



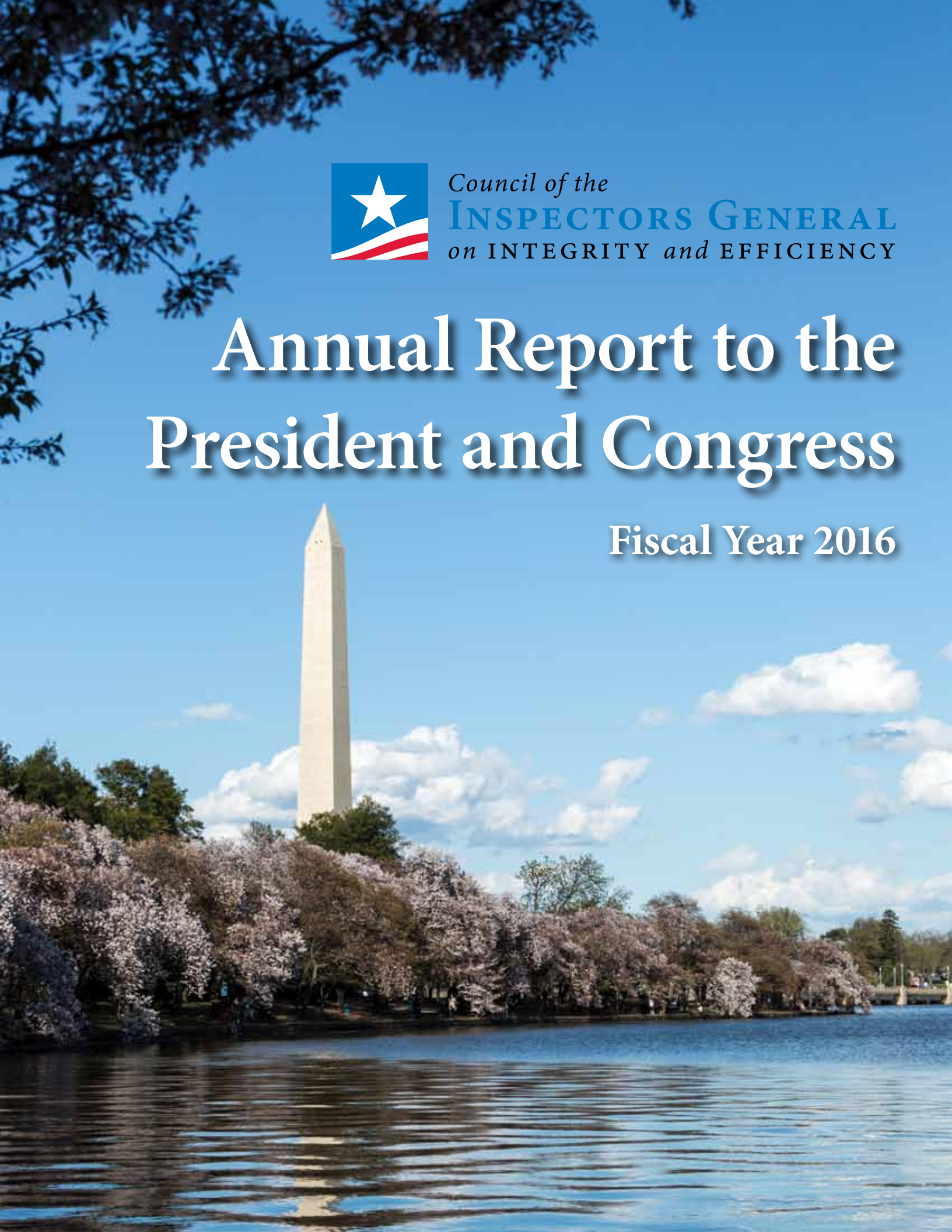
*Council of the*

**INSPECTORS GENERAL**

*on INTEGRITY and EFFICIENCY*

# Annual Report to the President and Congress

Fiscal Year 2016



## Fiscal Year (FY) 2016 Results at a Glance

Federal Offices of Inspector General (OIGs) promote economy, efficiency, and effectiveness in Government operations and help detect and deter fraud, waste, abuse, and mismanagement.

In FY 2016, approximately 13,000 employees at 73 OIGs conducted audits, inspections, evaluations, and investigations. Together, the work of the OIG community resulted in significant improvements to the economy and efficiency of programs Governmentwide, with potential savings totaling approximately **\$45.1 billion**. With the OIG community's aggregate FY 2016 budget of approximately \$2.7 billion, these potential savings represent about a \$17 return on every dollar invested in the OIGs. The potential savings total includes:

**\$25.2 billion in potential savings** from audit recommendations agreed to by management, and

**\$19.9 billion** from investigative receivables and recoveries.

In FY 2016, OIGs also considerably strengthened programs through:

- **5,019** audit, inspection, and evaluation reports issued;
- **24,870** investigations closed;
- **538,124** hotline complaints processed;
- **5,120** indictments and criminal informations;
- **4,894** successful prosecutions;
- **1,580** successful civil actions;
- **6,448** suspensions or debarments; and
- **4,315** personnel actions.

**Annual  
Report** | to the | **President and Congress**  
**Fiscal Year 2016**



# Foreword

On behalf of the members of the Council of the Inspectors General on Integrity and Efficiency (CIGIE or Council), we are pleased to present the *Annual Report to the President and Congress, Fiscal Year 2016*. The Council, which was established by Congress in 2008, is comprised of 73 individual Federal Inspectors General (IGs) and 6 integrity-related senior officials from the Office of Management and Budget (OMB), the Office of Special Counsel, the Office of Government Ethics, the Office of Personnel Management, and the Federal Bureau of Investigation.

We are pleased to report that the Council and its member organizations function as a robust oversight group engaged in issues of nationwide significance. CIGIE’s mandated missions are to address integrity, economy, and effectiveness issues that transcend individual Federal Government agencies and to increase the professionalism and effectiveness of the IG workforce. In FY 2016, CIGIE continued to meet these missions, and through this report, we present CIGIE’s accomplishments in FY 2016 reflecting our efforts in meeting our mandate.

First, in **Background**, we summarize the Council’s history and the Inspector General Empowerment Act of 2016, the most recent enhancement to the Inspector General Act of 1978. We also discuss some of the accomplishments of CIGIE’s standing committees in FY 2016. Then, in **Strategic Plan Business Goal Accomplishments**, we describe CIGIE’s accomplishments under FY 2016’s three major strategic business goals. Next, we summarize current issues of concern to CIGIE members in **Key Legislation Affecting the IG Community** and **Shared Management and Performance Challenges**. We then offer perspective on **IG Community Accomplishments** and provide **Contact Information for CIGIE Members**. Finally, we recognize the recipients of the most noteworthy **2016 CIGIE Awards**.

CIGIE’s ongoing efforts to support the IG community and fulfill its statutory mission is strengthened by the efforts of leaders in the IG community; OMB; Congress; the Government Accountability Office (GAO); other Federal agencies, law enforcement, and professional organizations; and private-sector supporters who share the IG community’s commitment to improve the effectiveness and efficiency in Federal Government programs and to identify waste, fraud, abuse, and mismanagement. We appreciate the continuing support and interest of all in our work.

Most especially, we express our sincere thanks to the approximately 13,000 professionals who make up the Federal IG community, whose tireless efforts on behalf of the public they serve continue to improve the economy, efficiency, and effectiveness of the Federal Government.



**MICHAEL E. HOROWITZ**  
Chairperson



**ALLISON C. LERNER**  
Vice Chairperson



# Contents

<b>Foreword</b> . . . . .	<b>iii</b>
<b>Background</b> . . . . .	<b>1</b>
IG History . . . . .	1
Community. . . . .	2
Table 1. CIGIE Executive Council. . . . .	2
<b>CIGIE Committee Accomplishments</b> . . . . .	<b>3</b>
Table 2. FY 2016 CIGIE Committee Accomplishments . . . . .	3
<b>Strategic Plan Business Goal Accomplishments</b> . . . . .	<b>7</b>
Goal 1: Deliver timely, relevant products that identify and address cross-Government vulnerabilities, opportunities for improvements, and best practices. . . . .	7
Goal 2: Promote and improve professional development for the IG community. . . . .	8
Goal 3: Improve CIGIE capacity to carry out its mission and vision. . . . .	9
<b>Key Legislation Affecting the IG Community</b> . . . . .	<b>10</b>
<b>Shared Management and Performance Challenges</b> . . . . .	<b>12</b>
<b>IG Community Accomplishments</b> . . . . .	<b>13</b>
Significant Work Accomplishments . . . . .	13
Accomplishments Overview . . . . .	14
Table 3. FY 2016 Performance Profile: IG Community Accomplishments . . . . .	15
Table 4. Recommendations that Funds Be Put to Better Use . . . . .	15
Table 5. Questioned Costs . . . . .	16
Table 6. Investigative Receivables and Recoveries . . . . .	16
Table 7. Successful Criminal Prosecutions . . . . .	17
Table 8. Indictments and Criminal Informations. . . . .	17
Table 9. Successful Civil Actions . . . . .	17
Table 10. Suspensions and Debarments . . . . .	17
Table 11. Personnel Actions . . . . .	18
<b>Appendix A: Contact Information for CIGIE Members</b> . . . . .	<b>19</b>
<b>Appendix B: Acronyms and Abbreviations</b> . . . . .	<b>25</b>
<b>Recipients of the 2016 Annual CIGIE Awards</b> . . . . .	<b>26</b>







# Background

## IG History

The Inspector General Act of 1978, as amended (IG Act), initially consolidated the audit and investigative functions in 12 Federal agencies under their respective IGs. The OIGs became independent forces for promoting economy, efficiency, and effectiveness while preventing and detecting fraud, waste, and abuse in their agencies' programs. The IG Act established a dual reporting responsibility, whereby IGs report both to the head of their respective agencies and to Congress. The OIGs' semiannual reports to Congress, which summarize noteworthy activity and management action on significant IG recommendations, are examples of this reporting responsibility, as are the testimonies on various matters that IGs provide to Congress. This relationship with Congress provides a legislative safety net that helps protect IG independence and objectivity.

After the passage of the IG Act, OIGs made an impact in those early years by helping agencies repair serious and widespread internal control weaknesses. Recognizing OIGs' effectiveness, Congress expanded the IG concept beyond the original 12 agencies. The 1988 amendments to the IG Act established IGs in most agencies of the Federal Government, including certain independent agencies, corporations, and other Federal entities. Subsequent legislation has established IGs in additional agencies, including IGs to oversee specific initiatives (e.g., war efforts in Iraq and Afghanistan, financial institution reform, and mortgage industry regulation).

Today, CIGIE has 73 IG members that provide audit and investigative oversight to agencies across the Government and seek to prevent problems before they materialize. IGs are either nominated by the President and confirmed by the Senate, or appointed by their respective agency head. One IG is appointed by the President but Senate confirmation is not required. By statute, IGs are required to be selected without regard to political affiliation and solely on the basis of personal integrity and professional expertise.

In 1981, President Ronald Reagan, by Executive Order 12301, created the President's Council on Integrity and Efficiency (PCIE) to provide a forum for the presidentially-appointed, Senate-confirmed IGs to coordinate their professional activities. In May 1992, President George H. W. Bush's Executive Order 12805 created the Executive Council on Integrity and Efficiency (ECIE) for agency-appointed IGs to work together. Both councils were chaired by OMB's Deputy Director for Management, who reported to the President on their activities.

The IG Reform Act of 2008, enacted October 14, 2008, amended the IG Act to further strengthen IG independence and enhance IG operations. It also created the Council of the Inspectors General on Integrity and Efficiency (CIGIE) by combining the two former IG councils, PCIE and ECIE, into one. The legislation also provided CIGIE with authorities and responsibilities beyond those of the PCIE and ECIE, including recommending candidates for vacant IG positions and overseeing an Integrity Committee that was responsible for handling allegations of misconduct by IGs and high-level OIG officials.

In December 2016, the President signed into law the Inspector General Empowerment Act of 2016 (IGEA), a landmark piece of legislation welcomed by IGs and all advocates of Government accountability and efficiency.

Among its provisions, the IGEA confirms that Federal IGs are entitled to full and prompt access to agency records, thereby eliminating any doubt about whether agencies are legally authorized to disclose potentially sensitive information to IGs. In so doing, the IGEA ensures that IGs have the ability to conduct audits, reviews, and investigations in an independent and efficient manner. This provision was necessary because of refusals by a few agencies to provide their IGs with independent access to certain information that was available to the agency and relevant to ongoing oversight work by the agency IG. Further, it was necessary because of a Department of Justice Office of Legal Counsel (OLC) opinion in July 2015 asserting that the Inspector General Act did not entitle

IGs to all records available to an agency. As result of the IGEA, this OLC opinion is no longer applicable.

Other important provisions allow IGs to match data across agencies to help uncover wasteful spending and enhance the public’s access to information about misconduct among senior Government employees.

CIGIE has long advocated for these measures and welcomed the passage of the IGEA.

**Community**

The IG Reform Act of 2008 established CIGIE as the unified council of all statutory IGs to provide Governmentwide coordination of, and focus on, OIG activities. CIGIE consists of 73 Federal IGs and the following 6 Federal leaders:

- Deputy Director for Management (DDM), OMB, who serves as the Council’s Executive Chairperson;
- Deputy Director, Office of Personnel Management (OPM);
- Special Counsel, Office of the Special Counsel;
- Assistant Director of the Criminal Investigative Division, Federal Bureau of Investigation (FBI);
- Director, Office of Government Ethics; and
- Controller of the Office of Federal Financial Management, OMB.

At the start of FY 2016, Beth Cobert served as DDM of OMB and as CIGIE’s Executive Chairperson. Later in FY 2016, Andrew Mayock replaced Ms. Cobert as Acting DDM of OMB and as CIGIE’s Acting Executive Chairperson.

In FY 2016, CIGIE was led by its elected Chairperson, Michael E. Horowitz, IG, U.S. Department of Justice; its Vice Chairperson, Allison C. Lerner, IG, National Science Foundation; and the members of the Executive Council. CIGIE’s Executive Council provides leadership, collaborative vision, and long-term planning for the IG community. For a current listing of CIGIE’s Executive Council, see Table 1.

Table 1. CIGIE Executive Council	
Michael E. Horowitz, U.S. Department of Justice	Chairperson
Allison C. Lerner, National Science Foundation	Vice Chairperson
Tom Howard, Amtrak	Audit Committee Chair
Carol Ochoa, General Services Administration	Budget Committee Chair
Tammy Whitcomb, United States Postal Service	Information Technology Committee Chair
Daniel R. Levinson, Department of Health and Human Services	Inspection and Evaluation Committee Chair
Carl W. Hoecker, U.S. Securities and Exchange Commission	Investigations Committee Chair
Kathy A. Buller, Peace Corps	Legislation Committee Chair
Robert Westbrook, Pension Benefit Guaranty Corporation	Professional Development Committee Chair
Phyllis K. Fong, U.S. Department of Agriculture	Past Chairperson
Kathleen Tighe, Department of Education	At-Large Member

The IG Reform Act of 2008 also established an Integrity Committee whose Chair, by law, is the CIGIE member who represents the FBI. The IGEA, which as noted above was enacted in early FY 2017, changed the composition of the Integrity Committee and changed the Chair from the FBI representative to an IG selected by the members of the Integrity Committee. The Integrity Committee serves a vital role as an independent investigative mechanism for allegations of IG misconduct, which it reviews and refers for investigation when warranted.

# CIGIE Committee Accomplishments

As shown in Table 2, in FY 2016, CIGIE’s committees undertook a variety of noteworthy projects to benefit the OIG community.

**Table 2. FY 2016 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2016 Accomplishments
<p><b>Audit</b>—Provides leadership to, and serves as a resource for, the Federal audit community. Sponsors and coordinates audits that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG audit activities, and provides oversight of auditor training.</p>	<ul style="list-style-type: none"> <li>• Continued administering CIGIE’s audit peer review program to promote OIG compliance with GAO’s <i>Government Auditing Standards</i> and CIGIE’s <i>Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General</i>.</li> <li>• Represented the IG community in initiatives and workgroups on various issues, including the Digital Accountability and Transparency Act of 2014 implementation planning, improper payments, audit resolution practices, Defense Contract Audit Agency (DCAA) suspension of work, information security, cross-cutting project proposals, and Federal Accounting Standards Advisory Board accounting and auditing policies.</li> <li>• Participated in OPM’s priority initiative to close critical skills gaps in the Federal workforce, specifically within the auditor job series. Activities included putting together the Federal Action Skills Team, facilitating meetings to develop an action plan to address the skills gaps, and participating in the first quarterly briefing to the OPM Director.</li> <li>• Sponsored training and development for the audit community with the CIGIE Training Institute’s Audit, Inspection, and Evaluation Academy, as well as participated in the Federal Audit Executive Council (FAEC) annual conference, FAEC Procurement Conference, and the annual Financial Statement Audit Conference.</li> <li>• Oversaw CIGIE’s annual financial audit.</li> </ul>
<p><b>Budget</b>—Provides leadership in the development of the Council’s annual Congressional appropriation request by coordinating a transparent process to assess current CIGIE activities and, in consultation with the Chairperson, Vice Chairperson, and Executive Council, presenting a proposed budget to the membership for discussion and adoption.</p>	<ul style="list-style-type: none"> <li>• Developed the FY 2017 budget proposal after soliciting input from the IG community and CIGIE committee chairs; presented the FY 2017 budget to members and subsequently received approval.</li> <li>• Worked with staff to develop options for the FY 2017 membership assessment to fund CIGIE operations in light of OMB’s denial of CIGIE’s request for a direct appropriation.</li> </ul>

**Table 2. FY 2016 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2016 Accomplishments
<p><b>Information Technology (IT)</b>— Facilitates effective OIG IT audits, inspections, evaluations, and investigations, and provides a vehicle for expressing the IG community’s perspective on Governmentwide IT operations.</p>	<ul style="list-style-type: none"> <li>• Working with OMB and the U.S. Department of Homeland Security (DHS), developed a new Incident Response and Reporting maturity model as part of the 2016 OIG Federal Information Security and Management Act (FISMA) metrics. This adds to the maturity model for Information Security Continuous Monitoring developed for the 2015 OIG FISMA metrics. The maturity model project is designed to summarize agency information security programs on a 5-level scale, provide transparency about what has been accomplished and what still needs to be implemented in an area, and help ensure consistency across the OIGs in their annual FISMA reviews.</li> <li>• Continued working on a cross-cutting project on the security of Web applications. The goals of the project are to determine the extent and efficiency of agency efforts to identify, assess, and mitigate vulnerabilities on publicly accessible Web applications and, where appropriate, to assess efforts to control or reduce the number of publicly accessible Web applications.</li> <li>• Sponsored a working group to address possible data analytics options for CIGIE. The group identified which analytics products and services are currently in use by the IG community and is considering incremental approaches that will foster flexibility, meet community requirements, and produce results and a positive return on investment.</li> <li>• Provided comments to the National Institute of Standards and Technology (NIST) regarding OMB M-16-04, the Cybersecurity Strategy and Implementation Plan for the Federal Civilian Government. NIST was tasked with developing best practices for privileged user personal identity verification implementation based on lessons learned from the CyberSprint.</li> </ul>
<p><b>Inspection and Evaluation (I&amp;E)</b>— Provides leadership to, and serves as a resource for, the Federal IG I&amp;E community. Sponsors and coordinates inspections and evaluations that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG I&amp;E community activities, and provides oversight of I&amp;E training.</p>	<ul style="list-style-type: none"> <li>• Administered the first program of external peer review for OIG I&amp;E units to promote compliance with CIGIE’s <i>Quality Standards for Inspection and Evaluation</i>.</li> <li>• Issued the guidance documents for the I&amp;E program of external peer review. Scheduling and implementation planning are ongoing throughout 2017 with full implementation to begin in calendar year 2018.</li> <li>• In collaboration with the I&amp;E Training Workgroup, supported the CIGIE Training Institute’s Audit, Inspection, and Evaluation Academy to provide meaningful training, including:             <ul style="list-style-type: none"> <li>• Inspection and Evaluation Fundamentals: Developed a cadre of instructors from within the I&amp;E community who teach entry-level staff about how to properly plan and conduct I&amp;E work and adhere to CIGIE standards. This one-week course was presented three times in 2016.</li> <li>• Planned and presented two I&amp;E Learning Forums led by OIG I&amp;E leaders on the topics of “Risk Assessment in Annual Work Plan Development” and “Recommendation Follow-up.”</li> </ul> </li> </ul>



**Table 2. FY 2016 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2016 Accomplishments
<p><b>Investigations</b>—Advises the IG community on issues involving criminal investigations, investigative personnel, and investigative standards and guidelines.</p>	<ul style="list-style-type: none"> <li>• Reviewed and assessed CIGIE's <i>Quality Standards for Investigations</i> and investigative peer review guidelines. Conducted a review of prior-year investigative peer reviews and sought feedback from the CIGIE investigations community as to areas where the guidelines could be improved. Finalizing recommended changes addressing various criminal, civil, and administrative investigations conducted by OIGs and the applicability of the investigative peer-review process and standards to all forms of investigative work that is conducted in accordance with the <i>Quality Standards for Investigations</i>. Also updated the CIGIE Peer Review training program to better enable members of review teams to perform their duties when assigned a peer review.</li> <li>• Worked with OIGs to ensure that their respective Investigative Policies require both Garrity and Miranda warnings for custodial interviews of Federal employees who are deemed subjects when criminal charges have already been brought or are likely.</li> <li>• Created the Law Enforcement Authorities (LEA) Working Group to gather and disseminate information about the history, requirements, and necessity of OIGs' LEA.</li> <li>• Jointly held a field meeting with the Assistant Inspectors General for Investigations Subcommittee at the Federal Law Enforcement Training Center in Glynco, Georgia. The meeting included thorough discussions about the Future Agent and Training Agent Leaders; the History of Law Enforcement Authority for Offices of Inspector General, and 21st Century Policing ("blue-on-blue" situations).</li> <li>• Maintained an ongoing dialogue with the National Commission on Forensic Science on the topic of formal accreditation of Digital Evidence Analysis Laboratories and submitted on several occasions comments to the Commission.</li> </ul>
<p><b>Legislation</b>—Ensures that CIGIE members are kept abreast of IG-related matters in Congress. Develops, coordinates, and represents the official IG community positions on legislative issues.</p>	<ul style="list-style-type: none"> <li>• Provided technical assistance to Congress that addressed the records access-denying effects of an opinion from the OLC at the Department of Justice. Subsequently, through Section 5 of the IGEA, Congress made clear that IGs must be granted access to all information available to the agency notwithstanding any other provision of law, except a provision of law enacted by Congress that expressly refers to the IG and expressly limits the IG's access. Through this provision, the 114th Congress restored a decades-long understanding of the IG access provision found in the IG Act, as amended: that "all" really does mean "all."</li> <li>• Expressed to Congress its concern with the undue burden on IGs and inherent risks for IG independence associated with adherence to the Computer Matching and Privacy Protection Act and the Paperwork Reduction Act. Both laws require that IGs seek approvals from agency officials and/or OMB to perform OIG reviews covered by the statutes. IGs received broad exemptions from both acts under Section 2 of the IGEA.</li> <li>• Provided technical guidance to Congress for bills concerning fraud reduction, the use of data analytics to assess fraud risks and identify and prevent fraud, the proper administration of administrative leave, whistleblower rights and remedies, cybersecurity, the Freedom of Information Act, grant close-out processes, and preventing improper payments.</li> </ul>

**Table 2. FY 2016 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2016 Accomplishments
<p><b>Professional Development</b>—Provides educational opportunities, through the Training Institute, for members of the IG community and ensures the development of competent personnel. Receives input from the Audit Committee, Investigations Committee, and Inspections and Evaluation Committee on the training and development needs of the CIGIE community. Seeks opportunities to improve training methods, enhance the development of OIG staff, and establish training to meet continuing educational requirements.</p>	<ul style="list-style-type: none"> <li>• Conducted a pilot of an Interagency Fellows Program to develop leadership competencies for IG professionals. Fellows from the IG community completed a 6-month rotational assignment of activities that align with OPM’s Senior Executive Service Executive Core Qualifications. Based upon the success of this pilot, the Interagency Fellows Program is now an annual offering from the PDC.</li> <li>• Through members of the Leadership Development Subcommittee and graduates of the <i>Emerging Leader</i>, <i>New Leader</i>, and <i>Experienced Leader</i> training programs, completed a phase I curriculum review of those programs and the Executive Leader training program. The phase II review was completed in March 2017.</li> <li>• Co-sponsored the first-ever Dark Net Conference, held on December 7–9, 2015, at George Mason University. The conference, which had 300 attendees, informed the IG community of this illicit network that is accessed with specific software, configurations, or authorization, often using non-standard communications protocols and ports. Criminals are increasingly using this network to compromise Government-owned and -operated systems.</li> <li>• Planned and held the 2nd Annual CIGIE Leadership Forum in association with American University. The Forum included presentations/panels from 10 IGs and addressed the topics of “Independence” and “Transitioning to a New Administration.” Nearly 200 participants from the IG community attended in person and over 200 virtually.</li> <li>• Approved an updated set of Training Institute core mission functions, which included the following principles:             <ul style="list-style-type: none"> <li>• Enabling effective on-the-job performance and career development,</li> <li>• Driving integration that supports on-the-job performance, career development, and the evolution of a highly networked IG community, and</li> <li>• Acting as a trusted clearinghouse for “best of breed” training, practices, policies, and procedures.</li> </ul> </li> </ul>
<p><b>Integrity</b>—Provides an investigative mechanism for allegations of administrative misconduct brought against IGs and their designated senior staff members. Reviews allegations and, when necessary, refers them for investigation either to the agency with jurisdiction or to an investigative team that is selected and supervised by the Committee’s Chair.</p>	<p>Received 68 allegations:</p> <ul style="list-style-type: none"> <li>• Closed: 63</li> <li>• Referred to the Committee’s Chair for investigation: 1</li> <li>• Pending review: 4</li> </ul>

# Strategic Plan Business Goal Accomplishments

During FY 2016, the Council approved its annual performance plan to guide its activities for the year. The performance plan is associated with CIGIE's 5-Year Strategic Plan and aligns with the goals, objectives, and performance measures associated with the Strategic Plan. CIGIE's performance plan sets out three major business goals and supporting objectives. These goals are to (1) deliver timely, relevant products that identify and address cross-Government vulnerabilities, opportunities for improvements, and best practices; (2) promote and improve professional development for the IG community; and (3) improve CIGIE capacity to carry out its mission and vision. The following information reflects CIGIE's accomplishments during FY 2016 under each of these goals.

---

**Goal 1: Deliver timely, relevant products that identify and address cross-Government vulnerabilities, opportunities for improvements, and best practices.**

---

During FY 2016, the Council approved its annual performance plan associated with its 5-year Strategic Plan to track goals, objectives, and performance measures. In addition, CIGIE commissioned or continued the following four cross-cutting studies and projects:

- **Assessment of the 2013 Disaster Relief Appropriation Act** – A CIGIE working group established in 2015 compiled Federal participant entities' 2013 Disaster Relief Appropriation Act funding and expenditures and evaluated OIG oversight of the funds to identify common concerns and develop recommendations to improve oversight and enhance collaboration. The report, "Disaster Relief Appropriations Act, 2013 – Financial Status, Observations, and Concerns," was issued on September 12, 2016.
- **Security of Publicly Accessible Government Web Applications** – The CIGIE IT Committee established a working group to examine the controls in place to manage and secure the Federal Government's publicly accessible Web applications. Specifically, the working group will assess the effectiveness of efforts across the Federal Government to secure publicly accessible Web applications to (1) determine the extent and efficacy of agencies' efforts to identify and assess vulnerabilities on publicly accessible Web applications and mitigate the most severe vulnerabilities and (2) where appropriate, assess efforts to control or reduce the number of publicly accessible Web applications. Through surveys and collection of information from IGs participating directly in the project, CIGIE plans to issue its report during FY 2017, with the goal of improving the security and management of the Federal Government's publicly accessible Web applications and identifying opportunities to reduce vulnerability to breaches that could result in loss of sensitive data or seriously impair agency operations.
- **Continuous Monitoring under the Federal Information Security and Management Act (FISMA)** – Under the CIGIE IT Committee, the Federal Audit Executive Council, working with the Department of Homeland Security and OMB, developed and issued on June 21, 2016, the 2016 OIG FISMA metrics to be used by OIGs in their FISMA reviews of agency programs. The metrics are organized around the five information security functions outlined in the NIST Cybersecurity Framework – Identify, Protect, Detect, Respond, and Recover. They also provide some guidance for OIGs on determining "effectiveness" of their agencies' information security programs. Additionally, these metrics contain last year's maturity model, developed by CIGIE, on Information Security Continuous Monitoring, as well as the new Incident Response and Reporting maturity model.
- **Inspector General Law Enforcement Authority and Requirements** – The CIGIE Investigations Committee formed a working group during 2016 to research and develop a

summary of law enforcement authority and requirements for the OIG community. The goal is to provide OIG stakeholders and the public with the history and requirements of OIG's law enforcement authority. The associated report is expected to be issued by December 2016.

---

**Goal 2: Promote and improve professional development for the IG community.**

---

In FY 2016, CIGIE continued to provide quality training to the IG community and finalized its annual training plans for FY 2017. In order to ensure its training programs continue to be of the highest quality and relevance, CIGIE maintains a robust training evaluation process. Evaluations received during the year indicate a 97 percent positive score from participants. Additionally, in an effort to build upon its successes in this area, CIGIE has begun its strategic planning for determining the future roadmap for providing professional development opportunities that align with OIGs' missions. This strategic planning will also support emerging OIG community needs and Training Institute-wide professional development processes.

CIGIE continued to focus much of its training efforts on developing and providing leadership and management training programs, which were subsequently well received by the OIG community. It offered 18 training programs (attended by 369 participants) designed both to sharpen experienced managers' skills and to equip new and future leaders with the vital tools they need to become effective public administrators. Further, CIGIE held its 2nd Annual Leadership Forum, which focused on mentoring and succession planning within the IG community. Over 270 participants attended both in person and virtually.

In broadening professional development opportunities within the IG community, CIGIE developed and launched in FY 2016 a pilot Interagency Fellowship Program for the OIG community. Fellows in the program participate in a 6-month detail with another OIG office that is designed to enhance specific leadership skills that align with the Office of Personnel Management's Senior Executive Service executive core qualifications. The program also provides fellows with engaging cohort activities designed to provide additional developmental opportunities.

In FY 2016, CIGIE delivered six 7-day introductory audit training programs to 175 new auditors from OIGs throughout the Government. This program covered topics ranging from Government auditing standards to writing skills. Additionally, CIGIE delivered four I&E fundamentals training programs to 122 I&E personnel. CIGIE provided several other training programs to IG members' audit personnel and inspection and evaluation personnel, including critical thinking skills classes, writing-related training programs, and several other training programs. In total, these programs trained nearly 1,100 OIG personnel and prepared new staff for their professional responsibilities. All of these audit programs and inspection and evaluation programs were certified by the National Association of State Boards of Accountancy.

CIGIE also provides training to OIG investigators. In FY 2016, CIGIE delivered basic, refresher, and advanced investigator training programs along with more specialized instruction, such as the Public Corruption Investigations Training Program. In total, CIGIE delivered 30 training programs that were attended by over 940 students that represented nearly every Federal OIG, in addition to agents from State and local entities. Further, CIGIE worked closely with the Federal Law Enforcement Training Center, U.S. Department of Homeland Security, in developing and completing a major applied research project on "blue-on-blue" shootings that is designed to provide training that strives to prevent and mitigate police-on-police shootings involving situations with plainclothes law enforcement officials.

Drawing from historical lessons learned as well as current challenges facing today's leaders, the Training Institute provided a total of 90 training programs that were attended by over 2,600 OIG professionals in FY 2016.

In the future, CIGIE plans to make professional development opportunities more widely available and synchronized with the professional needs of its member organizations by creating a variety of programs, including Web-based developmental opportunities. CIGIE's goal is to create responsive,





high-quality, cost-effective, state-of-the-art, specialized training and professional development opportunities that can satisfy the IG community's needs today and in the future.

---

### **Goal 3: Improve CIGIE capacity to carry out its mission and vision.**

---

In FY 2016, CIGIE continued reviewing and ensuring its quality standards and quality assessment peer review guides were updated for the IG community. CIGIE's Audit; Inspection and Evaluation; and Investigations Committees continued their efforts to ensure that the quality standards for those professions were current and that changes were made when necessary during the year.

In addition, the Inspection and Evaluation Committee continued its work on developing a peer review guide and process for the inspection and evaluation community, which the CIGIE membership plans to adopt in FY 2017.

Additionally, CIGIE continued to work with member IG offices to develop and implement an OIG community-wide collaborative Web site, [oversight.gov](http://oversight.gov). The Web site, which was officially launched on October 1, 2017, provides the public with access to all publicly issued OIG reports on one easy-to-use Web site.

CIGIE established various working groups of specialists and practitioners within the OIG community to exchange information on effective practices in the areas of their specialty. Examples of these working groups include a Suspension and Debarment Working Group, Data Analytics Options Working Group, Inspections and Evaluations Roundtable, and a Disaster Assistance Working Group. These working groups shared information across the OIG community that contributed to advancing effective operations.

In addition, in order to prepare for the Presidential transition that was to occur in late 2016, CIGIE created its first-ever Presidential Transition Working Group in FY 2016. The working group published a *CIGIE Presidential Transition Handbook* in October 2016 and assisted IGs on developing a transition briefing book for their individual IG office.

CIGIE continued its efforts to develop its next 5-Year Strategic Plan. Throughout the year, CIGIE evaluated its current programs and responsibilities to assist in formulating a plan forward. With this information, CIGIE will continue its planning and subsequently develop a 5-year strategic plan that will succeed the first 5-year strategic plan that carries CIGIE through FY 2017.

Additionally, CIGIE continues to efficiently administer its financial resources as reflected through its FY 2016 Financial Statement audit, in which it received an unmodified opinion.

In addition to these accomplishments, CIGIE met all of its statutory responsibilities, including:

- Coordinating OIG activities Governmentwide, including producing cross-cutting studies that mitigate common vulnerabilities and increase economy, efficiency, and effectiveness;
- Increasing the professionalism and effectiveness of OIG personnel by developing policies, standards, and approaches to aid in establishing a well-trained and highly skilled OIG workforce;
- Maintaining public and business Web sites for the benefit of the public, stakeholders, and the OIG community;
- Preparing and transmitting the *Annual Report to the President and Congress*;
- Responding to inquiries from the public and stakeholders about CIGIE and OIG activities, including complaints and allegations against IGs;
- Administering peer review programs that assess OIG compliance with professional standards; and
- Recommending individuals to the appointing authority when IG vacancies occur.

## Key Legislation Affecting the IG Community

CIGIE's Legislation Committee is responsible for providing regular and ongoing communication regarding legislative issues and other matters of common interest between Congress and CIGIE. The Legislation Committee achieves this by providing timely information about Congressional initiatives to the IG community, soliciting the views and concerns of the IG community about legislative issues, and informing Congress and other stakeholders on matters of interest to our community. Congress has recently demonstrated considerable interest in strengthening IG independence and authorities to effectively carry out our oversight mission. In 2016, Congress actively debated and passed legislation that would enhance the ability of IGs to combat waste, fraud, and abuse within their agency's programs and operations. Much of that debate has been associated with bills to empower IGs (see H.R. 6450, H.R. 2395, S. 3011, and S. 579), the most notable result of which was the enactment of H.R. 6450, the Inspector General Empowerment Act of 2016 (IGEA),<sup>1</sup> discussed in further detail below. The Legislation Committee continues to advise Congress on legislative proposals that enhance the work of IGs, provide technical guidance on legislation to address issues of interest to the IG community, and assist with other Congressional requests pertaining to the programs and operations the IG community oversees.

At the core of effective IG oversight is the ability of IGs to perform our mission in a timely and independent manner. Prompt access to all records and information available to the agencies we oversee is vital to IGs' ability to accomplish that mission. On July 20, 2015, the Office of Legal Counsel (OLC) at the Department of Justice (DOJ) issued an opinion that restricted the DOJ IG's independent access to grand jury, wiretap, and credit information in DOJ's possession that was necessary to DOJ IG's oversight. The OLC's restrictive reading of the Inspector General Act of 1978 (IG Act) created a serious challenge to the authority of every IG and our collective ability to have the timely and independent access to agency records that is central to our ability to uphold the oversight principle at the core of the IG Act.

At the behest of both houses of Congress, the CIGIE Legislation Committee provided technical assistance as Congress worked to develop a solution to counter the access-denying effects of the OLC opinion. That fix, which appears in Section 5 of the IGEA, makes clear that the IG must be granted access to all information available to the agency notwithstanding any other provision of law, except a provision of law enacted by Congress that expressly refers to the IG and expressly limits the IG's access. Through this provision the 114th Congress restored a decades-long understanding of the IG access provision found in the IG Act, as amended—that "all" really does mean "all."

During the reporting period, the Legislation Committee also expressed to Congress its concern with the undue burden on IGs and inherent risks for IG independence associated with adherence to approval requirements in the Computer Matching and Privacy Protection Act and the Paperwork Reduction Act. Both laws require that IGs seek approvals from either agency officials, OMB, or both to perform OIG reviews covered by the statutes. IGs received broad exemptions from both acts under Section 2 of the IGEA.

While the legislation addressed a number of CIGIE legislative priorities, others were not acted upon. For example, the CIGIE Legislation Committee informed OMB and Congress about the benefits to IG oversight of (1) being granted the authority to issue subpoenas for testimony in accordance with oversight responsibilities set forth in the IG Act, as amended; (2) the inappropriate use of paid or unpaid non-duty status in cases involving an IG that gives rise to fundamental independence concerns; (3) the need to protect sensitive but unclassified information related to agency information security vulnerabilities from public release under the Freedom of Information

1. The Inspector General Empowerment Act of 2016, Pub. L. No. 114-317 (enacted Dec. 12, 2016).



Act; and (4) amendments to the Program Fraud Civil Remedies Act that would increase the use of the statute and deter fraud. We look forward to working with the Administration and Congress to meet these and other legislative priorities that were not addressed in the IGEA, as enacted.

Throughout FY 2016, the Legislation Committee continued to monitor and provide the IG community's views on proposed legislation concerning Governmentwide transparency and accountability frameworks, as well as the detection and prevention of fraud, waste, and abuse in Government programs and operations. The Legislation Committee communicated with Congressional staff to ensure the IGs' roles in such legislation were consistent with IGs' independence and preserved the capacity of IGs to conduct efficient oversight of Federal funds. For example, the Legislation Committee provided technical feedback on bills concerning fraud reduction, the use of data analytics to assess fraud risks and identify and prevent fraud, the proper administration of administrative leave, whistleblower rights and remedies, cybersecurity, the Freedom of Information Act, grant close-out processes, and the prevention of improper payments.

## Shared Management and Performance Challenges

Each year, IGs identify and report on top management and performance challenges facing their individual agencies pursuant to the Reports Consolidation Act of 2000. These challenges focus on high-risk activities and performance issues that affect agency operations or strategic goals. A comparison of agency-specific top management challenges indicates that many Federal agencies share the same challenges and concerns.

The following are the top management and performance challenges shared by many Federal agencies, as identified by OIGs in FY 2016:

- **Information Technology Management and Security.** Keeping the Federal Government's more than 10,000 information systems safe and effective is crucial to program operations.
- **Financial Management and Performance.** Agencies need to be increasingly innovative in finding ways to maximize scarce financial resources.
- **Human Capital Management.** Managing human capital—hiring, training, and retaining a competent and motivated workforce—is a performance challenge that concerns the entire Federal Government.
- **Procurement and Grants Management.** Throughout the Federal Government, procurement and grants have historically been prone to fraud and waste. Improving management in these areas, while minimizing loss, continues to be a challenge.
- **Performance Management and Accountability.** Agencies must obtain and effectively use reliable performance management and accountability data in order to make informed decisions and achieve the greatest benefit to the public.

# IG Community Accomplishments

## Significant Work Accomplishments

Every OIG works diligently on behalf of Congress, the President, and the American taxpayer. Each year, CIGIE recognizes the most outstanding work by members of the IG community at its annual awards ceremony. The keynote speaker at the 2016 CIGIE Award Ceremony was former U.S. Senator Dr. Tom Cotton, and the Special Category Award winners are identified on page 26 of this report. Additionally, below are selected work accomplishments from several OIGs that demonstrate the type and scope of work that CIGIE members regularly perform to serve our stakeholders.

### *Investigation of General Motors Scheme to Conceal A Defective Automobile Ignition Switch*

Following a joint investigation by the Office of the Special Inspector General for the Troubled Asset Relief Program, the Department of Transportation Office of Inspector General, and the Federal Bureau of Investigation, the U.S. District Court for the Southern District of New York charged General Motors Company (“GM”), a \$50 billion dollar Troubled Asset Relief Program recipient, with concealing a potentially deadly safety defect from its U.S. regulator, the National Highway Traffic Safety Administration, from the spring of 2012 through February 2014, and, in the process, misled consumers concerning the safety of certain GM cars. The DOJ deferred prosecution based on GM’s agreement to change their process so that this never happens again. GM paid a \$900 million financial penalty and is changing its policies, practices, and procedures relating to GM’s safety-related public statements, sharing of engineering data, and recall processes. The defect consisted of a faulty ignition switch that could move easily out of the “Run” position into “Accessory” or “Off.” When the switch moved out of the Run position, it could disable the affected car’s frontal airbags—increasing the risk of death and serious injury in certain types of crashes in which airbags were otherwise designed to deploy. To date, GM has acknowledged a total of 15 deaths, as well as a number of serious injuries, caused by the defective switch. It is a safer world when defective parts in cars manufactured by one of the largest car companies in the world are replaced before injury or loss of life.

### *Prescription Drug Abuse in Medicare Part D*

From FY 2014 through FY 2016, investigations by the Department of Health and Human Services Office of Inspector General (HHS OIG) resulted in more than 600 criminal actions involving the Medicare Part D program. In a single health care fraud “takedown” in 2016, in which HHS OIG coordinated with 24 Medicaid Fraud Control Units and law enforcement agencies across 36 Federal districts, approximately 56 individuals were charged with pharmacy fraud schemes. HHS OIG reached a settlement with a Los Angeles pharmacy to pay \$1.3 million to resolve allegations of submitting false or fraudulent claims to the Part D program under the Civil Monetary Penalties Law.

In 2016, the Comprehensive Addiction and Recovery Act (P.L. 114-198) enacted a long-standing recommendation by HHS OIG to establish authority for HHS to implement “lock-in” in Medicare Part D. This tool helps to fight the prescription drug abuse epidemic by limiting the number of pharmacies at which patients can obtain drugs, under certain circumstances, to help avoid “pharmacy shopping” and abuse of prescription drugs. HHS implemented the recommendation of HHS OIG to use its program integrity contractor to identify high-risk pharmacies and beneficiaries for intervention. In another example, HHS documented a 20-percent reduction in inappropriate over-use of antipsychotic drugs for nursing home residents following implementation of OIG’s recommendations to address this problem of over-medication.

HHS OIG has also conducted extensive data analyses to alert stakeholders to trends in the utilization of opioids and other drugs in Medicare Part D and to identify physicians with

questionable prescribing patterns and pharmacies with questionable billing patterns for possible investigation or intervention.

#### *Overincome Families in Public Housing*

The Department of Housing and Urban Development Office of Inspector General (HUD OIG) audited HUD's public housing program to determine the extent to which HUD-subsidized public housing units were occupied by overincome families and evaluate the impact of HUD policies.

Public housing authorities provided public housing assistance to as many as 25,226 families with income exceeding HUD's 2014 eligibility income limits. HUD regulations require families to meet eligibility income limits only when they are admitted to the public housing program. However, HUD's December 2004 public housing final rule gave public housing authorities discretion to establish and implement policies that would require families with incomes above the eligibility income limits to find housing in the unassisted market. The 15 housing authorities contacted allowed overincome families to reside in public housing, and HUD did not encourage them to require these families to find housing in the unassisted market. As a result, HUD did not assist as many low-income families in need of housing as it could have.

HUD OIG recommended that HUD direct housing authorities to establish policies to reduce the number of overincome families in public housing, thereby putting as much as \$104.4 million to better use by providing those funds to eligible low-income families in need of housing assistance.

As result of this work and after much public and congressional concern, legislation passed unanimously in both the U.S. House and Senate to address the issue, and the legislation was signed into law by the President. The legislation requires public housing authorities to either evict overincome families after two consecutive years of exceeding the applicable income limitation or raise their rent to the applicable fair market rent for a unit in the same market area of the same size or the amount of the monthly subsidy of operating funds and capital funds used for the unit.

#### *Peace Corps' Volunteer Healthcare Program Evaluation*

The Peace Corps OIG evaluated the agency's volunteer healthcare program, following up a 2010 report issued after a young volunteer passed away unexpectedly. Nearly 7,000 Peace Corps Volunteers serve in over 60 countries worldwide, supporting local communities in their development goals. These volunteers rely upon the agency for their health, safety, and security while spending more than two years serving in conditions of hardship around the globe.

The Peace Corps OIG conducted a complex yet creative fieldwork evaluation. The evaluation identified many positive changes that had resulted from its 2010 report. However, it also found gaps in emergency preparedness, systematic challenges related to retaining qualified medical officers, confusion about oversight responsibilities, and other factors putting volunteer health and safety at risk.

The Peace Corps OIG anticipates that the evaluation's recommendations will lead to wide-reaching improvements that will help the Peace Corps better support its staff and fulfill its obligation to protect the well-being of thousands of volunteers worldwide.

#### **Accomplishments Overview**

Together, CIGIE's member OIGs achieved considerable potential cost savings for programs Governmentwide in FY 2016. OIG audits, investigations, inspections, and evaluations helped Federal agency managers strengthen program integrity and use funds more effectively and efficiently. Over the years, OIGs have compiled statistics to measure these accomplishments quantitatively, as presented in the following tables.



**Table 3. FY 2016 Performance Profile: IG Community Accomplishments**

Recommendations Agreed to by Management: Funds Be Put to Better Use	\$15,997,994,770
Recommendations Agreed to by Management: Questioned Costs	\$9,214,046,309
Investigative Receivables and Recoveries	\$19,905,661,607
Successful Criminal Prosecutions	4,894
Indictments and Criminal Informations	5,120
Successful Civil Actions	1,580
Suspensions and Debarments	6,448
Personnel Actions	4,315

### Audit-Related Accomplishments

OIG audit reports generally provide agency management with recommendations on ways to improve their operations. These recommendations include enhancing management practices and procedures, offering ways to better use agency funds, and questioning actual expenditures. Agency management either agrees or disagrees, in whole or in part, with these recommendations. Many recommendations are qualitative and do not specify quantitative savings. However, other recommendations are quantitative and associated dollar amounts can be captured from year to year. Section 5 of the IG Act establishes a uniform set of statistical categories under which OIGs must report the quantitative results of their audit activities.

The categories used in the next two tables correspond to the IG Act’s reporting requirements. The total accomplishments include results associated with audits performed by the Defense Contract Audit Agency (DCAA) under agreements with OIGs and agencies. Due to reporting processes, the results of audits performed by DCAA and corresponding management decisions may be reported by more than one OIG.

**Recommendations that Funds Be Put to Better Use** tell agency management that taking action to implement the recommendations would result in more efficient or effective use of funds. Such actions could include reducing outlays, deobligating funds, and avoiding unnecessary expenditures.

**Table 4. Recommendations that Funds Be Put to Better Use**

Reporting Year	Recommendations that Funds Be Put to Better Use	Amount of Recommendations Agreed to by Management
FY 2016	\$22,652,457,701	\$15,997,994,770
FY 2015	\$31,445,225,376	\$17,705,315,967
FY 2014	\$51,588,190,596	\$9,514,990,528
FY 2013	\$44,941,949,156	\$31,983,770,454
FY 2012	\$61,956,640,547	\$25,466,666,873

**Questioned Costs** recommendations tell agency management that the expenditures are questionable because they violated a law, regulation, contract, or grant; were not adequately documented; or were unnecessary or unreasonable.

**Table 5. Questioned Costs**

Reporting Year	Amount of Questioned Costs	Amount of Recommendations Agreed to by Management
FY 2016	\$17,717,970,095	\$9,214,046,309
FY 2015	\$16,657,413,296	\$8,586,364,314
FY 2014	\$14,209,307,260	\$4,289,324,798
FY 2013	\$35,122,368,188	\$5,408,270,493
FY 2012	\$12,810,083,550	\$10,475,824,965

**Investigation-Related Accomplishments**

The categories used below reflect the broad range of accomplishments generated by OIG investigative components. Unlike the specific reporting categories for audit reports, the IG Act did not create a uniform system for reporting the results of investigative activities. Over the years, OIGs have developed a relatively uniform set of performance indicators for their semiannual reports that include most of the data presented in this section.

Investigative work often involves several law enforcement agencies working on the same case. OIGs may conduct cases with other OIGs, other Federal law enforcement agencies, and State or local law enforcement entities. The investigative statistics below have been compiled using a methodology that attempts to eliminate duplicate reporting by multiple OIGs. As a result, these consolidated statistics differ from the collective totals for the equivalent categories in individual OIG semiannual reports. The joint OIG investigations statistics include investigations that were worked on with other Federal OIGs.

**Investigative Receivables and Recoveries** reflect the results of criminal and civil cases that were ordered plus any voluntary repayments during the fiscal year. In criminal cases, the dollar value reflects the restitution, criminal fines, and special assessments resulting from successful criminal prosecutions. The dollar value in civil cases reflects the amount of damages, penalties, settlements, and forfeitures resulting from successful civil actions. Voluntary repayments include the amount paid by the subject of an investigation or the value of Government property recovered before prosecutorial action is taken. These totals do not reflect the dollar amounts associated with recovered items, such as original historical documents and cultural artifacts, whose value cannot be readily determined.

**Table 6. Investigative Receivables and Recoveries**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2016	8,702,641,738	\$11,203,019,896	<b>\$19,905,661,607</b>
FY 2015	\$7,295,377,088	\$2,980,458,582	<b>\$10,275,835,670</b>
FY 2014	\$28,739,457,754	\$3,973,561,271	<b>\$32,713,019,025*</b>
FY 2013	\$6,156,153,069	\$8,660,495,989	<b>\$14,816,649,058</b>
FY 2012	\$6,409,334,081	\$4,022,258,309	<b>\$10,431,592,390</b>

*\* This amount includes over \$27 billion reported by the OIG members of the Residential Mortgage Backed Securities Working Group whose work obtained judicial settlements with several financial institutions responsible for misconduct contributing towards the financial crises involving the pooling of mortgage loans.*





**Successful Criminal Prosecutions** are included below when the subjects were convicted in Federal, State, local, or foreign courts or under the Uniform Code of Military Justice or were accepted for pretrial diversion agreements by the Department of Justice or other equivalents within State or local Governments.

**Table 7. Successful Criminal Prosecutions**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2016	3,917	977	<b>4,894</b>
FY 2015	4,778	775	<b>5,553</b>
FY 2014	5,116	779	<b>5,895</b>
FY 2013	5,956	749	<b>6,705</b>
FY 2012	4,695	679	<b>5,374</b>

**Indictments and Criminal Informations** comprise those filed in Federal, State, local, or foreign courts or under the Uniform Code of Military Justice.

**Table 8. Indictments and Criminal Informations**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2016	4,139	981	<b>5,120</b>
FY 2015	4,890	827	<b>5,717</b>
FY 2014	4,656	865	<b>5,521</b>
FY 2013	6,027	772	<b>6,799</b>
FY 2012	5,822	847	<b>6,669</b>

**Successful Civil Actions**, resolved through legal or legal-related actions other than criminal prosecution, include civil judgments, settlements, agreements or settlements in cases governed by the Program Fraud Civil Remedies Act, or other agency-specific civil litigation authority, including civil money penalties.

**Table 9. Successful Civil Actions**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2016	1,305	275	<b>1,580</b>
FY 2015	1,533	328	<b>1,861</b>
FY 2014	1,676	151	<b>1,827</b>
FY 2013	1,249	147	<b>1,396</b>
FY 2012	954	115	<b>1,069</b>

**Suspension and Debarment** actions include proceedings by Federal agencies to suspend, debar, or exclude parties from contracts, grants, loans, and other forms of financial or nonfinancial transactions with the Government.

**Table 10. Suspensions and Debarments**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2016	6,101	347	<b>6,448</b>
FY 2015	6,813	431	<b>7,244</b>
FY 2014	4,976	219	<b>5,195</b>
FY 2013	5,664	201	<b>5,865</b>
FY 2012	5,440	365	<b>5,805</b>

**Personnel Actions** include reprimands, suspensions, demotions, or terminations of Federal, State, or local Government employees or of Federal contractors and grantees.

<b>Table 11. Personnel Actions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	<b>Total</b>
FY 2016	4,201	114	<b>4,315</b>
FY 2015	4,382	119	<b>4,501</b>
FY 2014	3,884	104	<b>3,988</b>
FY 2013	4,091	122	<b>4,213</b>
FY 2012	3,247	185	<b>3,432</b>



# Appendix A: Contact Information for CIGIE Members

**ANN CALVARESI BARR**  
**Inspector General**

*U.S. Agency for International Development*  
(202) 712-1150  
<http://oig.usaid.gov/>  
Hotlines: (202) 712-1023  
(800) 230-6539

**PHYLLIS K. FONG**  
**Inspector General**

*U.S. Department of Agriculture*  
(202) 720-8001  
<http://www.usda.gov/oig/index.htm>  
Hotlines: (202) 690-1622  
(800) 424-9121  
Hearing Impaired: (202) 690-1202

**TOM HOWARD**  
**Inspector General**

*AMTRAK*  
(202) 906-4600  
<http://www.amtrakoig.gov>  
Hotline: (800) 468-5469

**HUBERT SPARKS**  
**Inspector General**

*Appalachian Regional Commission*  
(202) 884-7675  
<http://www.arc.gov/index.do?nodeId=2060>  
Hotlines: (202) 884-7667  
(800) 532-4611

**THOMAS LEHRICH**  
**Acting Inspector General**

*Architect of the Capitol*  
(202) 593-1948  
Hotlines: (202) 593-1067  
(877) 489-8583  
Email: [Hotline@aoc-oig.org](mailto:Hotline@aoc-oig.org)

**FAY F. ROPELLA**  
**Inspector General**

*U.S. Capitol Police*  
(202) 593-4555  
Hotline: (866) 906-2446  
Email: [Oig@uscp.gov](mailto:Oig@uscp.gov)

**CHRISTOPHER SHARPLEY**  
**Acting Inspector General**

*Central Intelligence Agency*  
(703) 874-2555

**PEGGY E. GUSTAFSON**  
**Inspector General**

*Department of Commerce*  
(202) 482-4661  
<http://www.oig.doc.gov>  
Hotlines: (202) 482-2495  
(800) 424-5197  
Hearing Impaired: (800) 854-8407  
(202) 482-5923

**EUGENE QUINN JR.**  
**Acting Inspector General**

*Committee for Purchase From People Who Are  
Blind or Severely Disabled (AbilityOne)*  
(703) 603-2150  
Email: [OIG@abilityone.gov](mailto:OIG@abilityone.gov)

**A. ROY LAVIK**  
**Inspector General**

*Commodity Futures Trading Commission*  
(202) 418-5110  
[http://www.cftc.gov/About/  
OfficeoftheInspectorGeneral/index.htm](http://www.cftc.gov/About/OfficeoftheInspectorGeneral/index.htm)  
Hotline: (202) 418-5510

**CHRISTOPHER W. DENTEL**  
**Inspector General**

*Consumer Product Safety Commission*  
(301) 504-7644  
<http://www.cpsc.gov/about/oig/oig.html>  
Hotline: (866) 230-6229

**DEBORAH JEFFREY**  
**Inspector General**

*Corporation for National and Community Service*  
(202) 606-9390  
<http://www.cnscsig.gov>  
Hotline: (800) 452-8210

**MARY MITCHELSON**  
**Inspector General**  
*Corporation for Public Broadcasting*  
(202) 879-9660  
<http://www.cpb.org/oig>  
Hotlines: (202) 783-5408  
(800) 599-2170

**KRISTI WASCHULL**  
**Inspector General**  
*Defense Intelligence Agency*  
(202) 231-1010  
Hotline: (202) 231-1000  
Email: [ig\\_hotline@dodis.mil](mailto:ig_hotline@dodis.mil)

**GLENN FINE**  
**Acting Inspector General**  
*Department of Defense*  
(703) 604-8300  
<http://www.dodig.mil>  
Hotline: (800) 424-9098

**DAVID SHEPPARD**  
**Inspector General**  
*Denali Commission*  
(907) 271-2372  
<http://www.oig.denali.gov>

**KATHLEEN S. TIGHE**  
**Inspector General**  
*Department of Education*  
(202) 245-6900  
<http://www.ed.gov/about/offices/list/oig>  
Hotline: (800) 647-8733

**PATRICIA L. LAYFIELD**  
**Inspector General**  
*U.S. Election Assistance Commission*  
(301) 734-3104  
[http://www.eac.gov/inspector\\_general/](http://www.eac.gov/inspector_general/)  
Hotline: (866) 552-0004

**APRIL G. STEPHENSON**  
**Acting Inspector General**  
*Department of Energy*  
(202) 586-4393  
<http://www.ig.energy.gov>  
Hotlines: (202) 586-4073  
(800) 541-1625

**ARTHUR A. ELKINS, JR.**  
**Inspector General**  
*Environmental Protection Agency and the  
Chemical Safety and Hazard Investigation Board*  
(202) 566-0847  
<http://www.epa.gov/oig>  
Hotlines: (202) 566-2476  
(888) 546-8740

**MILTON A. MAYO, JR.**  
**Inspector General**  
*Equal Employment Opportunity Commission*  
(202) 663-4301  
<http://www.eeoc.gov/eeoc/oig/index.cfm>  
Hotline: (800) 849-4230

**MICHAEL T. MCCARTHY**  
**Deputy Inspector General**  
*Export-Import Bank of the United States*  
(202) 565-3908  
<http://www.exim.gov/oig>  
Hotline: (888) 644-3946

**ELIZABETH DEAN**  
**Inspector General**  
*Farm Credit Administration*  
(703) 883-4030  
<http://www.fca.gov/home/inspector.html>  
Hotlines: (703) 883-4316  
(800) 437-7322  
Hearing Impaired: (703) 883-4359

**PATRICK KELLEY**  
**Chief Compliance Officer**  
**Office of Integrity and Compliance**  
**Criminal Investigative Division**  
*Federal Bureau of Investigation*  
(202) 324-4260

**DAVID L. HUNT**  
**Inspector General**  
*Federal Communications Commission*  
(202) 418-0470  
<http://www.fcc.gov/office-inspector-general>  
Hotline: (202) 418-0473

**JAY N. LERNER**  
**Inspector General**  
*Federal Deposit Insurance Corporation*  
(703) 562-6339  
<http://www.fdicig.gov>  
Hotline: (800) 964-3342  
Email: [ighotline@fdic.gov](mailto:ighotline@fdic.gov)



**J. CAMERON THURBER**  
**Deputy Inspector General**  
*Federal Election Commission*  
(202) 694-1015  
<http://www.fec.gov/fecig/mission.htm>  
Hotline: (202) 694-1015

**LAURA S. WERTHEIMER**  
**Inspector General**  
*Federal Housing Finance Agency*  
(202) 730-0881  
<http://www.fhfaig.gov>  
Hotline: (800) 793-7724

**DANA ROONEY-FISHER**  
**Inspector General**  
*Federal Labor Relations Authority*  
(202) 218-7744  
<http://www.flra.gov/oig>  
Hotline: (800) 331-3572

**JON A. HATFIELD**  
**Inspector General**  
*Federal Maritime Commission*  
(202) 523-5863  
[http://www.fmc.gov/bureaus/inspector\\_general/InspectorGeneral.asp](http://www.fmc.gov/bureaus/inspector_general/InspectorGeneral.asp)  
Hotline: (202) 523-5865

**MARK BIALEK**  
**Inspector General**  
*Federal Reserve Board and Consumer  
Financial Protection Bureau*  
(202) 973-5000  
<http://oig.federalreserve.gov>  
<http://oig.consumerfinance.gov>  
Hotlines: (202) 452-6400  
(800) 827-3340  
Hotline Email: oighotline@frb.gov

**ROSLYN A. MAZER**  
**Inspector General**  
*Federal Trade Commission*  
(202) 326-3527  
<http://www.ftc.gov/oig/>  
Hotline: (202) 326-2800

**CAROL FORTINE OCHOA**  
**Inspector General**  
*General Services Administration*  
(202) 501-0450  
<http://www.gsaig.gov>  
Hotlines: (202) 501-1780  
(800) 424-5210

**ADAM TRZECIAK**  
**Inspector General**  
*U.S. Government Accountability Office*  
(202) 512-5748  
<http://www.gao.gov/about/workforce/ig.html>  
Hotline: (866) 680-7963

**MICHAEL A. RAPONI**  
**Inspector General**  
*Government Publishing Office*  
(202) 512-0039  
<http://www.gpo.gov/oig/>  
Hotline: (800) 743-7574

**DANIEL R. LEVINSON**  
**Inspector General**  
*Department of Health and Human Services*  
(202) 619-3148  
<http://oig.hhs.gov>  
Hotline: (800) 447-8477  
Email: hhstips@oig.hhs.gov

**JOHN ROTH**  
**Inspector General**  
*Department of Homeland Security*  
(202) 254-4100  
<http://www.oig.dhs.gov/>  
Hotline: (800) 323-8603  
Hotline Submission: <http://www.oig.dhs.gov/hotline/hotline.php>  
Disaster Fraud Hotline: (866) 720-5721  
Disaster Fraud Email: : [disaster@leo.gov](mailto:disaster@leo.gov)

**DAVID A. MONTOYA**  
**Inspector General**  
*Department of Housing and Urban Development*  
(202) 708-0430  
<http://www.hudoig.gov>  
Hotlines: (202) 708-4200  
(800) 347-3735

**MARY L. KENDALL**  
**Acting Inspector General**  
*Department of the Interior*  
(202) 208-5745  
<http://www.doioig.gov/>  
Hotline: (800) 424-5081

**PHILIP M. HENEGHAN**  
**Inspector General**  
*U.S. International Trade Commission*  
(202) 205-2210  
<http://www.usitc.gov/oig>  
Hotline: (202) 205-6542

**MICHAEL E. HOROWITZ**  
**Chairperson, CIGIE**  
**Inspector General**  
*Department of Justice*  
(202) 514-3435  
<http://www.justice.gov/oig>  
Hotline: (800) 869-4499

**SCOTT S. DAHL**  
**Inspector General**  
*Department of Labor*  
(202) 693-5100  
<http://www.oig.dol.gov>  
Hotlines: (202) 693-6999  
(800) 347-3756

**JEFFREY E. SCHANZ**  
**Inspector General**  
*Legal Services Corporation*  
(202) 295-1677  
<http://www.oig.lsc.gov/>  
Hotline: (800) 678-8868

**KURT W. HYDE**  
**Inspector General**  
*Library of Congress*  
(202) 707-2637  
<http://loc.gov/about/oig/>  
Hotline: (202) 707-6306

**PAUL K. MARTIN**  
**Inspector General**  
*National Aeronautics and Space Administration*  
(202) 358-1220  
<http://oig.nasa.gov>  
Hotline: (800) 424-9183  
Hotline Web site: <http://oig.nasa.gov/cyberhotline.html>

**JAMES SPRINGS**  
**Inspector General**  
*National Archives and Records Administration*  
(301) 837-1532  
<http://www.archives.gov/oig>  
Hotlines: (301) 837-3500  
(800) 786-2551  
Email: [oig.hotline@nara.gov](mailto:oig.hotline@nara.gov)

**JAMES HAGEN**  
**Inspector General**  
*National Credit Union Administration*  
(703) 518-6351  
<http://www.ncua.gov/Resources/OIG/index.aspx>  
Hotlines: (703) 518-6357  
(800) 778-4806

**RONALD STITH**  
**Inspector General**  
*National Endowment for the Arts*  
(202) 682-5774  
<http://www.arts.gov/about/OIG/Contents.html>  
Hotline: (202) 682-5402

**LAURA M. H. DAVIS**  
**Inspector General**  
*National Endowment for the Humanities*  
(202) 606-8350  
<http://www.neh.gov/whoware/oig.html>  
Hotline: (202) 606-8423  
(877) 786-7598

**JOSEPH COMPOSTO**  
**Inspector General**  
*National Geospatial-Intelligence Agency*  
(571) 557-7500  
<http://www.nga.mil>  
Hotline: (800) 380-7729  
Email: [IG@nga.mil](mailto:IG@nga.mil)

**DAVID P. BERRY**  
**Inspector General**  
*National Labor Relations Board*  
(202) 273-1960  
[http://www.nlr.gov/About\\_Us/inspector\\_general/index.aspx](http://www.nlr.gov/About_Us/inspector_general/index.aspx)  
Hotline: (800) 736-2983

**SUSAN S. GIBSON**  
**Inspector General**  
*National Reconnaissance Office*  
(703) 808-1810  
<http://www.nro.gov/offices/oig/ar.html>  
Hotline: (703) 808-1644

**RUSSELL DECKER**  
**Acting Inspector General**  
*National Security Agency*  
(301) 688-6666  
<http://www.nsa.gov/about/oig/index.shtml>  
Hotline: (301) 688-6327  
Hotline Submission: [http://www.nsa.gov/about/oig/oig\\_hotline\\_form.shtml](http://www.nsa.gov/about/oig/oig_hotline_form.shtml)

**ALLISON LERNER**  
**Vice Chairperson, CIGIE**  
**Inspector General**  
*National Science Foundation*  
(703) 292-7100  
<http://www.nsf.gov/oig>  
Hotline: (800) 428-2189  
Email: [oig@nsf.gov](mailto:oig@nsf.gov)



**HUBERT T. BELL**  
**Inspector General**  
*Nuclear Regulatory Commission*  
(301) 415-5930  
<http://www.nrc.gov/insp-gen.html>  
Hotline: (800) 233-3497

**WALTER M. SHAUB, JR.**  
**Director**  
*Office of Government Ethics*  
(202) 482-9300

**WAYNE A. STONE**  
**Acting Inspector General**  
*Office of the Inspector General of the Intelligence Community*  
<http://www.dni.gov/ig.htm>  
Hotline: (703) 482-1300

**DUSTIN BROWN**  
**Acting Executive Chairperson, CIGIE**  
**Acting Deputy Director for Management**  
*Office of Management and Budget*  
(202) 395-3080

**MARK REGER**  
**Acting Controller**  
*Office of Management and Budget*  
(202) 395-3080

**NORBERT VINT**  
**Deputy Inspector General**  
*Office of Personnel Management*  
(202) 606-1200  
<http://www.opm.gov/oig>  
Hotline—Fraud/Waste/Abuse: (202) 606-2423  
Hotline—Healthcare Fraud: (202) 418-3300

**VACANT**  
**Deputy Director**  
*Office of Personnel Management*  
(202) 606-1000

**ADAM MILES**  
**Acting Special Counsel**  
*Office of Special Counsel*  
(202) 254-3610  
Disclosure Hotline: (800) 872-9855  
Whistleblower Protection: (800) 572-2249  
Hatch Act Information: (800) 854-2824

**KATHY A. BULLER**  
**Inspector General**  
*Peace Corps*  
(202) 692-2916  
<http://www.peacecorps.gov/OIG>  
Hotline: (800) 233-5874  
Hotline Email: [oig@peacecorps.gov](mailto:oig@peacecorps.gov)  
Hotline E-Form: <http://www.peacecorps.gov/OIG/ContactOIG>

**ROBERT A. WESTBROOKS**  
**Inspector General**  
*Pension Benefit Guaranty Corporation*  
(202) 326-4000 ext. 3437  
<http://oig.pbgc.gov/>  
Hotline: (800) 303-9737

**JACK CALLENDER**  
**Inspector General**  
*Postal Regulatory Commission*  
(202) 789-6817  
<http://www.prc.gov/oig>  
Hotline: (202) 789-6817

**TAMMY WHITCOMB**  
**Acting Inspector General**  
*U.S. Postal Service*  
(703) 248-2300  
<http://www.uspsoig.gov>  
Hotline: (888) 877-7644

**MARTIN J. DICKMAN**  
**Inspector General**  
*Railroad Retirement Board*  
(312) 751-4690  
<http://www.rrb.gov/oig>  
Hotline: (800) 772-4258

**CARL W. HOECKER**  
**Inspector General**  
*Securities and Exchange Commission*  
(202) 551-6061  
[http://www.sec.gov/about/offices/inspector\\_ general.shtml](http://www.sec.gov/about/offices/inspector_general.shtml)  
Hotline: (877) 442-0854

**HANNIBAL WARE**  
**Acting Inspector General**  
*Small Business Administration*  
(202) 205-6586  
<http://www.sba.gov/office-of-inspector-general>  
Hotline: (800) 767-0385

**CATHY HELM**  
**Inspector General**  
*Smithsonian Institution*  
(202) 633-7050  
<http://www.si.edu/oig/>  
Hotline: (202) 252-0321

**GALE STONE**  
**Acting Inspector General**  
*Social Security Administration*  
(410) 966-8385  
<http://oig.ssa.gov>  
Hotline: (800) 269-0271

**JOHN F. SOPKO**  
**Inspector General**  
*Special Inspector General for  
Afghanistan Reconstruction*  
(703) 545-6000  
<http://www.sigar.mil>  
Hotline Email: [hotline@sigar.mil](mailto:hotline@sigar.mil)

**CHRISTY L. ROMERO**  
**Special Inspector General**  
*Special Inspector General for the  
Troubled Asset Relief Program*  
(202) 622-1419  
<http://www.SIGTARP.gov/>  
Hotlines: (877) 744-2009  
(877) SIG-2009  
Email: [SIGTARP.Hotline@do.treas.gov](mailto:SIGTARP.Hotline@do.treas.gov)

**STEVE A. LINICK**  
**Inspector General**  
*Department of State and the  
Broadcasting Board of Governors*  
(202) 663-0361  
<http://oig.state.gov>  
Hotlines: (202) 647-3320  
(800) 409-9926  
Email: [oighotline@state.gov](mailto:oighotline@state.gov)

**RICHARD W. MOORE**  
**Inspector General**  
*Tennessee Valley Authority*  
(865) 633-7300  
<http://oig.tva.gov>  
Hotline: (855) 882-8585  
Hotline Web site: [www.OIGempowerline.com](http://www.OIGempowerline.com)

**CALVIN L. SCOVEL III**  
**Inspector General**  
*Department of Transportation*  
(202) 366-1959  
<http://www.oig.dot.gov>  
Hotline: (800) 424-9071

**ERIC M. THORSON**  
**Inspector General**  
*Department of the Treasury*  
(202) 622-1090  
<http://www.ustreas.gov/inspector-general>  
Hotline: (800) 359-3898

**J. RUSSELL GEORGE**  
**Inspector General**  
**Treasury Inspector General for  
Tax Administration**  
*Department of the Treasury*  
(202) 622-6500  
<http://www.treas.gov/tigta>  
Hotline: (800) 366-4484

**MICHAEL MISSAL**  
**Inspector General**  
*Department of Veterans Affairs*  
(202) 461-4720  
<http://www.va.gov/oig>  
Hotline: (800) 488-8244  
Email: [vaighotline@va.gov](mailto:vaighotline@va.gov)



# Appendix B: Acronyms and Abbreviations

CI . . . . .	Criminal Investigator
CIGIE/Council . . . . .	Council of the Inspectors General on Integrity and Efficiency
DCAA . . . . .	Defense Contract Audit Agency
DDM . . . . .	Deputy Director for Management
ECIE. . . . .	Executive Council on Integrity and Efficiency
FBI. . . . .	Federal Bureau of Investigation
FY . . . . .	Fiscal Year
GAO. . . . .	Government Accountability Office
I&E . . . . .	Inspection and Evaluation
IG . . . . .	Inspector General
IG Act . . . . .	Inspector General Act of 1978
IGEA . . . . .	Inspector General Empowerment Act of 2016
IT . . . . .	Information Technology
OIG . . . . .	Office of Inspector General
OMB. . . . .	Office of Management and Budget
PCIE. . . . .	President’s Council on Integrity and Efficiency

## Recipients of the 2016 Annual CIGIE Awards

On October 20, 2016, the IG community held its annual awards ceremony and recognized individuals and groups for their achievements and excellence over the preceding year. In addition to acknowledging a cross-section of OIG personnel, many of these awards recognized individuals from outside the IG community who collaborated with OIGs to promote efficiency and effectiveness and to ensure integrity in Federal programs and operations. Listed below are featured awards bestowed by the Executive Council.

**The Alexander Hamilton Award**, which recognizes achievements in improving the integrity, efficiency, or effectiveness of Executive Branch agency operations, was presented to:

**U.S. Department of Homeland Security's (DHS) Office of Audits, TSA Covert Testing Team**, in recognition of the DHS OIG audit team's exemplary service and commendable achievement on covert testing of Transportation Security Administration's Passenger Screening Technologies and Processes at Airport Security Checkpoints.

**The Gaston L. Gianni, Jr., Better Government Award**, which is open to those who contribute to the ideals of the IG Act and recognizes actions that improve the public's confidence in government, was presented to:

**U.S. Department of Agriculture's Rancho Investigation**, in recognition of the efforts to prosecute individuals who disregarded food safety standards and misled the public about the company's food safety practices that resulted in the recall of 8.7 million pounds of potentially contaminated beef.

**Individual Accomplishment Award**, which recognizes sustained contributions to the IG community over a period of time or outstanding leadership of projects or events that contribute to the IG community's mission, was presented to:

**Khalid Hasan, Senior OIG Manager, Federal Reserve Board and the Consumer Financial Protection Bureau OIG**, in recognition of significant and sustained contributions to CIGIE by collaborating with the OMB, DHS, and across the IG community to update and improve the 2016 IG Reporting Metrics under the Federal Information Security Modernization Act.

**The Glenn/Roth Exemplary Service to Congress Award** recognizes achievements in furthering relations between a Department or agency (or the community) and Congress. This award was named for former Senators John Glenn and William Roth (both deceased), who were considered by many to be the forefathers of the IG Act. It was presented to:

**U.S. Department of Defense OIG, Department of State OIG, and U.S. Agency for International Development OIG**, in recognition of the distinguished achievement of the OIGs of the Department of Defense, Department of State, and U.S. Agency for International Development for oversight of overseas contingency operations through the congressionally mandated Lead IG framework.

**The Sentner Award for Dedication and Courage** recognizes uncommon selflessness, dedication to duty, or courage while performing OIG duties. This award was presented to:

**Michelle Stickler, Special Agent, Department of Labor Office of Inspector General**, in recognition of performing a heroic act of bravery that warranted decisive action while in the face of personal danger and prevented what could have resulted in the death of an individual.

**The June Gibbs Brown Career Achievement Award** recognizes sustained and significant individual contributions to the mission of IGs throughout one's career. This award was presented to:

**Frank S. Chase, Assistant Inspector General for Inspections, National Geospatial-Intelligence Agency OIG**, in recognition of 38 years of outstanding leadership in IG operations throughout the Department of Defense and Intelligence Community. Mr. Chase is without peer in inspection expertise and building organizations that promote the efficiency and integrity of Federal programs.

**The Barry R. Snyder Joint Award** recognizes groups that have made significant contributions through a cooperative effort in support of the mission of the IG community. This award was presented to:

**Federal Audit Executive Council, Digital Accountability and Transparency Act of 2014 (DATA Act) Working Group 2016**, in recognition of excellence in leading the IG community's initial response to the DATA Act. (See p. 12 of the *19th Annual Awards Ceremony Booklet* for a list of the 29 OIGs represented for this award; available at [https://www.ignet.gov/sites/default/files/files/19th\\_Annual\\_Awards\\_2016\\_Web\(1\).pdf](https://www.ignet.gov/sites/default/files/files/19th_Annual_Awards_2016_Web(1).pdf).)



Copies of this publication may be  
obtained by calling (202) 292-2600, or  
from the Inspectors General Web site at  
[www.ignet.gov](http://www.ignet.gov).

