



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

**Growth and Development of the
Inspection and Evaluation Community:
2010 Survey Results**

January 2011

PREPARED BY THE CIGIE INSPECTION AND EVALUATION COMMITTEE

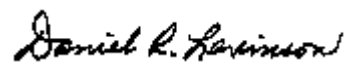
Message from the Chairman of the CIGIE Inspection and Evaluation Committee

I am pleased to provide the Council of the Inspectors General on Integrity and Efficiency (CIGIE) with the results of the Inspection and Evaluation Committee's (I&E Committee) most recent survey examining the I&E function within Federal Offices of Inspector General (OIG). This review reveals some significant changes within the I&E community since a survey was last conducted in 2007. It highlights the usefulness of inspections and evaluations to help IGs address the many issues and demands facing OIGs and Government managers today.

The number of OIGs performing inspections and evaluations continues to grow. In 2010, 42 OIGs reported that they conducted some type of inspections or evaluations, an increase of 26 percent from the 31 OIGs that reported conducting I&E work in 2007. These 42 OIGs reported that they had 35 I&E units with dedicated I&E staff, either in stand-alone I&E offices or as units within another OIG entity, such as an Office of Audit. An additional eight OIGs do not have I&E staff, but perform inspections or evaluations as part of the audit, investigative, or other functions. The number of dedicated I&E units increased from 25 to 35 since 2007, and the number of dedicated I&E staff overall has increased by 36 percent. OIGs expected to produce a total of 584 final reports and other work products in 2010, an increase of 22 percent over the total of 477 produced in 2007.

This 2010 survey report captures the current profile of the I&E community. This report highlights the growing importance of I&E professionals and their work in carrying out the mission of the IGs. It highlights the changing composition of each I&E unit, including the number and organization of I&E units; staffing; functions and products, including the number of reports and other work products produced by I&E staff; processes, such as work initiation, standards, practices, and procedures; report distribution and Internet presence; staff expertise and professional diversity; and training. The report discusses how I&E units are working together to share resources, best practices, and address crosscutting issues throughout the Federal Government. Finally, it provides a number of suggestions from respondents to enhance the work of CIGIE and the I&E community.

Many thanks to the I&E Roundtable for conducting the survey and to the IGs and their staffs for responding. Special thanks to a committee composed of staff from the OIGs of the Farm Credit Administration, the Department of Health & Human Services, the Department of Housing and Urban Development, the Department of the Interior, the National Endowment for the Arts, and the Treasury Inspector General for Tax Administration for preparing this report. Please feel free to contact my office at 202-619-3148 for additional information about the survey results.

A handwritten signature in black ink that reads "Daniel R. Harrison". The signature is written in a cursive style with a prominent initial "D".

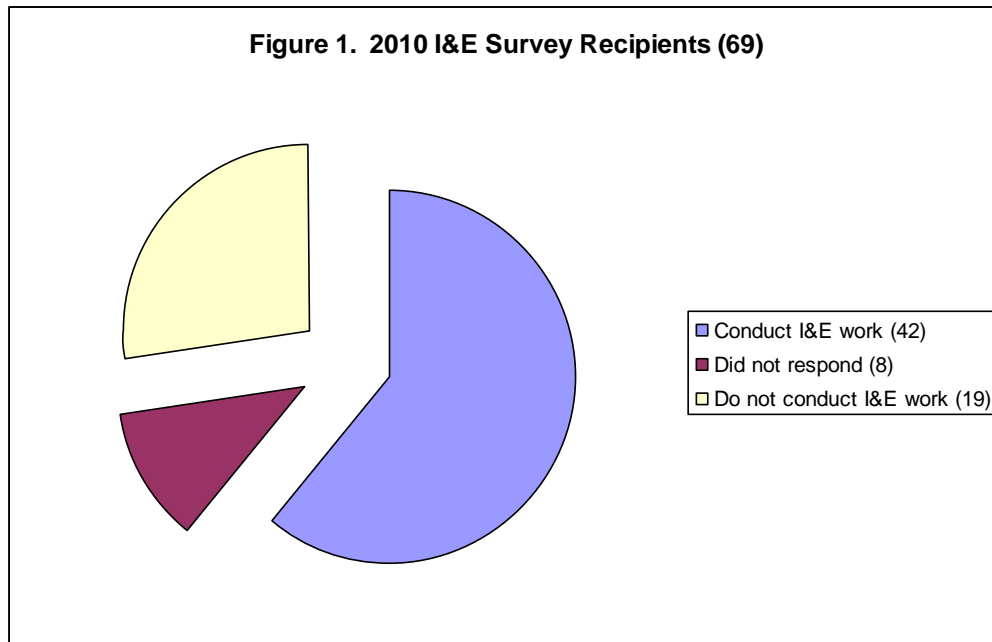
Chairman, Inspection and Evaluation Committee

Introduction

In March 2010, the Inspection and Evaluation Committee (I&E Committee) of the Council of the Inspectors General on Integrity and Efficiency (CIGIE) conducted a survey of Federal Offices of Inspector General (OIG) to analyze changes in its inspection and evaluation (I&E) operations since the previous survey in 2007. This was the fifth such survey. We found that the role I&E plays in assessing performance of Federal programs and operations continues to grow in importance within CIGIE

This survey is the first assessment prepared under the auspices of CIGIE, which was created by the Inspector General Reform Act of 2008 (the Reform Act), P.L. 110-409. CIGIE's predecessors, the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE), documented I&E community changes through surveys conducted in 1995, 1999, 2003, and 2007. See Appendix A for profiles of all OIGs responding to the 2010 survey and Appendix B for examples of recent I&E work.

All 75 CIGIE members were asked to complete and return a two-part survey. The survey consisted of 39 questions or requests regarding I&E unit (1) organization and operation and (2) workload and resources. Of the CIGIE members, six offices are not IGs and did not respond---these include the Deputy Director of the Office of Management and Budget (OMB), the Controller of the Office of Federal Financial Management, the Federal Bureau of Investigation, the Director of the Office of Government Ethics, the Office of Special Counsel, and the Deputy Director of the Office of Personnel Management (OPM). Of the 69 OIGs, 61 responded to the survey and 8 did not (see Figure 1).



According to the data obtained, 61 percent (42 of 69) of OIGs now conduct I&E work. These 42 OIGs have a total of 43 units that conduct I&E work; 1 agency, the Department of Veterans Affairs (VA), has 2 separate units. The 42 OIGs that conduct I&E work provided the bulk of the data presented in this report; however, not all respondents answered every question.

This survey found that in the 3 years since the I&E Committee conducted its previous review, the number of OIGs reporting I&E work grew by 35 percent from 31 to 42. These 42 OIGs reported that they had 35 dedicated I&E units, either in stand-alone I&E offices or as units within another OIG component, such as an Office of Audit. An additional eight OIGs do not have dedicated I&E units, but perform inspections or evaluations as part of audit, investigative, or other functions.

For the purposes of this report, we refer to all OIG organizations and staff that conduct I&E work as “units.” We define “units” as those OIGs that have stand-alone components, dedicated I&E staff that are part of other OIG components, or have staff who also perform I&E work as part of their overall duties.

Survey Results

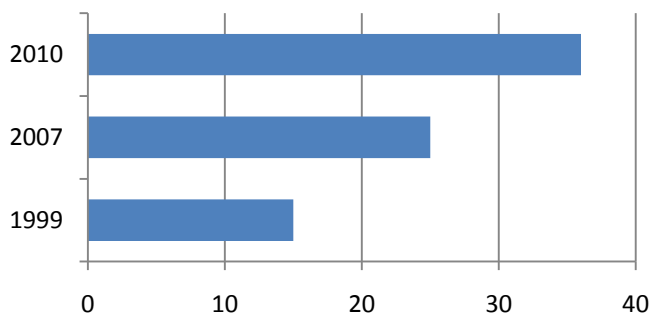
Profile of I&E Units

Number and Organization of I&E Units

Over the last 11 years, the number of dedicated I&E units has steadily increased. Presently, there are 42 OIG's conducting I&E work. However, there are 43 units that conduct inspections and evaluations; 1 agency, VA, has 2 separate units.

Thirty-five of the forty-two OIGs that conduct I&E work have dedicated units; these conduct I&E work either autonomously or as part of another component. Of these 35 dedicated units, 18 perform work as separate offices within their respective OIGs. The remaining 17 dedicated units are housed in other components, such as audit, investigation, or management. In addition, eight OIGs reported performing inspections or evaluations as part of their audit, investigative, or other functions. In comparison, in 1999, there were 15 dedicated I&E units and, in 2007, there were 25.

Figure 2. I&E Unit Growth



I&E Unit Staffing

Between 2007 and 2010, the number of full-time I&E staff in the CIGIE community increased 36 percent, from 603 to 822. In fact, 10 of the 43 I&E units reported that their staffs grew by more than 40 percent during this 3-year period.

Further, 27 of the 43 I&E units reported having positions dedicated exclusively to the I&E function, 7 more than in 2007. For these 7 units, the number of full-time staff went from zero in 2007 to between 2 and 21 in 2010. Of the remaining 16 I&E units, 8 did not answer the question and 8 have staff who conduct inspections and evaluations along with other functions, such as audits and investigations. In 2010, the six agencies with the largest I&E staffs were the Department of Health & Human Services (HHS), VA, the Environmental Protection Agency (EPA), the Department of State (State), the Department of Homeland Security (DHS), and the Department of Defense (DOD). These six OIGs each have dedicated I&E units. See Table 1 for the increases at these agencies in I&E for full-time-equivalent (FTE) staffing from 2007 to 2010.

Table 1. I&E FTE Increase, 2007 to 2010

Department/Agency	2007 FTEs	2010 FTEs	FTE Increase
HHS	153	154	1
VA (includes both I&E units)	59	142	83
EPA	75	94	19
State	65	65	0
DHS	41	47	6
DOD	27	47	20

Despite overall staff increases in the I&E community and the large size of the six units shown in Table 1, most OIGs had relatively few staff dedicated to I&E work. For example, in 2010, only 12 offices had more than 20 full-time I&E employees. In 2010, the average number of FTEs for OIGs with staff dedicated to I&E is 32, which is up from 27 in 2007.

Functions and Products

Evaluation work remained the primary focus of most of the 43 I&E units in 2010. Seventy percent (30 of 43) of OIGs reported that they conducted evaluations, and 60 percent (26 of 43) reported that they conducted inspections; of those conducting inspections or evaluations, 37 percent (16 of 43) reported that they conducted both. In comparison, in 2007, there were 31 OIGs conducting I&E work and 25 had dedicated units; in 2007, for the 25 with dedicated units, 36 percent of survey respondents (9 of 25) conducted evaluations, 12 percent (3 of 25) conducted inspections, and 44 percent (11 of 25) conducted both.

Generally, respondents view inspections and evaluations as indistinguishable, as CIGIE does in its *Quality Standards for Inspections* (Blue Book.) For OIGs that distinguish between inspections and evaluations, the distinction appears to relate to whether analysis is involved in any given project. The Blue Book uses the term “inspections” to refer to and define both inspections and evaluations. According to the Blue Book, the term “inspections” is defined as follows:

An inspection is defined as a process that evaluates, reviews, studies, and/or analyzes the programs and activities of a Department/Agency for the purposes of providing information to managers for decision-making; making recommendations for improvements to programs, policies, or procedures; and identifying where administrative action may be necessary. Inspections may be used to provide factual and analytical information; monitor compliance; measure performance; assess the efficiency and

effectiveness of programs and operations; share best practices; and inquire into allegations of fraud, waste, abuse, and mismanagement.

For example, several agencies that distinguish between inspections and evaluations noted that an inspection examines an organization or a process for the presence or absence of essential elements and reporting the findings, and that an evaluation would go further and involve in-depth analysis or assessment of inspection-type data.

In terms of topic selection for I&E work, safety, security, and emergency preparedness remained the highest priority topic for 2010. Some new issues were also reported. I&E units are involved increasingly in reviewing early implementation of new regulations, procedures, or programs, as well as grants management or grantee oversight. Table 2 lists the top 10 priority issues for 2010 and 2007.

Table 2. Top I&E Issues		
	2010 Survey	2007 Survey
1	Safety, security, and emergency preparedness	Management practices, safety, security, and emergency preparedness
2	Information systems or technology issues	Effectiveness of agency programs
3	Fraud, waste, and abuse	Performance measures
4	Effective practices	Effective use of resources
5	Crosscutting issue reports	Best practices
6	Assessment of internal controls	Internal controls
7	Early implementation of new regulations, procedures, or programs	Fraud, waste, and abuse
8	Interagency reports	Agency policy or regulations
9	Vulnerability assessments	Cost-benefit analysis
10	Grants management or grantee oversight	Information technology (IT) systems

I&E units perform many non-I&E functions. The most common responses (20 units each), were providing technical assistance to other components within their OIGs, such as investigations and audit and, preparing semiannual reports. Other responses include:

- providing technical assistance to department/agency (12);
- providing technical assistance to Congress (8);
- conducting legislative reviews (6);
- conducting name checks, e.g., for clearances or staff promotions, financial assistance awards to beneficiaries, or other clearances (5); and
- managing a hotline (5).

Additional functions include performing audits; conducting internal peer reviews; investigating whistleblower complaints related to the American Recovery and Reinvestment Act of 2009 (Recovery Act); monitoring the Recovery Act funds; overseeing State Medicaid Fraud Control Units; conducting employee integrity investigations; performing all OIG financial, administrative, information technology, and planning functions; facilitating strategic planning, budget development and execution; and managing and administering contracts.

Finally, the 43 I&E units expected to produce a total of 584 final reports and other work products in 2010, 107 more than the total of 477 produced in 2007. In 2010, respondents reported that they were spending slightly less time completing individual evaluations and inspections. They reported that I&E units averaged 30 weeks to complete evaluations and 21 weeks to complete inspections, compared with 32 weeks and 24 weeks, respectively, in 2007.

I&E Processes

Through the 2010 survey, the I&E Committee and Roundtable sought to determine how I&E units initiate work; use work plans; adhere to standards, practices, and procedures; and distribute reports.

Work Initiation

In 2010, most I&E units and staff initiated projects based on internal analysis and participation in a work-planning process, as they did in 2003 and 2007. Specifically, 29 OIGs reported that they often identified new topics for review in this manner.

Other sources of new I&E projects include congressional requests (19), management challenges (17), requests from OIG senior managers (13), requests from department/agency management (12), congressional mandates (8), and requests from senior program managers within their agencies (7). In addition, a few OIGs noted referrals from hotlines and other units within their offices as primary sources; one office indicated that media and public interest were among its top sources for determining what projects to undertake; and one office reported emergencies, such as Hurricane Katrina or 9/11, to be primary initiators of new work.

Work Plans

Of the 42 OIGs that conduct I&E work, 36 prepare annual I&E work plans and 12 prepare stand-alone I&E work plans. Further, 21 of the 36 OIGs disseminated the work plans outside their offices, some posted their work plans on their Web sites,

some distributed the work plans in hardcopy, and 1 included its work plan in its semiannual report.

Standards, Practices, and Procedures

Prior to 2008, members of CIGIE's predecessor organizations, the PCIE and the ECIE, voluntarily adhered to professional standards in the form of the Blue Book. The Reform Act, however, now requires adherence to such professional standards and requires reporting I&E recommendations in addition to audit recommendations in OIG semiannual reports submitted to Congress.

In May 2010, CIGIE adopted the Blue Book as its official standard for I&E work conducted by Federal OIGs. Thirty-eight OIGs reported adherence to Blue Book standards. Alternatively, three OIGs reported using the Government Accountability Office (GAO) "Government Auditing Standards," commonly called the Yellow Book. One OIG did not answer this question.

In general, the Yellow Book and the Blue Book are consistent, although the Yellow Book is longer, more detailed, and more prescriptive. The two standards, however, differ regarding topic selection, followup requirements related to recommendations made in issued I&E reports, independent assessments, and training. A summary of these differences follows.

- ***Topic selection***—The Blue Book contains language on selecting inspection topics; the Yellow Book does not.
- ***Followup requirements***—The Blue Book contains language on followup requirements; the Yellow Book does not.
- ***Independent assessments***—The Blue Book specifies that independent assessments of an I&E unit's work may be performed "as appropriate"; the Yellow Book requires a mandatory peer review every 3 years.
- ***Training***—The Blue Book notes that I&E units "should strive to provide inspectors with 80 hours of training biennially but should minimally provide 40 hours of training biennially." The Yellow Book requires 80 hours every 2 years.

With regard to semiannual reports, 40 of the 42 OIGs conducting I&E work stated that they had included I&E work in their semiannual reports. Further, most reported that they had always included I&E work in their semiannual reports.

Other types of practices and procedures addressed in the survey include:

Followup

In the years since the I&E Committee's last report, the number of I&E units that conduct formal followup on recommendations increased significantly. In 2010, 93 percent of the 42 OIGs that conduct I&E work reported that they formally followed up on I&E recommendations using OIG and I&E databases, postreporting procedures, and/or compliance reviews. In 2007, only 65 percent

(20 of 31) of the OIGs that conducted I&E work formally tracked I&E recommendations by the same means.

Documented Procedures

In 2010, 74 percent of I&E units (32 of 43) reported having written program or operational policies in place. By comparison, only 61 percent (19 of 31) of I&E units in 2007 had written policies in place. Of the 32 reporting units, the Department of Commerce, DOD, and the Treasury Inspector General for Tax Administration reported that they were developing or updating their policies and procedures. Manuals and directives outline most of the policies, procedures, internal controls, standards, and quality assurance activities applicable to their units.

Unannounced Inspections

In 2010, six offices reported conducting unannounced inspections or evaluations. An additional eight offices reported conducting unannounced inspections or evaluations only when situations warrant it. In comparison, 3 years ago, seven offices said that they conducted unannounced inspections or evaluations.

Report Distribution and Internet Presence

In terms of routine report distribution, 40 of the 42 OIGs that conduct I&E work reported sharing their reports with the department or agency heads and program managers; 2 offices did not answer this question. In addition, 27 OIGs share I&E reports with members of Congress, congressional committees, and staffers. Most of these offices noted that they hand-carried reports to Congress, which serves to inform and develop relationships with legislators and their staffs.

Regarding distribution methods, 37 of the OIGs that conduct I&E work said that Internet posting and email notification were the most important ways to communicate with stakeholders. These methods can be quite efficient because work can be concurrently delivered to department and agency managers, members of Congress and their staffs, OMB, GAO, State and local officials, the media, academia, and the public.

Most OIG Web sites have links to I&E reports and other information, such as hotline contacts, reports, testimony, work plans, and organizational charts. At the time of our data collection, only 12 OIG Web sites linked directly to the I&E units' own Web sites. Those 12 links provide information on topics such as mission, leadership, reports, recent events, planning documents, organizational charts, semiannual reports, and strategic plans.

In March 2010, when these data were collected, five I&E offices used Really Simple Syndication, commonly referred to as RSS, to distribute their work. After collecting data for this survey, CIGIE began to explore the use of new media, such as Twitter, Facebook, and podcasting; increased use of these new media will impact how I&E work, and all OIG work, is made available to stakeholders in the future.

I&E Staff Expertise and Professional Diversity

The 2010 survey highlights the variety of professions (job series) and grades found within the I&E community.

Professions

The Program Analyst position title (General Schedule (GS)-343), which applies to 38 percent of I&E staff positions, remained the most widely represented position title throughout the I&E community; the majority of respondents indicated that they had staff assigned to this series. Auditor (GS-511), which applies to 23 percent, was the second most common position title.

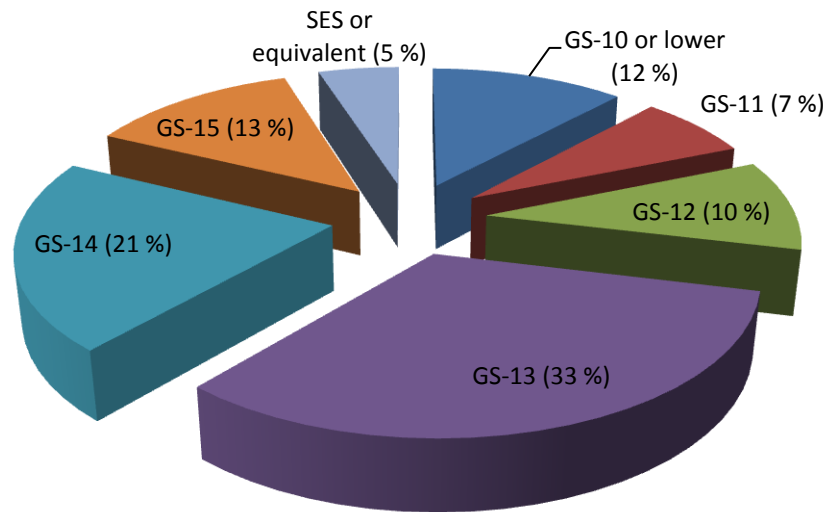
In addition, survey respondents noted that an I&E unit might include staff who are engineers, statisticians, IT specialists, procurement and contract specialists, accountants, chemists, doctors, environmental scientists, economists, and/or safety professionals. Several units also have criminal investigators (GS-1811), inspectors (GS-1801), writer-editors, and attorneys.

Further, I&E units often cover specialized topics or programs that fall outside the range of traditional audits and investigations and, therefore, require staff with more specialized experience and expertise. For example, the Special Inspector General for Iraq Reconstruction has an imagery and data analyst; EPA has chemists, an anthropologist, and a toxicologist; and State has Foreign Service officers. Such diversity adds depth to OIG products.

Grade Distribution

The 2010 survey also shows that GS-13s and above hold 72 percent of all I&E positions and that members of the Senior Executive Service (SES) or GS-15s account for 18 percent of all I&E positions. Many I&E units also have employees at grades GS-12 and below. For example, 19 percent of HHS I&E staff are at GS-10 or below, and 53 percent of the staff members at DHS are at GS-12 or below. A breakdown of 2010 I&E grades is provided in Figure 3.

Figure 3. I&E Grade Distribution in 2010



Training

The 2010 survey found that 81 percent of I&E units (34 of 43) were adhering to or exceeding CIGIE training standards outlined in the Blue Book. The majority of these units (23) require 80 hours of training every 2 years, which meets the Yellow Book standard. The remaining I&E units that adhere to CIGIE standards (11) require or recommend 40 hours of training every 2 years, which meets the Blue Book standards. At least 2 of the 11 I&E units that do not impose training requirements recommend a certain number of training hours per employee per year. For example, HHS I&E staff are encouraged, but not required, to take 80 hours of training every 2 years, which includes expected participation in an internally developed week-long biannual national training conference; participating in specialized skills training in evaluation, report writing, and management; a leadership development program; and subject matter training. At State, while there is not a specific number of training hours required for I&E inspectors, they are expected to take the necessary Foreign Service Institute training to remain current in their field and all new State Department inspectors are required to participate in an internally designed and delivered New Inspector's Training, which is provided semiannually.

I&E units reported that staff took part in a variety of training opportunities offered both internally and externally. Among the 42 OIGs that conduct I&E work, most training addressed general evaluation or audit skills. Some I&E units provide the same training to inspectors and evaluators as is provided to auditors. Many provide additional analysis and writing courses. In particular, they provide internal training centered on data collection and analysis, IT, and general evaluation skills. Useful external training opportunities included OPM's leadership courses and a variety of courses offered by the Evaluators Institute, the American Evaluation Association, the I&E Committee, the USDA Graduate School, and training specifically related to the topics staff were reviewing in particular inspections and evaluations.

Suggestions

As in previous years, survey respondents provided a number of suggestions regarding I&E work, work products, resources, and interagency collaboration.

I&E Work

Specific suggestions related to training, standards, and communication are listed below.

Training

- Provide more I&E-focused training.
- Develop evaluators by providing specialized evaluation training, such as that offered by the American Evaluation Association.
- Help to identify and develop quality evaluator training opportunities.
- Hold more CIGIE-sponsored training events (like the one held in June 2009 at the Federal Deposit Insurance Corporation).
- Centralize training for I&E units at the planned CIGIE training academy.
- Develop a comprehensive training matrix from GS-7 through the SES-level for the I&E community.

Standards

- Establish more uniformity and provide a basis for determining what is acceptable work by supplementing the current Quality Standards with examples for the different work phases.
- Provide clear and specific quality assurance criteria and overall standards; specifically define “inspection.”
- Update the Quality Standards under CIGIE.
- Institute peer reviews.

Communication

- Promote communication among I&E units with regard to review finding; this would promote continued risk assessments across agencies.
- Increase outreach by the I&E Committee and Roundtable.
- Increase professional contact and information exchange with the other OIGs that focus on Government international operations, including the Agency for International Development and State.
- Post an open forum of ideas, experiences, and best practices to a Web site for use by the I&E community.
- Establish an online I&E lessons learned repository for I&E units throughout the Government.
- Use subject matter experts and rehire Civil Service annuitants to develop a quick response capability to address unanticipated requests from Capitol Hill or senior department management.

I&E Work Products and Resources

When asked to identify products that could be helpful to the I&E community, respondents offered suggestions regarding the Internet, various guides, and other matters, as follows:

Internet

- Develop a comprehensive link to all I&E units to access I&E reports by subject matter, agency guides, ongoing inspections and evaluations, and best practices.
- Post the most frequently asked questions and answers.

Guides

- Develop guides for addressing Government-wide issues.
- Identify sources for best practice benchmarking.
- Compile best practices and make them widely available.
- Develop sample procedures.

Other

- Review programs, standards used, and policies and procedures for performing inspections and evaluations.
- Provide a points-of-contact listing for each management challenge reported to the Congress.

Interagency Collaboration

The diversity of Federal agencies' missions was illustrated when respondents were asked to suggest inspections and evaluations that could be conducted by several units to address crosscutting or Government-wide issues. Suggestions ranged from domestic to international and included these issues:

- international trade policy and export promotion across the Government, focusing on the National Export Initiative;
- workforce and succession planning best practices;
- requirements development and validation processes for Government acquisitions and investments;
- permanent changes of duty station;
- leasing space in private buildings for Government employees;
- small business set-asides;
- intelligence sharing, science and technology (research and development), civil rights and liberties, and international representation;
- Government grant-making best practices across the grant-making entities; and
- administration of cost-sharing systems used by foreign affairs agencies, such as International Cooperative Administrative Support Services.

APPENDIX A: Profile of OIG Inspection and Evaluation Units

Department/ Agency	Title of I&E unit	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2007 2008 2009 2010	Annual Budget: 2007 2008 2009 2010 (projected)	FTEs: 2007 2008 2009 2010 (projected)	Sampling of Staff Expertise
Agency for International Development			AIG	Performance Audit Division				
AMTRAK	Inspections and Evaluations	Assistant IG, Inspections and Evaluations	DIG	Separate (1999)	0 3 7 2	\$4.2 mil \$4.1 mil \$4.4 mil \$3.5 mil	9 9 9.5 10	Engineers, Procurement/ Contract/Labor Relations/Human Capital specialists, Safety Professional
Appalachian Regional Commission	None - operates within the OIG office	Inspector General	Co-Chair of Commission		0 0 0 1		0 0 0 .5	
U.S. Capitol Police	No separate unit	No separate unit	AIGA	Functions within Audit	1 1 0 1	Did not separate budget for I&E function	0 .5 .5 .5	Safety Professional
Department of Commerce	Office of Audit and Evaluation	Principal AIG for Audit and Evaluation	IG	Staff in the Office of Audit and Evaluation (OAE) conduct both audit and I&E work. OAE was formed in June 2008 by merging two former I&E units (Office of Inspections and Program Evaluations and Office	17 18 18 18		16 16 27 32	Statistician, IT Specialist, Public Policy Professional, Program Evaluator

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				of System Evaluation) with the former Office of Audits				
Commodity Futures Trading Commission		Assistant Inspector General for Audits	IG					
Department of Defense	Office of Special Plans & Evaluations (SPO)	Deputy Inspector General for Special Plans & Operations	IG	Separate (2003)	6	\$1.5 mil	27	Engineers, Procurement Specialists, Doctors/Nurses/ Health Specialists, Environmental Scientists, & Public Policy Professionals
					11	\$2.1 mil	33	
					15	\$2.3 mil	39	
					13	\$4.3 mil	47	
Department of Education	Evaluation and Inspection Services	Director, Evaluation and Inspection Services	AIG	Self Contained unit within Evaluation, Inspection, and Management Services	4	\$16,414	6	
					4	\$11,055	4	
					6	\$15,918	8	
					5	\$23,816	11	
Election Assistance Commission		Inspector General	IG	Part of Audit — The EAC OIG is a very small operation — 3 employees	1			
					1			
					1			
					1			

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Department of Energy	Office of Inspections and Special Inquiries	Assistant Inspector General for Inspections and Special Inquiries	DIG	Separate (1986)	27	\$297,000	39	Engineers, Security Professionals, Attorneys, Procurement Specialists, Public Policy Professionals
					15	\$300,000	39	
					16	\$303,000	39	
					20	\$306,000	39	
Environmental Protection Agency	Office of Program Evaluation	Assistant Inspector General for Program Evaluation	DIG	Separate (2000)	22	\$641,400	75	Public Policy Professionals, Auditors, Physical and Environmental Scientists, Engineers, Chemists
					18	\$806,600	61	
					22	\$979,400	81	
					27	\$1,026,700	86	
Equal Employment Opportunity Commission	Evaluation	Acting Deputy IG	IG	Separate (2001) Self contained within Audit and Evaluation Program	4		2	
					3		2	
					2		2	
					2		2	
Federal Communications Commission				We have only recently begun using I&E tools and standards. Auditors on our two audit teams can perform I&Es.	0			
					0			
					0			
					2			

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Farm Credit Administration		Inspector General	IG	Yes- OIG staff conducts inspections/evaluations in addition to conducting audits or other work.	2 1 1 4			Attorneys
Federal Deposit Insurance Corporation	Office of Evaluations	Acting Assistant Inspector General for Evaluations	IG	Separate (2006)	7 10 10 10	\$2,423,631 \$2,536,819 \$3,155,164 \$4,124,130	12 12 14 15	
Federal Reserve Board	Inspections and Evaluations	Assistant Inspector General for Inspections and Evaluations	IG	Separate (2004)	2 4 4 15		0 0 13 21	Data Mining Specialist, Commercial Real Estate Appraiser
Government Accountability Office			IG					
Government Printing Office	Office of Audits and Inspections	Assistant Inspector General for Audits and Inspections	IG	Staff within the Office of Audits and Inspections conduct inspections as necessary.	8 10 10 6			IT Specialists

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Department of Health and Human Services	Office of Evaluation and Inspections	Deputy Inspector General for Evaluation and Inspections	IG	Separate (1985)	54	\$16.8 mil	153	Attorneys, Economists, Statisticians
					46	\$18.1 mil	153	
					61	\$19.3 mil	153	
					55	\$19.9 mil	154	
Department of Homeland Security	Office of Inspections, DHS OIG	Assistant Inspector General – Inspections	IG	Separate	11	\$3.8 mil	41	Attorneys
					18	\$4.7 mil	40	
					10	\$4.8 mil	37	
					23	\$5.0 mil	47	
Department of Housing and Urban Development	Inspections and Evaluations Division	Director	DIG	The Inspections and Evaluations Division (IED) at HUD OIG is an organizational component of the Office of Investigation. IED staff is devoted full-time to I&E activities.	3		3	
					7		3	
					5		8	
					9		11	
Department of Interior	Office of Audits, Inspections and Evaluations	Assistant Inspector General for Audits, Inspections and Evaluations	Chief of Staff	We do not have a distinct I&E Unit. If inspections or evaluations are performed they are done within our Regional Audit Offices.				IT Specialists

APPENDIX A: Profile of OIG Inspection and Evaluation Units

Department/ Agency	Title of I&E unit	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2007 2008 2009 2010	Annual Budget: 2007 2008 2009 2010 (projected)	FTEs: 2007 2008 2009 2010 (projected)	Sampling of Staff Expertise
Department of Justice	Evaluation and Inspections Division	Assistant Inspector General for Evaluation and Inspections	DIG	Separate (1989)	10	\$3.7 mil	34	
					6	\$4.2 mil	35	
					6	\$4.2 mil	38	
					8	\$4.4 mil	40	
Department of Labor	Office of Inspections and Special Investigations (OISI); and Office of Audit (OA)	Assistant Inspector General for OISI, Assistant Inspector General for OA	DIG	Separate (2001)	13	\$1.2 mil	6.58	
					12	\$1.6 mil	7.96	
					14	\$1.8 mil	8.28	
					14	\$1.8 mil	9	
Legal Services Corporation	Management and Evaluation	Assistant Inspector General for Management & Evaluation	IG	The I&E group is within the Management and Evaluations unit which handles overall OIG operations management and administration. The I&E group filled its first FTE position in January of 2009. The group conducts evaluations in addition to conducting office administrative and audit work. We are a new and small evaluations shop and currently supporting an ongoing audit full-time.	0	\$0	0	IT Specialists, Contract Specialists, Economists
					0	\$0	0	
					1	\$90,000	1.4	
					2	\$160,000	2.25	

APPENDIX A: Profile of OIG Inspection and Evaluation Units

Department/ Agency	Title of I&E unit	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2007 2008 2009 2010	Annual Budget: 2007 2008 2009 2010 (projected)	FTEs: 2007 2008 2009 2010 (projected)	Sampling of Staff Expertise
Library of Congress	Office of the Inspector General, Office of Audits	Assistant Inspector General for Audits	IG	Staff who conduct inspections occasionally in addition to audits	2			Security Professionals, IT Specialists, Attorneys, Contract Specialists
					0			
					0			
					1			
National Endowment for the Arts		Acting Inspector General	NEA Chairman and Council	Evaluations are performed by all audit staff (FTE 3) along with other work. No inspections are performed. There are no separate units at NEA/OIG.	32	\$424		
					46	\$436		
					9	\$398		
					7	\$545		
National Labor Relations Board		Assistant Inspector General for Audits	IG	Audit staff usually, but not always, conducts inspections.	3	\$60,000	.5	
					5	\$100,000	.5	
					1	\$20,000	.5	
					2	\$60,000	.5	
National Science Foundation	Performance Audit Team	Senior Audit Manager	AIG	Audit staff conducts evaluations as audits; has the option of conducting work as inspections.	2		7-9	Attorneys, Public Policy Professionals
					3		7-9	
					4		7-9	
					7		7-9	

APPENDIX A: Profile of OIG Inspection and Evaluation Units

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Nuclear Regulatory Commission		Assistant Inspector General for Audits	DIG	Staff occasionally conduct evaluations in addition to conducting audit work. For the most part, evaluations are conducted by contractors who perform non-audit services for which GAGAS does not apply. The auditors act as COTRs.	5			
					3			
					7			
					3			
Office of the Director of National Intelligence	Inspections Division	Assistant IG for Inspections	DIG	Separate (2006)	2			Engineers, Statisticians, Security Professionals, IT Specialists, Public Policy Professionals, Intelligence Professionals
					3			
					2			
					2			
Office of Personnel Management	Evaluations and Inspections	The unit is currently inactive due to low staffing levels.	AIG	Separate (2007) Temporarily Suspended due to lack of staffing				
Peace Corps	Evaluations Unit	Assistant Inspector General for Evaluations	DIG	Separate (1989)	6		5	
					3		5	
					6		5	
					5		5	

APPENDIX A: Profile of OIG Inspection and Evaluation Units

Department/ Agency	Title of I&E unit	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2007 2008 2009 2010	Annual Budget: 2007 2008 2009 2010 (projected)	FTEs: 2007 2008 2009 2010 (projected)	Sampling of Staff Expertise
Pension Benefit Guaranty Corporation	Office of Audit	Assistant Inspector General for Audit	DIG	Various audit staff conduct evaluations as directed.	0			
					0			
					1			
					2			
Postal Regulatory Commission					0			
					0			
					1			
					3			
Railroad Retirement Board	RRB-OIG Office of Audit	Acting Assistant Inspector General for Audit	IG		9	The Annual Budget is not allocated between audits and investigations	16	
					5			
					6			
					13			
Social Security Administration	Office of Audit, Evaluation Division	Assistant IG for Audit	IG	Evaluations are conducted throughout the Office of Audit.	4	\$0	0	
					11			
					30			
					38			
						\$1.4 mil	10	
						\$1.4 mil	10	
						\$1.4 mil	10	

APPENDIX A: Profile of OIG Inspection and Evaluation Units

Department/ Agency	Title of I&E unit	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2007 2008 2009 2010	Annual Budget: 2007 2008 2009 2010 (projected)	FTEs: 2007 2008 2009 2010 (projected)	Sampling of Staff Expertise
Special IG for Iraq Reconstruction	Inspections Directorate Evaluations Directorate	Assistant Inspector General for Inspections Assistant Inspector General for Evaluations	IG	Separate (2005) Separate (2010)	41		11.5	
					26		11	
					33		10	
					22		8	
Department of State	Office of Inspections	Assistant Inspector General for Inspections	DIG	Separate (1987)	41	\$11.7 mil	65	Security Professionals, Contract Specialists, Foreign Service Officers, including Inspectors with consular, political, economic, public affairs, and management expertise. Economists
					48	\$12.1 mil	65	
					53	\$14.4 mil	65	
					50	\$13.5 mil	65	
Tennessee Valley Authority	TVA OIG Inspections	Deputy Assistant Inspector General, Inspections	AIG	Separate (2003)	24		14	
					24		15	
					26		13	
					25		15	

APPENDIX A: Profile of OIG Inspection and Evaluation Units

Department/ Agency	Title of I&E unit	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2007 2008 2009 2010	Annual Budget: 2007 2008 2009 2010 (projected)	FTEs: 2007 2008 2009 2010 (projected)	Sampling of Staff Expertise
Treasury Inspector General for Tax Administration	Office of Inspections and Evaluations (OIE)	Deputy Inspector General for Inspections and Evaluations	IG	Separate (2008)	0	\$0	0	
					3	\$1.2 mil	10	
					3	\$1.6 mil (including \$0.2 million for ARRA staff)	10	
					10	\$2.0 mil (including \$0.3 million for ARRA staff)	12	
Department of Veterans Affairs (1)	Benefits Inspection	Director	AIG	The Benefits Inspections Division is a self contained unit in Audits and Evaluations that is dedicated to conducting Regional Office inspections.	0	\$0	0	
					0	\$0	0	
					2	\$735,000	10	
					18	\$2.1 mil	23	
Department of Veterans Affairs (2)	Healthcare Inspections	Assistant Inspector General for Healthcare Inspections	DIG	Separate (1989)	101	\$7.7 mil	59	Statisticians, Doctors/Nurses/ Health Specialists
					103	\$8.3 mil	70	
					112	\$11.2 mil	87	
					125	\$114.0 mil	119	

APPENDIX B: Examples of Recent I&E Reports and Accomplishments

Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
Amtrak	<p>Human Capital Management</p> <p>Amtrak's Infrastructure Maintenance Program</p> <p>Public Funding Provided to European Railroads</p>	<p>Human Capital Management Report. This comprehensive evaluation looked at workforce planning, compensation, retention, recruiting, and organizational issues at Amtrak. With over 25 percent of Amtrak's workforce eligible for retirement within the next 5 years, this is a critically important area. The report identified the need for a comprehensive, corporate-wide human capital strategy to ensure that Amtrak's workforce has the skills it will need in the future.</p> <p>Amtrak's Infrastructure Maintenance Program. This evaluation reviewed Amtrak's infrastructure maintenance practices and compared them to best practices used by European railroads. The report identifies potential savings of up to \$150 million per year if Amtrak were able to adopt European best practices. As part of the evaluation, the evaluation team visited six European railroads to observe best practices directly, accompanied by the senior leadership of Amtrak's Engineering Department.</p> <p>Training and Employee Development. Originally part of the Human Capital Evaluation, this evaluation addressed training and employee development in greater detail. With the increased emphasis by the current administration on high speed and intercity passenger rail, Amtrak's knowledge and expertise are going to be vital to the growth expected. Without good training and employee development programs, Amtrak would not be able to provide the expertise needed, particularly in light of large numbers of pending retirements. The report includes 27 recommendations to improve the effectiveness and efficiency of training and employee development at Amtrak.</p>
Appalachian Regional Commission	<p>Inspection Report on the Appalachian Regional Commission's Grant Management</p>	<p>Inspection Report on the Appalachian Regional Commission's Grant Management. This report evaluates grant management policies and practices and includes recommendations to improve grant management operations.</p>
Commodity Futures Trading Commission	<p>Review of the Agency's Use of Contractors</p> <p>Review of the Agency's Use of GovTrip</p> <p>Review of the Need for a Los Angeles Office</p>	

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Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
<p>Department of Commerce</p>	<p>More Automated Processing by Commerce Bureaus Would Improve Recovery Act Reporting</p> <p>Census 2010: Delays in Address Canvassing Software Development and Testing, Help Desk Planning, and Field Office Deployment Have Increased Operational Risk</p> <p>The Overseas Intellectual Property Rights Attaché Program Is Generally Working Well, but a Comprehensive Operating Plan Is Needed</p>	<p>Evaluation of NOAA's Use of the Best Available Science in Regulating the Northeast Groundfish Industry. This was a comprehensive review of the science used by the National Marine Fisheries Service (NMFS) to set catch limits for the heavily-fished New England commercial fisheries that highlighted the importance of constructive working relationships between Federal agencies and the industries they regulate. Four northeast U.S. Senators requested it. The OIG evaluation report was a critical guide to increase understanding of the history, current condition, and possibilities for improvement in the relationship between NMFS and the northeast groundfish industry. While there will continue to be significant challenges inherent in balancing a sustainable fishery with industry's interests, the findings and recommendations in the OIG report will serve as a basis for dialogue and action in NOAA's efforts to more effectively and cooperatively regulate New England commercial fisheries to ensure the rebuilding of critically-depleted stocks.</p> <p>Series of Quarterly Reports to the Congress on 2010 Decennial Operations. An explanatory statement in the Supplemental Appropriations Act of 2008 required the Census Bureau to submit to Congress a detailed plan and timeline of decennial milestones and expenditures, as well as a quantitative assessment of associated program risks. The OIG is providing quarterly reports on the bureau's progress against this plan. The reports update activities and operations, identify budget and spending issues, and examine risks to the 2010 Census program. These reports have been critical in getting current information to the Congress and Census management.</p> <p>Review of Contracts and Grants Workforce Staffing and Qualifications in Agencies Overseeing Recovery Act Funds. Completed by the Commerce OIG for the Recovery Accountability and Transparency (RAT) Board, this report presented the results of a survey sent to 29 federal agencies that received Recovery Act funds regarding the adequacy of contracting and grants Recovery Act staffing. The survey results showed that the additional workload from the Recovery Act has put a strain on a significant portion of the contract and grants workforce. The report recommended that the agencies continue to closely monitor their staffing of both Recovery Act and non-Recovery Act work and make adjustments as necessary to ensure that all contracts and grants are properly awarded and monitored. Agencies should also assess training and certification issues for their contracting personnel and, in the absence of Government-wide standards for grants management personnel, agencies should establish and enforce their own requirements.</p>

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Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
<p>Department of Defense</p>	<p>Inspection of the Armed Forces Retirement Home (Inspection)</p> <p>Report on the Assessment of U.S. and Coalition Plans to Train, Equip, and Field the Afghan National Security Forces (Systemic Review)</p> <p>DoD Guard & Reserves Safety Survey (Evaluation)</p>	<p>Report on the Assessment of U.S. and Coalition Plans to Train, Equip, and Field the Afghan National Security Forces. CIGIE 2009 Award for Excellence — Multiple Disciplines, Afghanistan and Iraq Assessment Teams. These projects collectively provide oversight on tremendously complex and high-impact operations requiring extensive understanding of the security environment in which the Nation is engaged.</p> <p>Interagency Evaluation of the Section 1206 Global Train and Equip Program. Impact on global security was significant in assessing this new program.</p> <p>DoD Guard & Reserves Safety Survey; DoD Civilian Safety Survey; DoD Active Duty Safety Survey. These projects collectively provide oversight on safety issues which affect not only individual lives, but also the DOD capacity to accomplish its mission. DOD's response to these projects (and its predecessors) has been positive and pervasive.</p>
<p>Department of Education</p>	<p>Inspection to Evaluate the Implementation and Effectiveness of the Department's Procedures in Response to Section 306 of the Fiscal Year 2008 Appropriations Act — Maintenance of Integrity and Ethical Values within the Department</p> <p>Review of the Middle States Commission on Higher Education's Standards for Program Length</p> <p>Review of Federal Student Aid's Enterprise Risk Management Program</p>	<p>Regional Accrediting Agencies Standards for Program Length. This project looked at three of the largest regional accrediting agencies' practices for evaluating program length and the assignment of credit hours. The project was initiated to provide the Department of Education (Education) with information to develop a regulatory definition of a credit hour through negotiated rulemaking. Credit hours are the primary basis for determining the amount of Federal funding a student can receive. We found that none of the accrediting agencies defined a credit hour or provided guidance to peer reviewers on how to evaluate the assignment of credit hours to courses. This information gave Education a basis for its position that a definition of a credit hour was needed because accrediting agencies are not protecting the Federal interest.</p> <p>Review of Federal Student Aid's Enterprise Risk Management Program. The review of Federal Student Aid's (FSA) implementation of enterprise risk management found that in the 4 years FSA had been working to implement enterprise risk management very little had actually been accomplished. This report was timed to be finished as a new Chief Operating Officer (COO) for FSA came on board. The new COO had the information needed to make decisions on reforming FSA's risk management approach.</p> <p>Review of the Office of Postsecondary Education's Actions to Address Talent Search and Educational Opportunity Centers Grantees That Did Not Serve the Number of Participants They Were Funded to Serve in Fiscal Years 2003-07. Our review found that the Office of Postsecondary Education (OPE) was not holding Talent Search and Educational Opportunity Center grantees accountable for meeting the terms of their grant agreements. OPE developed a corrective action plan to begin holding grantees in the two programs accountable for meeting the terms of their grant agreements.</p>

APPENDIX B: Examples of Recent I&E Reports and Accomplishments

Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
<p>Department of Energy</p>	<p>Inspection Report "Removal of Categories I and II Special Nuclear Material from Sandia National Laboratories-New Mexico"</p> <p>Special Inquiry Report "Review of Allegations Involving Potential Misconduct by a Senior Office of Environmental Management Official"</p> <p>Inspection Report "Employment Verification at Savannah River Site"</p>	<p>Internal Controls Over Accountable Classified Removable Electronic Media (ACREM) at Oak Ridge National Laboratory (ORNL). The Department of Energy (DOE) established controls over ACREM (classified data) because the loss of equipment can have serious national security implications.</p> <p>Fire Suppression and Related Services at Los Alamos National Laboratory. The Department made improvements to minimize the risk of the laboratory experiencing a nuclear fire and having the tools to respond to a fire-related incident.</p> <p>Lawrence Livermore National Laboratory Protective Force Authority. The DOE made Department-wide changes to ensure that law enforcement data systems are not used for administrative traffic violations and to strengthen policies and procedures on providing assistance to local law enforcement officials outside of the perimeter of Livermore.</p>
<p>Department of Health and Human Services</p>	<p>Traceability in the Food Supply Chain (OEI-01-06-00210)</p> <p>Aberrant Claims Patterns for Inhalation Drugs in South Florida (OEI-03-08-00290)</p> <p>Inappropriate Medicare Payments for Chiropractic Services (OEI-07-07-00390)</p>	<p>Traceability in the Food Supply Chain. Based on our findings, we recommended that FDA consider seeking additional statutory authority, such as the ability to require each facility that handles a food product to maintain records about every facility or farm that previously handled the product. In its July 2009 report to the President, the Food Safety Working Group — chaired by the Secretaries of HHS and Agriculture — cited this report as evidence of significant gaps in food traceability.</p> <p>State and Local Pandemic Influenza Preparedness: Medical Surge. Based on our findings, we recommended that the Office of the Assistant Secretary for Preparedness and Response (ASPR) should 1) emphasize the importance of identifying and adopting guidelines for altering triage, admission, and patient care during a pandemic, 2) in collaboration with Centers for Disease Control and Prevention (CDC), address the issue of legal protections for medical professionals and volunteers who respond to public health emergencies, and 3) in collaboration with CDC, ensure that States and localities consistently document the lessons learned from preparedness exercises that address medical surge. As a result, ASPR requested that the Institute of Medicine of the National Academies convene a committee to develop guidance that can be used to establish and implement standards of care that should apply in disaster situations under scarce conditions. The committee produced a guidance document in 2009 addressing this topic. ASPR developed a progress report that requires grantees to document lessons learned from preparedness exercises that address medical surge.</p> <p>Power Wheelchairs in the Medicare Program: Supplier Acquisition Costs and Services. This report recommends that the Centers for Medicare and Medicaid Services (CMS) determine whether Medicare's fee schedule amounts for standard and complex rehabilitation power wheelchairs should be adjusted. It states that CMS should consider the following methods for reviewing fee schedule amounts: 1) use information from the Competitive Bidding Acquisition Program to adjust fee schedule amounts; 2) seek legislation to ensure that fee schedule amounts are reasonable and responsive to market changes; and 3)</p>

APPENDIX B: Examples of Recent I&E Reports and Accomplishments

Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
		<p>use the results of this evaluation to determine whether an inherent reasonableness review is appropriate. Congress plays a role in the policy arena of durable medical equipment pricing. Congress granted CMS inherent reasonableness review authority in the 1980s and required CMS to implement competitive bidding in 2003 through the Medicare Modernization Act. However, through MIPPA, Congress delayed the first round of the Competitive Bidding Acquisition Program in June 2008. The Program is now beginning again amidst calls to Congress for its delay and/or termination. The release demonstrates that Congress is paying heed to the report's findings and recommendation. The recommendation includes an option for "determin[ing] whether Medicare's fee schedule amounts for standard and complex rehabilitation power wheelchairs should be adjusted" by "seek[ing] legislation to ensure that fee schedule amounts are reasonable and responsive to market changes."</p>
<p>Department of Housing and Urban Development</p>	<p>Recovery Accountability and Transparency Board Survey of Contracts and Grants Workforce Staffing and Qualifications – Evaluation of Reported Staffing Levels, IED-09-006, March 9, 2010</p> <p>Evaluation of Debt Servicing and Collections, Financial Operations Center, Albany, NY, IED-09-007, March 11, 2010</p> <p>Inspection of the State of Louisiana's Road Home Elevation Incentive Program Homeowner Compliance, IED-09-002, March 18, 2010</p>	<p>Evaluation of Mortgagee Review Board Enforcement. In response to a request from Senator Grassley, Ranking Member, Senate Committee on Finance, the Housing and Urban Development (HUD) OIG conducted an evaluation of Mortgagee Review Board (MRB) enforcement actions in FY 2008. The objectives of the evaluation were to identify the facts related to 10 questions asked by the Senator and provide an independent assessment of the MRB's effectiveness in deterring abuse in Federal Housing Administration (FHA) mortgage lending. The report also provided an independent and updated assessment of the MRB's effectiveness, as questioned by the GAO in its 2004 report on FHA risk management. The statutory mission of the MRB is to protect FHA and its mortgage insurance funds from fraud and program abuses and to deter noncompliance and mortgage lending irregularities. However, as disclosed by the evaluation, the MRB ruled on few cases and often after a lengthy referral process. It sanctioned mostly technical violations of FHA policy. It imposed penalties, but most were without substantive financial consequences to the lenders, and the MRB imposed the strongest sanction of withdrawal, mostly on routine cases of failure to recertify. Unless its enforcement rulings include a much larger referral caseload, the MRB will remain marginal as an effective sanctioning body. There were no recommendations made in this report. This evaluation provided the OIG with an independent assessment of the FHA's oversight of mortgage lenders that had substandard performance (e.g., high default and insurance claim rates). The cited observations were useful for the incoming Administration in understanding the operations of MRB and its responsibilities as the key enforcement body.</p> <p>Evaluation of Debt Servicing and Collections, Financial Operations. We evaluated the efforts of HUD's Financial Operations Center (FOC) in managing FHA debts due HUD as a result of single-family indemnification agreements and civil money penalties (CMP). We wanted to know whether FOC debt servicing and collections complied with applicable Federal laws and regulations. We also wanted to determine the status and assess the collectability of the September 30, 2008, indemnification debt balance of more than \$45.9 million. The FOC debt servicing and collections complied with the intent and requirements of the Debt Collection Improvement Act of 1996 and Federal guidelines, as set forth in 31 CFR 900 and OMB Circular A-129. The FOC serviced the debt in a timely manner, used appropriate collection tools, and referred uncollected cases to the Department of Treasury, as required. Regarding the indemnification balance of \$45.9 million, our analysis disclosed that most of it is old debt that the Office of Housing assigned to the FOC when it assumed collection responsibilities in April 2004. Consequently, it is</p>

APPENDIX B: Examples of Recent I&E Reports and Accomplishments

Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
		<p>likely that most of the indemnification debt balance will not be recovered to offset FHA insurance fund losses. As of September 30, 2009, the debt balance stood at almost \$40.9 million. There were no recommendations made in the report. However, we observed one other matter concerning the tracking of indemnification debt cases by the originating HUD office. We plan to conduct a separate evaluation to determine whether the debt history of lenders is considered when deliberating on future administrative actions. This evaluation provided the OIG with an independent assessment of debt collection and servicing efforts by HUD's FOC. The observations allowed the OIG to comment substantively on FHA proposed policy changes to recover funds that could reduce insurance losses.</p> <p>Inspection of the State of Louisiana's Road Home Elevation Incentive Program Homeowner Compliance. HUD completed an inspection of the State of Louisiana's (State's) Road Home Elevation Incentive (Elevation Grant) Program funded by HUD Community Development Block Grant disaster recovery funds to determine whether homeowners used the funds to elevate their homes as set forth in their grant agreements. The inspection covered 199 (about 10 percent) of the 1,906 property owners who received more than \$44.4 million in elevation grants during the first round of State funding in 2006 and 2007.</p> <p>Inspection results strongly suggest that the Elevation Grant Program is at risk and could fail to achieve its intended goal of reducing homeowner flood risks from future hurricanes. Most homeowners had not elevated their homes, even though they received grants of up to \$30,000 in 2006 and 2007 to pay toward the construction costs. Seventy-nine percent of the homes inspected (158 of 199 properties) were not elevated. These noncompliant homeowners received grant funds exceeding \$3.8 million. More than 29,000 homeowners have now received taxpayer funded checks totaling \$845 million to leverage the cost of elevating their properties.</p> <p>We made four recommendations to address the State's oversight and enforcement of grant terms and to increase homeowner compliance. We plan to revisit the Elevation Grant Program at a future date to review the level of the State's success in reducing noncompliance, achieving intended program goals, and enforcing funds recovery.</p> <p>This inspection provided an opportunity to report on the potential for waste of Federal tax dollars in the State's Elevation Grant Program. The observations and recommendations should "spur" the State to take strong measures to curb abuse and enhance the likelihood that homeowners will use grant funds for their intended purpose.</p>

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Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
<p>Department of Interior</p>	<p>Inspection Report “Bureau of Land Management and Minerals Management Service Beneficial Use Deductions”</p> <p>Inspection Report “Emerald Mountain Land Exchange”</p> <p>Evaluation Report “Bureau of Indian Education School Violence Prevention”</p>	
<p>Department of Justice</p>	<p>Review of the Department of Justice’s Anti-Gang Intelligence and Coordination Centers</p> <p>Review of the Protection of the Judiciary and the United States Attorneys</p> <p>Interim Review of ATF’s Project Gunrunner</p>	<p>A Review of the Department’s (DOJ’s) Anti-Gang Intelligence and Coordination Centers. The Evaluation & Inspection (E&I) Division examined the two gang intelligence and coordination centers that DOJ established in 2006 to combat gang-operated criminal networks in the United States — the National Gang Intelligence Center (NGIC) and the National Gang Targeting, Enforcement, and Coordination Center (GangTECC). We concluded that the two Centers have not significantly improved the coordination and execution of DOJ’s anti-gang initiatives. The OIG made 15 recommendations to improve DOJ’s anti-gang efforts, including considering the merging of the NGIC and GangTECC under common leadership. The project is notable because the two Centers were a cornerstone of DOJ’s anti-gang strategy, but DOJ did not know that the Centers were not operating as originally conceived and little progress had been made on major anti-gang initiatives assigned to the Centers. As a result of E&I’s findings, the Office of the Deputy Attorney General is realigning multiple anti-gang organizations, including the two Centers, to improve information sharing, case development, and prosecutions.</p> <p>Review of the Protection of the Judiciary and the United States Attorneys. The Evaluations and Inspection (E&I) Division examined DOJ’s protection of Federal judges and prosecutors, the third in a series of reviews on the issue. During the past several years, threats and inappropriate communications to Federal judges, U.S. Attorneys, and Assistant U.S. Attorneys (AUSAs) have increased dramatically. Although no Federal judge or AUSA was killed or seriously injured since FY 2003, E&I nevertheless found numerous deficiencies in the U.S. Marshals Services (USMS) and Executive Office for U.S. Attorneys’ responses to threats that affect their ability to protect Federal officials. The OIG made 14 recommendations to improve the protection of Federal judges and prosecutors. These were designed to improve the guidance given to federal judges, U.S. Attorneys, and AUSAs on the need for prompt reporting of threats; ensure that the USMS provides Federal judicial officials with protective measures that are commensurate with the risk level of the threat; and ensure better coordination between the USMS, the U.S. Attorneys’ Offices, and other law enforcement agencies who share responsibility for protecting Federal judicial officials. The project is notable because it continues to highlight serious deficiencies in the protection of judges and other court members, which is a strategic goal of DOJ. The E&I has followed this critical mission area for several years, and this latest project provides additional insights into the management of court member security, which has potential life-and-death consequences.</p>

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Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
		<p>Evaluation and Inspections Report I-2009-006. The E&I Division examined the Bureau of Alcohol, Tobacco, Firearms and Explosives' (ATF's) plans to use Recovery Act funds and other funds to expand Project Gunrunner, ATF's national initiative to reduce firearms trafficking to Mexico. E&I's report concluded that some ATF decisions on where to place new Gunrunner teams did not represent the best use of resources to reduce firearms trafficking. E&I also found that ATF has not hired enough personnel who are proficient in Spanish for the new Gunrunner teams, and program measures that ATF developed are insufficient to fully evaluate the impact the new Gunrunner teams will have on ATF's ability to combat firearms trafficking and related violence along the Southwest border. The project is notable in its timely coverage of an issue that has domestic and international implications. The project provided DOJ with important information about its efforts to alleviate the flow of guns from the United States into Mexico and set the foundation for E&I's continued in-depth review of Gunrunner and working relationships with the Mexican Government.</p>
<p>Department of Labor</p>	<p>Inspection Report — Dallas Office of Audit — This inspection included 1 field office location [OISI]</p> <p>Inspection Report — San Francisco Office of Audit [OISI]</p> <p>Inspection Report — New York Office of Labor Racketeering and Fraud Investigations — This included 6 field office locations [OISI]</p>	<p>Inspection Reports for various regions [OISI]. Over the past few years, OISI identified a number of internal systemic weaknesses in the areas of procurement actions; certification requirements for special agents; security background update requirements for agents; medical examinations requirements for law enforcement officers; property management; and investigative case filing procedures. Based directly on these OISI inspection reports and recommendations, most system weaknesses in these areas were directly addressed with changes in policy directives and/or operational/procedural changes.</p>
<p>Department of State</p>	<p>Review of Voice of America's Deewa Radio Journalistic Controls; Report Number ISP-IB-09-67, July 2009</p> <p>Inspection of Embassy Riyadh and Constituent Posts, Saudi Arabia; Report Number ISP-I-10-19A</p>	<p>Inspection of Embassy Kabul, Afghanistan. Timely and objective reporting in an area of highest priority to the U.S. Government.</p> <p>Inspection of Embassy Baghdad, Iraq. Timely and objective reporting in an area of highest priority to the U.S. Government.</p> <p>Inspection of the Bureau of African Affairs. Improved management and leadership throughout the Bureau, as well as a more effective public diplomacy operation.</p>

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	Review of Locally Employed Staff Compensation Issues; Report Number ISP-I-09-44, March 2009	
Department of Veterans Affairs (1)	Inspection of VA Regional Office Philadelphia, PA	<p>Inspection of VA Regional Office, Anchorage, AK. Congressional interest, field hearings</p> <p>Inspection of VA Regional Office, Roanoke, VA. Media attention</p>
Department of Veterans Affairs (2)	<p>Healthcare Inspection Use and Reprocessing of Flexible Fiber optic Endoscopes at VA Medical Facilities</p> <p>Healthcare Inspection Follow-Up Colonoscopy Reprocessing at VA Medical Facilities</p> <p>Healthcare Inspection Access to VA Mental Health Care for Montana Veterans</p> <p>Healthcare Inspection Community Based Outpatient Clinic Reviews</p> <p>Cambridge and Fort Howard, MD</p> <p>Alexandria, VA and Greenbelt, MD</p> <p>Wilmington and Jacksonville, NC</p>	<p>Healthcare Inspection Use and Reprocessing of Flexible Fiber optic Endoscopes at VA Medical Facilities; Healthcare Inspection Follow-Up Colonoscopy Reprocessing at VA Medical Facilities. At the request of Congress and the Secretary, OHI reviewed three clinical events in which the health of thousands of veterans was put at risk because reusable medical equipment was not properly disinfected. OHI further identified through an unannounced inspection that 47% of facilities were likely not complying with the VA central office instructions on reprocessing this equipment. Congressional hearings were held. OHI followed the hearing with a 100% inspection of medical centers and found one facility not in compliance with central office instructions. This work led to the realization that these processes should be treated as industrial processes requiring proper quality controls and that the VA would benefit from some standardization in process and equipment design. OHI met with FDA and the Secretary on these issues.</p> <p>Healthcare Inspection Access to VA Mental Health Care for Montana Veterans. This report was done at the request of the Montana Senators and examined the access to mental healthcare for returning OIF/OEF veterans to Montana. This analysis used a cohort of veterans who left DOD in FY06 and identified their mental health diagnosis while in DOD and their mental health diagnosis while obtaining care from the VA. The location of VA and contracted mental health care providers was determined. A drive time analysis from the home address of the veteran population to the location of mental healthcare providers was performed and analyzed. The report identified substance use disorders as the mental health disorder that was least available to veterans and facilitated VA actions to address this deficit. This report may encourage VA to contract with community mental health centers to improve access beyond current VA fixed facilities.</p> <p>Healthcare Inspection Community Based Outpatient Clinic Reviews Cambridge and Fort Howard, MD Alexandria, VA and Greenbelt, MD Wilmington and Jacksonville, NC. This is an example of our CBOC reviews of VA owned and contracted facilities. We calculate from patient data, VA outpatient clinic performance data and compare that data, for example on diabetic care, with the data VA calculates for its medical center outpatient clinics. We also review the facilities for compliance with VA directives on quality of care and facility access related issues. We examine the contract and data to support contract payments for those facilities where the medical care is provided under contract. We selected the 40 clinics sites to review from the 800 CBOC clinics to permit a cycle end analysis that compares contracted medical care to</p>

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		<p>VA provided care. We report on contract issues, and find that: data to support payments is often not available, there are best practices in use at selected sites, and that oversight of these contracts is lacking in many locations. This data is made available to VA managers at the time of the inspection to assist in their remediation of these issues. These reports are important in assuring the veterans receive quality care.</p>
<p>Environmental Protection Agency</p>	<p>ENERGY STAR Program Integrity Can Be Enhanced Through Expanded Product Testing</p> <p>Congressionally Requested Inquiry into EPA's Response to a Report of a Leaking Well in North Carolina and the National Response Center Hotline</p> <p>EPA Needs a Better Strategy to Identify Violations of Section 404 of the Clean Water Act</p>	<p>EPA Needs to Accelerate Adoption of Numeric Nutrient Water Quality Standards. EPA's 1998 National Strategy and Plan to promote State adoption of nutrient water quality standards (which better protect aquatic life and human health) was ineffective. In 1998, EPA stated that a critical need existed for improved water quality standards, given the number of waters that were impaired from nutrients. In the 11 years since EPA issued its strategy, half the States still had no numeric nutrient standards. States have not been motivated to create these standards because implementing them is costly and often unpopular with various constituencies. EPA has not held the States accountable to committed milestones. The current approach does not assure that States will develop standards that provide adequate protection for downstream waters. Until recently, EPA has not used its Clean Water Act authority to promulgate water quality standards for States. EPA agreed to adopt a more aggressive approach to setting standards that met the intent of the recommendations.</p> <p>ENERGY STAR Program Integrity Can Be Enhanced Through Expanded Product Testing. Lab testing disclosed almost all of the ENERGY STAR products in our test sample met and, in most cases, exceeded the Program's performance standards. However, selected non- ENERGY STAR products performed comparably to and, in some cases, better than ENERGY STAR products. That level of product performance affects the ENERGY STAR label's image as a trusted national symbol for environmental protection through superior energy efficiency. In addition, the performance results of ENERGY STAR and non-ENERGY STAR products call into question the assumptions used to calculate energy savings and greenhouse gas reductions attributed to this Program. Without an enhanced testing program, including the testing of non-ENERGY STAR products, EPA cannot be certain ENERGY STAR products are the more energy efficient and cost-effective choice for consumers. EPA and DOE have agreed to a new product testing regime.</p> <p>EPA Needs to Improve Continuity of Operations Planning (COOP). EPA has limited assurance that it can successfully maintain continuity of operations and execute its mission-essential functions during a significant national event such as a pandemic influenza outbreak. EPA's COOP policy does not clearly define authorities and responsibilities for continuity planning at all levels of the Agency and has not been updated to reflect current national directives and guidance. EPA lacks internal management controls, including guidance and systematic oversight, to ensure that regional offices have developed continuity plans that meet the requirements of FCD 1. Regional plans generally lack consistency, particularly in the area of mission essential functions, and there was no evidence that EPA Headquarters had reviewed, approved, or commented on the regional plans, their designation, or lack of essential functions. EPA's continuity training and exercises have not prepared the Agency to provide essential services during a significant national event. EPA has not held and does not require any all-employee continuity training.</p>

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		<p>Also, EPA's continuity exercises do not test EPA's ability to execute its mission essential functions following COOP activation. Four out of six regions were contacted and only one program office had conducted internal exercises to test capabilities during a pandemic.</p>
<p>Equal Employment Opportunity Commission (EEOC)</p>	<p>Assessed how well the EEOC assists Federal agencies in meeting selected critical standards for EEO programs</p> <p>Independent Evaluation FISMA</p> <p>HQ Office Relocation — PII and Information Security +B2</p>	<p>Evaluation Regarding Privacy. Agency began to address the issue of two-factor authentication to address the protection of personally identifiable information.</p> <p>Oversight Of Federal Agency Reporting. The Agency Office was able to obtain badly needed management personnel.</p>
<p>Farm Credit Administration (FCA)</p>	<p>2009 Federal Information Security Management Act</p> <p>Distribution, Usage and Control of Purchases and Travel Cards at the Farm Credit Administration</p> <p>FCA's Enforcement Program</p>	<p>Distribution, Usage and Control of Purchases and Travel Cards at the Farm Credit Administration. Inspection resulted in four agreed-upon actions that included: updating purchase card procedures; updating travel policy and procedures; determining whether to place restrictive limitation on cards for travel holders with limited activity, or deactivate the card in periods when not in travel or authorized use; providing officers/directors with a Travel Card Transaction Report showing all charges to individual travel cards.</p>
<p>Federal Deposit Insurance Corporation (FDIC)</p>	<p>The FDIC's Loan Modification Program</p> <p>Controls over Contracts Related to Resolution and Receivership Activities</p> <p>Evaluation of the FDIC's Solicitation and Award of the National Owned Real Estate Management and Marketing Services Receivership Basic Ordering Agreement</p>	<p>Evaluation of Federal Regulatory Oversight of Washington Mutual Bank. Joint evaluation with Treasury Inspector General (IG). Review of the Office of Thrift Supervision and FDIC's supervision of the largest bank to fail in history. Report identifies agency coordination issues and makes recommendations for broader factors to be considered in assessing banks' risk to the FDIC's deposit insurance fund.</p> <p>Evaluation of the FDIC's Role in Monitoring IndyMac Bank. Comprehensive evaluation of the FDIC's efforts to monitor risks at a bank for which the FDIC was insurer, but was not the primary Federal regulator. IndyMac resulted in about a \$9 billion loss to the deposit insurance fund.</p> <p>Controls Over the FDIC's Processing of Capital Purchase Program applications from FDIC Supervised Institutions. Description of achievement: Provided first financial agency IG review of Troubled Asset Relief Program (TARP) CPP funding to banks. Other IGs relied on work and/or used the evaluation approach as a model to conduct their own reviews.</p>

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Federal Reserve Board (FRB)	<p>Material Loss Review of CapitalSouth Bank</p> <p>Report on the Inspection of the Board's Law Enforcement Unit</p> <p>Inspection of Controls for Safeguarding Confidential and Personally Identifiable Information Collected During Bank Examinations</p>	<p>Conducting material loss reviews of failed State member banks. As a result of the financial crisis, a number of banks have failed and will be failing in the near future. In accordance with the Federal Deposit Insurance Act, the OIG of the Board of Governors of the Federal Reserve System is required to conduct a material loss review of any failed State member bank when the loss to the Deposit Insurance Fund exceeds the greater of \$25 million or 2 percent of the bank's total assets. Since December 2008, the I&E unit has been assigned 17 material loss reviews. As of March 2009, the unit has issued 10 reports, all by the mandated deadline. In comparison, the OIG conducted six such reviews between 1994 and 2008.</p> <p>External Oversight of the Board's Law Enforcement Unit. The USA PATRIOT Act of 2001 grants the Federal Reserve Board certain Federal law enforcement authorities. The OIG has been designated to perform the external oversight function for the Board's law enforcement program and operations. The I&E unit is assigned lead responsibility for this function. As such, it provides valuable feedback to the Board on its law enforcement unit's policies, procedures, and controls.</p> <p>Conducting material loss reviews of failed State member banks. As a result of the financial crisis, a number of banks have failed and will be failing in the near future. In accordance with the Federal Deposit Insurance Act, the OIG of the Board of Governors of the Federal Reserve System is required to conduct a material loss review of any failed State member bank when the loss to the Deposit Insurance Fund exceeds the materiality threshold. Between December 2008 and March 2010, the I&E unit was assigned 18 material loss reviews and issued 10 reports, all by the mandated deadlines. In comparison, the OIG conducted six such reviews between 1994 and 2008.</p>
Government Printing Office (GPO)	<p>Final Assessment Report on FDsys IV&V 9th Quarter Report on Risk Management, Issues, and Traceability</p> <p>GPO PKI Certification Practices Statement Conformity with the Federal PKI Common Policy Framework and the GPO Certificate Policy — Attestation Report</p> <p>GPO Network Vulnerability Assessment</p>	

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<p>DHS</p>	<p>The Performance of 287(g) Agreements</p> <p>Management & Oversight of ICE [Immigration and Customs Enforcement] Office of International Affairs Internal Controls of Acquisitions and Employee Integrity Processes</p> <p>Information Sharing at the National Operations Center</p> <p>Selected Personnel Practices at FEMA's Maryland National Processing Service Center</p>	<p>Joint Audit of National Program Funds at the Department of Homeland Security. In collaboration with the OIG, Office of the Director of National Intelligence, we completed an audit of DHS use of National Intelligence Program funds.</p> <p>The Performance of 287(g) Agreements with State and Local Authorities. This report addressed the DHS administration of a highly controversial program, Section 287(g) of the Immigration and Naturalization Act. This program extends immigration authority to State and local law enforcement entities.</p> <p>United States Secret Service After-Action Review of Inaugural Security. This report addresses the strengths and weaknesses of the U.S. Secret Service after-action review of concerns raised in the Washington Post on January 30, 2009, on inaugural security. The sensitivity to inaugural security was particularly heightened because of the historic election of President Obama.</p>
<p>Legal Services Corporation</p>	<p>Review of LSC Travel Outside the Continental United States</p> <p>Reporting Requirements Cost Survey of Independent Public Accountants</p>	
<p>Library of Congress</p>	<p>Inspections of the Jakarta and New Deli overseas offices co-located with embassies.</p>	
<p>National Endowment for the Arts (NEA)</p>	<p>Evaluation of NEA ARRA Data Quality Process (Report I and II)</p> <p>Financial Management System & Compliance (SCE) of University Musical Society</p> <p>SCE of Mosaic Youth Theatre of Detroit</p>	<p>Limited Scope Audit of Commonwealth of Northern Mariana Council for Arts and Culture. Evaluation found the Council did not have a financial management system in place to adequately track, monitor and report accurate and complete costs. Report recommended suspension of NEA grant funds and termination of ARRA funding.</p>

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	SCE of Detroit Symphony Orchestra	
National Labor Relations Board (NLRB)	Bilingual Awards Cost Analysis of Service Decisions and Orders NLRB Credit Union Headquarters Productivity During the Government Closure in February 2010 Restoration of Annual Leave	<p>Restoration of Annual Leave. Our findings question whether 1,447.50 hours of restored annual leave met the statutory requirements for restoration. We also identified abuses in the leave restoration process. Those abuses included an apparent scheme to accumulate the maximum possible leave prior to retirement to receive the maximum lump sum payment upon retirement and restoring leave that was not previously scheduled.</p> <p>Headquarters Productivity During the Government Closure in February 2010 - We found that, on average, 49.6 percent of the Headquarters employees who responded to our survey engaged in work-at-home for about 3.32 hours on any given day of the Government closure. In total, those employees reported working 1,867 hours. Another 6.4 percent of the Headquarters employees reported coming into Headquarters on at least 1 day during the Government closure. Those employees reported working a total of 128 hours</p>
National Science Foundation (NSF)	Audit of NSF's Oversight of Centers Audit of NSF's Resolution and Followup Process for External Audits Audit of NSF's Recovery Act Data Quality Review Process	<p>Audit of NSF's Resolution and Followup Process for External Audits. Opened dialog with NSF to improve its audit resolution program.</p> <p>Series of Alert Memos related to ARRA. Established a "just-in-time" proactive auditing process by which our staff was able to sit in with Agency staff as decisions were being made and raise questions and concerns in real time for consideration and action.</p>
Nuclear Regulatory Commission (NRC)	Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act NRC Safety Culture and Climate Survey Assessment of Security at Nuclear Regulatory Commission Buildings	<p>NRC Safety Culture and Climate Survey. OIG engaged an independent contractor to assess NRC's safety culture and climate, as well as other aspects of employee experience such as employee engagement. This was the fourth time that this OIG has facilitated such an assessment. For purposes of this study, safety culture refers to the complex sum (or whole) of the mission, characteristics, and policies of an organization and the thoughts and actions of its individual members, which establish and support nuclear safety and security as overriding priorities. Climate refers to the current work environment of the Agency. A better understanding of NRC's safety culture and climate will facilitate identification of strengths and opportunities for improvement. Agency program and support offices can use this information to develop action plans, as warranted. This is notable because this effort helps to make NRC rank as the best place to work in the Federal Government.</p> <p>Social Engineering Assessment Report. This was a no-notice evaluation of the agency's ability to</p>

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		<p>withstand a social engineering attack on its networks. It is notable because it showed specific attack vectors that had a high probability of success which the Agency was able to counteract. This effort made the networks harder to successfully attack, thereby making information more secure.</p> <p>Independent Evaluation of NRC's Implementation of the Federal Information Security Management Act. This is a congressionally mandated evaluation of the agency's information network. OIG does not have staff with the requisite training and expertise to conduct this evaluation; consequently, it is done under contract. This effort is notable because it is an annual requirement that has helped the Agency improve its information security over the last decade.</p>
<p>Office of the Director of National Intelligence (ODNI)</p>	<p>Acquisition Oversight</p> <p>Terrorist Watch List Nomination Process</p> <p>Use of Contractors in Support of Critical Missions</p>	<p>Acquisition Oversight. Established requirements, validation policies, and processes for major IC acquisitions; strengthened and expanded ODNI acquisition oversight functions.</p> <p>Railhead congressional response. Established a truth baseline for congressional oversight regarding a once troubled, but now successful enterprise IT program.</p>
<p>Peace Corps</p>	<p>Peace Corps/Morocco Assessment of Medical Care</p> <p>Program Audit of Peace Corps' Volunteer Safety and Security Operations</p> <p>Evaluation of Peace Corps/Turkmenistan</p>	<p>Peace Corps/Morocco Assessment of Medical Care. This assessment represents an example of cross-unit (evaluation and investigations units) collaboration, including work plan development, fieldwork, and report production. The end result represents an impactful report to Peace Corps management regarding the provision of health care to Morocco Volunteers, which was conducted in the aftermath of the death of a Peace Corps Volunteer in Morocco. Recommendations in the report have worldwide implications regarding the way that Volunteer health care is organized and managed.</p> <p>Program Audit of Peace Corps' Volunteer Safety and Security Operations. This assessment represents a major report to the Peace Corps leadership and management regarding how the Agency manages Peace Corps Volunteer safety and security programs. Recommendations have worldwide implications that should lead to improvements in the way volunteer safety and security is organized and managed.</p> <p>Evaluation of Peace Corps/Turkmenistan. This evaluation was conducted for a country program that had experienced a significant level of control or interference on the part of the host-country government; it had also been operating with considerable staffing constraints. This report included specific recommendations for improving program management and focused the attention of both senior headquarters managers and post staff on the need for a growth and management strategy that takes into consideration host country receptivity and staffing and program resource requirements.</p>

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Pension Benefit Guaranty Corporation (PBGC)	<p>FY 2009 Vulnerability Assessment, Penetration Testing, and Social Engineering Report</p> <p>Evaluation of the PBGC's Activities with Respect to its Securities Lending Program</p> <p>Lessons Learned from FY 2007 Financial Statement Audit</p>	<p>FY 2009 Vulnerability Assessment, Penetration Testing, and Social Engineering Report. As a result of this work, in concert with our annual financial statement efforts and required FISMA work, we persuaded PBGC management of the dire situation into which its IT security program had fallen. As a result of our work, the chief information officer (CIO) was replaced and PBGC has begun to move forward with a new and presumably better plan for protecting its data and systems.</p> <p>Evaluation of the PBGC's Activities with Respect to its Securities Lending Program. As a result of this work, PBGC is developing a more effective approach to monitoring this investment activity.</p>
Postal Regulatory Commission	<p>Alternate Work Schedule and Telework Policies</p> <p>Conduct of the Study on Universal Postal Service and the Postal Monopoly</p> <p>[Title TBD pending inspection of handling of data filed under seal]</p>	<p>AWS and Telework Policies. Identified incompatibilities between the Agency's AWS and Telework policies, the correction of which has contributed to increased participation in both programs.</p>
Railroad Retirement Board (RRB)	<p>Audit of Railroad Medicare Integrity Program</p> <p>Audit of General and Application Controls in the Financial Management System (FISCAM)</p> <p>Audit of Internal Control Over Accounts Payable</p>	<p>Audit of Railroad Medicare Integrity Program. This is the first audit of Medicare since FY 1997. Beginning in FY 1997, an appropriations law restriction prohibited the RRB OIG from conducting Railroad Medicare oversight. In December 2007, President Bush signed Pub. L. 110-161, which restored the RRB OIG's oversight authority for Railroad Medicare.</p> <p>Audit of General and Application Controls in the Financial Management System (FISCAM). This audit found that general and application controls are not adequate to ensure proper segregation of duties, least privilege access control, contractor account management, authorized emergency program changes, or consistent password management and implementation. The OIG made 20 recommendations for improvement.</p> <p>Audit of Internal Control Over Accounts Payable. This audit disclosed that internal controls over payments were not adequate to ensure that accounting for non-benefit, non-payroll administrative expenses is complete, accurate, and timely because the controls were either not sufficient or not operating as designed. The OIG made 18 recommendations for improvement.</p>

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Social Security Administration (SSA)	<p>Quick Response Evaluation: Health Information Technology Under ARRA</p> <p>Congressional Response Report: Opportunities and Challenges for SSA</p> <p>Impact of Budget Issues on Social Security Disability Programs</p>	<p>Impact of Budget Issues on Social Security Disability Programs. State budgets have caused furloughs of employees who service SSA clients. This, combined with the increased number of people applying for benefits as a result of the economic downturn, has impacted SSA's disability programs.</p> <p>Congressional Response Report on SSA's IT Strategic Planning. SSA's lack of long range planning for IT negatively impacts the Agency's ability to plan for meeting future workload demands.</p> <p>Quick Response Evaluation: Economic Recovery Act [ERA] Payments for Social Security and Supplemental Security Income Beneficiaries. The report identified potential pitfalls in the protocol SSA used to verify those eligible for payment. These concerns were soon substantiated by numerous media articles on deceased individuals receiving ERA payments.</p>
Special IG for Iraq Reconstruction (SIGIR)	<p>Missan Surgical Hospital</p> <p>Falluja Waste Water Treatment Plant</p> <p>Hammam Al Alil Regional Training Center</p>	<p>Basrah Children's Hospital. SIGIR determined the contractor's design was sufficient to construct the hospital. The sewer system, although adequate, depends on one engineer maintaining 16 pumps the cover 85,000 square meters. Failure of one lift station would shut down the entire system until it is repaired or replaced. The ongoing construction appeared to meet the standards of the statement of work. The contractor's quality control plan was sufficiently detailed to guide the contractor's quality management program. The Government quality assurance program was effective in monitoring the contractor's quality program, and sustainability was addressed in the contract requirements. To date, the project results are partially consistent with the project objective; however, the project results are not consistent with a "state of the art" pediatric specialist hospital with respect to medical equipment and its operation. Several factors have contributed to the escalation of the project's costs and drastically slipping schedule: unrealistic timeframes for design and construction, poor soil conditions of the project site, drastically changing security situation in and around the project site, multiple partners and funding sources, and the Government of Iraq (GOI) not following through on its obligations.</p> <p>Chamchamal Correctional Facility. The objective was to convert the existing fort at Chamchamal into a modern correctional facility with 2,000 medium-security, dormitory-style adult male prison beds and 1,000 high-security cell-style adult prison beds. SIGIR identified several minor construction deficiencies: an incomplete building expansion joint system, a tripping hazard outside the kitchen, and no electrical outlets in the refrigeration room. Aside from these minor construction issues, SIGIR concluded that the construction of the facility was adequate. Even though the construction was done and the facility transferred to Iraq in March 2009, at the time of SIGIR's site visit, the Chamchamal Correctional Facility did not house any prisoners or guards and was not operational. Approximately half of the contractor's warranty for any construction defects had expired without a single prisoner or guard using any of the facilities — sinks, toilets, showers, electrical lights, outlets, etc. In addition, SIGIR identified significant sustainment issues, such as the lack of power, staffing, and an operating budget for the facility. In October 2009, GOI opened the facility with 2,637 inmates and 240 Iraqi correctional officers.</p> <p>Plumbing Repairs at the Baghdad Police College. The objective of the three projects was to repair and replace latrine facilities in eight cadet barracks. The facility was operating at full capability when accepted</p>

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		<p>by the U.S. Government and when transferred to Iraqi operators. However, because of vandalism, theft, and a lack of routine maintenance, the latrine facilities were in a state of disrepair. The deficient plumbing, previously constructed by Parsons Delaware, Inc., resulted in contaminated water leaking from the third floor to the second floor and from the second floor to the ground floor. After unsuccessful attempts to repair the plumbing, the decision was made to de-commission the bathrooms on the top two floors of the eight-cadet barrack to prevent further damage. The repairs were completed and were turned over to GOI. Documents indicated that the buildings were inspected and only minor deficiencies in each of the buildings were noted. However, 6 months later, SIGIR observed significant vandalism; widespread apparent theft of plumbing, heating, and ventilating equipment; lack of repairs; and generally poor maintenance of the latrine buildings. The areas had become potential health hazards.</p>
<p>Tennessee Valley Authority (TVA)</p>	<p>Review of TVA's Operational Performance Results</p> <p>Review of TVA Enterprise Risk Management</p> <p>Review of Contractor's Accounting for the Watts Bar Nuclear Plant Unit 2 Construction</p>	<p>Review of Maintain and Gain Transactions. This review was conducted to determine whether 1) TVA gave anyone preferential treatment in the review and approval of Maintain and Gain transactions and 2) the policies and procedures related to the design and execution of the Maintain and Gain process were adequate. The TVA Board terminated the Maintain and Gain Lakeshore Management Program based on OIG recommendation. In addition, TVA management developed a policy, "Obtaining Things of Value From TVA Protocol," which provides a means to identify the potential of actual or apparent conflicts of interest or the appearance of exertion of undue influence on the part of persons applying for a TVA benefit.</p> <p>Review of the Kingston Fossil Plant Ash Spill Root Cause Study and Observations About Ash Management. This review was conducted to 1) provide an independent peer review of AECOM's root cause analysis and (2) review TVA's ash management for weaknesses. To assist with technical aspects of this review, Marshall Miller & Associates (Marshall Miller) independently peer reviewed TVA's root cause analysis and provided other observations about ash management practices at TVA. The review found that:</p> <p>TVA management handled the root cause analysis in a manner that avoided transparency and accountability in favor of preserving a litigation strategy. TVA elected not to publicly disclose management practices that may have contributed to the Kingston spill.</p> <p>TVA could have possibly prevented the Kingston Spill if it had taken recommended corrective actions. TVA was aware of "red flags" that were raised over a long period of time signaling the need for safety modifications to TVA ash ponds.</p> <p>AECOM overemphasized the "slimes" layer as a trigger for the Kingston Spill. Marshall Miller concluded that factors other than the "slimes" layer may have been of equal or greater significance.</p> <p>Despite internal knowledge of risks associated with ash ponds, TVA's formal Enterprise Risk Management process, which began in 1999, had not identified as management as a risk. While over the years there was internal discussion about placing the ash ponds under the TVA's Dam Safety Program, ultimately, TVA did not place the ash ponds under its Dam Safety Program. Treating the ash ponds like dams would have required more rigorous inspections and engineering.</p>

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		<p>Attitudes and conditions at TVA's fossil fuel plants that emanate from a legacy culture impacted the way TVA handled coal ash. Ash was relegated to the status of garbage at a landfill rather than a potential hazard to the public and environment.</p> <p>Review of TVA's Financial Performance Results. The review was conducted to 1) determine how TVA evaluates and tracks financial performance, 2) determine whether TVA's performance indicators correlate to annual performance goals and TVA's Strategic Plan, and 3) assess TVA's overall performance. In our judgment, TVA's overall financial performance for this assessment period was adequate; however, the Agency faces several significant financial challenges, some of which have recently emerged.</p> <p>Review of TVA's Purchasing Card Program. The review was conducted to identify and assess the operating effectiveness of controls over the TVA Purchasing Card Program and determine if they incorporate identified best practices. The review of TVA's Purchasing Card Program and best practices determined the following:</p> <ul style="list-style-type: none"> Key internal controls were not functioning as intended with regard to 1) the review of purchasing card transactions and their supporting documentation and 2) transactions limits. Certain purchases were made that were disallowed by TVA policy or were questionable in nature. TVA's Purchasing Card Program incorporates some best practices, but key best practices are absent. TVA employees were not reporting all instances of known or suspected waste, fraud, and abuse or violation of the law to the OIG as required by Business Practice 2.
<p>Department of the Treasury IG for Tax Administration</p>	<p>The Program to Protect Hardcopy Personally Identifiable Information Is a Work-in-Progress</p> <p>Inspection of Taxpayer Assistance Centers Finds Most Centers Generally Complied with Established Procedures – Although Security Measures Varied Among the Centers</p>	<p>Pandemic Influenza Planning. The Treasury IG for Tax Administration (TIGTA) provided an interim assessment of the Internal Revenue Services' (IRS's) progress in meeting the requirements listed in Homeland Security Council's checklist (Key Elements of Departmental Pandemic Influenza Plans). We conducted additional work to assess the tests, training, and exercises related to local business continuity plans (using a pandemic scenario); contingencies if a campus or field office had to completely close down due to expected high absenteeism; and the IRS's ability to use telework in the context of a pandemic.. Our review resulted in recommendations in these areas that the IRS agreed to implement.</p> <p>To Prevent the Possible Widespread Abuse of Religious Compensatory Time [RCT], Additional Controls Are Needed. TIGTA found that about 2.6 percent of IRS employees had either a positive or negative RCT balance. Of that number, only 86 had balances that were considered to be excessive. While the issue of excessive RCT balances is not widespread within the IRS, the accumulation of excessive balances increases the risk that RCT may be used for unintended purposes.</p>

