

Council of the  
**INSPECTORS GENERAL**  
on INTEGRITY *and* EFFICIENCY



# Annual Report to the President and Congress

Fiscal Year 2017



## Fiscal Year (FY) 2017 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 2017, 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 **\$54.6 billion**.<sup>\*</sup> With the OIG community's aggregate FY 2017 budget of approximately \$2.5 billion, these potential savings represent about a \$22 return on every dollar invested in the OIGs. The potential savings total includes:

**\$32.7 billion in potential savings** from audit recommendations and

**\$21.9 billion** from investigative receivables and recoveries.

In FY 2017, OIGs also considerably strengthened programs through:

- **3,828** audit, inspection, and evaluation reports issued;
- **21,568** investigations closed;
- **518,755** hotline complaints processed;
- **4,749** indictments and criminal informations;
- **4,383** successful prosecutions;
- **1,471** successful civil actions;
- **4,622** suspensions or debarments; and
- **4,086** personnel actions.

<sup>\*</sup>This report reflects the total monetary amount of OIG recommendations; whereas in past years, the report reflected only those total monetary amounts of OIG recommendations that were agreed to by management.

*Copies of this publication may be obtained by calling (202) 292-2600 or by visiting the Inspectors General Web site at [www.ignet.gov](http://www.ignet.gov). Cover photo: Jillisa Hope Milner.*

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**Annual  
Report** | to the | **President and Congress**  
**Fiscal Year 2017**



# 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 2017*. 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 2017, CIGIE continued to meet these missions, and through this report, we present CIGIE’s accomplishments in FY 2017 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 2017. Then, in **Strategic Plan Business Goal Accomplishments**, we describe CIGIE’s accomplishments under FY 2017’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 **2017 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



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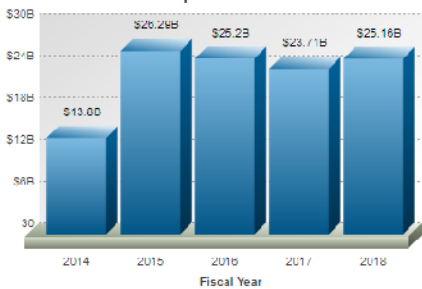
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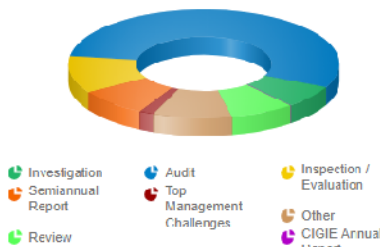
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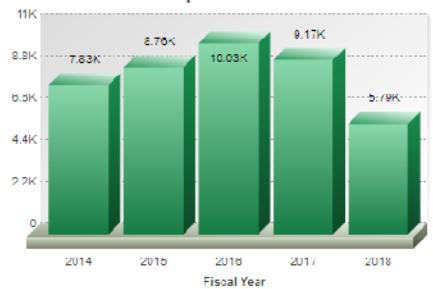
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## Explore Reports by State



## Inspector General Reports

Report Date	Agency Reviewed / Investigated	Title	Type	Location
02/14/2018	Department of Veterans Affairs	Department of Veterans Affairs: Federal Acquisition Regulation (FAR) Contract Award Process	Investigation / Inspection / Evaluation	VA, VA
08/16/2018	Department of Veterans Affairs	Department of Veterans Affairs: Federal Acquisition Regulation (FAR) Contract Award Process	Investigation / Inspection / Evaluation	VA, VA
08/16/2018	Department of Veterans Affairs	Department of Veterans Affairs: Federal Acquisition Regulation (FAR) Contract Award Process	Investigation / Inspection / Evaluation	VA, VA
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Filter by:

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- Agency Investigated
- Report Type
- Location
- Report Number
- Keywords

show me 12 reports at a time

### Inspector General Investigations

28,421 Successful Criminal Actions from 2012-2016

Each year, these investigations help prevent, detect, and deter fraud, waste, and abuse in government operations, contracts, and programs. They also help improve the efficiency and effectiveness of government operations.

### Inspector General Investigations

Report Date	Agency Reviewed / Investigated	Title	Type	Location
08/16/2018	Department of Veterans Affairs	Department of Veterans Affairs: Federal Acquisition Regulation (FAR) Contract Award Process	Investigation / Inspection / Evaluation	VA, VA
08/16/2018	Department of Veterans Affairs	Department of Veterans Affairs: Federal Acquisition Regulation (FAR) Contract Award Process	Investigation / Inspection / Evaluation	VA, VA
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Filter by:

- Agency Reviewed
- Agency Investigated
- Report Type
- Location
- Report Number
- Keywords

Launched in beta during FY 2017 and officially launched on October 2, 2017, CIGIE's Oversight.gov site consolidates in one place all public Federal Inspector General reports to improve the public's access to independent and authoritative information about the Federal Government. The site includes a publicly accessible, text searchable repository of reports published by participating Federal Inspectors General (IGs). The site is also used by Congressional staffers. Enhanced with functionality in mind, the site includes filters that enable users to search by date range, report geographic location, report type, agency reviewed, OIG, report number, and keywords.

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Conducting Surveys as Part of Audit, Investigation, Inspection, Evaluation, and Other Review Work



August 2017

Developed by CIGIE's Paperwork Reduction Act Working Group

## Vulnerabilities and Resulting Breakdowns



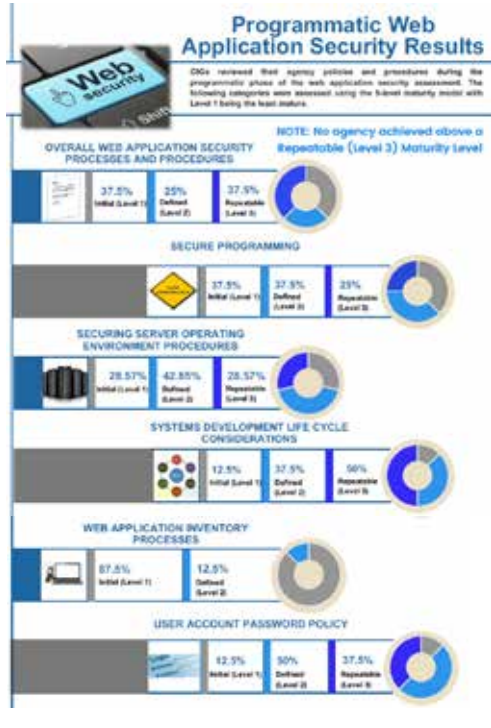
Missing or inadequate internal controls (policies and procedures that ensure adherence to program rules and regulations, aid efficiency, and promote sound financial and safety practices) create vulnerabilities for agencies, grantees, and beneficiaries. Agencies and grantees need internal controls to help them comply with program requirements and operate their programs effectively. From purchase card transactions<sup>34</sup> to Medicaid expenditures,<sup>35</sup> OIGs found that the failure of agencies and grantees to establish internal controls resulted in improper spending, conflicts of interest, and other problems.<sup>36</sup>

Beyond the financial impact, the lack of internal controls and other system safeguards can put programs and beneficiaries at risk. For example, OIGs found that several schools failed to implement safety measures on campus (e.g., screening visitors or securing doors and fences), creating unsafe conditions for students and staff.<sup>37</sup> In another case, a tribal grantee failed to conduct required background checks on staff, including a search of the National Sex Offender Public Website.<sup>38</sup> This omission could have put clients and the rest of the community in harm's way. Failing to control access to sensitive information can create other program vulnerabilities. For example, one Federal agency allowed uncontrolled access to critical program information, including property records and tribal oil and gas leases, leaving it vulnerable to unauthorized changes or destruction.<sup>39</sup>

December 2017

8

Figure 10. Phase four categories 1-6 data results



## PRESIDENTIAL TRANSITION HANDBOOK

The Role of Inspectors General and the Transition to a New Administration

October 4, 2016

CIGIE's cross-cutting studies, projects, and other publications assist the IG community with useful information on oversight and other areas of interest. In FY 2017, CIGIE completed or began several projects on best practices and issues affecting multiple OIGs. Shown above are a guide to help IGs with Paperwork Reduction Act exemptions, a report on six high-impact issues affecting OIGs, and a cross-cutting report to assess publicly facing Web applications. These publications are available at <https://www.ignet.gov/content/manuals-guides> and <https://www.ignet.gov/content/reports-publications>. Also shown is CIGIE's Presidential Transition Handbook, a useful guide for new administrations on working with IGs (available at [https://www.ignet.gov/sites/default/files/files/Presidential\\_Transition\\_Handbook\\_Web.pdf](https://www.ignet.gov/sites/default/files/files/Presidential_Transition_Handbook_Web.pdf)).





# 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

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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 2017, Dustin Brown served as Acting DDM of OMB and as CIGIE’s Acting Executive Chairperson. Later in FY 2017, Margaret Weichert replaced Mr. Brown as DDM of OMB and as CIGIE’s Executive Chairperson.

In FY 2017, 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
Scott S. Dahl, Department of Labor	Integrity Committee Chair
Carl W. Hoecker, U.S. Securities and Exchange Commission	Investigations Committee Chair
Kathy A. Buller, Peace Corps	Legislation Committee Chair
Robert Westbrooks, 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 2017, CIGIE’s committees undertook a variety of noteworthy projects to benefit the OIG community.

**Table 2. FY 2017 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2017 Accomplishments
<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.	<ul style="list-style-type: none"><li>• Continued administration of 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 DATA Act implementation planning, improper payments, and the CFO Council.</li><li>• Continued to participate in the Office of Personnel Management’s priority initiative to close critical skills gaps in the Federal workforce, specifically within the auditor job series. Activities included facilitating meetings of the Federal Action Skills Team (FAST) group, executing an action plan to address the skills gap identified, participating in quarterly briefings to OPM Director, and coordinating accountability community comments on draft changes to the OPM job series.</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 FAEC annual conference.</li><li>• Oversaw the annual audit of CIGIE’s financial statements.</li></ul>
<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.	<ul style="list-style-type: none"><li>• Developed the FY 2018 budget proposal after soliciting input from the IG community and CIGIE committee chairs; presented the FY 2018 budget to members and subsequently received approval.</li><li>• Developed a recommendation for the drawdown of CIGIE’s budget reserve and presented it to members.</li></ul>

**Table 2. FY 2017 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2017 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 in coordination with OMB and DHS, completed the development of a maturity model for the FY 2017 OIG FISMA evaluations. The maturity model summarizes agency information security programs on a 5-level scale, provides transparency about what has been accomplished and what still needs to be implemented in the area of information security, and helps ensure consistency across the OIGs in their annual FISMA reviews.</li> <li>• Completed a cross-cutting review on publicly facing Web application security, which consisted of 31 OIGs of various agency types and size. Among participating OIGs, the report identified three significant deficiencies: incomplete and inaccurate inventories; many critical and high severity vulnerabilities; and inconsistent and poorly implemented Web security policies and processes. The report to OMB provided seven recommendations for improving Web application security.</li> <li>• Hosted a forum on data analytics for the OIG community in June. The focus of the forum was on helping participants determine if a data analytics program will benefit their agency.</li> <li>• Co-sponsored training on the Dark Net, focusing on new investigative and audit techniques that serve as countermeasures set to meet and attack government cybercrime.</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>• Prepared the I&amp;E community for the external peer review process for which full implementation is expected in calendar year 2018 by: <ul style="list-style-type: none"> <li>• hosting three learning forums to ensure OIGs understood expectations and could prepare for implementation;</li> <li>• developing a toolkit of FAQs, timelines, and process charts; and</li> <li>• working extensively with the I&amp;E community to issue the schedule for the I&amp;E external peer review.</li> </ul> </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 on a variety of topics, including I&amp;E fundamentals, critical thinking and writing, interviewing techniques, and data analytics. Further, the committee supported the Academy in developing peer review processes, including the new, required I&amp;E Peer Review training program.</li> </ul>



**Table 2. FY 2017 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2017 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>• Following on from work with the National Commission on Forensic Science on accreditation of Digital Evidence Analysis Laboratories, the Committee considered the remaining work products of the Commission and engaged with the Department of Justice’s Senior Forensic Advisor on accreditation issues.</li> <li>• Conducted two training sessions on the investigative peer review process, which focused on conducting and preparing for peer reviews.</li> <li>• Investigations Committee and Assistant Inspector General for Investigations Committee completed an annual training event that covered topics such as law enforcement suicide, leadership/ethics, insider threat, law enforcement body cameras, Organized Crime Drug Enforcement Task Force data deconfliction, CIGIE jurisdiction in a regulatory environment, Emerging Data (E-Discovery/Digital Evidence), and support to the National Center for Missing and Exploited Children.</li> <li>• Created the Assistant Inspector General for Investigations Policy Developers Working Group, which has met quarterly to enhance the investigative community’s policies and procedures. Topics include physical training standards; DOJ guidance concerning recording of interviews; Dark Net and Virtual Currency; fentanyl and officer safety; victim/witness training policy sources; evidence classification, storage and collection issues; and consensual monitoring and undercover operations.</li> <li>• Created an Emergency Medical Working Group to provide standardization in training, techniques, protocols, and equipment in the provision of emergency medical care during OIG law enforcement operations.</li> <li>• During and immediately after hurricanes Harvey, Irma, and Maria, provided awareness and support to the investigations community and Department of Justice/Bureau of Alcohol, Tobacco, Firearms and Explosives in support of Emergency Support Framework #13.</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>• Involved in the publishing of guidance to the IG Community to assist in the implementation of IGEA provisions governing new reporting and posting requirements, and exemption of IGs from certain requirements in the Computer Matching Act and Privacy Protection Act, and the Paperwork Reduction Act</li> <li>• Provided technical assistance, with assistance from the IT Committee, to Congressional staff members on legislation designed to address cybersecurity, communicating with Congressional staff to ensure the IGs’ roles in such legislation remain consistent with IGs’ independence, while preserving the capacity of IGs to conduct effective oversight of Federal programs and funds</li> <li>• Engaged, with the expert assistance of the CIGIE Whistleblower Ombudsman Working Group, with Congress as it looks to repeal the sunset provision for the Establishment IG Whistleblower Ombudsman function enacted through the Whistleblower Protection Enhancement Act to strengthen whistleblower rights and protections, further enhancing the role of OIGs in educating and protecting whistleblowers.</li> <li>• Provided technical assistance on several other legislative initiatives, including the Chris Kirkpatrick Whistleblower Protection Act and the Office of Special Counsel Reauthorization Act, aimed at strengthening whistleblower education, rights, and protections.</li> </ul>

**Table 2. FY 2017 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2017 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, Investigation 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>• Oversaw the OIG Interagency Fellows Program to develop leadership competencies for IG professionals. Thirteen Fellows from the IG community completed a 6-month rotational assignment of activities that align with OPM’s SES Executive Core Qualifications. The Fellows Program hosted monthly cohort activities to foster the exchange of learning experiences.</li> <li>• Piloted an “IG 101” onboarding program for newly appointed Inspectors General. This program provides information on the CIGIE community, IG authorities, budgeting, independence, and other related issues.</li> <li>• Planned and held the 3rd Annual CIGIE Leadership Forum in association with the American University. The focus of this year’s Forum was “OIG Independence and Transitioning to a New Administration.” The Forum included presentations/panels from 8 Inspectors General and addressed experiences in leading cultural transformation. Over 450 participants attended both in person and virtually via a livestream webcast.</li> <li>• The Training Institute staff worked with stakeholders in the development and delivery of various learning events on emerging topics such as Data Analytics and Whistleblower Reprisal Investigations.</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 59 allegations:</p> <ul style="list-style-type: none"> <li>• Closed: 50</li> <li>• Referred to the Committee’s Chair for investigation: 2</li> <li>• Referred to another agency for investigation and closed: 6</li> <li>• Pending review: 1</li> </ul>
<p><b>Inspector General Candidate Review and Recommendation Panel</b>—Per the Inspector General Reform Act of 2008, CIGIE, in its function as an advisor to the President on Inspector General matters, makes recommendations to the President of qualified candidates for Inspector General vacancies. To aid this goal, it has established a panel led by the CIGIE Vice Chair with four other Inspectors General to examine applications and identify candidates on an ongoing basis.</p>	<ul style="list-style-type: none"> <li>• Enhanced the candidate identification process by conducting interviews of potential candidates.</li> <li>• Interviewed over 50 candidates for Inspector General positions and made recommendations for the President’s consideration to fill existing Inspector General vacancies.</li> <li>• All individuals nominated for Presidentially appointed/Senate confirmed (PAS) Inspector General positions in 2017 were previously interviewed and recommended by the IG Candidate Review and Recommendation Panel.</li> <li>• Provided support to agency heads filling non-PAS IG positions, including reviewing applications, providing questions for interview panels and participating in interview panels.</li> </ul>



# Strategic Plan Business Goal Accomplishments

During FY 2017, 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 2017 under each of these goals.

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

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During FY 2017, 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 cross-cutting studies and projects:

- **Web Applications Security Cross-Cutting Project - A Federal Government Assessment of Publicly Facing Web Applications** – The CIGIE IT Committee established a working group to assess how well Federal agencies and other designated federal entities are able to identify, assess, and resolve security vulnerabilities on their publicly accessible web applications through a Council of the Inspectors General on Integrity and Efficiency (CIGIE) cross-cutting project. Nine participating OIGs conducted an assessment of their agency's publicly accessible web applications using a standard testing approach developed by the CIGIE web application cross-cutting project group. The OIG testing consisted of identifying web applications, scanning those applications for security weaknesses, conducting an in-depth review of selected systems, and reviewing their agency's web application related security policies and procedures. An additional 22 OIGs responded to a survey for information about their agency's web application security practices, which helped broaden the scope of this report. The report, "Web Applications Security Cross-Cutting Project – A Federal Government Assessment of Publicly Facing Web Applications," was issued September 19, 2017, suggesting that Federal agencies conduct a review of all web applications within their agency to ensure their web applications have been properly inventoried, authorized, and secured using web application best business practices such as OWASP and NIST guidance. Additionally, recommending that the Office of Management and Budget require agencies to include web applications in current security processes and policies or develop agency processes and policies to properly secure their web applications.
- **Administrative Leave Act Guidance** – The CIGIE Investigations Committee developed a working group to evaluate, prepare, and issue guidance as required by the Administrative Leave Act of 2016 (ALA), which charged the Council of the Inspectors General on Integrity and Efficiency (CIGIE) with issuing guidance for two sections of the Act: (1) Extensions of Investigative Leave for Office of Inspector General (OIG) Employees and (2) Consultations between OIGs and Agencies about placement of employees on investigative leave. The guidance, "Administrative Leave Act – CIGIE Guidance," was issued September 19, 2017. The guidance provides CIGIE member OIGs with certain factors to consider when developing its policies, procedures, and practices relative to the ALA or executing the two provisions mentioned above. Part A of this guidance addresses extensions of investigative leave for OIG employees and Part B covers ALA consultations between OIGs and agencies.

- **Continuous Monitoring under the Federal Information Security and Modernization Act (FISMA)** – Working in coordination with OMB and DHS, CIGIE completed the development of a maturity model for the FY 2017 OIG FISMA evaluations. The maturity model summarizes agency information security programs on a 5-level scale, provides transparency about what has been accomplished and what still needs to be implemented in the area of information security, and helps ensure consistency across the OIGs in their annual FISMA reviews. The metrics in the maturity model align with the NIST Framework for Improving Critical Infrastructure Cybersecurity. This alignment helps promote consistent and comparable metrics and criteria in the CIO and IG metrics processes while providing agencies with a meaningful independent assessment of the effectiveness of their information security program.
- **Critical Issues Involving Multiple Offices of Inspector General** – The Inspector General Empowerment Act of 2016 mandated that CIGIE conduct an analysis of critical issues that involve the jurisdiction of more than one individual federal agency. In response, CIGIE consulted within the IG community to determine six high-impact issues where coordination and collaboration would continue to be most beneficial: Strengthening cybersecurity; Safeguarding national security; Ensuring integrity and efficiency in contracting and subcontracting; Modernizing information technology (IT) infrastructure; Enhancing oversight of grants; and Preventing fraudulent benefit claims and improper payments. Although, CIGIE already conducts collaborative work on these issues, there are opportunities to increase these efforts that would yield a good return for federal oversight by allowing OIGs to use resources more effectively and share knowledge. In addition, such collaborative efforts could reduce fragmentation and duplication within the government and across the oversight community. CIGIE’s work on this project continues and seeks to issue its report the first quarter of fiscal year 2018.
- **Disaster Assistance Oversight** – CIGIE reactivated its Disaster Assistance Working Group on September 18, 2017. This working group, initially established after Hurricane Katrina, serves to coordinate and deconflict Inspectors General audit, inspection, and investigative activities. Membership is open to all Inspectors General. The working group will give a forum to provide joint coordination of Inspectors General activities involved with the response and recovery work associated with Hurricanes Harvey, Irma, and Maria, and will allow us to jointly develop strategies, coordinate efforts, and speak with a unified voice to our stakeholders.
- **American Indian and Alaskan Natives Grants Funding Project** – The CIGIE Inspections and Evaluations Committee established a working group to examine and assess internal controls in place to identify weaknesses and promote more appropriate use of Federal funding and coordination across Federal American Indian and Alaskan Natives grants funding and programs to promote efficiency and more effective outcomes. The working group continues their efforts on this project and plans to issue the CIGIE report in the first half of fiscal year 2018.
- **Presidential Transition Handbook** – CIGIE established a CIGIE Presidential Transition Working Group to coordinate on behalf of the IG community with eligible Presidential candidates’ transition teams and to provide information about the role of federal IGs to the transition teams and to appointees in the new Administration. The CIGIE Presidential Transition Working Group developed and issued the “Presidential Transition Handbook,” October 4, 2017.

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

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In FY 2017, CIGIE continued to provide quality training to the IG community and finalized its annual training plans for FY 2018. 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 95.5 percent positive score from participants. Additionally, in an effort to build upon its successes in this area, CIGIE began its strategic planning for determining





the future roadmap for providing professional development opportunities, as well as quality instruction, aligned with OIGs' missions and that 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 to the OIG community. In total, 20 different program offerings were delivered to 471 participants from across the community to very favorable reviews. These programs were designed to both sharpen experienced managers' skills and equip new and future leaders with the vital tools they need to become effective public administrators. This included a new congressional course that was so well received that two additional iterations were scheduled to accommodate a combined total of 122 participants. Further, CIGIE held its 3rd Annual Leadership Forum focusing on OIG independence and transitioning to a new administration, with over 450 participants attending both in person and virtually, a 40% increase in attendance over the 2016 Forum.

In broadening professional development opportunities within the IG community, CIGIE launched its 2nd cohort of the Interagency Fellows Program for the OIG community in FY 2017. Fellows in the program participate in a 6-month rotational assignment with another OIG; these assignments are designed to enhance specific leadership skills aligning with the Office of Personnel Management's Senior Executive Service executive core qualifications. Further, the program provides fellows with engaging cohort activities designed to provide additional developmental opportunities and foster collaboration and cohesion among the cohort.

In FY 2017, based on demand from the audit community, CIGIE developed an intermediate auditor training program and delivered it to 90 participants from OIG staff from across the government. Relatedly, CIGIE delivered 6 iterations of its introductory auditor training program to 175 new auditors to ensure that they would conduct their work in accordance with *Government Auditing Standards*. To teach the basics of inspection and evaluation (I&E) work in accordance with *Quality Standards for Inspection and Evaluation*, CIGIE delivered four I&E fundamentals training programs to nearly 115 students. Furthermore, in support of the I&E community, CIGIE delivered a learning forum on the topic of interviewing skills and developed a new training program to support implementation of the I&E peer review effort. CIGIE developed the new planning, organizing, and writing training program and delivered the pilot to nearly 50 professionals from across the community. CIGIE also delivered several other training programs to IG members' staff, including critical thinking skills, IG authorities, peer review, and writing-related training programs. In addition, CIGIE delivered the inaugural community-wide data analytics learning forum to 300 participants, including those in OIG field offices. CIGIE awarded National Association of State Boards of Accountancy (NASBA) continuing professional education credits (CPE) for its audit, inspection, and evaluation managed training programs during the fiscal year.

CIGIE also provides training to OIG investigators and other professionals. In FY 2017, CIGIE delivered basic, refresher, and advanced investigator training programs along with more specialized instruction, such as the Public Corruption Investigations Training Program. Through these courses CIGIE delivered over 30 training courses in over 16 locations across the country that were attended by over 750 students, representing nearly every Federal OIG, in addition to agents from State and local entities. CIGIE provided OIG wide professional development opportunities by assigning approximately 228 Adjunct Instructors and Facilitators to key roles in our training programs and trained over 30 new Adjunct Instructors through our Adjunct Instructor Training Program.

Drawing from historical lessons learned as well as current challenges facing today's leaders, the Training Institute provided a total of 93 training programs that were attended by over 3,083 OIG professionals in FY 2017.

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.

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

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In FY 2016, CIGIE developed a working group charged with developing a website to consolidate in one place all public reports from Federal Inspectors General (IGs) in order to improve the public's access to independent and authoritative information about the Federal Government. Led by the U.S. Postal Service Office of Inspector General and the U.S. Department of Justice Office of Inspector General, the working group developed an intuitive website, Oversight.gov, that aggregates public reports from Federal OIGs that are members of CIGIE. Oversight.gov provides a "one stop shop" to follow the ongoing oversight work of all IGs that publicly post reports. Oversight.gov was launched in beta on July 28, 2017, and subsequently launched as a live website on October 1, 2017. With the launch of Oversight.gov, users can now sort, search, and filter the site's database of public reports across agencies to find oversight areas of interest.

In FY 2017, CIGIE continued its work towards 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 to ensure that the quality standards for those professions were current and that changes are made when necessary during the year.

CIGIE also continued its efforts towards reviewing and updating, when necessary, its quality assessment peer review guides. Such as the "Qualitative Assessment Review Guidelines for Investigative Operations of the Federal Offices of Inspector General," which was updated July 18, 2017.

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 three IG Empowerment Act working groups, a suspension and debarment working group, data analytics 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, to include the issuance of the "Guide on the Inspector General Empowerment Act's Exemption to the Paperwork Reduction Act - Conducting Surveys as Part of Audit, Investigation, Inspection, Evaluation, and Other Review Work," and the "Guide to the Inspector General Empowerment Act's Computer Matching Exemption."

CIGIE implemented additional information security policies and procedures in FY 2017 further strengthening CIGIE's cybersecurity posture. These included CIGIE's Cybersecurity Framework Implementation Plan, CIGIE's Cybersecurity Incident Response Plan, and CIGIE's Cybersecurity Risk Management Plan. Additionally, CIGIE has made efforts to further mitigate potential cybersecurity risks through upgrading and deploying additional security hardware and software; and by implementing best practices for cybersecurity management and protection controls.

In early FY 2017, CIGIE established a working group charged with developing CIGIE's second five-year strategic plan. The working group made up of several CIGIE member OIG offices deliberated on CIGIE's future endeavors and presented a recommended framework of strategic goals and objectives for CIGIE's future. This framework was subsequently approved by the CIGIE membership and issued in September 2017.

Additionally, CIGIE continues to efficiently administer its financial resources as reflected through its FY 2017 Financial Statement audit, in which an unmodified opinion was received.

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 the IG community. 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 demonstrated interest in strengthening IG independence and authorities to help IGs more effectively carry out their oversight mission. The Legislation Committee continues to advise Congress on legislative proposals that enhance the work of IGs. Such advice includes providing technical guidance on legislation to address issues of interest to the IG community and assisting with other Congressional requests pertaining to the programs and operations which the IG community oversees.

In December of 2016, Congress enacted the Inspector General Empowerment Act of 2016 (IGEA),<sup>1</sup> discussed in detail in last year's annual report. During 2017, CIGIE published guidance to the IG Community to assist in the implementation of IGEA provisions governing new reporting and posting requirements. CIGIE also published guidance to the IG community in response to IGEA provisions that exempt IGs from certain requirements in the Computer Matching Act and Privacy Protection Act, and the Paperwork Reduction Act. The CIGIE Legislation Committee was actively involved in helping develop the guidance. These are examples of the efforts on the part of the IG community to implement the IGEA responsibly.

The Chair of the CIGIE Legislation Committee testified twice during 2017 before the House Oversight and Government Reform Committee. At both hearings, the testimony focused on the oversight work that the IG community was performing, implementation of the IGEA, and the legislative priorities not addressed by the IGEA. Regarding these priorities, the CIGIE Legislation Committee continues to advise Congress about the benefits to IG oversight of (1) testimonial subpoena authority (TSA); (2) how the inappropriate use of paid or unpaid non-duty status in cases involving an IG may conflict with fundamental independence concerns; (3) the need to protect sensitive but unclassified information if disclosure could reasonably be expected to lead to or result in unauthorized access, use, disclosure, disruption, modification or destruction of agency information systems; and (4) amendments to the Program Fraud Civil Remedies Act that would increase the use of the statute and deter fraud. During her November testimony before HOGR, the Chair also discussed a new legislative priority for CIGIE, whereby the Privacy Act would be amended to clarify that the prevention of fraud in Federal benefits programs is an inherent purpose in administering and collecting information for the benefits program.

Another matter involving implementation of previously enacted legislation involved the Grants Oversight and New Efficiency Act (GONE Act).<sup>2</sup> In November of 2017, CIGIE sent a letter pertaining to the GONE Act to the Chairmen and Ranking Members of both the Senate Homeland Security and Governmental Affairs Committee (HSGAC) and the House Committee on Oversight and Government Reform (HOGR). The letter documents the IG community's interpretation of the ambiguous deadlines in the GONE Act's mandate for certain IGs to perform risk assessments of their respective agency's grants closeout process. In short, the letter notifies the relevant Congressional leadership that the OIGs that are required to perform the risk assessment will do so by March 31, 2020.

The CIGIE Legislation Committee has been focused on providing assistance to Congress in

1. The Inspector General Empowerment Act of 2016, Pub. L. No. 114-317 (enacted Dec. 12, 2016).  
2. P.L. 114-117, Jan. 28, 2016.



recognizing the importance of allowing IGs to take a risk-based approach to oversight. The IG community welcomes Congressional interest in our oversight of agency programs and operations, and appreciates knowing about particular areas of interest to Congress. The CIGIE Legislation Committee continues to engage Congress to ensure that legislatively mandated reviews and congressional requests for information are tailored to meet the oversight needs of Congress while allowing for the most efficient use of OIG resources, given that IG resources are finite, and that this issue is of particular importance to the IG community.

At the behest of Congressional staff members, the CIGIE Legislation Committee, with substantive assistance from the IT Committee, provided technical assistance on legislation designed to address cybersecurity. As work on bills of this nature progresses, the Legislation Committee continues to communicate with Congressional staff to ensure the IGs' roles in such legislation remain consistent with IGs' independence, while preserving the capacity of IGs to conduct effective oversight of Federal programs and funds.

A matter of great interest to both CIGIE and Congress is the strengthening of whistleblower rights and protections. CIGIE supports repealing the sunset provision for the Establishment IG Whistleblower Ombudsman function enacted through the Whistleblower Protection Enhancement Act. The Legislation Committee, with the expert assistance of the CIGIE Whistleblower Ombudsman Working Group, has productively engaged with Congress as it looks to repeal that sunset provision and further enhance the role of Offices of Inspector General (OIGs) in educating and protecting whistleblowers. Additionally, the CIGIE Legislation Committee has provided technical assistance on several other legislative initiatives – including the Chris Kirkpatrick Whistleblower Protection Act and the Office of Special Counsel Reauthorization Act – aimed at strengthening whistleblower education, rights, and protections.

In conclusion, the Legislation Committee has participated in numerous productive conversations with the 115th Congress over the course of 2017 and looks forward to continuing these conversations in calendar year 2018.

## 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 2017:

- **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 2017 CIGIE Award Ceremony was Christopher Wray, Director, Federal Bureau of Investigation, 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.

### *Prescription Drug and Opioid Fraud*

Addressing prescription drug and opioid fraud is one of the top priorities of the Department of Health and Human Services, Office of Inspector General (HHS OIG). In July 2017, OIG conducted a National Health Care Fraud Takedown with Federal and State law enforcement partners. The takedown, which targeted opioid fraud, was the largest multiagency health care enforcement operation in history. The end result—charges against more than 400 defendants in 41 Federal districts related to schemes involving about \$1.3 billion in false billings to Medicare and Medicaid—protected the programs and sent a strong signal that theft of taxpayer funds will not be tolerated. Notably, 120 defendants, including doctors, were charged for their roles in prescribing and distributing opioids and other dangerous narcotics, and 295 individuals were served with exclusion notices for conduct related to opioid diversion and abuse.

In conjunction with the takedown, HHS OIG produced a Data Brief that described the extent of the opioid problem in Medicare. Our work showed that almost 90,000 beneficiaries were at serious risk of opioid misuse or overdose, and about 400 prescribers had questionable opioid prescribing patterns for beneficiaries at serious risk.

### *The Peace Corps' Sexual Assault Risk Reduction and Response (SARRR) Program*

The Peace Corps OIG evaluated the agency's implementation of the provisions of the Kate Puzey Act, which required reforms in policy and training regarding sexual assault risk reduction and response. The Peace Corps OIG dedicated the services of staff across different units to conduct and report on the evaluation. Three teams of evaluators traveled to 6 countries with the highest rates of sexual assault, where they interviewed 69 field staff and conducted 12 focus groups with 72 Volunteers. They used a qualitative analysis software tool to process and analyze the data gathered during interviews to discover trends and draw conclusions based on the themes that emerged. The team also conducted a case review of 138 out of 513 total sexual assaults reported between 2013 and 2015. They also interviewed 11 assault survivors to learn about their experiences with the agency response.

The team found that the agency had improved its support for Volunteers who reported sexual assaults compared to a review conducted in 2013. It did find four instances where it failed to meet its standard for an effective response. The report contained 36 recommendations, which highlighted legislative concerns, the need to provide applicants with better crime-risk data, and the need to improve Volunteer training on risk reduction strategies. It also recommended the creation of timely care standards for counseling and corresponding management controls to ensure adherence to the standard. To improve SARRR program management, Peace Corps OIG highlighted the need for a program manager and clarification of the roles and responsibilities of staff responsible for responding to the sexual assaults. This report has helped improve the agency's capacity to oversee and manage its sexual assault risk reduction and response program.

### *Opioid Prescribing to High-Risk Veterans Receiving VA Purchased Care*

The VA Office of Inspector General (OIG) conducted a healthcare inspection to review opioid prescribing to high-risk veterans receiving VA purchased care. Overdose deaths involving prescription opioids among veterans remain elevated when compared to the civilian population. VA OIG determined that a significant risk exists for patients who are prescribed opioid prescriptions outside of VA, especially where guidelines conflict with those in place within VA. The risk is exacerbated when information about opioid prescriptions is not shared between VA and non-VA providers. Timely notification of veteran patients receiving non-VA opioid prescriptions would allow more immediate VA provider awareness and action, if any action were required.

In FY 2016, many veterans received opioid prescriptions written by non-VA providers, filled by non-VA pharmacies, and paid for by the veteran. In these instances, the opioid medications will not automatically become part of the patient's VA EHR medication list, and are therefore not subject to timely medication reconciliation or other care coordination or risk oversight by VA. Requiring that all opioid prescriptions be submitted directly to and filled by a VA pharmacy will close that gap and ensure that VA providers have information about all opioids prescribed to a patient by all providers.

VA OIG recommended that the Acting Under Secretary for Health: (1) require that all participating VA purchased care providers receive and review the evidence-based guidelines for prescribing opioids; (2) implement a process to ensure all purchased care consults for non-VA care include a complete up-to-date list of medications and medical history until a more permanent electronic record sharing solution can be implemented; (3) require non-VA providers to submit opioid prescriptions directly to a VA pharmacy for dispensing and recording of the prescriptions in the patient's VA electronic health record; and (4) ensure that if facility leaders determine that a non-VA provider's opioid prescribing practices are in conflict with VA guidelines, immediate action is taken to ensure the safety of all veterans receiving care from the non-VA provider. The Acting Under Secretary for Health concurred with Recommendations 1, 2, and 4, concurred in principle with Recommendation 3, and provided acceptable action plans.

### *Cross-Referred Social Security Numbers*

When the Social Security Administration (SSA) assigns a Social Security number (SSN), it creates a master record of information about the numberholder in its Numident file. Under certain circumstances, SSA may assign an individual more than one SSN. For example, SSA can assign new SSNs to victims of SSN misuse. When SSA issues an individual more than one SSN or becomes aware a numberholder has more than one SSN, it cross-refers the SSNs on the Multiple Social Security Number Cross-Reference File so the individual's earnings can be properly credited to his/her earnings record. When SSA becomes aware that SSNs belonging to two different people are cross-referred, it should remove the cross reference. SSA should not allow individuals who obtain more than one SSN to simultaneously receive Social Security payments under more than one of their assigned SSNs. We conducted an audit to determine (1) the validity of payments SSA issued simultaneously under multiple cross-referred SSNs and (2) whether death information input on the Numident record of one SSN was also recorded on the Numident record(s) of the cross-referred SSN(s).

SSA issued improper payments to individuals under multiple cross-referred SSNs and did not develop a method to ensure death information input into Numident records was also input on cross-referred Numident records. Based on our sample results, we estimate that SSA issued about \$171 million in improper payments to about 2,000 beneficiaries who had multiple cross-referred SSNs. If the Agency does not correct these errors, we estimate it will improperly issue about \$21.2 million over the next 12 months. SSA also recorded death information on about 2.7 million non-beneficiary numberholders' Numident records but did not input death information on their cross-





referred SSNs. As a result, we estimate SSA erroneously excluded more than 2 million deceased numberholders' SSNs from the Death Master File.

We recommended that SSA review all cases where numberholders simultaneously receive payments under cross-referred SSNs; resolve any cases where SSA identifies an individual who receives benefit payments under more than one of his/her properly assigned SSNs; and implement system controls to prevent simultaneous issuance of payments under cross-referred SSNs. We also recommended that SSA review all cases where numberholders receive payments under SSNs that are cross-referred to SSNs that contain the numberholders' death information; implement system controls to ensure death information input into Numident records is also input on all the numberholders' cross-referred SSN(s); and add death information to the Numident records of non-beneficiary numberholders whose SSNs are cross-referred to SSNs that contain the numberholders' death information. Lastly, we recommended that SSA remove cross-references for SSNs in cases where cross-referred SSNs belong to more than one individual. As a result of SSA OIG's work, SSA agreed with our recommendations.

### Accomplishments Overview

Together, CIGIE's member OIGs achieved considerable potential cost savings for programs Governmentwide in FY 2017. 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 2017 Performance Profile: IG Community Accomplishments**

Recommendations: Funds Be Put to Better Use	\$22,108,497,297
Recommendations Agreed to by Management: Funds Be Put to Better Use	\$7,462,708,570
Recommendations: Questioned Costs	\$10,560,234,785
Recommendations Agreed to by Management: Questioned Costs	\$2,792,883,772
Investigative Receivables and Recoveries	\$21,946,322,520
Successful Criminal Prosecutions	4,383
Indictments and Criminal Informations	4,749
Successful Civil Actions	1,471
Suspensions and Debarments	4,622
Personnel Actions	4,086

### 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 2017*	\$22,108,497,297	\$7,462,708,570
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 2017 amounts do not account for DCAA audit results not conducted on behalf of an OIG, as prior years have included.

**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 2017*	\$10,560,234,785	\$2,792,883,772
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 2017 amounts do not account for DCAA audit results not conducted on behalf of an OIG, as prior years have included.

**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 2017	\$19,095,404,779	\$2,850,917,741	<b>\$21,946,322,520</b>
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>

*\* 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 2017	3,534	849	<b>4,383</b>
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>

**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 2017	3,786	963	<b>4,749</b>
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>

**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.

<b>Table 9. Successful Civil Actions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2017	1,304	167	<b>1,471</b>
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>

**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.

<b>Table 10. Suspensions and Debarments</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2017	4,131	491	<b>4,622</b>
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>

**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	Total
FY 2017	2,953	1,133	<b>4,086</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>



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# 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 2017 Annual CIGIE Awards

On October 19, 2017, 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, DHS-OIG/Office of IT Audits, USCIS Green Cards**, in recognition of outstanding audit work disclosing USCIS' issuance of duplicate and erroneous Green Cards to immigrants, which posed national security risks, denied benefits for approved applicants, and increased workload and costs for the agency.

**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. Agency for International Development, USAID OIG Investigation of Syria Humanitarian Aid**, in recognition of extreme courage and investigative determination in furtherance of foreign assistance oversight in a war-torn region.

**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:

**U.S. Department of Health and Human Services, Sue Murrin, Deputy Inspector General, Office of Evaluation and Inspections**, in recognition of Sue Murrin, who as chair of the CIGIE Inspection and Evaluation (I&E) Roundtable, led members of the I&E Community to successfully create an I&E Peer Review process.

**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:

**Peace Corps, The Inspector General Empowerment Act Team**, for exemplary work in supporting Congress to pass the Inspector General Empowerment Act.

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

**Social Security Administration, Clara Soto, Auditor**, in recognition of her uncommon selflessness, dedication to duty, and courage while completing work on the Match of California Death Information Against Social Security Administration Records audit.

**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:

**U.S. Department of Defense, Donald M. Horstman, Operational Research Analyst**, in recognition of sustained and significant contributions of Mr. Donald M. Horstman throughout his career with the Department of Defense Office of Inspector General and in support of the newly formed Lead Inspector General oversight mission.

**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:

**U.S. Department of Housing and Urban Development, The CIGIE Leadership Development Team**, in recognition of exceptional collaborative efforts leading to the successful launch and adoption of the CIGIE Fellowship Program and Annual Leadership Forum.



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