

A Progress Report to the President



President's Council on
Integrity and Efficiency

Executive Council on
Integrity and Efficiency

Fiscal Year 2002

Fiscal Year 2002 Results of OIG Efforts

The work of more than 11,000 employees of the Offices of Inspector General across government produced impressive results during FY 2002. Thousands of audits, investigations, and other reviews offered recommendations that promote economy, efficiency, and effectiveness, as well as prevent and detect fraud, waste, and abuse in Federal programs and operations. These results include:

- Potential savings of nearly \$72 billion.
- Nearly 10,700 successful criminal prosecutions.
- Suspensions or debarments of over 7,600 individuals or businesses.
- Almost 2,200 civil or personnel actions.
- More than 5,700 indictments and criminal informations.
- Over 234,000 complaints processed.
- More than 90 testimonies before the Congress.

These accomplishments reflect the work of the Federal Offices of Inspectors General, whose combined FY 2002 budgets totaled about \$1.5 billion.

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This report was prepared jointly by the Offices of Inspector General of the Federal Deposit Insurance Corporation and the Board of Governors of the Federal Reserve System. Copies of this publication can be obtained by contacting these offices at (202) 416-2026 and (202) 973-5003, respectively. This report is also available on the Inspectors General Web site, at www.ignet.gov.



The members of the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE) are pleased to present *A Progress Report to the President, Fiscal Year (FY) 2002*. In contrast with prior reports, this year's report emphasizes the work and accomplishments of Inspectors General (IG) as a community and communicates our information differently.

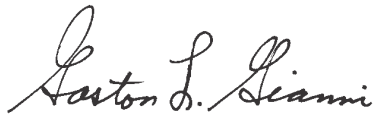
- First, this year's report speaks to the progress the PCIE and ECIE are making in accomplishing their strategic plan. Adopted in May 2001, *A Strategic Framework* provides direction and focus for the IG community and sets the mission, vision, goals, and objectives for the Councils over a 3-year period. The Councils are using this report to highlight the community's numerous accomplishments and ongoing initiatives and showcase its cooperative spirit in collaborating to achieve many of the *Framework's* goals and objectives.
- Second, instead of providing a single year's worth of statistical information that reflects the accomplishments of individual Offices of Inspector General (OIG), this year's report graphically illustrates how the community compares statistically to prior years. The investigative portion of these statistics also incorporates the methodology we began in the FY 2001 report to identify and eliminate duplicate reporting of investigative casework involving multiple IGs.
- And finally, rather than choosing from numerous examples of individual OIG work, Appendix A provides a resource guide that lists OIG work by management initiative. The work is further broken down by individual OIG with page references and Web site addresses.

The report is divided into four distinct sections and several appendices. The first two sections of the report provide an overview of the IG community and its efforts to accomplish strategic goals and objectives. A more high-level discussion on the community's collective efforts to address governmentwide management challenges and the President's initiatives can be found in the third section. The fourth section includes the statistical accomplishments of individual OIGs as well as graphs depicting community efforts over time. The appendices offer additional resource information, including the resource guide and listings of the PCIE and ECIE members.

October 12, 2003, will mark the 25th anniversary of the Inspector General Act. This anniversary affords the community an opportunity to celebrate its many accomplishments. Our mission and the over 11,000 men and women charged with carrying it out make the IG community a significant, positive force for improving the economy, efficiency, and effectiveness of Federal programs and operations; strengthening government accountability and transparency; and preventing and detecting fraud, waste, abuse, and mismanagement. As evidenced in this report,

the OIGs accounted for nearly \$72 billion in potential savings from agency action on current and prior recommendations and investigative recoveries in FY 2002, representing a potential 50-fold return on the taxpayers' \$1.5 billion investment.

The 25th anniversary provides an occasion to reflect on how we can continue to build on our accomplishments. Over the next several months, we are looking to engage the Administration and the Congress in a dialogue to help us best position the IG community for the challenges ahead. As called for in our mission statement, we look forward to fulfilling our roles as "agents of positive change" by addressing the ever-changing challenges our government faces today and in the future.



Gaston L. Gianni, Jr., Vice Chair
President's Council on
Integrity and Efficiency



Barry R. Snyder, Vice Chair
Executive Council on
Integrity and Efficiency

May 1, 2003





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An Overview of the Inspector General Community

Nearly 25 years ago, in October 1978, the Congress enacted and the President signed the Inspector General (IG) Act, creating independent audit and investigative offices in 12 Federal agencies. Derived in part from the the military custom of having an “inspector general” provide an independent review of the combat readiness of the Continental Army’s troops, the IG Act established a framework to foster accountability and integrity in government.

Before the Act was implemented, auditors and investigators were frequently scattered across the programs they were charged with reviewing, making it difficult to ensure independence, foster coordination, or detect patterns of abuse. The IG Act essentially centralized and elevated the audit and investigative organization under an IG, ensuring an independent voice to the agency head, the Congress, and the public, as well as the agency managers and Administration officials who act on IG recommendations.

Because the IG concept contributed significantly over the years to improve government operations, the Act has been amended several times to expand the concept to most of the Federal government. The most significant amendment to the Act came in 1988 with the establishment of IGs in certain independent agencies, corporations, and other Federal entities, commonly referred to as “designated Federal entities.” Today, 57 IGs provide audit and investigative oversight across government.

Mission

In simple terms, IGs have two basic roles—to independently find and report on current problems and to foster integrity, accountability, and excellence in government programs to prevent future problems. IGs meet their specific statutory mission by:

- Conducting and supervising audits, investigations, and inspections relating to the programs and operations of their agencies.
- Reviewing existing and proposed legislation and regulations relating to the programs and operations of their agencies.

- Providing leadership for activities designed to promote economy, efficiency, and effectiveness, and to reduce fraud, waste, and abuse in their agencies’ programs.
- Informing their agency heads and the Congress of problems in their agencies’ programs and operations and the need for and progress of corrective actions.

IGs also value their preventive role as independent “agents of positive change” within their respective agencies. They look to stakeholders for input on projects and areas of interest, typically drawing on these views in developing strategic and annual plans. Except in special circumstances, IGs generally share report drafts with their agencies and respond to agency comments in final reports. IGs also routinely provide “technical advice” on a particular issue or piece of legislation to officials within their agencies and to the Congress. Many IGs also participate as non-voting members of their agencies’ senior councils, and OIG staff frequently provide advice on management policies under development.

In carrying out their responsibilities, IGs report both to the head of their respective agencies and to the Congress. Unique in government, this dual reporting responsibility provides the legislative safety net that protects IG independence and objectivity. During FY 2002, OIGs collectively issued more than 4,600 reports and provided some 90 testimonies before congressional committees. In addition, these OIGs closed more than 30,000 investigations and processed about 234,000 complaints. These various reports include:

Audit Reports. The IG Act requires OIG audits to be performed under auditing standards established by the Comptroller General of the United States. OIG audits evaluate:

- Performance of agency programs and supporting administrative and financial systems.
- Compliance with relevant laws and regulations.
- Opportunities to put funds to better use.

- Fair presentation of agency financial statements in accordance with generally accepted accounting principles.
- Fulfillment of responsibilities to the government by contractors and/or grantees.
- Entitlement of individuals or firms doing business with or receiving benefits from the government.

OIGs devote the bulk of their resources to audits and related services, with the work performed by OIG audit staff, other Federal auditors under cost-reimbursable agreements, or non-Federal auditors under various contracting or partnering arrangements.

Inspection and Evaluation (I&E) Reports. Inspections include policy and program evaluations. Several OIGs use inspections as a quick way to spot test the effectiveness of agency programs or to do a broad review on issues that affect agency programs. The PCIE and ECIE have adopted professional standards to promote the validity and independence of OIG inspections.

Investigation Reports. In accordance with professional guidelines established by the PCIE and ECIE and, in certain cases, guidance from the Department of Justice (DOJ), OIGs investigate both criminal and administrative wrongdoing against agency programs and operations. IGs are empowered to investigate anyone who may have defrauded their agencies' programs, including beneficiaries, contractors or grantees, or Federal officials. IGs are required to report suspected violations of criminal law directly to the Attorney General and work cooperatively with DOJ's United States Attorneys, the Federal Bureau of Investigation (FBI), and other law enforcement agencies on criminal investigations.

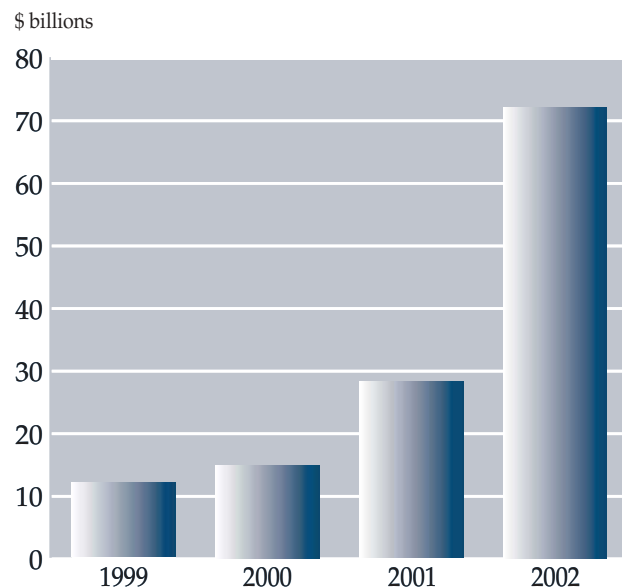
Semiannual Reports to Congress. The IG Act specifically requires IGs to summarize their most significant recent reports—as well as agency management's action on significant IG recommendations—in a semiannual report to the Congress. These reports provide an overview of IG work and contributions.

FY 2002 Results

During FY 2002, IG community efforts accounted for nearly \$72 billion in potential savings from

agency action on current and prior recommendations as well as investigative recoveries. As shown in Figure 1, the potential savings reported in FY 2002 are significantly higher compared to the prior fiscal years. Management agreement on recommendations outstanding at the end of FY 2001 was a significant factor in this increase. Detailed statistics by individual OIG can be found in the tables, beginning on page 22.

Figure 1. Potential Savings from OIG Efforts, FY 1999 through FY 2002



IG Appointments

IGs are selected on the basis of personal integrity and expertise in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations. The IGs serving at Cabinet-level departments and sub-Cabinet agencies are nominated by the President and confirmed by the Senate. These IGs can be removed only by the President, who must communicate the reasons for any such removal to both Houses of the Congress. IGs in designated Federal entities are appointed by the heads of those entities. These IGs can be removed by the entity head, who must notify the Congress of the reasons for removal.

President's Council on Integrity and Efficiency

The presidentially-appointed IGs work together and coordinate their professional activities through the PCIE. This Council, which was created by Executive Order 12301, *Integrity and Efficiency in Federal Programs*, dated March 26, 1981, and later updated in 1986 by Executive Order 12625 and in 1992 by Executive Order 12805, promotes collaboration on integrity, economy, and efficiency issues that transcend individual Federal agencies and seeks to enhance the professionalism and effectiveness of OIG personnel throughout the government.

The Deputy Director for Management of the Office of Management and Budget (OMB) chairs the PCIE and is responsible for reporting to the President on its activities. The Vice Chair—an IG who is recommended by the PCIE members and approved by the Chair—manages the Council's day-to-day activities. In addition to the presidentially-appointed IGs, members include the Controller of OMB's Office of Federal Financial Management; the Special Counsel from the Office of Special Counsel (OSC); the Director of the Office of Government Ethics (OGE); the Deputy Director of the Office of Personnel Management (OPM); the Assistant Director, Criminal Investigative Division for the FBI; and the ECIE Vice Chair. A listing of the PCIE members can be found in Appendix C beginning on page C-1.

Executive Council on Integrity and Efficiency

IGs of designated Federal entities work together and coordinate their professional activities through the ECIE. This Council, created by Executive Order 12805 on May 11, 1992, has the same mission as the PCIE—to address integrity and efficiency issues that transcend individual Federal agencies and enhance professionalism and effectiveness of OIG personnel throughout the government.

OMB's Deputy Director for Management also chairs the ECIE, and the Vice Chair—an IG who is recommended by the ECIE members and approved by the Chair—manages the Council's day-to-day activities. In addition to the IGs, the ECIE includes the Controller of OMB's Office of Federal Financial Management; the Special Counsel of OSC; the

Director of OGE; the Deputy Director of OPM; the Assistant Director, Criminal Investigative Division for the FBI; and the Vice Chair of the PCIE. A listing of the ECIE members can be found in Appendix C.

Council Leadership, Committees, and Work Groups

The PCIE and the ECIE provide leadership to the IG community, reaching across agency boundaries to promote professionalism and coordination among the Councils' membership and provide a forum to speak out on shared concerns. During FY 2002, Mark Everson, OMB Deputy Director for Management, chaired the two Councils. Gaston L. Gianni, Jr., IG, Federal Deposit Insurance Corporation, served as the PCIE Vice Chair, and Barry R. Snyder, IG, Board of Governors of the Federal Reserve System, served as the ECIE Vice Chair.

In 2001, in consultation with the Chair, the PCIE and the ECIE memberships established an Executive Council comprised of the Vice Chairs of the PCIE and the ECIE and the Chairs of the standing committees headed by IGs discussed in Table 1, with at-large members as appropriate. The Executive Council provides corporate leadership for the PCIE and ECIE, centralizes external communications and relationships on behalf of the IG community, compiles and distributes information regarding common priorities, and provides a long-term planning and leadership structure sanctioned by the IG community.

The PCIE, in conjunction with the ECIE, maintains six standing committees to examine important issues and assist the Councils in their ongoing efforts to promote integrity, accountability, and excellence in government. The ECIE has at least one member on each of the standing PCIE committees and forms ad hoc committees as needed. In addition, members of both Councils join together in roundtables and working groups throughout the year to address a wide range of relevant issues, such as government performance, information technology security, and misconduct in research. PCIE members also represent the Council and foster working relationships with the Chief Financial Officers (CFO), Chief Information Officers (CIO), and the Procurement Executive Councils. Table 1

Table 1. Standing PCIE Committees

Committee	Chair	Purpose
Audit Committee	Gregory Friedman IG, Department of Energy	Provides leadership and serves as a resource for the audit community, to include providing oversight to the IG Auditor Training Institute. Works closely with the Federal Audit Executive Council, which is made up of Assistant IGs for Audit, and ad hoc working groups to address audit-related issues.
Human Resources Committee	Nikki Tinsley IG, Environmental Protection Agency	Advocates resource development opportunities for members of the PCIE and ECIE communities and assists in ensuring the development of competent personnel.
Inspection and Evaluation Committee	Johnnie Frazier IG, Department of Commerce	Supports the I&E work of the IG community and shares information about current issues and best practices. Works closely with the I&E Roundtable, which is comprised of Assistant IGs who conduct evaluations and inspections in their respective agencies.
Integrity Committee	Grant D. Ashley Assistant Director, Criminal Investigative Division, Federal Bureau of Investigation	Receives, reviews, and refers for investigation, where appropriate, allegations of wrongdoing by IGs and, in limited cases, IG staff. (Membership and Chair dictated by Executive Order 12993.)
Investigations Committee	Patrick McFarland IG, Office of Personnel Management	Advises the IG community on issues involving criminal investigations, criminal investigative personnel, and criminal investigative guidelines and oversees the IG Criminal Investigator Academy. Works closely with the Investigations Advisory Subcommittee, which is made up of the Assistant IGs for Investigations.
Legislation Committee	Kenneth M. Mead IG, Department of Transportation	Keeps PCIE and ECIE informed about legislative initiatives of interest to the IG community, particularly bills and amendments that would affect IG statutory authority or create new IG responsibilities.

provides an overview of the six standing committees, followed by a brief description of prominent roundtables and working groups.

- **Government Performance and Results Act (GPRA) Roundtable**, led by Nikki Tinsley, IG, Environmental Protection Agency (EPA), fosters and advances management performance and accountability by serving the IG community as catalysts, facilitators, and educators.
- **Information Technology (IT) Roundtable**, led by Robert Cobb, IG, National Aeronautics and Space Administration (NASA), serves as a forum for sharing IT information and best practices among members of the IG community.

- **Misconduct In Research (MIR) Working Group**, sponsored by Christine Boesz, IG, National Science Foundation, educates the IG community about MIR issues and is developing a set of standards for the conduct or oversight of MIR investigations.

The next section highlights Council and Committee accomplishments during FY 2002. More detailed information on PCIE, ECIE, and individual OIG activities is available on IGnet, the Federal IG Web site, at www.ignet.gov.



PCIE and ECIE Accomplishments

On May 29, 2001, members of the PCIE and ECIE adopted *A Strategic Framework* to guide their collective efforts to address governmentwide management challenges and fulfill their mission and responsibilities within their own agencies. The

Framework provides the mission, vision, goals, objectives, and strategies for the Councils to follow over a 3-year period. We are pleased to report by goal the Councils' accomplishments during FY 2002 and highlight the community's ongoing initiatives.

Goal I Improve Federal programs and operations.

Individually, IGs are legislatively mandated to (1) conduct, coordinate, and supervise audits and investigations; (2) detect and prevent waste, fraud, and abuse; and (3) promote economy, efficiency, and effectiveness. As a community, the PCIE and ECIE focused their attention during FY 2002 toward accomplishing the three objectives for improving Federal programs and operations, established in the first goal of the *Framework*.

For FY 2002, the IG community met its goal for improving Federal programs and operations. Given its mission and responsibilities, the IG community will direct its energies toward meeting this goal every year.

Objective: Provide information on cross-cutting management challenges in need of attention from the Congress, the Administration, and others.

- As has been the case over the last 4 years, the PCIE and ECIE have compiled information reported by the OIGs to reveal management challenge trends facing our government. This compilation is useful in highlighting significant cross-cutting issues and identifying possible governmentwide projects warranting high-level attention and review. The most recent compilation of the government's management challenges can be found on page 14 of this report.
- Under the leadership of the IT Roundtable, the PCIE and ECIE issued the second report of a 4-part effort addressing critical infrastructure protection within the Federal government. This report, prepared by the NASA OIG, summarized the work of 13 OIGs, focusing on their respective agencies' planning and assessment activities for critical, physical infrastructure assets. Continuing into the third phase of this effort, 16 OIGs are examining their agencies' implementation of plans to protect critical cyber-based infrastructures. The results of this review will be reported in FY 2003.
- In response to a request from the Chairman, Senate Committee on Governmental Affairs, the Vice Chairs compiled a list of reports issued by members of the IG community related to critical security concerns. This listing highlighted security issues reported by the IG community over a 5-year period.
- Initiated by the EPA OIG, the Environmental Compendium project was a collaborative effort of the PCIE to develop an information database that identifies the Federal departments and agencies with programs that contribute to the overall protection of the environment. The result is a searchable database listing 29 Federal agencies that share responsibility for environmental goals. This database can be used as a tool to plan and perform audits and evaluations as individual or joint OIG efforts. This tool will also be useful to anyone seeking information on the various Federal entities that contribute to environmental outcomes.
- The GPRA Roundtable provides an avenue for representatives from about 40 Federal agencies to interact with prominent experts and gain perspectives from the Administration, the Congress, and government think tanks and hear best practices on government performance and accountability. During FY 2002, the Roundtable produced information on competitive sourcing by the IG

community and analyzed OMB's new Program Assessment Rating Tool (PART).

Objective: Work together to effectively address common vulnerable management challenges.

- The Audit Committee led the Federal audit community in key initiatives to facilitate implementation of the President's Management Agenda. Through the Federal Audit Executive Council, the Committee worked collaboratively with the CFO Council to address the acceleration of the financial statement audit and reporting process. In addition, the Committee formed a joint work group with the CFO Council to focus on the issue of erroneous payments within the Federal government. One of the products from this group was a paper that defined the problem, highlighted possible causes, and offered suggestions and recommendations to address the problem. Sub-work groups examined indicators and benchmarks for dealing with this problem and processes for determining erroneous payment rates. This joint work group, co-chaired by the Department of Education IG, will continue to monitor this issue. These products can be found on both the IG community and CFO Council Web sites, www.ignet.gov and www.cfoc.gov, respectively.
- With leadership from the Social Security Administration OIG, the Audit Committee also initiated a project to review agency controls over Social Security numbers. The results of this review, expected in 2003, have relevance for urgent national concerns, such as homeland security and identity theft. Fifteen OIGs participated in this review.
- During FY 2002, misuse of government purchase and travel cards was prevalent across government. In addition to conducting their individual reviews, nine OIGs, under the auspices of the I&E Committee, built on the work of the Departments of Education and Commerce OIGs and published *A Practical Guide to Reviewing Government Purchase Card Programs*. This guide was designed to serve as an adjunct to individual agency purchase card review programs and aid the IG community in addressing the increasingly important issue of purchase card use and abuse. It also serves as an excellent example of how OIGs work collectively to promote

efficiency and effectiveness throughout the Federal government. The guide is available via CD-Rom and on the Internet at www.ignet.gov.

- Many OIGs, in accordance with the Government Information Security Reform Act (GISRA), reported on the extent of management controls over the security of their agency's information resources. To support the community's efforts in this area, the IT Roundtable hosted a conference for the IG and CIO communities to hear from OMB, the General Accounting Office (GAO), law enforcement, and the National Institute for Standards and Technology on GISRA implementation. Later in the year, the FDIC OIG sponsored a conference to provide the CIO and IG communities with an update on the July 2002 OMB guidance for complying with GISRA.
- The IT Roundtable is also exploring ways for OIGs to assist in the event of threats to the nation's cyber infrastructure. The Roundtable was represented on the Cyber-Interagency Working Group, which was created by the President's Critical Infrastructure Protection Board to consider such threats. The IT Roundtable has organized three working groups to coordinate with the audit, investigative, and other OIG professionals to assist in activity planning and leadership.
- Over the past year, the MIR Working Group concentrated its efforts on providing members of the IG community with technical guidance to oversee their agencies' efforts to implement research misconduct policies. As a result, the Group produced the *Agency Research Misconduct Implementation Checklist* to highlight key issues that OIGs should review to assess the integrity of agency-led efforts. The Group also developed a working paper titled, *Application of Civil/Criminal Statutes to Research Misconduct Cases*, which assists OIGs in adequately assessing criminal or civil issues that may arise from a research misconduct investigation. Both products are available on www.ignet.gov.

Objective: Provide information annually on the OIGs' efforts to address operational and program improvements.

- As discussed in PCIE and ECIE's annual report, *A Progress Report to the President, FY 2001*, the IG community accounted for over \$28 billion

in saved and recovered funds and was instrumental in over 7,600 successful prosecutions, suspensions or debarments of nearly 8,800 individuals or businesses, and more than 2,000 civil or personnel actions. This report reflected the results of an IG community project, under the direction of the Investigations Committee, to eliminate the potential for duplicative reporting of joint casework among OIGs. In addition, this report highlighted the contributions of the dedicated OIG employees who assisted in the work related to the September 11 tragedy.

- The IG community held its annual conference on April 23–24, 2002, with its theme focusing on “Challenges of a New World.” The conference provided the community an opportunity to collaborate on various initiatives, hear enriching speeches from high-level Administration officials and Members of the Congress, and exchange pertinent and valuable information. The Treasury IG for Tax Administration and the National Labor Relations Board OIG partnered together to host this conference.

Goal II

Communicate reliable and timely information to maintain public confidence in the OIG community.

In the current environment, demands for timely and responsive information are increasing. The PCIE and ECIE have recognized these demands and, during FY 2002, have sought opportunities to share the results of the community's efforts and educate our stakeholders by keeping them apprised of our initiatives and accomplishments.

The IG community met its goal to communicate reliable and timely information to maintain public confidence during FY 2002. Over the next year, the community will build upon these efforts to further enhance its communications and outreach.

Objective: Create a PCIE and ECIE public information function to give voice to the Councils and the OIG community.

- For the most part, the Councils’ Vice Chairs serve as the public information voice of the Councils. On February 15, 2002, the PCIE Vice Chair testified before the House Government Reform Subcommittee on Government Efficiency, Financial Management and Intergovernmental Relations to offer the overall IG community perspective on

the President’s Management Agenda. However, IGs are expected to be the public information voice to address issues of national importance related to their agencies. During FY 2002, individual IGs fulfilled this role by testifying 90 times before congressional committees.

- *The Journal of Public Inquiry*, a semiannual publication of the IG community, continued to address issues and topics important to its audience. The Fall/Winter edition focused on the war on corruption and the Spring/Summer edition reflected on the horrors of September 11 and shared personal accounts of that tragic day. The Treasury IG for Tax Administration served as the *Journal’s* editor-in-chief. These and other editions of *The Journal of Public Inquiry* can be found on www.ignet.gov.
- The PCIE Vice Chair hosted several delegations of foreign visitors who had a common interest in learning about issues affecting government integrity. In addition to receiving pertinent documents, the visitors were educated on the purpose and intent of the IG Act, the role of IGs as impartial advocates for better government, and the purpose and identity of the PCIE and ECIE. A copy of the general presentation is available on www.ignet.gov.

Objective: Create a voice for informing and educating the Congress, Administration, and the public about the PCIE and ECIE and OIG roles and responsibilities, initiatives, projects, accomplishments, and results.

- Over the past few years, members of the Investigations and Legislation Committees have met with key congressional staff members from the House and Senate oversight committees to brief them on the importance of statutory law enforcement authority and provide supplemental information. Using this information, Senators Fred Thompson (R-TN) and Joseph Lieberman (D-CT) and Representatives Dan Burton (R-IN) and Henry Waxman (D-CA) played critical roles in the passage of this legislation. Statutory law enforcement authority becomes effective in May 2003.
- Over the past year, the Legislation Committee has been considering whether, in light of the 25th anniversary of the IG Act, legislative modifications are needed to enhance the IG community's operations and effectiveness. The issues the Committee is exploring include PCIE and ECIE codification and IG reporting requirements. As appropriate, these legislative issues may be raised with the 108th Congress.
- The PCIE created an Inspector General Task Force to advise and assist OMB in addressing operational, management, and budgetary matters during the consideration of the Homeland Security Act of 2002. Given the importance of oversight during the transition of various agency components, this task force helped sort through various issues and raised insightful matters for further consideration.

- Over the past year, the I&E Committee provided outreach to private and other public sector groups, and revised its Web site to help its outreach efforts. This liaison work has included presentations to the Association of Government Accountants, the American Evaluation Association, the Eastern Evaluation Research Society, and other professional organizations.
- Throughout the country and in a variety of forums and professional associations, IGs or their senior executives shared knowledge and experiences in various conferences and workshops, presenting information on audit, investigative, inspection, evaluation, and government integrity issues and best practices.

Objective: Establish a centralized clearinghouse for legislation, key documents, and commentaries of concern to the IG community.

- IGnet is the most readily available link to the IG community. In addition to serving as a central clearinghouse for key PCIE, ECIE, and OIG reports, statistics, publications, and other information, IGnet serves as a springboard to electronically connect with the Federal OIGs and the issues they are addressing.
- The Legislation Committee serves as the central coordinating point for legislative issues affecting the community. Last year, the Committee sent out over 30 legislative alerts to systematically inform the OIGs about legislative developments within the Congress and policy issues within the Administration.

Goal III

Advocate and implement human resource development programs that will aid in the recruitment and retention of a corps of well-trained and highly skilled OIG staff members.

The IG community recognizes that the more than 11,000 auditors, investigators, evaluators, and other employees are its most critical resource. The PCIE transformed its Professional Development Commit-

tee into the Human Resources Committee to focus its attention on exploring innovative and effective human resource management programs to better serve the IG community. The Committee, which

began its efforts in 2002, will serve as the central coordinating body for this effort, with other groups within the IG community continuing to focus on education and professional development.

The IG community substantially met its human resources goal to advocate and implement programs to maintain a well-trained and highly skilled employees. The community will continue to enhance its existing programs and look to develop programs in the OIG management and succession planning areas.

Objective: The PCIE and ECIE will establish and improve professional staff development programs.

- During FY 2002, the Inspectors General Auditor Training Institute (IGATI) successfully completed 60 training classes and conducted 17 agency-specific training programs, involving over 1,400 students. At the end of September 2002, the Institute closed its doors at Ft. Belvoir after 10 years at that location in suburban Virginia, and re-located to its new state-of-the-art training center in Rosslyn, Virginia. The new center is multi-use and includes offices for instructors and administrative staff, three classrooms, one large computer lab, three breakout rooms, and a library with Internet access. The PCIE Audit Committee oversees IGATI operations and its annual budget of about \$1.2 million. IGATI is self-funded with its revenue coming from student tuition fees.
- FY 2002 was also a productive year for the IG Criminal Investigator Academy. In addition to conducting 32 classes attended by 616 students, the Academy developed three new training programs and began coordination of computer security and investigations training through Sytex, Incorporated and the Defense Computer Investigations Training Program. The Academy also worked with a number of OIGs to provide and/or coordinate agency-specific training to meet their unique needs. These training programs ranged from a one-day arrest techniques refresher program in the Washington, D.C. area to the 4-week special agent basic training programs in Glynco, Georgia. Finally, the Academy continued to work closely with the Federal Law Enforcement Training Center to provide investigative professionals to support the Center's specialized training programs. The PCIE Investigations Committee serves as the Academy's Board of Directors and sets policies, approves budgets, and authorizes staffing. The Academy has an annual budget of \$2.5 million, which is funded by assessments paid by and contributions of staff from the IG community.
- The I&E Roundtable continued to sponsor training programs unique to the inspection and evaluation activities of the community. Over the past 2 years, about 120 OIG staff members have attended courses in effective writing, evaluation skills, statistics, questionnaire design and survey techniques, and evaluation skills and analysis. The Roundtable is currently working with IGATI to expand its training opportunities for the I&E portion of the community.
- The Human Resources Committee continued a tradition of hosting high-impact and well-attended professional development forums. During FY 2002, the forums addressed an interesting range of topics including whistleblower protection, government credit card use, government ethics, performance management, and the President's Management Agenda.
- The IT Roundtable hosted Mark Forman, OMB Associate Director for Information Technology and E-Government, to discuss the President's electronic government (E-Government) Initiative and the IG's role in ensuring that the initiative is implemented effectively.
- As part of its strategy to identify and promote innovation in recruiting and improvement in the skill sets of OIG professionals, the Human Resources Committee undertook a benchmarking survey to identify, codify, and document the generic skill sets of the IG community. Ideally, the Committee anticipates using this information to better develop training courses sponsored by IGATI, the Investigator Academy, and others. The final results of the survey should be issued in 2003.
- During the annual PCIE and ECIE awards program held in the fall of 2002, the community recognized 850 individuals for their outstanding performance and commitment to fulfilling the IG

mission. Specifically, the community recognized four individuals for their outstanding career accomplishments and 96 individuals or teams for excellence in audit, investigation, evaluation, law and legislation, management, and administrative areas. During the program, Mark Everson, OMB Deputy Director for Management, emphasized the President's deep commitment to improving government management. "The Inspectors General, as our frontline defense against waste, fraud, and abuse, are a critical component of accountability in government." FBI Director Robert Mueller, who was the ceremony's keynote speaker, paid special thanks to the many IG staff who assisted in the response to the World Trade Center and Pentagon attacks and

continue to contribute to the prevention of future attacks.

Objective: Develop a model for management development and succession planning programs.

- Based on the benchmarking survey discussed earlier, the President's Management Agenda, and other factors impacting government administration, the Human Resources Committee has initiated discussions with the Federal Executive Institute and other institutions to develop a management curriculum for the IG community focusing on leadership, systems, and results. The Committee is continuing its efforts on this project into 2003.

Goal IV

Foster and advance the professional image and effectiveness of the IG community.

The PCIE and ECIE provide leadership to the IG community and reach across agency boundaries to promote professionalism and coordination within the community. The Councils also provide a mechanism for sharing concerns, which may involve specific IG interests or the goals of preventing fraud, waste, and abuse in the executive branch. During FY 2002, the Councils continued their efforts to maintain and advance the effectiveness, professionalism, and integrity of the IG community.

The IG community met its goal for advancing its professionalism and effectiveness. Many of the efforts initiated during FY 2002 will become standard practice in the way the Councils interact and operate over the next year.

Objective: Enhance the management system for the Councils to allow the IG community to perform in an effective and timely manner.

- In accordance with *A Strategic Framework*, the Executive Council provided corporate leadership, centralized external communications, compiled and distributed information regarding

common priority areas across the IG community, and provided long-term planning. The membership of the current Executive Council consists of the Vice Chairs of the PCIE and ECIE, who are appointed by the Council Chairs, Chairs of Committees under IG leadership, and one at-large member. The Executive Council met quarterly during FY 2002.

- As created by Executive Order, the Integrity Committee receives, reviews, and investigates, where appropriate, administrative (non-criminal) allegations of wrongdoing by IGs and, in certain cases, senior OIG staff. During FY 2002, the Integrity Committee reviewed 28 new complaints and processed and brought to closure 24 separate complaint matters, which included cases opened in previous years but not closed until FY 2002. Of the 24 cases closed, the Committee determined that 20 were outside its purview and referred them to other agencies for consideration. Two were unsubstantiated, one case was substantiated, and one case was closed administratively. The Committee also supervised one investigation into allegations of misconduct by OIG personnel. The investigation was closed as a result of a settlement agreement.

Objective: Develop and keep current PCIE and ECIE orientation programs for new and current IGs on issues facing the IG community.

- The IG holds a unique position within the Federal government. While some newly appointed IGs may have experience in the IG community, others come into the position without a working knowledge of the issues and challenges they are about to face, and could benefit greatly from the insights and knowledge of experienced IGs. To that end, the IG Academy initiated and conducted two one-day orientation seminars for new IGs. The program featured discussions on the IG Act and its requirements, agency and congressional relations, and operational issues associated with leading an IG office. These seminars will be continued as new IGs enter the community.
- Over the years, many IGs have discovered the use of inspections and evaluations to be an effective tool. During FY 2002, the I&E Committee Chair and members of the I&E Roundtable offered to assist new and sitting IGs who were interested in establishing I&E units within their office. Approximately 20 OIGs now have evaluation or inspection units.

Objective: Establish and maintain professional standards for OIG operations where needed.

- The Audit Committee revised and updated the *Guide for Conducting External Quality Control*

Reviews of the Audit Operations of Offices of Inspector General. This guide presents the standards and detailed guidance for conducting external quality control reviews of OIG audit operations. The revised guide was updated to incorporate standards, laws, regulations, and other directives affecting OIG audits through February 2002. To ensure accessibility throughout the community, these revised “peer review” guidelines are housed on www.ignet.gov.

- The Investigations Committee, through its Investigations Advisory Subcommittee, formed a working group to draft a *Guide for Conducting Qualitative Assessment Reviews for Investigative Operations of Inspectors General*. Once implemented, the use of this external peer review guide by OIGs to review the investigative practices of other OIGs will be unlike any other process in the traditional Federal law enforcement community. Implementation of the peer review process is planned for FY 2003.
- The Audit Committee developed OIG audit peer review schedules for the FY 2003-2004 cycle. The Investigations Committee is developing a similar schedule for OIG investigative offices.

The next section discusses the community’s collective efforts to address governmentwide management challenges and the President’s initiatives.



Addressing Government Challenges and the President's Initiatives

The Federal government continues to encounter challenges and obstacles to good government. This past year, the efforts to combat terrorism, the impact of adverse economic conditions on our society, and the efforts to improve the management and performance of the agencies and departments have placed an increasing strain on the efficiency, effectiveness, and integrity of our government. The IG community is aware of the ever-changing government environment, and during the past fiscal year, has continued to identify and assist agencies in addressing key challenges dealing with financial and program performance, information technology and security, human capital, procurement and grant management as well as the on-going challenge of securing the homeland, critical infrastructure, and the public from future terrorist actions.

Additionally, the top management challenges identified by the IG community closely correlate with the President's Management Agenda, which targets five governmentwide reform initiatives. These initiatives include: human capital management, competitive sourcing, improving financial performance, expanded electronic government, and budget and performance integration as well as the added emphasis on homeland security activities. The goal of the President and his Administration through these initiatives is to achieve a more responsible and responsive government that is citizen-centered, results-oriented, and market-based.

With their focus on activities that promote governmentwide efficiency and effectiveness, the PCIE and ECIE annually compiled these management challenges into a short report. This effort began in December 1997, when congressional leaders asked Federal IGs to identify "the 10 most serious management problems" in their agencies. This request became a yearly process that was eventually codified into law with the enactment of the Reports Consolidation Act of 2000, which required agencies to include their OIG's list of significant management and performance challenges in their annual performance and accountability reports. This compilation identifies for the Congress and others responsible for overseeing government activities possible governmentwide matters that warrant high-level attention and review. The management issues compiled by the IG community that present challenges for the near future are as follows:

- Information Technology Management
- Financial Management and CFO Statements
- Performance Management, Measurement and Accountability
- Human Capital and Staffing
- Procurement and Grant Management
- Homeland Security
- Service to the Public

Information technology and financial management rank high as the key challenges agencies must confront, according to the IG community. Addressing performance and human capital management as well as procurement and grant matters are also priorities. Understanding that agencies need assistance in tackling these challenges, the IGs are committed to working with their respective agencies to provide suggestions for addressing these issues.

The top management challenges for each agency are reflected in Table 2. Appendix A of the report provides additional references to the respective OIG semiannual reports for the past year that reflect individual OIG work related to the President's Management Agenda and homeland security. These semiannual reports contain additional details on each OIG's activities to address their respective agency challenges, as well as other statistical information on their audit and investigative efforts.

Managing Information Technology and Protecting our Infrastructures are Critical for Homeland Security

The terrorist events of September 11, 2001 have not only raised the awareness of our vulnerabilities but increased our focus on securing our homeland from future possible events. On November 25, 2002, the President signed into law the Homeland Security Act of 2002, creating the new Cabinet-level Department of Homeland Security (DHS). The creation of this new department was called for to bridge the communication and accountability gaps that previously existed among Federal agencies and programs

by, among other things, creating a central point to analyze terrorist information and protect our critical infrastructure.

The Inspector General community recognizes that securing the nation's information and critical infrastructure is essential to economic and national

security. During FY 2002, the IG community devoted much attention to the government's information technology and physical infrastructures to determine the risks and vulnerabilities related to unauthorized access, vandalism, equipment failures, human error, weather and other natural causes, and cyber-attacks.

Table 2. Agency Management Challenges Most Frequently Identified by Various Offices of Inspector General, as of February 2003

Agency	Information Technology Management	Financial Management & CFO Statements	Performance Management & Accountability	Human Capital	Procurement & Grant Management	Homeland Security	Service to the Public
AID	X	X	X	X	X		
DOC	X	X	X		X		
DOD	X	X		X	X	X	
DOE	X		X		X	X	
DOI	X	X	X		X	X	
DOJ	X	X	X	X	X	X	
DOL	X	X	X	X	X		
DOS	X	X	X	X		X	
DOT	X	X	X	X	X	X	X
ED	X	X	X	X	X		
EEOC	X	X	X	X	X		
EPA	X		X	X	X	X	
FCA	X	X	X	X			
FCC	X	X			X	X	
FDIC	X	X	X	X	X	X	X
FEMA	X	X	X	X	X	X	X
GPO	X		X	X		X	X
GSA	X		X	X	X	X	X
HHS	X	X			X	X	X
HUD	X	X	X	X	X		X
INS	X	X		X		X	X
IRS	X	X	X	X		X	X
NASA	X	X	X	X	X		
NLRB	X	X	X	X			X
NRC	X	X	X	X	X	X	X
NSF	X	X	X	X			
OPM	X	X	X	X		X	X
SBA	X	X	X	X	X		
SSA	X	X	X	X		X	X
Treasury	X	X	X			X	
USDA	X	X			X	X	X
USPS	X	X	X	X	X	X	X
VA	X	X	X	X	X		X
TOTAL	33	29	28	26	23	21	16

IT Security Evaluations

IGs continue to report information technology and security as a top management challenge and have also considered physical infrastructure protection as a priority. To assist agencies in addressing this challenge, IGs conducted annual independent evaluations of their agencies' information security programs and practices as part of GISRA, which codified and reiterated existing security policies and responsibilities. Although GISRA expired in November 2002, these information security evaluations conducted by the OIGs will continue as required by the Homeland Security and E-Government Acts of 2002, which incorporated the provisions of the Federal Information Security Management Act (FISMA). Additionally, as noted in the prior section, the PCIE issued a report to the Chairman, Senate Committee on Governmental Affairs, during FY 2002, which provided a list of almost 300 reports issued or work performed by the OIGs over the last 5 years related to critical infrastructure security concerns in their respective departments and agencies.

Critical Infrastructure Protection

The PCIE and ECIE also are continuing to collaborate on a four-phase review of Federal agencies' implementation of the President's Executive Order calling for a national effort to ensure the security of critical infrastructures. During FY 2002, in the second phase of these reviews, several OIGs reported over 140 recommendations to their respective agencies to improve their protection of critical physical infrastructure assets. A consolidated report was also sent by the PCIE and ECIE to the OMB Director, the Office of Homeland Security, and the President's Critical Infrastructure Protection Board, as noted in the prior section.

The IG community's IT Roundtable serves as a forum for sharing, coordinating, and disseminating best practices information on IT issues affecting its members. Information on OIG activities related to securing the homeland and protecting the public's health and safety is provided in the individual semiannual reports of each OIG. Appendix A provides references to homeland security (page A-1) and information technology (page A-3) activities reported in the OIGs' semiannual reports.

Financial Information Needs to be More Timely, Reliable, and Useful for Sound Decision-making

The Administration continues to emphasize that financial information needs to be more timely, reliable, and useful to enable agency and other government officials to make sound decisions regarding the expenditure of monies on government programs and functions. Since the enactment of key legislation during the 1990s to improve Federal financial management, OIGs have acquired a more central role in identifying financial management and accounting system weaknesses.

CFO Act Audits

OIGs conducted audits on FY 2001 financial statements, as required for 24 CFO Act agencies, and issued 18 unqualified or "clean" opinions. In FY 2002, the number of CFO agencies receiving "clean" opinions, which were issued by an earlier due date than in the past, increased from 18 to 21. The Department of the Treasury and Social Security Administration received clean audits within 45 days of the end of the fiscal year, meeting a governmentwide goal 2 years early. Agencies also included their annual performance reports with their audited financial statements.

Although not all agencies have received clean opinions, improvements in financial management continue to be made. However, not all of these agencies met Federal Financial Management Improvement Act (FFMIA) mandates such as complying with the Standard General Ledger and other accounting system requirements. Further, much more needs to be done to improve the quality, timeliness, and usefulness of financial information as well as the financial information systems themselves. Over the years, our experience shows that for some agencies, attainment of a clean opinion is a fragile and somewhat artificial achievement because it results from extraordinary end-of-year efforts and may not reflect a reliable and constant accounting operation.

The Administration's emphasis on accelerating the reporting requirements over the next few years, to eventually require in 2004 an audited financial statement within 45 days after the end of the fiscal year, could be a significant challenge for some agencies.

Additionally, the Accountability of Tax Dollars Act of 2002 extends the requirement for audited financial statements to about 78 more Federal agencies beginning in FY 2003. As previously mentioned, the CFO and IG communities are working together to address these emerging issues. For example, the PCIE Audit Committee worked collaboratively with the CFO Council to focus on accelerating the financial statement audit and reporting process.

Erroneous Payments

The IG community is also addressing other financial management-related issues such as erroneous payments, purchase and travel card use, and other financial matters. The IG community and CFOs are conducting a joint project to determine the extent of erroneous payments and identify ways to address this almost \$30 billion problem. Together, a white paper and framework for action titled *Improper and Erroneous Payments in the Federal Government* have been issued and posted on the respective CFO and IG Web sites, www.ignet.gov and www.cfoc.gov, to describe the different kinds of erroneous payments, identify causes, and suggest improvements to prevent such payments from occurring.

Purchase and Travel Card Abuse

Purchase and travel card abuse by employees in the Federal government as identified through OIG audits has received much Congressional and media attention. To aid other OIGs and their agencies in reviewing their purchase card programs, the PCIE I&E Committee developed and published *A Practical Guide to Reviewing Government Purchase Card Programs*. The guide is available on the Internet at www.ignet.gov. This Committee also is preparing a best practices report for assessing agencies' travel card programs.

Additional information on various OIG financial management activities is available on the individual OIG Web sites and semiannual reports as noted in Appendix A (page A-6).

Performance Measurement and Accountability Must Be Integrated with the Budget

In a survey conducted by the Association of Government Accountants and *Government Executive*

magazine last year, more than 800 senior government executives and Federal managers indicated that they would like more access to information that ties costs to performance. Although Federal departments and agencies have developed plans and reported on their performance as required by GPRA, this information has not always been aligned or included in their budget submissions to OMB.

To do this, OMB used its PART to analyze 234, or 20 percent of Federal programs that account for nearly \$500 billion in annual government spending, and found that half of the agencies could not demonstrate meaningful results. The Administration's goal of improving program results while controlling costs will continue to receive increased focus through further integration of budget and performance analyses.

GPRA Implementation

The IG community continues to consider GPRA implementation, accountability, and linkage of budget to performance as significant agency challenges. As noted in Appendix A (page A-12), much work has been performed by the OIGs in the budget and performance initiative. Many of the OIGs have made the assessment of GPRA-related performance measures a standard part of their work, and have identified areas for improving performance budgeting and data verification and validation, streamlining time-tracking systems, simplifying tracking of product and service costs, and making other enhancements to the performance management framework. Agencies will also need to upgrade their financial and program information systems to generate the appropriate information for fully integrating their budget and performance programs.

Additionally, through the GPRA Roundtable, the IG Councils have engaged their members and others in meetings and forums for sharing current information on government performance and accountability, as well as for exchanging ideas and other related information. As previously discussed, the GPRA Roundtable provides an avenue for representatives from about 40 Federal agencies to interact with prominent experts and gain perspectives from the Administration, the Congress, and government think tanks and hear best practices on government performance and accountability. During FY 2002, the Roundtable offered suggestions for OMB's consideration when implementing PART.

Federal Human Capital Challenges are Mounting and Need Attention

Looming retirements and recruitment and retention obstacles, as well as changing employee development and payroll processes, have made this area a major challenge for the Federal government. Additionally, the establishment of the DHS and integration of functions, responsibilities, and approximately 170,000 personnel from 22 agencies, including certain OIGs, will continue to affect human resource needs for Federal agencies and departments over the coming years. The Administration is addressing this risk by asking each agency to develop a viable human resource strategy to attract and retain the right people, in the right places, and at the right time.

During the last year, as noted in Appendix A (page A-10), over half of the OIGs conducted work in this area. These OIGs reported that agencies could address their human capital issues through workforce skills and competency assessments, benchmarking against other Federal or private sector organizations, succession planning, innovative recruitment and hiring approaches, improved training opportunities and techniques, adoption of appropriate workplace tools, and other workforce planning strategies.

Members of the IG community agree that human capital management is a major challenge not only for their respective agencies but also for their internal organizations. As discussed in the prior section, the PCIE has also aligned its committee structure by establishing a Human Resources Committee to create and implement innovative and effective human resource management programs within the community.

Continued Oversight of Procurement and Competitive Sourcing Practices is Needed

Increased emphasis is being placed by the Administration on creating competition between Federal and private sources for certain tasks that are readily available in the commercial marketplace, such as administrative support, certain aspects of facilities

management, and payroll services. Under the Federal Activities Inventory Reform (FAIR) Act, agencies and the OIGs are identifying functions that could be performed by the private sector. With this emphasis on “market-based” government, the OIGs’ independent assessment of agency contracting activities takes on added importance. As a result, the OIGs continue to identify procurement and grant management as a major management challenge and have performed extensive work in this area as noted in the competitive sourcing section of Appendix A (page A-14).

The IG community, through its audit and investigative work to review government procurements and processes, has noted that generally, the Federal government has been lax in its contractor oversight. A significant portion of the questioned costs and funds to be put to better use reported by the OIGs in their audit reports pertained to poor contractor oversight that resulted in excessive and unnecessary costs as well as fraudulent billing schemes. Additionally, OIG investigative work continues to confirm the vulnerability of programs to general contract fraud and embezzlement, and has resulted in the recovery of billions of dollars. Appropriate internal controls and effective oversight must be in place to ensure that the goods or services are not only meeting the needs of the government and the public, but that they are provided in the most cost-effective and efficient manner.

Government Must Continue to Improve Services to the Public

Under the Government Paperwork Elimination Act (GPEA), executive agencies must move toward more E-Government transactions. The purpose of GPEA is not simply to replace paper transactions with electronic ones, but to help agencies improve operations, achieve cost savings, and develop adequate controls to prevent fraud, waste, and abuse. According to OMB, E-Government is increasingly becoming the principal means by which Americans are engaging with our government for services and information. Over 60 percent of all Internet users interact with more than 31 million Federal Web pages on 22,000 government Web sites, and this number is growing. In 2002, the Pew Foundation reported that 68 million Americans have used government Web sites, up from 40 million reported in

2000. In December 2002, the President signed a bill that established an E-Government office and authorized \$345 million to fund 22 interagency technology initiatives over 4 years.

OIGs across the Federal government agree that electronic technology can be used efficiently and effectively to improve services to the American taxpayer, and have begun reviewing E-Government initiatives with a view toward ensuring that appropriate controls are in place to safeguard the government's sensitive data and critical systems. The IG community plays a vital role in overseeing the government's management of information technology and the resources dedicated to E-Government. The OIGs also recognize that the growth of Web access and E-Government, the availability of electronic access under the Freedom of Information

Act (as amended by the Electronic Freedom of Information Act), and the implementation of GPEA will further increase demands for online records and services. Appendix A (page A-3) provides a list of OIGs that have reported on E-Government activities as well as other IT-related projects during the past fiscal year.

The following section of the report includes the statistical accomplishments of the IG community during FY 2002 as well as graphic illustrations that show how we compare to prior years. Historically, we have provided this information for individual OIGs. This is the first time we have provided comparative illustrations.



OIG Statistical Accomplishments

The tables on the following pages demonstrate the impact the OIGs have in their agencies and summarize key accomplishments for FY 2002, using statistics submitted from the reporting OIGs, as well as graphs comparing results from prior years. In most cases, the statistical data reported are defined by the IG Act, 5 U.S.C. app. § 5, by which the Congress established uniform reporting categories for each IG's semiannual report to the Congress. Because of data limitations or features peculiar to individual OIGs, some variations occur, as explained in the accompanying footnotes.

For the second year in a row, the investigative statistics cited in this report were consolidated using

a methodology designed to identify and eliminate duplicate reporting of casework involving multiple IGs. By using this methodology, the statistics reported in the following tables for many OIGs will differ from those same investigative statistics in the OIGs' semiannual reports to the Congress. As in the past, these statistics include the efforts of the OIGs when their investigations are conducted jointly with traditional law enforcement agencies such as the FBI, U.S. Secret Service, U.S. Postal Inspection Service, or state and local law enforcement agencies.

Table 3. FY 2002 Performance Profile
Summary of Combined Accomplishments of PCIE and ECIE Members

Recommendations That Funds Be Put to Better Use	\$15,153,564,400
Recommendations Agreed to by Management: Funds For Better Use (includes decisions on open recommendations from FY 2001)	\$64,899,592,469
Questioned Costs	\$3,007,702,351
Recommendations Agreed to by Management: Questioned Costs	\$2,419,882,927
Successful Criminal Prosecutions	10,690
Indictments and Criminal Informations	5,769
Civil Actions.....	573
Suspensions/Debarments.....	7,684
Personnel Actions.....	1,624
Investigative Receivables and Recoveries	\$4,625,139,413

Funds For Better Use

The IG Act defines a recommendation that funds be put to better use as follows:

“a recommendation by the Office that funds could be used more efficiently if management of an establishment took actions to implement and complete the recommendation, including (1) reductions in outlays; (2) de-obligations of funds from programs or operations; (3) withdrawal of interest subsidy costs on loans or loan guarantees, insurance, or bonds; (4) costs not incurred by implementing recommended improvements related to the operations of the establishment, a contractor, or grantee; (5) avoidance of unnecessary expenditures noted in pre-award reviews of contractor grant agreements; or (6) any other savings which are specifically identified.”

For FY 2002, including Defense Contract Audit Agency (DCAA) audits performed in agreement with OIGs or agencies, PCIE member agencies recommended that approximately \$15 billion be put to better use; ECIE member agencies recommended that approximately \$127 million be put to better use.

As shown in Figure 2, the IG community as a whole recommended about \$15.2 billion could be put to better use in FY 2002.

In FY 2002, PCIE member agency management agreed with approximately \$64.9 billion in recommendations that funds be put to better use; ECIE member agency management agreed with nearly \$30 million in recommendations that funds be put to better use. For FY 2002, Figure 2 shows that management agreed with IG recommendations of about \$64.9 billion in funds that could be put to better use. This amount is significantly higher compared to prior fiscal years, primarily because management agreed during FY 2002 on recommendations outstanding at the end of FY 2001.

Recommendations for funds to be put to better use can be resolved without an actual monetary recovery or reduction in outlays. In many cases, it will be possible for management to take other corrective action to remedy or remove the condition that led to the auditor’s finding. Consequently, the totals reported in this category will not typically represent monetary savings to the Treasury in like amount.

Figure 2. IG Recommendations That Funds Be Put to Better Use and Related Management Decisions, FY 1999 through FY 2002

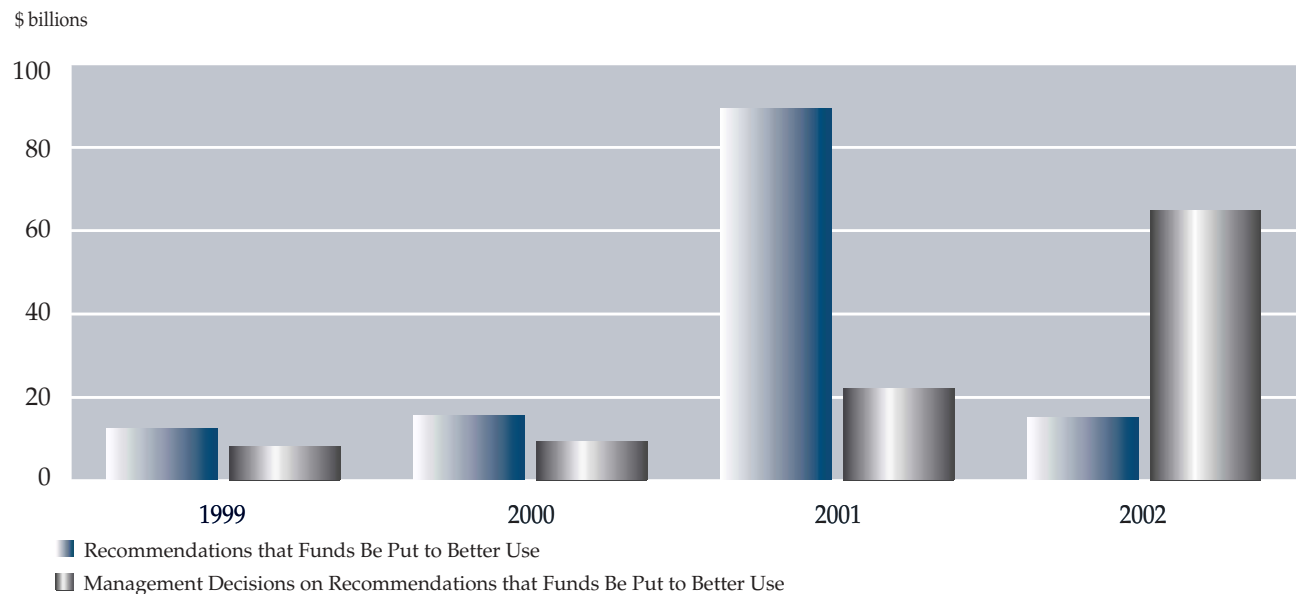


Table I-P. PCIE—Recommendations That Funds Be Put to Better Use

Agency	OIG	DCAA ¹	Total
AID (Agency for International Development)	\$1,692,962	\$0	\$1,692,962
CNCS (Corporation for National and Community Service)	\$1,607,000	\$0	\$1,607,000
DOC (Department of Commerce)	\$13,464,884	\$0	\$13,464,884
DOD (Department of Defense) ²	\$1,152,843,723	\$3,238,016,000	\$4,390,859,723
DOE (Department of Energy)	\$5,326,108,324	\$0	\$5,326,108,324
DOI (Department of the Interior)	\$32,541,821	\$0	\$32,541,821
DOJ (Department of Justice)	\$17,003,866	\$0	\$17,003,866
DOL (Department of Labor)	\$200,000	\$0	\$200,000
DOS (Department of State and the Boardcasting Board of Governors)	\$13,241,000	\$0	\$13,241,000
DOT (Department of Transportation)	\$1,335,971,000	\$0	\$1,335,971,000
ED (Department of Education)	\$0	\$0	\$0
EPA (Environmental Protection Agency) ³	\$19,478,829	\$0	\$19,478,829
FDIC (Federal Deposit Insurance Corporation)	\$3,134,116	\$0	\$3,134,116
FEMA (Federal Emergency Management Agency)	\$1,354,098	\$0	\$1,354,098
GSA (General Services Administration)	\$224,243,899	\$0	\$224,243,899
HHS (Department of Health & Human Services)	\$1,010,692,000	\$0	\$1,010,692,000
HUD (Department of Housing & Urban Development)	\$527,670,000	\$0	\$527,670,000
NASA (National Aeronautics and Space Administration)	\$1,400,000	\$175,088,000	\$176,488,000
NRC (Nuclear Regulatory Commission)	\$0	\$0	\$0
OPM (Office of Personnel Management)	\$0	\$0	\$0
RRB (Railroad Retirement Board)	\$0	\$0	\$0
SBA (Small Business Administration)	\$2,812,368	\$0	\$2,812,368
SSA (Social Security Administration)	\$159,426,816	\$0	\$159,426,816
Treasury (Department of the Treasury)	\$728,942,000	\$54,217,000	\$783,159,000
TIGTA (Treasury IG for Tax Administration)	\$68,138,502	\$0	\$68,138,502
TVA (Tennessee Valley Authority)	\$83,911,678	\$0	\$83,911,678
USDA (Department of Agriculture)	\$63,814,786	\$2,049,653	\$65,864,439
VA (Department of Veterans Affairs)	\$767,100,000	\$0	\$767,100,000
TOTALS	\$11,556,793,672	\$3,469,370,653	\$15,026,164,325

1. DCAA figures include forward pricing proposals and operations audits.

2. DOD figures include forward pricing proposals and operations audits of DOD and all other agencies except NASA.

3. EPA figures include \$19,456,000 that is not in OIG audit followup systems, since EPA management took action prior to report issuance.

Table I-E. ECIE—Recommendations That Funds Be Put to Better Use

Agency	OIG	DCAA	Total
Amtrak	\$2,906,254	\$0	\$2,906,254
ARC (Appalachian Regional Commission)	\$134,000	\$0	\$134,000
CFTC (Commodity Futures Trading Commission)	\$0	\$0	\$0
CPB (Corporation for Public Broadcasting)	\$0	\$0	\$0
CPSC (Consumer Product Safety Commission)	\$0	\$0	\$0
EEOC (Equal Employment Opportunity Commission)	\$0	\$0	\$0
FCA (Farm Credit Administration)	\$49,000	\$0	\$49,000
FCC (Federal Communications Commission)	\$0	\$0	\$0
FEC (Federal Election Commission)	\$0	\$0	\$0
FHFB (Federal Housing Finance Board)	\$0	\$0	\$0
FLRA (Federal Labor Relations Authority)	\$0	\$0	\$0
FMC (Federal Maritime Commission)	\$0	\$0	\$0
FRB (Federal Reserve Board)	\$0	\$0	\$0
FTC (Federal Trade Commission)	\$20,252	\$0	\$20,252
GPO (Government Printing Office)	\$332,512	\$0	\$332,512
ITC (International Trade Commission)	\$21,380	\$0	\$21,380
LSC (Legal Services Corporation)	\$0	\$0	\$0
NARA (National Archives and Records Administration)	\$34,700	\$0	\$34,700
NCUA (National Credit Union Administration)	\$0	\$0	\$0
NEA (National Endowment for the Arts)	\$0	\$0	\$0
NEH (National Endowment for the Humanities)	\$0	\$0	\$0
NLRB (National Labor Relations Board)	\$0	\$0	\$0
NSF (National Science Foundation)	\$444,103	\$0	\$444,103
PBGC (Pension Benefit Guaranty Corporation)	\$0	\$0	\$0
PC (Peace Corps)	\$988,000	\$0	\$988,000
SEC (Securities and Exchange Commission)	\$150,000	\$0	\$150,000
SI (Smithsonian Institution)	\$1,016,328	\$0	\$1,016,328
USPS (U.S. Postal Service)	\$119,989,418	\$1,314,128	\$121,303,546
TOTALS	\$126,085,947	\$1,314,128	\$127,400,075

Table II-P. PCIE—Management Decisions on Recommendations That Funds Be Put to Better Use

Agency	No Management Decision Start of FY 2002	Recommendations Issued in FY 2002	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2002
AID	\$30,502,022	\$1,692,962	\$1,566,757	\$30,228,227	\$400,000
CNCS	\$56,000	\$1,607,000	\$56,000	\$0	\$1,607,000
DOC ¹	\$6,549,846	\$13,464,884	\$11,991,352	\$2,785,499	\$9,904,829
DOD ^{2,3}	\$4,208,313,000	\$4,390,860,000	\$1,967,912,000	\$1,264,323,000	\$5,366,938,000
DOE	\$1,474,913,983	\$5,326,108,324	\$1,983,750,706	\$1,063,369,338	\$3,753,902,263
DOI ⁴	\$78,606,045	\$32,541,821	\$25,643,462	\$0	\$85,504,404
DOJ	\$13,278,982	\$17,003,866	\$26,593,955	\$0	\$3,688,893
DOL	\$2,533,180	\$200,000	\$1,736,244	\$107,381	\$889,555
DOS	\$1,541,000	\$13,241,000	\$0	\$0	\$14,782,000
DOT	\$49,702,000	\$1,335,971,000	\$827,271,000	\$14,302,000	\$544,100,000
ED	\$10,300,000	\$0	\$0	\$10,300,000	\$0
EPA ⁵	\$33,403,000	\$19,478,829	\$0	\$29,964,000	\$3,591,000
FDIC	\$0	\$3,134,116	\$0	\$1,574,698	\$1,559,418
FEMA	\$41,702,409	\$1,354,098	\$8,859,438	\$232,014	\$33,965,055
GSA ⁶	\$59,054,883	\$220,478,795	\$221,054,509	\$1,401,537	\$57,077,632
HHS ⁷	\$63,457,651,000	\$1,010,692,000	\$56,166,857,000	\$0	\$8,301,486,000
HUD	\$7,757,000	\$527,670,000	\$1,274,000	\$26,000	\$534,127,000
NASA ⁸	\$576,596,000	\$176,488,000	\$258,113,750	\$130,303,250	\$364,667,000
NRC	\$0	\$0	\$0	\$0	\$0
OPM	\$0	\$0	\$0	\$0	\$0
RRB	\$520,000	\$0	\$0	\$520,000	\$0
SBA	\$0	\$2,812,368	\$742,600	\$5,400	\$2,064,368
SSA	\$18,147,920	\$159,426,816	\$161,581,654	\$15,986,682	\$6,400
Treasury	\$79,000	\$783,159,000	\$730,023,000	\$47,185,000	\$6,030,000
TIGTA	\$98,409	\$68,138,502	\$28,238,333	\$39,998,578	\$0
TVA	\$335,250	\$83,911,678	\$51,013,137	\$24,666,791	\$8,567,000
USDA ⁹	\$161,239,622	\$65,864,439	\$166,313,900	\$257,049	\$60,544,370
VA	\$1,492,700,000	\$767,100,000	\$2,229,000,000	\$10,500,000	\$20,300,000
TOTALS	\$71,725,580,551	\$15,022,399,498	\$64,869,592,797	\$2,688,036,444	\$19,175,702,187

1. DOC totals do not equal because resolution may result in values greater than the original recommendations.

2. DCAA results for DOD include forward pricing proposals and operations audits of DOD and all other agencies except NASA. Therefore, the results of audits reported by DCAA and management decisions on DCAA audit recommendations may be reported by more than one OIG.

3. DOD ending balance reported in the FY 2001 report was \$5,662,139,000. Beginning balance for FY 2002 is adjusted for contracts not awarded and revised findings and recommendations.

4. DOI beginning figure reduced by \$400,485,559 primarily to eliminate local non-Federal funds for DOI insular area governments.

5. EPA ending balance reported in the FY 2001 report was \$31,911,486. Beginning balance of FY 2002 adjusted to \$33,403,000. Recommendations of \$19,326,000 issued in FY 2002 were resolved external to the agency's resolution system.

6. GSA's figure for recommendations issued in FY 2002 differs from the figure reported in Table I-P due to recommendations removed from the resolution process pending litigation.

7. HHS beginning balance for FY 2002 is adjusted as a result of amended management decisions. Total includes statistical accomplishments of the OIG's Office of Evaluation and Inspections.

8. NASA's ending balance reported in the FY 2001 report was \$465,326,000. NASA's beginning balance for FY 2002 adjusted to reflect: (1) OIG adjustment to include \$617,000 reported in questioned costs that should have been in funds put to better use and (2) DCAA adjustments for contracts not awarded and revised audit findings and recommendations. For the OIG dollars issued this year, the amount is \$176,488,000 rather than the \$176,478,000 as printed in the semiannual.

9. USDA figures reflect a variance of \$11,258 between beginning and ending balances because of inclusion of excess amounts.

Table II-E. ECIE—Management Decisions on Recommendations That Funds Be Put to Better Use

Agency	No Management Decision Start of FY 2002	Recommendations Issued in FY 2002	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2002
Amtrak	\$3,022,495	\$2,906,254	\$5,928,749	\$0	\$0
ARC ¹	\$248	\$134,000	\$134,248	\$0	\$0
CFTC	\$0	\$0	\$0	\$0	\$0
CPB	\$0	\$0	\$0	\$0	\$0
CPSC	\$0	\$0	\$0	\$0	\$0
EEOC	\$0	\$0	\$0	\$0	\$0
FCA	\$0	\$49,000	\$49,000	\$0	\$0
FCC	\$0	\$0	\$0	\$0	\$0
FEC	\$0	\$0	\$0	\$0	\$0
FHFB	\$0	\$0	\$0	\$0	\$0
FLRA	\$0	\$0	\$0	\$0	\$0
FMC	\$0	\$0	\$0	\$0	\$0
FRB	\$0	\$0	\$0	\$0	\$0
FTC	\$0	\$20,252	\$20,252	\$0	\$0
GPO	\$675,000	\$332,512	\$332,000	\$0	\$675,512
ITC	\$0	\$21,380	\$21,380	\$0	\$0
LSC	\$0	\$0	\$0	\$0	\$0
NARA	\$467,628	\$34,700	\$425,000	\$42,628	\$34,700
NCUA	\$0	\$0	\$0	\$0	\$0
NEA	\$0	\$0	\$0	\$0	\$0
NEH	\$0	\$0	\$0	\$0	\$0
NLRB	\$0	\$0	\$0	\$0	\$0
NSF	\$50,000	\$444,103	\$50,000	\$0	\$444,103
PBGC	\$0	\$0	\$0	\$0	\$0
PC	\$0	\$988,000	\$0	\$988,000	\$0
SEC	\$0	\$150,000	\$150,000	\$0	\$0
SI	\$480,169	\$1,016,328	\$199,864	\$292,763	\$1,003,870
USPS	\$48,541,290	\$121,303,546	\$22,689,179	\$19,034,657	\$128,121,000
TOTALS	\$53,236,830	\$127,400,075	\$29,999,672	\$20,358,048	\$130,279,185

1. ARC ending balance reported in the FY 2001 report was \$2,166,000. Beginning balance of FY 2002 revised to reflect adjustment for report closed upon issuance.

Questioned Costs

The IG Act defines a questioned cost as

“a cost that is questioned by the Office because of (1) an alleged violation or provision of law, regulation, contract, grant, or cooperative agreement, or other agreement or document governing the expenditure of funds; (2) a finding that at the time of the audit, such cost is not supported by adequate documentation; or (3) a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable.”

During FY 2002, including DCAA audits performed in agreement with OIGs or agencies, PCIE member agencies questioned costs of approximately \$2.8 billion, while ECIE member agencies tallied approximately \$250 million in questioned costs.

In total, FY 2002 questioned costs totaled about \$3 billion.

For FY 2002, PCIE member agency management agreed with approximately \$2.2 billion in questioned costs; ECIE member agency management agreed with approximately \$261 million in questioned costs. Combined, agency management agreed with about \$2.4 billion of PCIE and ECIE recommendations.

Questioned costs can be resolved without an actual monetary recovery or reduction in outlays. In many cases, it will be possible for management to take other corrective action to remedy or remove the condition that led to the auditor’s finding. Consequently, the totals reported in this category will not typically represent monetary savings to the Treasury in like amount.

Figure 3. Questioned Costs and Related Management Decisions, FY 1999 through FY 2002

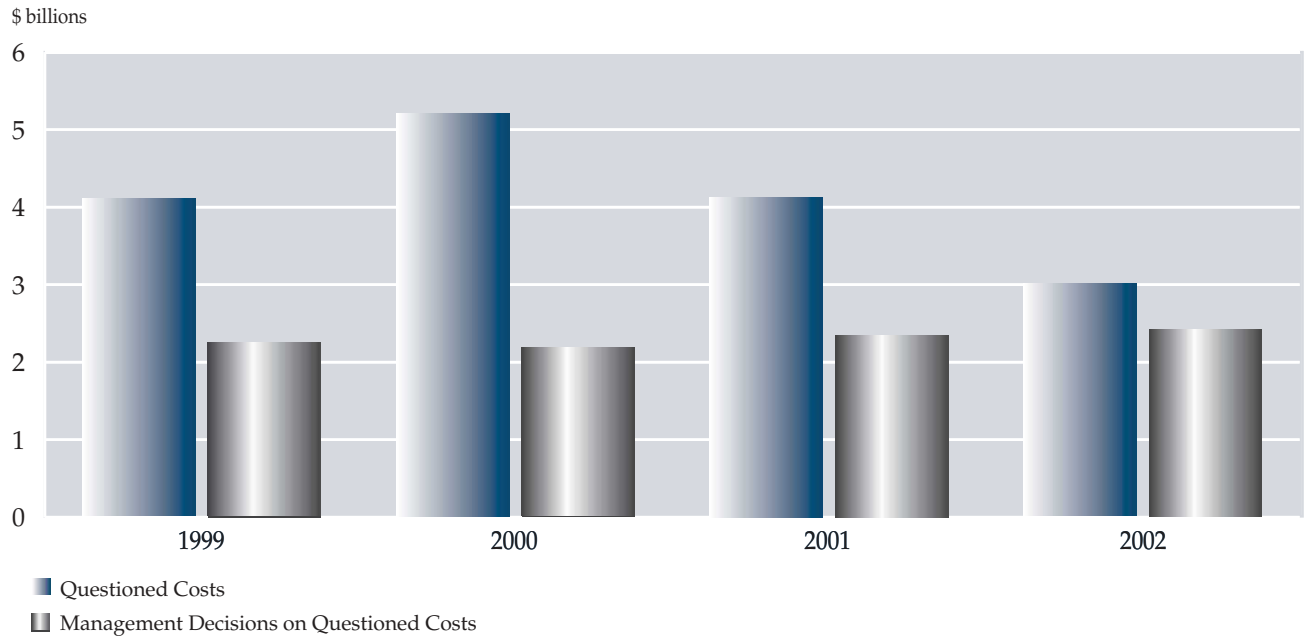


Table III-P. PCIE—Questioned Costs

Agency	OIG	DCAA ¹	Total
AID	\$12,046,395	\$10,343,370	\$22,389,765
CNCS	\$23,369,000	\$0	\$23,369,000
DOC	\$16,744,909	\$0	\$16,744,909
DOD ²	\$0	\$1,173,996,000	\$1,173,996,000
DOE	\$25,753	\$0	\$25,753
DOI	\$17,147,169	\$0	\$17,147,169
DOJ	\$33,496,181	\$0	\$33,496,181
DOL	\$44,600,148	\$0	\$44,600,148
DOS	\$4,267,000	\$0	\$4,267,000
DOT	\$134,217,000	\$0	\$134,217,000
ED	\$93,115,338	\$0	\$93,115,338
EPA ³	\$8,839,220	\$7,042,569	\$15,881,789
FDIC	\$606,995	\$0	\$606,995
FEMA	\$31,687,368	\$2,550,342	\$34,237,710
GSA	\$1,793,543	\$0	\$1,793,543
HHS	\$774,715,000	\$22,000	\$774,737,000
HUD	\$22,494,000	\$0	\$22,494,000
NASA	\$0	\$72,889,000	\$72,889,000
NRC ⁴	\$89,654	\$314,667	\$404,321
OPM ⁵	\$128,873,099	\$0	\$128,873,099
RRB	\$0	\$0	\$0
SBA	\$13,882	\$0	\$13,882
SSA	\$15,551,282	\$0	\$15,551,282
Treasury	\$0	\$2,064,000	\$2,064,000
TIGTA	\$729,703	\$1,675,465	\$2,405,168
TVA	\$5,595,836	\$0	\$5,595,836
USDA	\$91,053,479	\$66,899	\$91,120,378
VA	\$25,200,000	\$0	\$25,200,000
TOTALS	\$1,486,271,954	\$1,270,964,312	\$2,757,236,266

1. DCAA figures include incurred cost, Cost Accounting Standards, and defective pricing.

2. DOD figures include incurred cost, Cost Accounting Standards, and defective pricing of DOD and all other agencies except NASA.

3. EPA totals include \$1,639,220 that is not in follow-up system.

4. NRC's \$89,654 in questioned costs relates to a GSA contract.

5. OPM's \$128,873,099 includes \$63.9 million that resulted from audit reports and investigative efforts. This \$63.9 million also is reported in the Table X. PCIE and ECIE—Receivables and Recoveries from Successful Investigations, but is included only once in calculating potential IG community savings.

Table III-E. ECIE—Questioned Costs

Agency	OIG	DCAA	Total
Amtrak	\$27,591,884	\$0	\$27,591,884
ARC	\$38,000	\$0	\$38,000
CFTC	\$0	\$0	\$0
CPB	\$343,622	\$0	\$343,622
CPSC	\$0	\$0	\$0
EEOC	\$0	\$0	\$0
FCA	\$196,000	\$0	\$196,000
FCC	\$4,104,813	\$0	\$4,104,813
FEC	\$0	\$0	\$0
FHFB	\$0	\$0	\$0
FLRA	\$0	\$0	\$0
FMC	\$0	\$0	\$0
FRB	\$1,341,196	\$0	\$1,341,196
FTC	\$0	\$0	\$0
GPO	\$169,210	\$0	\$169,210
ITC	\$0	\$0	\$0
LSC	\$0	\$0	\$0
NARA	\$0	\$0	\$0
NCUA	\$0	\$0	\$0
NEA	\$0	\$0	\$0
NEH	\$0	\$0	\$0
NLRB	\$9,263	\$0	\$9,263
NSF	\$1,464,612	\$0	\$1,464,612
PBGC	\$0	\$0	\$0
PC	\$12,032	\$0	\$12,032
SEC	\$0	\$0	\$0
SI	\$0	\$0	\$0
USPS	\$4,378,961	\$210,816,492	\$215,195,453
TOTALS	\$39,649,593	\$210,816,492	\$250,466,085

Table IV-P. PCIE—Management Decisions on Questioned Costs

Agency	No Management Decision Start of FY 2002	Recommendations Issued in FY 2002	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2002
AID ¹	\$1,972,232	\$22,389,765	\$8,458,028	\$13,413,469	\$2,490,500
CNCS	\$12,597,000	\$23,369,000	\$97,000	\$432,000	\$35,437,000
DOC ²	\$4,189,759	\$16,744,909	\$5,072,321	\$6,309,404	\$10,742,091
DOD ^{3,4}	\$6,878,715,000	\$1,173,996,000	\$1,055,965,000	\$509,198,000	\$6,487,548,000
DOE	\$7,651,747	\$25,753	\$512,000	\$2,706,853	\$4,458,647
DOI ⁵	\$56,349,037	\$17,147,169	\$33,692,817	\$302,152	\$39,501,237
DOJ	\$41,052,842	\$33,496,181	\$53,386,249	\$0	\$21,162,774
DOI ^{6,7}	\$81,675,179	\$44,600,148	\$11,249,452	\$5,621,757	\$109,404,118
DOS	\$17,415,000	\$4,267,000	\$1,100,000	\$0	\$20,582,000
DOT ⁸	\$8,078,000	\$134,217,000	\$163,450,000	\$2,750,000	\$7,039,000
ED ⁹	\$161,543,956	\$93,115,338	\$19,704,111	\$31,375,691	\$203,579,492
EPA ¹⁰	\$51,691,000	\$14,078,000	\$7,990,000	\$2,897,000	\$54,882,000
FDIC	\$0	\$606,995	\$113,429	\$278,392	\$215,174
FEMA ¹¹	\$40,949,832	\$34,237,710	\$9,143,127	\$8,273,262	\$57,771,153
GSA	\$349,043	\$1,793,543	\$1,441,104	\$372,106	\$329,376
HHS ¹²	\$1,247,853,000	\$774,737,000	\$426,288,000	\$145,028,000	\$1,451,274,000
HUD	\$64,160,000	\$22,494,000	\$20,423,000	\$28,428,000	\$37,803,000
NASA ¹³	\$185,059,734	\$72,889,000	\$71,334,000	\$34,410,734	\$152,204,000
NRC	\$0	\$404,321	\$365,888	\$0	\$38,433
OPM ¹⁴	\$68,927,144	\$128,873,099	\$110,209,505	\$79,584,936	\$8,005,802
RRB	\$0	\$0	\$0	\$0	\$0
SBA ¹⁵	\$88,430	\$13,882	\$102,312	\$0	\$0
SSA	\$3,512,847	\$15,551,282	\$7,457,268	\$1,875,307	\$9,731,554
Treasury	\$2,418,000	\$2,064,000	\$1,866,000	\$198,000	\$2,418,000
TIGTA	\$135,891	\$2,405,168	\$201,551	\$664,043	\$1,675,465
TVA	\$103,553	\$5,595,836	\$1,178,907	\$4,520,482	\$0
USDA ¹⁶	\$213,449,337	\$91,120,378	\$122,946,463	\$30,711,002	\$152,367,976
VA	\$0	\$25,200,000	\$25,200,000	\$0	\$0
TOTALS	\$9,149,937,563	\$2,755,432,477	\$2,158,947,532	\$909,350,590	\$8,870,660,792

1. AID's FY 2002 beginning balance of \$2,091,022 was decreased by \$118,790 to reflect adjustments in finding amounts.

2. DOC totals do not equal because resolution may result in values greater than the original recommendations.

3. DCAA results for DOD include incurred cost, Cost Accounting Standards, and defective pricing of DOD and all other agencies except NASA. Therefore, the results of audits conducted by DCAA and management decisions on DCAA audit recommendations may be reported by more than one OIG.

4. DOD ending balance reported in the FY 2001 report was \$7,325,900,000. FY 2002 beginning balance adjusted for contracts not awarded and revised audit findings and recommendations.

5. DOI's FY 2001 ending balance was \$193,712,749. FY 2002 beginning balance reduced by \$137,363,712 primarily to eliminate local non-Federal funds for DOI insular area governments.

6. DOL's FY 2001 ending balance was \$80,978,425. Beginning balance of FY 2002 differs due to post-reporting period adjustments of \$696,754.

7. DOL "Recommendations Issued" and "Recommendations Agreed To" include \$86,874 of additional costs disallowed by the contracting officer during audit resolution.

8. In FY 2002, DOT management agreed to a higher dollar amount than the outstanding recommendations. Recommendations with a dollar value of \$7,039,000 had no management decision at the end of FY 2002.

9. ED FY 2001 ending balance was \$161,539,065. Adjustments of \$4,891 increased FY 2002 beginning balance to \$161,543,956.

10. EPA beginning balance of FY 2002 differs from ending balance of FY 2001 due to post reporting period adjustments.

11. FEMA's FY 2002 beginning balance reflects increase of \$787 that was inadvertently omitted in the FY 2001 ending balance.

12. HHS opening balance is adjusted as a result of amended management decisions.

13. NASA's FY 2002 beginning balance reflects DCAA adjustments for revised audit findings and recommendations.

14. OPM's \$128,873,099 includes \$63.9 million that resulted from audit reports and investigative efforts. This \$63.9 million also is reported in the Table X. PCIE and ECIE—Receivables and Recoveries from Successful Investigations, but is included only once in calculating potential IG community savings.

15. SBA beginning balance for FY 2002 differs from the ending balance of FY 2001 because the management decision for \$485,051 in questioned costs was signed in an earlier reporting period but was not recorded until after the FY 2001 report was issued.

16. USDA ending balance for FY 2002 reflects an increase of \$1 for adjustment made between the first and second semiannual periods during FY 2002, and a variance of \$1,455,725 between beginning and ending balance because of inclusion of excess amounts.

Table IV-E. ECIE—Management Decisions on Questioned Costs

Agency	No Management Decision Start FY 2002	Recommendations Issued in FY 2002	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2002
Amtrak	\$2,360,712	\$27,591,884	\$28,366,733	\$11,081	\$1,574,782
ARC	\$28,000	\$38,000	\$36,000	\$0	\$30,000
CFTC	\$0	\$0	\$0	\$0	\$0
CPB	\$786,131	\$343,622	\$906,121	\$0	\$223,632
CPSC	\$0	\$0	\$0	\$0	\$0
EEOC	\$0	\$0	\$0	\$0	\$0
FCA	\$0	\$196,000	\$196,000	\$0	\$0
FCC	\$1,342,977	\$4,104,813	\$5,194,337	\$0	\$253,453
FEC	\$0	\$0	\$0	\$0	\$0
FHFB	\$0	\$0	\$0	\$0	\$0
FLRA	\$0	\$0	\$0	\$0	\$0
FMC	\$0	\$0	\$0	\$0	\$0
FRB	\$0	\$1,341,196	\$0	\$1,341,196	\$0
FTC	\$0	\$0	\$0	\$0	\$0
GPO	\$0	\$169,210	\$66,179	\$26,858	\$76,173
ITC	\$0	\$0	\$0	\$0	\$0
LSC	\$0	\$0	\$0	\$0	\$0
NARA	\$0	\$0	\$0	\$0	\$0
NCUA	\$0	\$0	\$0	\$0	\$0
NEA	\$25,181	\$0	\$25,181	\$0	\$0
NEH	\$0	\$0	\$0	\$0	\$0
NLRB	\$0	\$9,263	\$9,263	\$0	\$0
NSF	\$5,389,095	\$1,464,612	\$1,407,723	\$4,262,873	\$1,183,111
PBGC	\$0	\$0	\$0	\$0	\$0
PC	\$0	\$12,032	\$12,032	\$0	\$0
SEC	\$0	\$0	\$0	\$0	\$0
SI	\$0	\$0	\$0	\$0	\$0
USPS	\$267,297,217	\$215,195,453	\$224,715,826	\$38,158,850	\$219,617,994
TOTALS	\$277,229,313	\$250,466,085	\$260,935,395	\$43,800,858	\$222,959,145

Successful Criminal Prosecutions

A prosecution is considered successful when the person or entity is convicted in Federal, state, local, or foreign government venues, or under the Uniform Code of Military Justice, or is accepted for pre-trial diversion agreements by DOJ, as a result of OIG activity. PCIE and ECIE member agencies had 10,690 successful prosecutions in FY 2002, of which 231 were based on joint investigations.

As indicated in Figure 4, the number of successful criminal prosecutions steadily increased over the last 4 years. Statistics for FY 2001 and FY 2002 were consolidated using the methodology to eliminate duplicative reporting of casework involving multiple IGs. For consistency purposes, the statistics reported in *A Progress Report to the President, FY 1999* were adjusted to include those prosecutions where the OIG was actively involved in the case. Prior to FY 2000, these statistics would include successful criminal prosecutions where the OIG had an oversight responsibility of the investigative activities of another organization, as defined by the IG Act, as amended, but no active involvement in the case.

Figure 4. Successful Criminal Prosecutions, FY 1999 through FY 2002

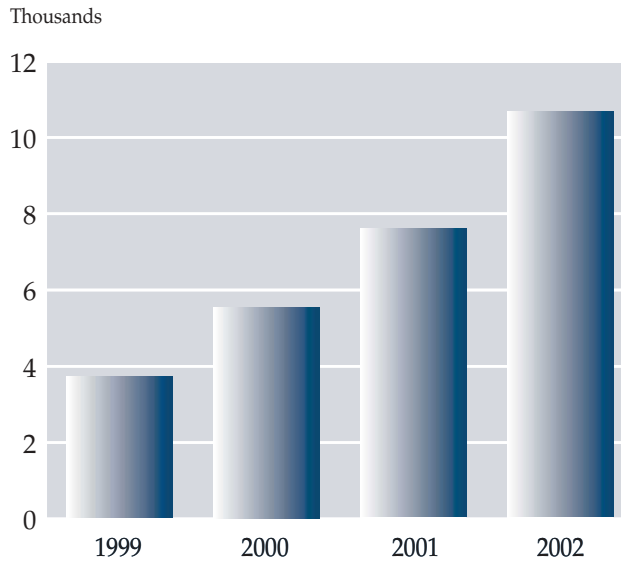


Table V. PCIE and ECIE—Successful Criminal Prosecutions

PCIE		ECIE	
Agency	Successful Criminal Prosecutions	Agency	Successful Criminal Prosecutions
AID	8	Amtrak	12
CNCS	6	ARC	0
DOC	6	CFTC	0
DOD	183	CPSC	0
DOE	24	CPB	0
DOI	24	EEOC	0
DOJ	144	FCA	0
DOL	299	FCC	0
DOS	18	FEC	0
DOT	274	FHFB	0
ED	107	FLRA	0
EPA	8	FMC	0
FDIC	28	FRB	0
FEMA	78	FTC	0
GSA	42	GPO	1
HHS	487	ITC	0
HUD	408	LSC	0
NASA	51	NARA	1
NRC	0	NCUA	0
OPM	11	NEA	0
RRB	53	NEH	0
SBA	21	NLRB	0
SSA ¹	7,103	NSF	2
Treasury	6	PBGC	0
TIGTA	239	PC	1
TVA	5	SEC	0
USDA	454	SI	6
VA	322	USPS ²	27
Subtotal	10,409	Subtotal	50
Total From Individual Investigations		10,459	
Total From Joint Investigations		231	
Total From Individual and Joint Investigations.....		10,690	

1. Includes 5,304 fugitive felon apprehensions.

2. During FY 2002, the U.S. Postal Inspection Service had 378 successful prosecutions that were reported in the Postal Service OIG's semiannual reports of Congress. These prosecutions include matters where concurrent jurisdiction existed, as well as matters for which the Inspection Service has primary responsibility.

Indictments and Criminal Informations

This new table represents criminal indictments and informations filed in a Federal, state, local, or foreign government court or under the Uniform Code of Military Justice, any of which result from a case in which an OIG has an active investigative role. The PCIE and ECIE agencies reported 5,769 criminal indictments and informations in FY 2002, of which 507 were based on joint investigations.

Figure 5. Criminal Indictments and Informations, FY 2001 and FY 2002

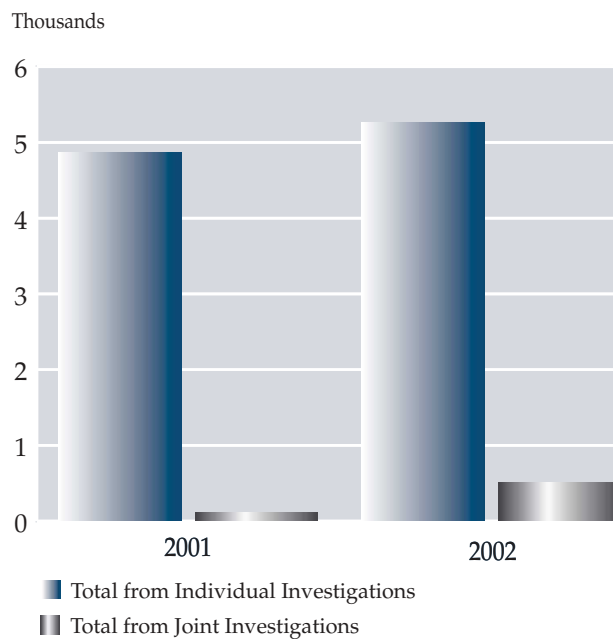


Table VI. PCIE and ECIE—Indictments and Criminal Informations

PCIE		ECIE	
Agency	Indictments and Criminal Informations	Agency	Indictments and Criminal Informations
AID	6	Amtrak	0
CNCS	2	ARC	0
DOC	7	CFTC	0
DOD	214	CPSC	0
DOE	18	CPB	0
DOI	50	EEOC	0
DOJ	179	FCA	0
DOL	411	FCC	0
DOS	6	FEC	0
DOT	554	FHFB	0
ED	109	FLRA	0
EPA	8	FMC	0
FDIC	35	FRB	0
FEMA	114	FTC	0
GSA	33	GPO	0
HHS	593	ITC	0
HUD	403	LSC	0
NASA	65	NARA	0
NRC	2	NCUA	0
OPM	14	NEA	0
RRB	37	NEH	0
SBA	37	NLRB	0
SSA	1,343	NSF	0
Treasury	4	PBGC	0
TIGTA	188	PC	0
TVA	5	SEC	0
USDA	468	SI	0
VA	325	USPS	32
Subtotal	5,230	Subtotal	32
Total From Individual Investigations.....		5,262	
Total From Joint Investigations.....		507	
Total From Individual and Joint Investigations.....		5,769	

Civil Actions

Civil actions are the total number of matters arising from OIG investigations, audits, and reviews other than criminal prosecutions that are successfully resolved during the year. They include (1) civil judgments or forfeitures in favor of the U.S. government filed in Federal, state, local, or foreign government venues; (2) settlements negotiated by a prosecuting authority prior to or following the filing of a formal civil complaint; or (3) judgments, settlements, or agreements reached based on the Program Fraud Civil Remedies Act (PFCRA), civil money penalties, or other agency-specific civil litigation authority. Suspensions/debarments and personnel actions are not included as civil actions, but are reported separately, beginning on page 38. In FY 2002, PCIE and ECIE member agencies had 573 civil actions, six of which resulted from joint investigations.

Figure 6. Successful Civil Actions from OIG Investigations, FY 1999 through FY 2002

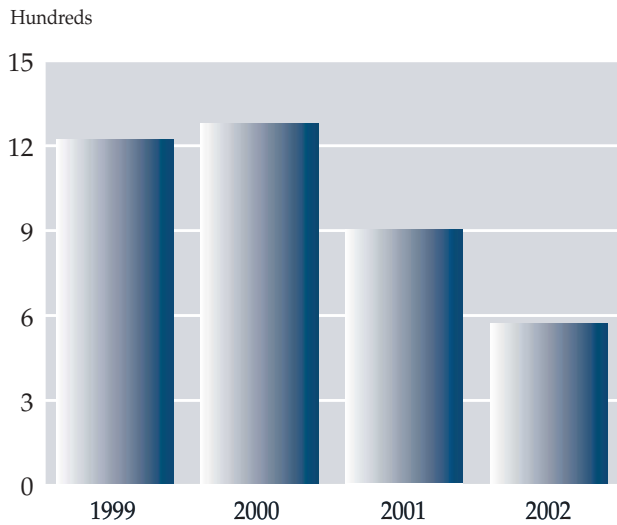


Table VII. PCIE and ECIE—Successful Civil Actions

PCIE		ECIE	
Agency	Successful Civil Actions	Agency	Successful Civil Actions
AID	2	Amtrak	1
CNCS	0	ARC	0
DOC	1	CFTC	0
DOD	61	CPSC	0
DOE	5	CPB	0
DOI	5	EEOC	0
DOJ	1	FCA	0
DOL	26	FCC	0
DOS	0	FEC	0
DOT	10	FHFB	0
ED	26	FLRA	0
EPA	5	FMC	0
FDIC	1	FRB	0
FEMA	0	FTC	0
GSA	7	GPO	2
HHS	233	ITC	0
HUD	15	LSC	0
NASA	10	NARA	0
NRC	0	NCUA	0
OPM	4	NEA	0
RRB	36	NEH	0
SBA	3	NLRB	0
SSA	69	NSF	1
Treasury	0	PBGC	0
TIGTA	1	PC	1
TVA	0	SEC	0
USDA	31	SI	0
VA	8	USPS	2
Subtotal	560	Subtotal	7
Total From Individual Investigations.....		567	
Total From Joint Investigations.....		6	
Total From Individual and Joint Investigations.....		573	

Suspensions and Debarments

This category represents agency actions to suspend, restrict, or prohibit vendors/contractors, grantees, and other non-government entities or individuals doing business with the government. There were 7,684 individuals and entities suspended and debarred by PCIE and ECIE member agencies in FY 2002. Of these, 16 resulted from joint investigations by the OIGs.

Figure 7. Suspensions and Debarments by PCIE and ECIE Member Agencies, FY 1999 through FY 2002

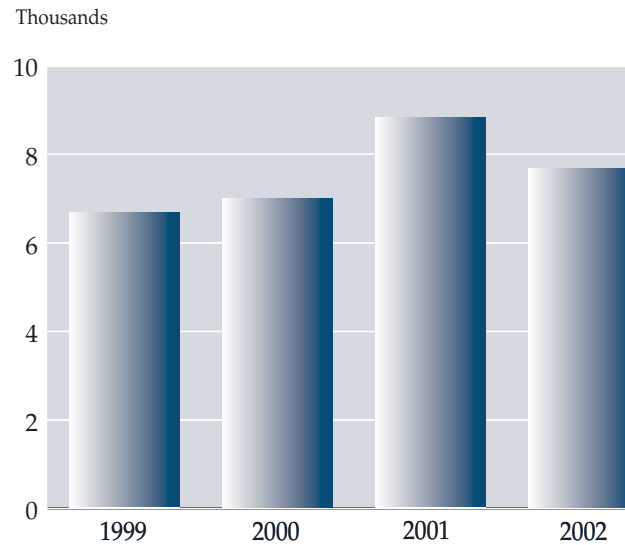


Table VIII. PCIE and ECIE—Suspensions and Debarments

PCIE		ECIE	
Agency	Suspensions and Debarments	Agency	Suspensions and Debarments
AID	0	Amtrak	0
CNCS	4	ARC	0
DOC	0	CFTC	0
DOD	62	CPSC	0
DOE	19	CPB	0
DOI	11	EEOC	0
DOJ	1	FCA	0
DOL	7	FCC	0
DOS	1	FEC	0
DOT	23	FHFB	0
ED	27	FLRA	0
EPA	6	FMC	0
FDIC	0	FRB	0
FEMA	0	FTC	0
GSA	105	GPO	2
HHS	3,447	ITC	0
HUD	413	LSC	0
NASA	0	NARA	0
NRC	0	NCUA	0
OPM ¹	3,380	NEA	0
RRB	0	NEH	0
SBA	2	NLRB	0
SSA	0	NSF	3
Treasury	0	PBGC	0
TIGTA	0	PC	0
TVA	0	SEC	0
USDA	119	SI	0
VA	7	USPS	29
Subtotal	7,634	Subtotal	34
Total From Individual Investigations.....		7,668	
Total From Joint Investigations		16	
Total From Individual and Joint Investigations.....		7,684	

1. OPM suspensions and debarments represent health care providers suspended or debarred from participating in the Federal Employees Health Benefits Program. These providers also may have been suspended or debarred by the HHS OIG from participating in the Medicare and Medicaid programs.

Personnel Actions

Personnel actions are the total number of reprimands, suspensions, demotions, or terminations of Federal, state, and local (and Federal contractor/grantee) employees as a result of IG actions. During FY 2002, PCIE and ECIE member agencies initiated 1,624 personnel actions, two of which resulted from joint investigations.

Figure 8. Personnel Actions as a Result of OIG Actions, FY 1999 through FY 2002

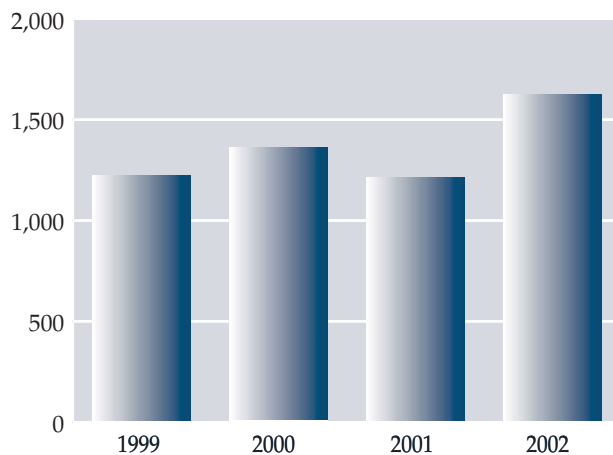


Table IX. PCIE and ECIE—Personnel Actions

PCIE		ECIE	
Agency	Personnel Actions	Agency	Personnel Actions
AID	29	Amtrak	0
CNCS	25	ARC	0
DOC	9	CFTC	0
DOD	74	CPSC	16
DOE	30	CPB	0
DOI	50	EEOC	0
DOJ	155	FCA	2
DOL	32	FCC	0
DOS	17	FEC	0
DOT	12	FHFB	0
ED	23	FLRA	0
EPA	6	FMC	0
FDIC	2	FRB	18
FEMA	5	FTC	0
GSA	18	GPO	6
HHS	2	ITC	2
HUD	0	LSC	0
NASA	71	NARA	0
NRC	22	NCUA	5
OPM	0	NEA	0
RRB	0	NEH	0
SBA	4	NLRB	3
SSA	24	NSF	3
Treasury	20	PBGC	0
TIGTA	655	PC	6
TVA	16	SEC	7
USDA	56	SI	13
VA	174	USPS	10
Subtotal	1,531	Subtotal	91
Total From Individual Investigations.....		1,622	
Total From Joint Investigations		2	
Total From Individual and Joint Investigations.....		1,624	

Investigative Receivables and Recoveries

Investigative receivables and recoveries are based on the total dollar value of:

- A) Criminal cases—the amount of restitution, criminal fines, and/or special assessments based on a criminal judgment or established through a pre-trial diversion agreement.
- B) Civil cases—the amount of damages, penalties, and/or forfeitures resulting from judgments issued by any court (Federal, state, local, military, or foreign government) in favor of the U.S. government; or the amount of funds to be repaid to the U.S. government based on any negotiated settlements by a prosecuting authority; or the amount of any assessments and/or penalties imposed, based on actions brought under the PCFRA, civil money penalties, or other agency-specific civil litigation authority, or settlement agreements negotiated by the agency while proceeding under any of these authorities.
- C) Voluntary repayments—the amount of funds repaid on a voluntary basis or funds repaid based on an agency’s administrative processes, by a subject of an OIG investigation, or the value of official property recovered by an OIG during an investigation, before prosecutive action is

taken; any of which result from a case in which an OIG has an active investigative role.

In FY 2002, PCIE and ECIE member agencies tallied investigative receivables and recoveries totaling over \$4.6 billion, of which \$16.2 million resulted from joint investigations.

Figure 9. Investigative Receivables and Recoveries, FY 1999 through FY 2002

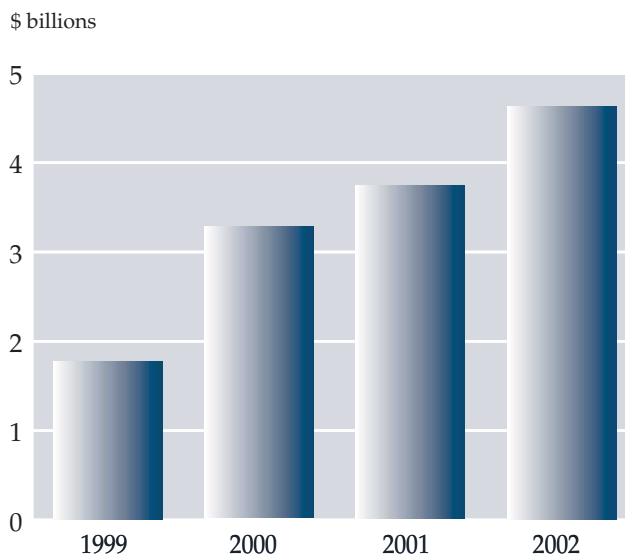


Table X. PCIE and ECIE—Receivables and Recoveries from Successful OIG Investigations

PCIE		ECIE	
Agency	Receivables and Recoveries	Agency	Receivables and Recoveries
AID	\$55,121,973	Amtrak	\$3,419,505
CNCS	\$1,206,047	ARC	\$0
DOC	\$757,177	CFTC	\$0
DOD	\$904,132,992	CPSC	\$0
DOE	\$18,074,247	CPB	\$0
DOI	\$28,000,943	EEOC	\$0
DOJ	\$3,830,247	FCA	\$0
DOL	\$223,568,493	FCC	\$0
DOS	\$23,516,570	FEC	\$0
DOT	\$42,964,259	FHFB	\$0
ED	\$28,907,533	FLRA	\$0
EPA	\$19,793,798	FMC	\$0
FDIC	\$1,356,213,108	FRB	\$1,459
FEMA	\$1,249,309	FTC	\$0
GSA	\$14,924,572	GPO	\$28,898
HHS	\$1,484,634,848	ITC	\$0
HUD	\$58,295,996	LSC	\$0
NASA	\$22,910,615	NARA	\$0
NRC	\$19,367	NCUA	\$0
OPM ¹	\$91,021,767	NEA	\$0
RRB	\$3,230,143	NEH	\$0
SBA	\$13,838,549	NLRB	\$2,048
SSA	\$48,179,870	NSF	\$522,802
Treasury	\$1,913,125	PBGC	\$0
TIGTA	\$29,006,727	PC	\$3,365
TVA	\$1,162,931	SEC	\$0
USDA	\$50,344,754	SI	\$42,951
VA	\$50,132,310	USPS	\$27,988,970
Subtotal	\$4,576,952,270	Subtotal	\$32,009,998
Total From Individual Investigations.....		\$4,608,962,268	
Total From Joint Investigations.....		\$16,177,145	
Total From Individual And Joint Investigations.....		\$4,625,139,413	

1. OPM's \$91,021,767 includes \$63.9 million that resulted from audit reports and investigative efforts of the OPM OIG. This amount also is reported in the tables related to questioned costs (i.e., Table III-P and IV-P), but is included only once in calculating IG community savings.

Joint Investigations

This table lists the percent of investigations that PCIE and ECIE member agencies conducted during FY 2002 with Federal investigative entities, other than OIGs.

Table XI. PCIE and ECIE—Joint Investigations with Federal Investigative Offices Other than OIGs

PCIE		ECIE	
Agency	Percentage of Investigations Conducted with Federal Investigative Offices Other than OIGs	Agency	Percentage of Investigations Conducted with Federal Investigative Offices Other than OIGs
AID	0%	Amtrak	10%
CNCS	3%	ARC	0%
DOC	8%	CFTC	0%
DOD	57%	CPB	25%
DOE	44%	CPSC	0%
DOI	19%	EEOC	0%
DOJ	24%	FCA	0%
DOL	40%	FCC	0%
DOS	41%	FEC	0%
DOT	20%	FHFB	0%
ED	59%	FLRA	0%
EPA	11%	FMC	0%
FDIC	36%	FRB	0%
FEMA	15%	FTC	13%
GSA	19%	GPO	0%
HHS	Not available	ITC	0%
HUD	24%	LSC	0%
NASA	29%	NARA	1%
NRC	1%	NCUA	0%
OPM	40%	NEA	0%
RRB	5%	NEH	0%
SBA	82%	NLRB	6%
SSA	5%	NSF	0%
Treasury	1%	PBGC	0%
TIGTA	1%	PC	0%
TVA	5%	SEC	4%
USDA	6%	SI	4%
VA	15%	USPS	6%



Appendix A

Management Agenda Activities Reported On by OIGs During FY 2002

Homeland Security			
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
DOC	<ul style="list-style-type: none"> IT Security 	Top 10 Report p. 3	www.oig.doc.gov/
DOD	<ul style="list-style-type: none"> IT Security Anti-Terrorism Work 	9/30/02 p. 2-3, 20-21, 31-35	www.dodig.osd.mil/
DOE	<ul style="list-style-type: none"> IT Security Asset Infrastructure Nuclear Stockpile Stewardship 	3/31/02 p. 5-16; 29 9/30/02 p. 3-18, 33	www.ig.doe.gov/
DOI	<ul style="list-style-type: none"> Law Enforcement Program Critical Infrastructure Security 	3/31/02 p. 3 9/30/02 p. 4 & 7	www.oig.doi.gov/
DOJ	<ul style="list-style-type: none"> Follow-up Reviews and Significant Investigations FBI Counterterrorism Foreign Student and Exchange Visitor Program Nonimmigrant Overstays 	3/31/02 p. 21 & 35 9/30/02 p. 6, 19, 23, 24 9/30/02 p. 19 9/30/02 p. 19	www.usdoj.gov/oig/
DOL	<ul style="list-style-type: none"> Evidence Recovery Assistance GISRA Audit 	3/31/02 9/30/02	www.oig.dol.gov/
DOS	<ul style="list-style-type: none"> Homeland Security 	3/31/02 p. 25, 40, 66-69 9/30/02 p. 61-63, 66-67	www.oig.state.gov
DOT	<ul style="list-style-type: none"> Transportation Security 	3/31/02 p. 2-49	www.oig.dot.gov/
ED	<ul style="list-style-type: none"> Anti-terrorist Assistance Initiation of Project Strikeback Supporting FBI Post-9/11 Terrorism Investigation 	9/30/02 p. 12	www.ed.gov/offices/OIG/
EPA	<ul style="list-style-type: none"> Critical Infrastructure Protection 	9/30/02 p. 16	www.epa.gov/oigearth
FCC	<ul style="list-style-type: none"> Workplace Violence Prevention at the FCC: Risk Assessment 	3/31/03 p. 16	www.fcc.gov/oig
FDIC	<ul style="list-style-type: none"> Emergency Response Plan Physical Security Program 	3/31/02 p. 24 9/30/02 p. 27	www.fdic.gov/oig/
FEMA	<ul style="list-style-type: none"> World Trade Center Investigations of Fraud 	3/31/02 p. 8 9/30/02 p. 8	www.fema.gov/ig/
FRB	<ul style="list-style-type: none"> Security Planning Security-Related Purchases 	3/31/02 p. 6 9/30/02 p. 11	www.ignet.gov/internal/ frb/oighome.htm

Homeland Security, *Continued*

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
GSA	<ul style="list-style-type: none"> • Physical Security Program • Federal Security Risk Manager Program • Contract Guard Program 	3/31/02 p. 2-5 9/30/02 p. 2-5	www.oig.gsa.gov/
HHS	<ul style="list-style-type: none"> • Laboratory Security • Bioterrorism Preparedness 	3/31/02 p. 36 9/30/02 p. 28	www.oig.hhs.gov
ITC	<ul style="list-style-type: none"> • IT Security 	3/31/02 p. 13 9/30/02 p. 10	www.usitc.gov/oig
NASA	<ul style="list-style-type: none"> • Accessing Information Technology Systems • Advanced Aeronautics Program • Physical Access and Badging Process • Critical Cyber-Based Infrastructures 	3/31/02 p. 5 3/31/02 p. 5 3/31/02 p. 5 9/30/02 p. 11	www.hq.nasa.gov/office/oig/hq/
NCUA	<ul style="list-style-type: none"> • Homeland Security 	9/30/02 p. 11	www.ncua.gov/org/orgchart/oig/
NLRB	<ul style="list-style-type: none"> • Computer Penetration Tests 	3/31/02 p. 5 9/30/02 p. 6	www.nlr.gov/ig/igindex.htm
NRC	<ul style="list-style-type: none"> • GISRA Audit 	9/30/02 p. 7	www.nrc.gov/insp-gen.html
SSA	<ul style="list-style-type: none"> • SSN Misuse and Privacy 	9/30/02 p. 47	www.ssa.gov/oig/
Treasury	<ul style="list-style-type: none"> • Disaster Recovery Processes • HAZMAT Program • Vessel Container Interdiction at Port Everglades • Foreign Sanctions Program 	3/31/02 p. 9-16 9/30/02 p. 14-20	www.ustreas.gov/offices/inspector-general/
TIGTA	<ul style="list-style-type: none"> • Controls over Procurement Website • Network Penetration Study of IRS • Controls over Lexis/Nexis Connection • Monitoring of User Activity • Controls over Excise Files • Prevention of Computer Virus Infections • Security of Sensitive Computer Systems • Assessment of IRS Information Security 	3/30/02 p. 9 9/30/02 p. 11	www.treas.gov/tigta/
TVA	<ul style="list-style-type: none"> • Hydro Automation Security • Hydro Automation Dams 	3/31/02 p. 24 9/30/02 p. 24	http://oig.tva.gov/

Homeland Security, Continued			
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
USDA	<ul style="list-style-type: none"> IT Security 9/11 Assistance Food Safety and Biological Security 	3/31/02 p. 6–8 9/30/02 p. 1–3	www.usda.gov/oig/
USPS	<ul style="list-style-type: none"> Response to Anthrax Threat Anti-Terrorist Assistance Biohazard Prevention 	3/31/02 p. 18–21 9/30/02 p. 40	www.uspsoig.gov/
VA	<ul style="list-style-type: none"> Security and Inventory Controls over Biological, Chemical, and Radioactive Agents 	9/30/02 p. 34	www.va.gov/oig/homepage.htm
Information Technology Management and E-Government			
DOD	<ul style="list-style-type: none"> Export License Application Review Process DOD Website Administration Seat Management 	3/31/02 9/30/02	www.dodig.osd.mil/
DOE	<ul style="list-style-type: none"> Cyber Critical Infrastructures Telecommunications Intrusions and misuse of equipment 	3/31/02 p. 12–16 9/30/02 p. 14–18	www.ig.doe.gov/
DOI	<ul style="list-style-type: none"> IT Investment Management IT Security Program 	9/30/02 p. 6 9/30/02 p. 7	www.ig.doi.gov/
DOL	<ul style="list-style-type: none"> Internal web-based records management system GISRA 	3/31/02 p. 49 9/30/02 p. 38–39	www.ig.dol.gov/
DOS	<ul style="list-style-type: none"> Information Security Program Consular Affairs Information Security Program Challenges to Successful OpenNet Plus Implementation Streamlined Process and Better Automation Can Improve Munitions License Receivers Classified Connectivity Program: Process and Challenges Information Technology Vulnerability Assessment for the Central Financial Management System 	9/30/02 p. 57 9/30/02 p. 58 3/31/02 p. 60 3/31/02 p. 54 3/31/02 p. 61 3/31/02 p. 47	www.ig.state.gov
DOT	<ul style="list-style-type: none"> Labor Distribution System 	3/31/02 p. 15	www.ig.dot.gov/
ED	<ul style="list-style-type: none"> New Financial Mgmt System GISRA Review GPEA Strategy Enterprise Architecture 	3/31/02 p. 6 9/30/02 p. 3–4	www.ed.gov/offices/OIG/

Information Technology Management and E-Government, *Continued*

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
EEOC	• Computer Security Awareness Program	3/31/02 p. 11	www.ignet.gov/internal/eeoc.html
	• Monetary Benefit Information Accuracy	9/30/02 p. 8	www.eeoc.gov/plan/oig/oig-2002.html
	• Assessment of GISRA Compliance	9/30/02 p. 10	
	• Implementation of Financial, Personnel and Payroll Systems		
EPA	• Information Security Program	3/31/02 p. 18–20, 23	www.epa.gov/oigearth
	• IT Investment Mgmt	9/30/02 p. 10–11, 15–17	
	• GISRA Review		
	• Enterprise Architecture		
FCA	• GISRA	9/30/02 p. 4	www.fca.gov/OIG
FCC	• Government Information Security Reform Act Evaluation	3/31/02, p. 15	www.fcc.gov/oig/
	• Automated Auction System	9/30/02 p. 16	
	• FY 2002 GISRA Independent Evaluation		
FDIC	• New Financial Environment System	3/31/02 p. 18	www.fdic.gov/oig/
	• GISRA	9/30/02 p. 17	
	• E-Business Initiatives		
FEMA	• Integrated Financial Management Information System	3/31/02 p. 13–14	www.fema.gov/ig/
FMC	• IT Management	9/30/02 p. 8	1-202-523-5863
FRB	• Publications Business Process	3/31/02 p. 7	www.ignet.gov/internal/frb/oighome.htm
	• GISRA	9/30/02 p. 8	
FTC	• GISRA Review/Internal Penetration Test	9/30/02 p. 1	www.ftc.gov/oig/oighome.htm
GSA	• Information Security Program	9/30/02 p. 16–19	www.oig.gsa.gov
	• FEDdesk Online Services		
	• Securing E-Mail System		
HHS	• Clinical Trials Websites	9/30/02 p. 28	www.oig.hhs.gov
HUD	• Information Technology Plan	9/30/02 p. 47	www.hud.gov/offices/oig/
	• HUD Security Plans		
ITC	• GISRA	3/31/02 p. 13	www.usitc.gov/oig/
	• Information Resources Management	3/31/02 p. 14, 18	
	• E-FOIA	3/31/02 p. 14	
	• GISRA	9/30/02 p. 10	
	• Information Resources Management	9/30/02 p. 15	
	• Information Security Program	9/30/02 p. 16, 23	
• Westlaw Legal Research Service			

Information Technology Management and E-Government, <i>Continued</i>			
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
NARA	<ul style="list-style-type: none"> • Firewall and Network Configuration • Personnel Security Controls • Contractor Access Controls 	9/30/02 p. 17	www.archives.gov/about_us/office_of_the_inspector_general/about_oig/about_oig.html
NLRB	<ul style="list-style-type: none"> • Information Systems Security • Computer Penetration Test 	3/31/02 p. 14, 16 9/30/02 p. 5, 6	www.nlr.gov/ig/igindex.htm
NRC	<ul style="list-style-type: none"> • Agencywide Documents Access and Management System (ADAMS) • GISRA Audit 	3/31/02 p. 5	www.nrc.gov/insp-gen.html
NSF	<ul style="list-style-type: none"> • GISRA Audit 	9/30/02 p. 15	www.oig.nsf.gov/
OPM	<ul style="list-style-type: none"> • GISRA Review 	9/30/02 p. 20	www.opm.gov/oig/
RRB	<ul style="list-style-type: none"> • Compliance with GISRA • FY2002 Evaluation of Information Security 	3/31/02 p. 7 9/30/02 p. 7	www.rrb.gov/oig/rrboig.htm
SBA	<ul style="list-style-type: none"> • Information Security • Information Systems Controls 	9/30/02 9/30/02	www.sba.gov/ig
SSA	<ul style="list-style-type: none"> • Critical Information Systems Security and Controls 	9/30/02 p. 28	www.ssa.gov/oig/
Treasury	<ul style="list-style-type: none"> • FMS and BEP E-Commerce • Customs Modernization Effort • Security Programs and Practices • Customs Security Controls • Disaster Recovery Process • Smart Card and PKI • GISRA 	3/31/02 p. 10, 12 9/30/02 p. 6, 13, 17, 19	www.ustreas.gov/offices/inspector-general/
TIGTA	<ul style="list-style-type: none"> • Exempt Organization Return Imaging Project • Controls over Cryptography • IRS Modernization Project • Customers Communication Project • Electronic Signatures on Tax Returns • Detroit Computing Center Mainframe Controls • IRS Information Security Review • Hardware Refreshment Program 	3/31/02 p. 9, 14 9/30/02 p. 11, 13	www.treas.gov/tigta/
TVA	<ul style="list-style-type: none"> • Electronic Business Strategy • GISRA 	3/31/02 p. 7 9/30/02 p. 10	http://oig.tva.gov/
USDA	<ul style="list-style-type: none"> • IT Security 	3/31/02 p. 9–10	www.usda.gov/oig/

Information Technology Management and E-Government, *Continued*

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
USPS	<ul style="list-style-type: none"> • Information Systems Reviews 	3/31/02 p. 44–49 9/30/02 p. 38–44	www.uspsoig.gov/
VA	<ul style="list-style-type: none"> • Information Security Program 	3/31/02, p. 30	www.va.gov/oig/homepage.htm

Financial Management

AID	<ul style="list-style-type: none"> • Financial Statement • Audit Financial Management Systems 	3/31/02 p. 13, 6, 37, 53, 61 9/30/02 p. 14, 24, 40, 47, 55	www.usaid.gov/oig/
CNCS	<ul style="list-style-type: none"> • Financial Statement Audit and Internal Controls 	9/30/02 p. 1	www.cnsig.gov/
DOC	<ul style="list-style-type: none"> • Financial Management Systems 	3/31/02 p. 2	www.oig.doc.gov/
DOD	<ul style="list-style-type: none"> • Various Financial Controls and Reporting Reports 	3/31/02 9/30/02	www.dodig.osd.mil/
DOE	<ul style="list-style-type: none"> • Financial Statement Reporting 	3/31/02 p. 3–5	www.ig.doe.gov/
DOI	<ul style="list-style-type: none"> • Financial Statement Audit and Internal Controls • Travel Card Costs • Purchase Card 	3/31/02 p. 6, 20 9/30/02 p. 5, 22, 29, 31 9/30/02 p. 6 3/31/02 p. 8	www.oig.doi.gov/
DOJ	<ul style="list-style-type: none"> • Superfund Audit • Financial Statement Audit • OJP/COPS Streamlining Audit 	3/31/02 p. 15 9/30/02 p. 11 9/30/02 p. 15	www.usdoj.gov/oig/
DOL	<ul style="list-style-type: none"> • Financial Statement Audit • Single Audit Act Reports 	3/31/02 p. 47 9/30/02 p. 40	www.oig.dol.gov/
DOS	<ul style="list-style-type: none"> • Review of Intergovernmental Receivables • Foreign Service National Payroll • Audit of U.S. Department of State 2001 and 2000 Principal Financial Statements • Agreed-Upon Procedures Reports on Federal Intragovernmental Activity and Balances • Agreed-Upon Procedures Report on Federal Agencies' Centralized Trial Balance System • Other Financial Statement Audits • Reporting by the U.S. Department of Commerce Under Selected Interagency Agreements Issued by the U.S. Department of State • Foreign Service Retirement and Disability Fund, 2001, 2000, and 1999 Financial Statements 	3/31/02 p. 49 3/31/02 p. 51 3/31/02 p. 52 3/31/02 p. 52 3/31/02 p. 52 3/31/02 p. 53 3/31/02 p. 57 9/30/02 p. 50	www.oig.state.gov

Financial Management, Continued			
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
DOS (cont.)	• International Boundary and Water Commission Financial Statements for FY 2002	9/30/02 p. 51	www.oig.state.gov
	• International Cooperative Administrative Support Services, 2000 and 1999 Financial Statements	9/30/02 p. 51	
	• Attestation Review of Annual Accounting of Drug Control Funds	9/30/02 p. 53	
	• Review of Regional Financial Management System Test Documentation Standard	9/30/02 p. 54	
DOT	• Financial Statement Audit	3/31/02 p. 27, 30, 46	www.oig.dot.gov/
	• Cost Accounting Issues		
	• Illegal Parts Sales		
ED	• Financial Statement Audit	3/31/02 p. 4–6	www.ed.gov/offices/OIG/
	• Disaster Recovery Planning	3/31/02 p. 6	
	• Purchase and Travel Card Controls and Guide	9/30/02 p. 1–2	
	• Government Property Requires Monitoring	3/31/02 p. 5	
	• Monitoring High-Risk Contracts	9/30/02 p. 2	
EEOC	• Management Control System (FMFIA)	3/31/02 p. 11	www.ignet.gov/internal/eeoc.html
	• Education, Technical Assistance & Training Revolving Fund	3/31/02 p. 8	
	• Improprieties in Financial Management	3/31/02 p. 17	www.eeoc.gov/plan/oig/oig-2002.html
	• Reducing Infrastructure Costs through Increased Telework	9/30/02 p. 9	
EPA	• Financial Statement Audit	3/31/02 p. 6	www.epa.gov/oigearth
	• Assistance Agreement Controls	9/30/02 p. 8–16	
	• FFMIA Compliance	9/30/02 p. 8–9, 11, 16	
FCA	• Financial Statement Audit	3/31/02 p. 3	www.fca.gov/OIG
	• Chief Financial Officer Office		
FCC	• Special Review of FCC Fleet Card Program	9/30/02 p. 17	ww.fcc.gov/oig/
	• FY 2001 Consolidated Financial Statement Audit	9/30/02 p. 11	
	• FY 2001 Financial Statement Audit	3/31/02 p. 10	
FDIC	• Bank Financial Reporting and Auditing	3/31/02 p. 25	www.fdic.gov/oig/
	• Tax Refunds	9/30/02 p. 28–32	
FEMA	• Financial Statement Audit	3/31/02 p. 9–14	www.fema.gov/ig/
	• Grant Claims	9/30/02 p. 12	

Financial Management, *Continued*

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
FHFB	<ul style="list-style-type: none"> • Financial Statement 	9/30/02 p. 9	www.fhfb.gov/AboutUs/aboutus_orgchart_OIG.htm
FLRA	<ul style="list-style-type: none"> • Financial Management 	9/30/02 p. 7	1-800-331-3572
FRB	<ul style="list-style-type: none"> • Finance Function • Travel Card Program • Purchase Card Program 	3/31/02 p. 5 3/31/02 p. 12 9/30/02 p. 12	www.ignet.gov/internal/frb/oighome.htm
FTC	<ul style="list-style-type: none"> • Financial Statement Audit • SmartPay Program 	3/31/02 p. 2-3	www.ftc.gov/oig/oighome.htm
GSA	<ul style="list-style-type: none"> • Pegasys, New Accounting and Financial Management System • Financial Statement Audit • FTS 2001 Billings 	3/31/02 p. 10, 20 9/30/02 p. 8, 28	www.oig.gsa.gov
HHS	<ul style="list-style-type: none"> • Financial Statement Audits • Delinquent Medicare Debt • NIH Health Science Superfund • Faculty Loan Repayment Program • Capped Rental Equipment • Child Support • Non-Federal Audits 	3/31/02 p. 2-3, 36, 37, 39 3/31/02 p. 44, 55-56 3/31/02 p. 39 9/30/02 p. 12, 31-32, 39-44 9/30/02 p. 43-44	www.oig.hhs.gov
HUD	<ul style="list-style-type: none"> • Financial Statement Audits • Financial Management Systems 	3/31/02 p. 46-49 9/30/02 p. 9	www.hud.gov/offices/oig/
ITC	<ul style="list-style-type: none"> • Travel Card • Travel Card • Travel Program 	3/31/02 p. 17 9/30/02 p. 12, 20-21 9/30/02 p. 18	www.usitc.gov/oig/
NARA	<ul style="list-style-type: none"> • Financial Statement Audit • FMFIA Evaluation • Purchase Card Program 	9/30/02 p. 23-25	www.archives.gov/about_us/office_of_the_inspector_general/about_oig/about_oig.html
NASA	<ul style="list-style-type: none"> • International Space Station Spare Parts • Forward Funding Costs • Contract Audit Follow-up System • Contract Quality Assurance Surveillance Plans 	3/31/02 p. 3 3/31/02 p. 4 9/30/02 p. 8 9/30/02 p. 8-9	www.hq.nasa.gov/office/oig/hq/
NCUA	<ul style="list-style-type: none"> • Financial Statement Audit • Charge Card Programs 	3/31/02 p. 11	www.ncua.gov/org/orgchart/oig/
NLRB	<ul style="list-style-type: none"> • Charge Card Programs 	3/31/02 p. 5 9/30/02 p. 4	www.nlr.gov/ig/igindex.htm
NRC	<ul style="list-style-type: none"> • Financial Statement Audit • Protection of Social Security Numbers (SSN) • FFMIA Compliance 	3/31/02 p. 8-9 9/30/02 p. 5-6	www.nrc.gov/insp-gen.html

Financial Management, Continued				
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site	
NSF	• Financial Statement Audit	3/31/02 p. 19	www.oig.nsf.gov/	
	• Financial Statement Audit	9/30/02 p. 15		
	• Financial Management of Major Research Equipment and Facilities	9/30/02 p. 18		
	• Financial Management of Major Research Projects	9/30/02 p. 22		
OPM	• Travel Card Program	3/31/02 p. 28	www.opm.gov/oig/	
	• Financial Statement Audit	3/31/02 p. 30		
	• FMFIA Compliance	3/31/02 p. 33		
	• Travel Card Transactions	3/31/02 p. 28		
	• Purchase Card Internal Controls	9/30/02 p. 29		
RRB	• Financial Statement Audit	3/31/02 p. 4	www.rrb.gov/oig/rrboig.htm	
	• Investment Committee Activities	3/31/02 p. 6		
	• Investment Activities	9/30/02 p. 4		
	• Valuation of Railroad Retirement Act (RRA) Accounts Receivable	9/30/02 p. 12		
SBA	• FY2001 Financial Statement Audit	3/31/02	www.sba.gov/IG/	
	• Loan Monitoring and Financial Management Systems	9/30/02 p. 7-10		
SI	• Financial Management of Smithsonian Affiliations Program	3/30/02 p. 10	www.si.edu/oig	
	• Controls over Small Purchases			
	• Travel Card Program	9/30/02 p. 10		
SSA	• Improper Payments	9/30/02 p. 22	www.ssa.gov/oig/	
Treasury	• Financial Statement Audit	3/31/02 p. 6-8	www.ustreas.gov/offices/ inspector-general/	
	• Recovery of Unclaimed State Held Assets	9/30/02 p. 10, 16, 17		
	• Community Development Financial Institutions Fund			
TIGTA	• IRS Interest Calculations	3/31/02 p. 11-27	www.treas.gov/tigta/	
	• Interest on Frozen Refunds			
	• Tax Withholdings on Foreign Partners			
	• Levy Process			
	• Earned Income Credit			
	• FFMIA Redemption Plan			
	• Disabled Access Credits			
	• Reparation Credits			
	• Simplification of Filing Requirements			9/30/02 p. 15-25
	• Child Tax Credits			
	• Rate Reduction Credits			
	• Interest Provision Suspension			

Financial Management, *Continued*

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
TVA	<ul style="list-style-type: none"> • Financial Statement Audit • Real Estate Transactions • Transmission Services Billing • Special Financing Arrangements 	3/31/02 p. 8 9/30/02 p. 11	http://oig.tva.gov/
USDA	<ul style="list-style-type: none"> • Financial Statement Audit and Systems 	3/31/02 p. 11-13 9/30/02 p. 13-14	www.usda.gov/oig/
USPS	<ul style="list-style-type: none"> • Financial Statement Audit • Improper Payments • Financial Installation Audits • Charge Card Operations 	3/31/02 p. 30-33 9/30/02 p. 25-30	www.uspsoig.gov/
VA	<ul style="list-style-type: none"> • Financial Statement Audit • Medical Care Collection Fund • Compensation and Pension Overpayments • Medical Expense Claims • Philippines Benefit Fraud Project 	3/31/02 p. 26-30 9/30/02 p. 24-25, 32-33	www.va.gov/oig/homepage.htm

Human Capital

AID	<ul style="list-style-type: none"> • Workforce Planning • Workforce Restructuring 	3/31/02 p. 19-20 9/30/02 p. 20-21	www.usaid.gov/oig/
DOD	<ul style="list-style-type: none"> • Compensation Policies • Personnel Process 	3/31/02 9/30/02	www.dodig.osd.mil/
DOJ	<ul style="list-style-type: none"> • FBI Standard of Discipline • DEA's Discipline Process 	3/31/02 p. 37 9/30/02 p. 20	www.usdoj.gov/oig/
DOL	<ul style="list-style-type: none"> • Presidential Management Intern Program • Telework Program 	3/31/02 9/30/02	www.oig.dol.gov/
DOS	<ul style="list-style-type: none"> • Survey of Civil Service Leadership Training • Foreign Service "Up-or-Out" System 	3/31/02 p. 49 9/30/02 p. 52	www.oig.state.gov
DOT	<ul style="list-style-type: none"> • FAA Labor Distribution System 	3/31/02 p. 15	www.oig.dot.gov/
ED	<ul style="list-style-type: none"> • Management Challenges 	3/31/02 p. 12 9/30/02 p. 14	www.ed.gov/offices/OIG/
EEOC	<ul style="list-style-type: none"> • OMB Scorecard & EEOC 	3/31/02 p. 10	www.ignet.gov/internal/eec.html
EPA	<ul style="list-style-type: none"> • Employee Information Protection • Employee Competencies 	3/31/02 p. 13 9/30/02 p. 15	www.epa.gov/oigearth/

Human Capital, Continued			
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
FCA	<ul style="list-style-type: none"> Personnel Security Program Leave Bank Program Attorney Bar Review 	3/31/02 p. 3 9/30/02 p. 4, 5	www.fca.gov/OIG
FDIC	<ul style="list-style-type: none"> Personnel Security Human Capital Strategies 	3/31/02 p. 22 9/30/02 p. 24	www.fdic.gov/oig/
FEC	<ul style="list-style-type: none"> Staff Retirement Study 	3/31/02 p. 11	www.fec.gov/fecig.htm
FLRA	<ul style="list-style-type: none"> Human Resources 	9/30/02 p. 7	1-800-331-3572
FMC	<ul style="list-style-type: none"> Human Capital 	9/30/02 p. 6	1-202-523-5863
FRB	<ul style="list-style-type: none"> Recruitment Process 	9/30/02 p. 6	www.ignet.gov/internal/frb/oighome.htm
GSA	<ul style="list-style-type: none"> FAIR Act 	9/30/02 p. 21	www.oig.gsa.gov
HUD	<ul style="list-style-type: none"> Department-wide Organizational Challenges Adequate and Sufficiently Trained Staff 	9/30/02 p. 8-9	www.hud.gov/offices/oig/
ITC	<ul style="list-style-type: none"> Family Friendly Program Rural Development Act Policies and Procedures 	3/31/02 p. 15 9/30/02 p. 23	www.usitc.gov/oig/
NARA	<ul style="list-style-type: none"> Performance Appraisal Process EEO Complaints Processing Population Census Records 	3/31/02 p. 17 9/30/02 p. 20	www.archives.gov/about_us/office_of_the_inspector_general/about_oig/about_oig.html
NCUA	<ul style="list-style-type: none"> Staff Appraisal and Training Cycle Process 	3/31/02 p. 9	www.ncua.gov/org/orgchart/oig/
NLRB	<ul style="list-style-type: none"> Drug Free Workplace 	3/31/02 p. 6	www.nlr.gov/ig/igindex.htm
NSF	<ul style="list-style-type: none"> Workforce Management Plans 	9/30/02 p. 27	www.oig.nsf.gov/
SBA	<ul style="list-style-type: none"> Modernizing Human Capital Management 	9/30/02 p. 9	www.sba.gov/IG/
SSA	<ul style="list-style-type: none"> Workforce Study 	9/30/02 p. 34	www.ssa.gov/oig/
Treasury	<ul style="list-style-type: none"> Evaluation Procedures Worker Compensation Program Personnel Security Process 	3/31/02 p. 9 9/30/02 p. 9-10	www.ustreas.gov/offices/inspector-general/
TIGTA	<ul style="list-style-type: none"> Consolidation of Information Technology Services Staff 	9/30/02 p. 13	www.treas.gov/tigta/
TVA	<ul style="list-style-type: none"> Staffing at Fossil Plant Materials Storerooms Workplace Violence 	3/31/02 p. 6	http://oig.tva.gov/

Human Capital, *Continued*

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
USDA	<ul style="list-style-type: none"> • Business Process Reengineering 	3/31/02 p. i	www.usda.gov/oig/
USPS	<ul style="list-style-type: none"> • Workplace Environment Reviews • Human Resource Process Reviews • Health Care Reviews 	3/31/02 p. 54–58 9/30/02 p. 48–53	www.uspsoig.gov/

Integrating Budget and Performance

AID	<ul style="list-style-type: none"> • Performance Management System 	3/31/02 p. 57 9/30/02 p. 14–15	www.usaid.gov/oig/
DOC	<ul style="list-style-type: none"> • GPRA work 	Top 10 p. 11	www.oig.doc.gov/
DOE	<ul style="list-style-type: none"> • Contract Administration • Performance Management 	3/31/02 p. 23–29 9/30/02 p. 26–30	www.ig.doe.gov/
DOI	<ul style="list-style-type: none"> • Annual Performance Report 	9/30/01 p. 17	www.oig.doi.gov/
DOJ	<ul style="list-style-type: none"> • DEA GPRA Audit • OJP/COPS Streamlining Audit 	9/30/02 p. 15	www.oig.doj.gov/
DOL	<ul style="list-style-type: none"> • Detection and Prevention of Unemployment Insurance Overpayments • Financial Performance 	3/31/02 p. 47	www.oig.dol.gov/
DOT	<ul style="list-style-type: none"> • Transportation, Amtrak and FFA Budget Analyses and Testimony 	3/31/02 p. 3, 38, 41, 48	www.oig.dot.gov/
ED	<ul style="list-style-type: none"> • State Assessments • PART Assistance • Reliability and Validity of Title I Data • Individuals with Disabilities • Education Act Audits • Fraud Against Elementary and Secondary Programs • Compliance Activity in Virgin Islands and Puerto Rico • Guaranty Agencies • Graduation Rates for Less than 2-Year Postsecondary Institutions 	9/30/02 p. 4–7	www.ed.gov/offices/OIG/
EEOC	<ul style="list-style-type: none"> • GPRA Performance & Reporting 	9/30/02 p. 9	www.eeoc.gov/plan/oig/
EPA	<ul style="list-style-type: none"> • Measuring Grant Results • Superfund Environmental Indicators • Brownfields Performance Measures • Permit Compliance System Program Results 	3/31/02 p. 11 3/31/02 p. 4 9/30/02 p. 3–4 9/30/02 p. 12	www.epa.gov/oigearth

Integrating Budget and Performance, Continued			
Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
EPA (cont.)	<ul style="list-style-type: none"> Linking Measures & Performance Results Use of Assistance Agreements Accuracy of Superfund Data Base 	<p>9/30/02 p. 15</p> <p>9/30/02 p. 8–9, 16</p> <p>9/30/02 p. 9–10</p>	
FCA	<ul style="list-style-type: none"> Purchase Card Use 	9/30/02 p. 4	www.fca.gov/OIG
FDIC	<ul style="list-style-type: none"> Annual Performance Report Program Performance Reports 	<p>3/31/02 p. 21</p> <p>9/30/02 p. 23</p>	www.fdic.gov/oig/
FEMA	<ul style="list-style-type: none"> GPRA Audit 	3/31/02 p. 15	www.fema.gov/ig/
FLRA	<ul style="list-style-type: none"> Budget & Performance 	3/31/02 p. 7	1-800-331-3572
GSA	<ul style="list-style-type: none"> Performance Management System GPRA Tests and Performance Measures 	3/31/02 p. 21	www.oig.gsa.gov
HHS	<ul style="list-style-type: none"> Dialysis Facilities Performance GPRA Reviews 	<p>3/31/02 p. 23</p> <p>9/30/02 p. 42</p>	www.oig.hhs.gov/
HUD	<ul style="list-style-type: none"> Public and Assisted Housing Program Administration 	9/30/02 p. 11	www.hud.gov/offices/oig/
ITC	<ul style="list-style-type: none"> Commission's Research Program Planning Process 	3/31/02 p. 16	www.usitc.gov/oig/
NASA	<ul style="list-style-type: none"> Performance Reporting 	9/30/02 p. 13	www.hq.nasa.gov/office/oig/hq/
NLRB	<ul style="list-style-type: none"> Collection of Non-Tax Delinquent Debt 	3/31/02 p. 4	www.nlr.gov/ig/igindex.htm
NSF	<ul style="list-style-type: none"> Committee of Visitors Report 	9/30/02 p. 33	www.oig.nsf.gov/
OPM	<ul style="list-style-type: none"> Annual Performance Plan Audit 	3/31/02 p. 26	www.opm.gov/oig/
SSA	<ul style="list-style-type: none"> GPRA Performance Reviews 	9/30/02 p. 35	www.ssa.gov/oig/
Treasury	<ul style="list-style-type: none"> Customs NAFTA Enforcement Customs Cost Accounting Data 	9/30/02 p. 12–13	www.ustreas.gov/offices/inspector-general/
TIGTA	<ul style="list-style-type: none"> Criminal Investigation Performance Measures Fairness and Compliance of Trusts Business Systems Modernization Office Government Entities Organization 	<p>3/31/02 p. 9, 18, 24</p> <p>9/30/02 p. 11, 13, 22</p>	www.treas.gov/tigta/
TVA	<ul style="list-style-type: none"> Winning Performance Program 	3/31/02 p. 8	http://oig.tva.gov/
USDA	<ul style="list-style-type: none"> GPRA Implementation 	9/30/02 p. 13	www.usda.gov/oig/
USPS	<ul style="list-style-type: none"> Relocation Program Cost and Revenue Analyses 	<p>3/31/02 P. 30–33</p> <p>9/30/02 P. 25–30</p>	www.uspsoig.gov/

Competitive Sourcing

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
AID	<ul style="list-style-type: none"> Awards & Administration of Contracts 	9/30/02 p. 19–20	www.usaid.gov/oig/
DOD	<ul style="list-style-type: none"> Commercial Services & Marketing Public/Private Competition 	3/31/02	www.dodig.osd.mil/
DOI	<ul style="list-style-type: none"> Contract Audits 	3/31/02 p. 24, 25 9/30/02 p. 19	www.oig.doi.gov/
DOJ	<ul style="list-style-type: none"> Construction Contracts Audit 	9/30/02 p. 11	www.usdoj.gov/oig/
DOS	<ul style="list-style-type: none"> U.S. Support to International Police Task Force in Bosnia 	3/31/02 p. 50	oig.state.gov/
DOT	<ul style="list-style-type: none"> Transportation and FAA Acquisition Programs Document falsifications 	3/31/02 p. 11, 14, 43	www.oig.dot.gov/
EEOC	<ul style="list-style-type: none"> Competitive Contract Pre-Award Review KPMG Contract Closeout 	3/31/02 p. 10 3/31/02 p. 9	www.ignet.gov/internal/eeoc.html
EPA	<ul style="list-style-type: none"> Assistance Agreement Procurements 	3/31/02 p. 11	www.epa.gov/oigearth
FCA	<ul style="list-style-type: none"> Contracting Activity 	9/30/02 p. 3	www.fca.gov/OIG
FDIC	<ul style="list-style-type: none"> Contractor Billings Contract Audits 	3/31/02 p. 20 9/30/02 p. 22	www.fdic.gov/oig/
FLRA	<ul style="list-style-type: none"> Outsourcing 	9/30/02 p. 7	1-800-331-3572
FMC	<ul style="list-style-type: none"> Competitive Sourcing 	3/31/02 p. 5	1-202-523-5863
GSA	<ul style="list-style-type: none"> FAIR Act Activities 	9/30/02 p. 21	www.oig.gsa.gov
HHS	<ul style="list-style-type: none"> Medicare Payments for Prescription Drugs 	9/30/02 p. 7	www.oig.hhs.gov
NASA	<ul style="list-style-type: none"> Lockheed Use of Professional and Consultant Services Grants and Cooperative Agreements 	3/31/02 p. 3 9/30/02 p. 8	www.hq.nasa.gov/office/oig/hq/
NARA	<ul style="list-style-type: none"> Warrants and Sole Source Procurements 	9/30/02 p. 22	www.archives.gov/about-us/office-of-the-inspector-general/about-oig/about-oig.html
NLRB	<ul style="list-style-type: none"> Computer Maintenance Contract 	3/31/02 p. 5	www.nlr.gov/ig/igindex.htm
TVA	<ul style="list-style-type: none"> Contract Reviews 	3/31/02 p. 7 9/30/02 p. 8–10, 22–23	http://oig.tva.gov/
Treasury	<ul style="list-style-type: none"> Mint Leased Excessive Space ATF Acquisition 	3/31/02 p. 9–10 9/30/02 p. 9	www.ustreas.gov/offices/inspector-general/

Competitive Sourcing, Continued

Agency OIG	Topic Areas	Semiannual Report Reference	OIG Web Site
USPS	• Financial Installation Audits	3/31/02 p. 33–35	www.uspsoig.gov/
	• Contract Audits	9/30/02 p. 30–33	
VA	• VA Contract Audits	3/31/02 p. 30	www.va.gov/oig/homepage.htm
		9/30/02 p. 33–34	



Appendix B

Glossary of Acronyms and Abbreviations

Acronym/ Abbreviation	Definition
AID	Agency for International Development
ARC	Appalachian Regional Commission
CFTC	Commodity Futures Trading Commission
CFO	Chief Financial Officer
CIO	Chief Information Officer
CNCS	Corporation for National and Community Service
CPSC	Consumer Product Safety Commission
CPB	Corporation for Public Broadcasting
DCAA	Defense Contract Audit Agency
DCIS	Defense Criminal Investigative Service
DHS	Department of Homeland Security
DOC	Department of Commerce
DOD	Department of Defense
DOE	Department of Energy
DOI	Department of the Interior
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State and the Broadcasting Board of Governors
DOT	Department of Transportation
ECIE	Executive Council on Integrity and Efficiency
ED	Department of Education
EEOC	Equal Employment Opportunity Commission
E-Government	Electronic Government
EPA	Environmental Protection Agency
FAIR Act	Federal Activities Inventory Reform Act
FBI	Federal Bureau of Investigation
FCA	Farm Credit Administration
FCC	Federal Communications Commission
FDIC	Federal Deposit Insurance Corporation
FEC	Federal Election Commission
FEMA	Federal Emergency Management Agency
FFMIA	Federal Financial Management Improvement Act
FHFB	Federal Housing Finance Board
FISMA	Federal Information Security Management Act
FLRA	Federal Labor Relations Authority
FMC	Federal Maritime Commission
FRB	Federal Reserve Board
FTC	Federal Trade Commission
FY	Fiscal Year
GAO	General Accounting Office
GISRA	Government Information Security Reform Act
GPEA	Government Paperwork Elimination Act
GPO	Government Printing Office

Acronyms and Abbreviations Glossary, *Continued*

Acronym/ Abbreviation	Definition
GPRA	Government Performance and Results Act
GSA	General Services Administration
HHS	Department of Health and Human Services
HUD	Department of Housing and Urban Development
I&E	Inspections and Evaluations
IG	Inspector General
IGATI	Inspectors General Auditor Training Institute
INS	Immigration and Naturalization Service
IRS	Internal Revenue Service
IT	Information Technology
ITC	International Trade Commission
LSC	Legal Services Corporation
MIR	Misconduct in Research
NARA	National Archives and Records Administration
NASA	National Aeronautics and Space Administration
NCUA	National Credit Union Administration
NEA	National Endowment for the Arts
NEH	National Endowment for the Humanities
NLRB	National Labor Relations Board
NRC	Nuclear Regulatory Commission
NSF	National Science Foundation
OGE	Office of Government Ethics
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPM	Office of Personnel Management
OSC	Office of Special Counsel
PART	Program Assessment Rating Tool
PBGC	Pension Benefit Guaranty Corporation
PC	Peace Corps
PCIE	President's Council on Integrity and Efficiency
PFCRA	Program Fraud Civil Remedies Act
RRB	Railroad Retirement Board
SBA	Small Business Administration
SEC	Securities and Exchange Commission
SI	Smithsonian Institution
SSA	Social Security Administration
SSN	Social Security number
TIGTA	Treasury Inspector General for Tax Administration
Treasury	Department of the Treasury
TVA	Tennessee Valley Authority
USDA	Department of Agriculture
USPS	U.S. Postal Service
VA	Department of Veterans Affairs



Appendix C PCIE and ECIE Membership Information

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*See also Members on Both Councils, page C-1
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*See also Members on Both Councils, page C-1
☎Hotline Numbers

Called to Serve...

In recent months, nearly one hundred individuals from at least 20 member offices of the PCIE and ECIE have been called up to active duty to support the war effort in Iraq. These brave men and women are serving in various capacities across the globe to secure our homeland and protect our freedoms. We salute their courage and patriotism, and would like to recognize many of these individuals, as follows:

Bruce Arndt-Cortez, *Army*
John Berrett, *Air Force*
Peter Blackburn, *Marine Corps*
Wayne Blackwood, *Marine Corps*
Marlon R. Bowles, *Army*
Joseph Bredehoft, *Navy*
Jeffrey Brown, *Army*
Alma Certa, *Coast Guard*
Douglas L. Chapman, *Army*
James J. Collins, *Army*
Matthew Craig, *Army*
Marcus Culpepper, *Air Force*
Paul B. D'Agostino, *Army*
John Demaggio, *Navy*
Charles G. Dirks, *Army*
David A. Enos, *Army*
Malik Freeman, *National Guard*
Hector Garcia, *Army*
Michael Geasley, *National Guard*
Curtis Gelber, *Air Force*
James Greer, *Air Force*
Gloria Hill, *Navy*
Jeffrey Hochadel, *Navy*
Rodney T. Holliman, *Army*
Douglas Ickes, *Army*
Latonya Jackson, *National Guard*
Robert J. Kaufman, *Army*
Sheila Keating, *Army*
David J. King, *Air Force*
Stefan Larese, *Air Force*
John Ledden, *Army*
Joseph M. Levesque, *Army*
Freddy Lopez, *Marine Corps*
Janet Lynch, *Army*
James W. Macon, *Army*
Michael Maertzig, *Navy*
Shawn Magowan, *Army*
Steven Manber, *Marine Corps*

Angel Matos, *National Guard*
Sam Maxey, *National Guard*
Esther Maysonet, *Marine Corps*
Albert McCarn, *Army*
Eric McGraw, *Army*
Tracy McIntosh, *Army*
Jon J. Metrey, *Army*
Paul W. Myers, *Army*
BorisFrank Nazaroff, *Marine Corps*
Wayne Nomi, *Coast Guard*
Wayne North, *Coast Guard*
Christopher O'Gara, *Army*
Keith Owens, *Army*
Allen Pajarin, *Army*
Scott Parker, *National Guard*
David Pileggi, *Coast Guard*
Anthony Register, *National Guard*
John Richardson, *Navy*
Meredith Ross, *Army*
Lorne Segerstrom, *Army*
Ivan Serpa, *Army*
Tonya D. Shorts, *Army*
Todd Sikkink, *Air Force*
Derek Simmons, *Marine Corps*
Lance Stamper, *Army*
Charles Stephens, *Air Force*
Scott Stokes, *Marine Corps*
Edward Thomas, Jr., *Air Force*
Pedro Toscano, *Army*
Anthony V. Truong, *National Guard*
Patricia VanGilder, *Air Force*
Clara J. Veal, *Army*
Jeffrey D. Walsh, *National Guard*
Idenne M. Whetsel, *Marine Corps*
Edwin Wilkinson, *Navy*
W. David Winstead, *Army*
David Zaiser, *Army*

A Final Note...

On November 25, 2002, the President signed into law the Homeland Security Act of 2002, creating the new Cabinet-level Department of Homeland Security. The Department's creation is the largest reorganization of government agencies, personnel, programs, and operations since 1947, when the various branches of the armed forces were merged to create the Department of Defense. The Homeland Security Act merged 22 previously separate Federal agencies and programs into one department.

This new department was designed to bridge the communication and accountability gaps that previously existed among Federal agencies and programs. At the same time, the Department of Homeland Security, even with its multiple components, will still be just one of many players with important roles and responsibilities for ensuring homeland security. Homeland security will require the involvement of a myriad of agencies in the Federal, state, local, and private sectors.

These changes to the government landscape provide the Inspector General community a unique opportunity to rethink our approaches and priorities to address the emerging fiscal, technological, human capital, economic, political, and other challenges of the 21st century, and to fulfill our mission of promoting economical, efficient, and effective government. We welcome this opportunity and stand ready to serve.



President's Council on
Integrity and Efficiency

Executive Council on
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