a determination about individual qualifications for the designation of Certified Inspector General Investigator™.

No prerequisites other than the eligibility criteria listed above are required to attend this Institute and no course preparation is required in advance of the Institute.

## ***II. GENERAL POLICIES***

### **a. Cancellation**

In the unlikely event of cancellation by the Association, the Association will endeavor to reschedule the Certification Program. In the event that a paid registered participant is unable to attend the rescheduled Certification Program, or the Program is not rescheduled, the Association will refund the payment.

### **b. Refunds**

All registration fees (less a cancellation fee of \$100) received by the Association are nonrefundable except in the case of cancellation as describe above. However, the Association may allow paid registrants who are unable to attend an Institute to apply the payment to future Certification Programs or Association conferences in accordance with the Association's Refund Policy.

**c. Participant Records**

The Association maintains electronic records of attendance at Association Certification Programs and conferences. Participants may request a copy of his or her record from the Executive Director. Record requests may require a fee.

**d. Payments**

Fees should be paid at the time of application. Payment can be made by credit/debit card, check or purchase order.

**e. Attendance**

Attendance at all sessions is mandatory. If a registrant fails to attend all sessions, Certification will be withheld and no attendance certificate will be awarded. Attendance will be determined by the signature on the periodically circulated attendance roster. No exceptions to this policy are permitted.

**f. Make-up Attendance**

Should a participant be unable to attend all of the Certification Program's sessions, the candidate can make-up the missed session(s) by attending that specific session at the next available Certification Program.

**g. CPE Credits**

Upon satisfactory completion of the Certification Program's requirements, 35 CPE credits are granted to the participant.

*Formal testing and emergencies will be added in the future.*