



Office of Inspector General

UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

March 27, 2013

Mr. Roy A. Lavik
Inspector General
U.S. Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

Subject: Report on the Quality Assessment Review of the Investigative Operations of the Office of Inspector General for the Commodity Futures Trading Commission

Dear Mr. Lavik:

We have reviewed the system of internal safeguards and management procedures for the investigative function of the Office of Inspector General for the Commodity Futures Trading Commission (CFTC) in effect for the period ending January 31, 2013. Our review was conducted in conformity with the Quality Standards for Investigations and the Quality Assessment Review Guidelines adopted by the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

We reviewed compliance with the CFTC OIG's system of internal policies and procedures to the extent we considered appropriate. The review was conducted at the headquarters office in Washington, DC. Additionally, we reviewed the case file for the one investigation conducted by the CFTC OIG during the previous 12-month period.

In our opinion, the system of internal safeguards and management procedures for the investigative function of the CFTC OIG in effect for the year ended January 31, 2013, is compliant with the quality standards adopted by CIGIE. These safeguards and procedures provide reasonable assurance of conforming with professional standards in the conduct of its investigations.

We have attached your comments based on our draft report.

Sincerely,

A handwritten signature in cursive script that reads "Scott Wilson".

Scott Wilson
Inspector General
Federal Trade Commission



U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
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Office of the
Inspector General

March 26, 2013

Scott Wilson, Inspector General
Federal Trade Commission
600 Pennsylvania Ave., N.W.
Washington, DC 20580

Subject: Draft Report on the Quality Assessment Review of the Investigative
Operations of the Office of Inspector General for the Commodity Futures
Trading Commission

Dear Mr. Wilson:

Thank you for reviewing the system of internal safeguards and management procedures for the investigative function of my Office. We are pleased with the report, which concluded that the safeguards and procedures employed by my Office "provide reasonable assurance of conforming with professional standards in the conduct" of our investigations.

If you have any questions, please contact me at (202) 418-5110.

Sincerely,

A. Roy Lavik
Inspector General