

# A Progress Report to the President



President's Council on Integrity and Efficiency  
Executive Council on Integrity and Efficiency

Fiscal Year 2003

## Fiscal Year 2003 Results of OIG Efforts

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The work of more than 11,000 employees of the Offices of Inspector General across government produced impressive results during FY 2003. 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 \$18 billion.
- About 6,600 successful criminal prosecutions.
- Suspensions or debarments of over 7,600 individuals or businesses.
- Over 2,600 civil or personnel actions.
- More than 6,800 indictments and criminal informations.
- Nearly 200,000 complaints processed.
- Over 80 testimonies before the Congress.

These accomplishments reflect the work of the Federal Offices of Inspectors General, whose combined FY 2003 budgets totaled about \$1.9 billion.

# A Progress Report to the President

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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 or (202) 973-5003, respectively. This report is also available on the Inspectors General Web site, at [www.ignet.gov](http://www.ignet.gov).

# Foreword

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) 2003*. The report captures not only the progress that the PCIE and ECIE have made toward achieving strategic goals and objectives, but also highlights the collective work and accomplishments of Inspectors General (IG) as a community.

In particular, the report features the top management challenges—including information technology management, financial management, performance management and accountability, and procurement and grant management—that IGs believe warrant high-level attention and review at their respective agencies and across government. While this report primarily focuses on the IG community's efforts to address these management challenges, it also serves as a crosswalk to the key activities that were reported on by individual IGs during FY 2003 and provides the corresponding Web site links.

During FY 2003 alone, the thousands of independent audits, investigations, inspections, evaluations, and other activities conducted by the 57 Offices of Inspector General (OIGs) accounted for nearly \$18 billion in potentially saved and recovered Federal funds, as well as thousands of prosecutions, civil and personnel actions, and suspensions and debarments of businesses and individuals for wrongdoing. Additional information on the work and accomplishments of individual Offices of Inspector General can be found by visiting the Web site links included in Appendix A of this report or consulting the Federal IG Web site at [www.ignet.gov](http://www.ignet.gov).

Of special significance, October 12, 2003, marked the 25th anniversary of the passage of the Inspector General Act of 1978. Over this quarter century, the Act has provided IGs with the independence, authority, and responsibility needed to promote economy, efficiency, and effectiveness and to prevent and detect fraud, waste, and abuse in Federal agencies and programs. To further recognize this important piece of legislation, this report features a look back at the history of the IG Act and how the community acknowledged its silver anniversary.

As individual IGs and members of the PCIE and ECIE, we are committed to working together to carry out the mission established for us 25 years ago. We look forward to continued cooperation with the Administration and the Congress and welcome the opportunity to actively fulfill our roles as "agents of positive change."



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



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



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# An Overview of the Inspector General Community

**T**wenty-five years ago, the Congress passed the Inspector General Act of 1978. Landmark legislation at the time, this Act centralized the audit and investigative functions under an Inspector General (IG), ensuring an independent voice to the agency head, the Congress, and the public. The Act had a quick and significant impact in helping agencies repair serious and widespread internal control weaknesses and enhance efficiency and effectiveness. The IG concept provided a framework to help protect the public interest by contributing to improved government management, decision-making, oversight, and accountability.

Recognizing its success, the Congress amended the Act several times over the years to expand the IG concept from the 12 Federal agencies identified in the 1978 legislation to include most agencies of the Federal government. The IG Act Amendments of 1988 established 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.

## IG Mission and Roles

In simple terms, IGs have two primary roles—to independently find and report on current problems, and to prevent future problems by fostering integrity, accountability, and excellence in government programs. Within their respective agencies, IGs:

- Conduct and supervise audits, investigations, inspections, and evaluations of agency programs and operations.
- Review existing and proposed laws and regulations relating to agency programs and operations.
- Provide leadership for activities designed to promote economy, efficiency, and effectiveness, and to reduce fraud, waste, and abuse.
- Inform 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, while remaining ever mindful of the need to maintain their independence both in fact and appearance. For example, IGs recognize the importance of obtaining input from stakeholders on projects and areas of interest and typically draw 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 perform certain routine activities, such as providing “technical advice” on a particular issue or piece of legislation to officials within their agencies and to the Congress, participating as non-voting representatives on their agencies’ senior councils, and offering advice and observations on management policies under development.

In carrying out their mission, 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 2003, Offices of Inspector General (OIGs) collectively issued nearly 4,700 reports and appeared some 83 times before Congressional committees. In addition, these OIGs closed about 22,000 investigations and processed nearly 200,000 complaints. These various reports include:

**Audit Reports.** The IG Act requires OIG audits to be performed under standards established by the Comptroller General of the United States. In June 2003, the Comptroller General released a substantial revision to the *Government Auditing Standards (Yellow Book)*, which incorporates new independence requirements, expands the types of audits to include prospective analyses and studies, adds “attestations” as a separate type of audit, and provides consistency in fieldwork and reporting requirements across all types of audits. The revision also provides guidance for ensuring that auditors have the necessary competence, integrity, objectivity, and independence to effectively plan, conduct, and report on their work.

**Inspection and Evaluation (I&E) Reports.** Inspections include policy and program evaluations. Sev-

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eral OIGs use inspections as a quick way to spot test the effectiveness of agency programs or perform a broad review of certain issues. The IG community has 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 reflect IG work and contributions.

## 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 also notify the Congress of the reasons for removal.

At the time of this report, five PCIE OIGs were being led by acting IGs: the Departments of Health and Human Services (HHS), State and the Broadcasting Board of Governors (DOS), and the Treasury; the Social Security Administration (SSA); and the Treasury Inspector General for Tax Administration (TIGTA). The IG for the Export-Import Bank, established with the passage of the Export-Import

Reauthorization Act of 2002, has not yet been nominated. One ECIE OIG—the Legal Services Administration—was headed by an acting IG.

## The President's Council on Integrity and Efficiency and The Executive Council on Integrity and Efficiency

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. The presidentially appointed IGs work together and coordinate their professional activities through the PCIE, which was created by Executive Order 12301, dated March 26, 1981, and later updated in 1988 by Executive Order 12625 and in 1992 by Executive Order 12805. The IGs of designated Federal entities work together and coordinate their professional activities through the ECIE, which was created by Executive Order 12805 on May 11, 1992.

### Temporary IG Created

The Emergency Supplemental Appropriations for Iraq and Afghanistan Security and Reconstruction Act became law on November 16, 2003, creating the Coalition Provisional Authority (CPA) to provide for the temporary governance of a free Iraq. This law also created an IG, who is appointed by the Secretary of Defense, in consultation with the Secretary of State, and as necessary, removed in accordance with the provisions of the IG Act.

The CPA IG is responsible for conducting, supervising, and coordinating audits and investigations of the treatment, handling, and expenditure of appropriated funds by the CPA in Iraq, and for other duties and responsibilities under the IG Act. In carrying out its work, the CPA IG will coordinate with IGs at the Department of Defense (DOD) and Agency for International Development (AID). The CPA OIG shall terminate 6 months after the authorities and duties of the CPA cease to exist. Stuart W. Bowen, Jr. was appointed by the Secretary of Defense with the consent of the Secretary of State as the first CPA IG on January 20, 2004.

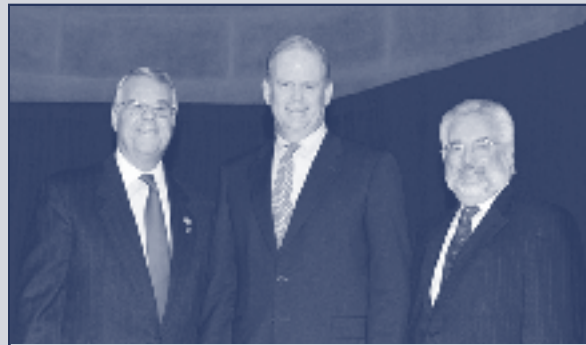
## Overview of the PCIE and the ECIE

### *Mission*

To promote collaboration on integrity, economy, and efficiency issues that transcend individual Federal agencies and seek to enhance the professionalism and effectiveness of OIG personnel throughout the government.

### *Leadership*

- As the Deputy Director for Management of the Office of Management and Budget (OMB), Clay Johnson III chairs both the PCIE and ECIE and reports to the President on their activities.
- An IG who is recommended by the members of each Council and approved by the Chair serves as the Vice Chair of that particular Council and manages its day-to-day activities. Gaston L. Gianni, Jr., IG, Federal Deposit Insurance Corporation (FDIC), serves as the PCIE Vice Chair and Barry R. Snyder, IG, Board of Governors of the Federal Reserve System (FRB), serves as the ECIE Vice Chair.
- An Executive Council—comprised of the Vice Chairs of the PCIE and the ECIE, Chairs of the IG-led Committees, and one At-Large Member—was created in 2001 by the PCIE and ECIE membership in consultation with the Chair. 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.



*PCIE and ECIE Leadership.*  
From left: Messrs. Gianni, Johnson, and Snyder.

### *Membership*

Presidentially appointed IGs are members of the PCIE, and IGs of designated Federal entities are members of the ECIE. 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), and the Assistant Director of the FBI's Criminal Investigative Division are members of both the PCIE and the ECIE. To facilitate collaboration, the PCIE Vice Chair is a member of the ECIE and the ECIE Vice Chair is a member of the PCIE. Appendix C lists PCIE and ECIE members beginning on page C-1.

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 these committees and forms ad hoc committees as needed. Table 1 (page 4) describes the six standing committees and highlights their leadership over the past 2 years.

PCIE members also foster working relationships with the Chief Financial Officer (CFO), Chief Information Officer (CIO), and the Federal Acquisition

Councils. Selected PCIE members regularly attend meetings of these Councils and keep the PCIE membership informed about relevant issues and initiatives.

In addition, members of both Councils join together in roundtables and working groups to address a wide range of relevant issues, such as information technology security, performance management, misconduct in research, and competitive sourcing. The roundtables and working group described below support the standing committees in addressing issues of special interest to the IG community.

**Table 1. Standing PCIE Committees**

Committee	Chair (2002–2003)	Purpose
<b>Audit Committee</b>	<b>Gregory Friedman</b> IG, Department of Energy (DOE)	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.
<b>Human Resources Committee</b>	<b>Nikki Tinsley</b> IG, Environmental Protection Agency	Advocates human resource (HR) development opportunities for members of the PCIE and ECIE communities and assists in ensuring the development of competent personnel.
<b>Inspection and Evaluation Committee</b>	<b>Johnnie Frazier</b> IG, Department of Commerce (DOC)	Supports the I&E work of the IG community, sharing 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.
<b>Integrity Committee</b>	<b>Grant D. Ashley</b> Assistant Director, Criminal Division FBI	Receives, reviews, and refers for investigation, as appropriate, allegations of wrongdoing by IGs and, in limited cases, IG staff. (An Executive Order dictates the Chair and Committee membership.)
<b>Investigations Committee</b>	<b>Patrick McFarland</b> IG, OPM	Advises the IG community on issues involving criminal investigations, investigative personnel, and investigative guidelines and oversees the IG Criminal Investigator Academy. Works closely with the Investigations Advisory Subcommittee, comprised of the Assistant IGs for Investigations.
<b>Legislation Committee</b>	<b>Kenneth M. Mead</b> IG, Department of Transportation (DOT)	Serves as the central point of information regarding legislative initiatives and congressional activities that may impact the community. Keeps the PCIE and ECIE informed about relevant bills and amendments that would affect IG statutory authority or create new IG responsibilities.

- **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.
- **I&E Roundtable**, sponsored by Johnnie Frazier, IG, DOC, supports the work of the I&E Committee, by conducting projects and surveys related to the I&E functions.
- **Misconduct In Research (MIR) Working Group**, sponsored by Christine Boesz, IG, National

Science Foundation (NSF), educates the IG community about MIR issues and continues to develop and test standards for the conduct or oversight of MIR investigations.

- **Competitive Sourcing Roundtable**, led by Earl Devaney, IG, Department of the Interior (DOI), was established in July 2003 to facilitate discussion within the IG community regarding both the OIGs' oversight role in reviewing agency implementation as well as the OIGs' own execution of this governmentwide initiative.

Immediately following the special feature on the IG Act is a more complete overview of Council and community accomplishments during FY 2003. Additional information on PCIE, ECIE, and individual OIG activities is available at [www.ignet.gov](http://www.ignet.gov).

# Special Feature: The Inspector General Act of 1978 and 25 Years Later

The passage of the Inspector General Act of 1978 and its subsequent amendments created independent OIGs responsible for promoting economy, efficiency, and effectiveness—and preventing and detecting fraud, waste, and abuse—in Federal programs and operations. Over time, OIG responsibilities have grown, most notably in the financial audit and computer security areas. In addition, the recent enactment of the Homeland Security Act of 2002 included provisions that extend the authority to exercise law enforcement powers to selected OIGs.

On December 1, 2003, President Bush signed S.J.Res. 18, a Joint Congressional Resolution, commending IGs for their efforts to prevent and detect waste, fraud, abuse, and mismanagement, and to promote economy, efficiency, and effectiveness in the Federal government during the past 25 years.



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## The Inspector General Act of 1978

On October 12, 1978, President Jimmy Carter created independent audit and investigative offices in 12 Federal agencies when he signed into law the Inspector General Act of 1978. Provided below is a snapshot of why the Act was created and how it has matured over the last 25 years.

### *Where did the IG concept come from?*

The IG concept was derived in part from the military custom of having an IG provide an independent review of the combat readiness of the Continental Army's troops. The need for such independence existed more than 225 years ago.

### *What was the impetus behind this 1978 Act?*

In the early 1960's, a subcommittee of the Government Operations Committee, U.S. House of Representatives, chaired by Congressman L. H. Fountain, began to highlight the need for independent statutory IGs. Further work by this same subcommittee in 1974 revealed that the former Department of Health, Education and Welfare (HEW) lacked effective processes for investigating program fraud and abuse. In response, legislation establishing a statutory IG at HEW was enacted 2 years later.

During congressional hearings debating the Act itself, several witnesses sounded warnings of serious adverse consequences that would result if the Act became law, and other witnesses questioned the constitutionality of some of the Act's provisions. However, these concerns were tempered by compelling testimony of the HEW Secretary and IG, and the Act passed both Houses of the Congress with strong bipartisan support. In addition to Congressman Fountain, Senators Tom Eagleton, John Glenn, and Bill Roth and Congressmen Jack Brooks and Frank Horton were instrumental in passing the IG Act and overseeing its implementation.

### *How has the IG concept evolved over the past 25 years?*

The basic tenets of the Act have remained constant and strong over the past quarter century. Although amended several times to add new IGs and clarify reporting requirements, the Act has given IGs the authority and responsibility to be independent voices for economy, efficiency, and effectiveness within the Federal government. Today 57 IGs protect the integrity of government, improve program efficiency and effectiveness, and prevent and detect fraud, waste, and abuse in Federal agencies.

IGs operate in a changing environment. In addition to the traditional roles of promoting economy and efficiency and fighting fraud, waste, and abuse, new responsibilities and challenges have emerged. The IGs are now playing a pivotal role within their agencies by conducting financial audits, reporting on Government Performance and Results Act (GPRA) compliance and accountability, assessing information security efforts, identifying significant agency challenges, and reviewing implementation of the President's Management Agenda. Recently, provisions in the Homeland Security Act of 2002 extended statutory law enforcement authority to certain OIGs that were previously granted these powers on an administrative basis.

### *Has the concept been successful?*

The IG concept has proven to be of significant benefit to our government as well as to governments abroad. Each year, billions of dollars are returned to the Federal government or better spent based on recommendations from IG reports. IG investigations contribute to the prosecution of thousands of wrongdoers and recovery of billions of dollars annually. The IG concept of good governance and accountability also encourages foreign governments to seek our advice, with the goal of replicating the basic IG principles in their governments.

*"On this, the 25th anniversary, I am proud to say that the Act has not only withstood the test of time, it has brought pronounced and prudent changes to the manner in which government does business."*

John Glenn, United States Senator,  
State of Ohio, 1975-1999



## Celebrating the Inspector General Act: 25 Years Later

October 12, 2003, marked the 25th anniversary of the enactment of the IG Act. On the occasion of its silver anniversary, the IG community celebrated its accomplishments, reflected on opportunities for improvement, and continued efforts to educate various audiences about the IG mission with a series of unique activities, as follows.

### Hearing

- ★ On October 8, 2003, the Chair of the House Government Reform Subcommittee on Government Efficiency and Financial Management, Congressman Todd Platts, held an oversight hearing to examine the progress under the IG Act. Comptroller General David Walker, OMB Deputy Director for Management Clay Johnson, PCIE Vice Chair Gaston Gianni, and ECIE Vice Chair Barry Snyder testified before the Subcommittee.

### The President

- ★ On October 14, 2003, the President of the United States, George W. Bush, met with the IGs to honor and recognize the silver anniversary of the passage of the IG Act. The President applauded the IGs for their dedication to the mission of combating fraud, waste, and abuse to make programs work better for the taxpayers and commended their vigilance to remain “agents of positive change.”

### Media

- ★ During the second week of October, seven IGs were featured on C-span’s “Washington Journal” to discuss the mission and responsibility of the IG community and address issues such as homeland security, justice, transportation, space, the environment, banking, and government printing.

### Awards

- ★ On October 16, 2003, 134 IG community awards were presented to individuals and groups to show recognition for their career achievements, individual accomplishments, and excellence. Three of the awards honored the “best of the best” from the community.

### Standards

- ★ During October 2003, the IG community updated and issued its *Quality Standards for Federal Offices of Inspector General*. To commemorate the 25th anniversary, the update was issued with a silver cover, and will be referred to as the “Silver Book.”

### Open House

- ★ OIGs hosted “open houses” within their agencies during October and November, with the goal of providing information on the mission and responsibilities of an IG.

### Memorabilia

- ★ The community designed a logo and poster to serve as a reminder of IG history to all who come in contact with the IG community. The logo has been featured on various documents and publications, including this report. The 25th anniversary poster, which includes the names of each OIG, illustrates the breadth of the community. (A reproduction of this poster can be found on the inside back cover of this report.)

### Publication

- ★ The commemorative winter edition of *The Journal of Public Inquiry* features commentaries and articles related to the 25th anniversary.

*“Over the past 25 years, the IGs have had a profound impact on the operation of the Federal Government....IGs have functioned both as ‘guardians of good government’ and ‘agents of positive change.’”*

William V. Roth, Jr.  
United States Senator, Delaware 1971–2001





# 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. FY 2002 was the first year the *Framework* was used to report on the community's activities and initiatives. Now in the *Framework's* second year, we are pleased to report by goal the Councils' accomplishments during FY 2003 and highlight 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. During FY 2003, the PCIE and ECIE focused their attention toward accomplishing these objectives for improving Federal programs and operations.

*For FY 2003, the PCIE and ECIE met the 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 5 years, the PCIE and ECIE have compiled information reported by the OIGs to reveal management challenge trends facing our government. Thirty-one OIGs participated in this exercise and identified the following agency management challenges:
  - Information Technology Management and Security
  - Financial Management and CFO Statements
  - Performance Management and Accountability
  - Human Capital
  - Procurement and Grant Management
  - Homeland Security
  - Service to the Public

The most recent compilation of the government's management challenges can be found on page 18.

- ★ On July 9, 2003, the House Committee on the Budget held a hearing to address fraud, waste, and abuse in Federal mandatory programs.

The Committee asked IGs of the major agencies governed by the CFO Act to submit testimony describing problems in the mandatory spending in their respective agencies. Four IGs, representing the Departments of Agriculture (USDA), Education (ED), Health and Human Services (HHS), and Transportation (DOT), testified at the hearing. The FY 2003 budget resolution included instructions for both House and Senate Committees to identify fraud, waste, and abuse in these spending programs.

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

- ★ Through the PCIE and ECIE, the IG community continued to work together during FY 2003 to focus on the management challenges it identified. Given the IG's statutory role in the financial management arena, the community devoted energy and resources to address various accelerated financial auditing and internal control issues. Also in the financial arena, the community took on leadership roles to assist in eliminating improper payments and travel and purchase

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card abuse. OIGs actively participated in the IT and GPRA Roundtables to learn and share best practices on the IT and performance management issues facing their agencies. An expanded discussion of the community's contributions to these and other governmentwide challenges can be found beginning on page 17.

★ Selected IGs continued their participation in the Comptroller General's Domestic Working Group. This group, consisting of Federal IGs and state and local audit officials, began meeting in 2001 to explore issues of mutual concern and complement the work of the Intergovernmental Audit Forum. From the start, this group has collaborated among the three levels of government by undertaking joint audits in the education, transportation security, and food safety and security areas.

★ During the past year, the Misconduct in Research Working Group further explored research misconduct and fraud and authored two articles to raise the awareness:

— "Research Misconduct and its Relationship to Fraud," which appeared in *The Journal of Public Inquiry*, Fall/Winter 2002, highlights past instances where research misconduct cases became criminal fraud cases and advocates that OIGs look to uncover research misconduct.

— "Key Issues in Conflict of Interest for Scientific, Engineering and Educational Research," appeared in *The Journal of Research Administration* and was presented in workshops during the Society of Research Administrators' annual meeting.

★ During the year, working groups have formed to discuss various investigative initiatives. For example, the Southwestern Region Inspectors General Council has been meeting quarterly to identify vulnerable areas of governmentwide or multi-agency fraud and share expert knowledge in preventing and detecting fraud.

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

★ In last year's report, *A Progress Report to the President, FY 2002*, the IG community accounted for nearly \$72 billion in potential savings and reported on its efforts to address operational and program improvements within the Federal government. This report also incorporated a new reporting approach that compared the community's activities and initiatives against *A Strategic Framework*, graphically illustrated statistical information from prior years, and served as a resource guide by listing OIG work. The community has continued to build on this approach, as evidenced in this year's report.

## Goal II

### Communicate Reliable and Timely Information to Maintain Public Confidence in the IG Community

In the current environment, demands for timely and responsive information are increasing. The PCIE and ECIE have recognized these demands and, during FY 2003, have sought opportunities to educate stakeholders by sharing the results of their efforts and keeping stakeholders apprised of ongoing initiatives.

*The PCIE and ECIE exceeded their goal to communicate reliable and timely information to maintain public confidence during FY 2003. The activities promoting the 25th anniversary of the IG Act went a long way toward educating the Councils' stakeholders and the public. Over the next year, the Councils will build upon these efforts to further enhance their communications efforts.*

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

- ★ For the most part, PCIE and ECIE members serve as the public information voice, with the Vice Chairs representing the Councils and individual members handling agency specific matters. On October 8, 2003, the Vice Chairs of both Councils testified before the House Government Reform Subcommittee on Government Efficiency and Financial Management to offer commentary on the 25th anniversary of the IG Act and identify possible legislative changes. The hearing also allowed OMB, the General Accounting Office (GAO), and Subcommittee members to recognize the IG community's accomplishments over time. Individual IGs addressed issues of national importance related to their agency by testifying 83 times before Congressional committees during FY 2003. Many IGs also appeared in newspapers and on national television and radio to discuss issues related to their agencies.
- ★ Since 1995, *The Journal of Public Inquiry*, a semi-annual publication of the IG community, has continued to address issues and topics important to its audience. The *Journal* provides a forum to share professional ideas, suggest new innovations, and chronicle changes over the years. The General Services Administration (GSA) IG currently serves as the *Journal's* editor-in-chief. The Fall/Winter 2003, Spring/Summer 2003, and other editions of *The Journal of Public Inquiry* can be found on [www.ignet.gov](http://www.ignet.gov).
- ★ During FY 2003, the Vice Chairs hosted several delegations of foreign visitors who had a common interest in learning about issues affecting government integrity. In addition to receiving pertinent documents, visitors from the Dominican Republic, Latin America, Ireland, Central and Eastern Europe, Israel, Cambodia, Thailand, Korea, Japan, and the Philippines were briefed on the purpose and intent of the IG Act, the role of IGs as impartial advocates for better government, and the purpose and activities of the PCIE and ECIE. A copy of the general presentation is available on [www.ignet.gov](http://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.

- ★ The IG community marked the 25th anniversary of the enactment of the IG Act by celebrating its accomplishments, reflecting on opportunities for improvement, and continuing to educate various audiences about the IG mission. A meeting with the President, a congressional hearing, and C-Span interviews are just a few of the activities the community participated in to recognize its silver anniversary. A complete listing of the activities is detailed on page 7.
- ★ In light of the 25th anniversary, the PCIE and ECIE developed a legislative proposal that not only reflects the priorities of IGs, but could also assist Congressional oversight committees in their possible consideration of the IG Act. Along these lines, the Legislation Committee developed a package of legislative proposals that could improve operations. These proposals addressed such issues as statutory codification of the PCIE and ECIE into a single "Inspectors General Council," term of office and removal provisions for IGs, personnel management flexibilities, and civil fraud recovery.
- ★ The I&E Committee continued its outreach to private and other public sector groups. During the past year, this liaison work has included presentations to the Association of Inspectors General (state and local), Association of Government Accountants, American Evaluation Association, Joint Financial Management Improvement Project, and other professional organizations.
- ★ Throughout the country and in a variety of forums and professional associations, PCIE and ECIE members 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 its role as a central repository for key PCIE, ECIE, and OIG reports, statistics, publications, related legislation, and other information, IGnet serves as a springboard

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to electronically connect with the Federal OIGs and the issues they are addressing. IGnet also houses links to the work of the Councils' committees and working groups.

- ★ The Legislation Committee serves as the central coordinating point for legislative issues affect-

ing the community. Using its Legislative Alert system, the Committee keeps IGs and their legislative liaisons up-to-date on noteworthy policy issues within the Administration and legislative developments within the Congress.

## 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 more than 11,000 auditors, investigators, evaluators, inspectors, and other employees are the IG community's most critical resource. To that end, the community is looking to promote educational and professional development opportunities for its workforce to remain highly skilled and competitive and recognize outstanding contributions toward fulfilling the IG mission.

*The IG community met its human resources goal to advocate and implement programs to maintain well-trained and highly skilled employees and managers. The community will continue to enhance its existing programs and look to develop future programs, as needed.*

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

- ★ As a first step toward creating new or enhancing existing staff development programs, the HR Committee completed a comprehensive study to identify the core competencies of auditors, criminal investigators, evaluators, and inspectors. Using the study results, the HR Committee will work with the Audit, Investigations, and I&E Committees to review curricula currently offered in the training facilities discussed below, identify gaps in existing programs, and begin to close these gaps. As a side benefit, standardized competencies will allow staff to more easily move from OIG to OIG and progress from journeyman level to leadership and management roles.
- ★ In FY 2003, the Inspector General Criminal Investigator Academy expanded both its class offerings and classroom facilities. The Academy conducted 42 classes attended by 941 students and coordinated the attendance of 813 students at training programs offered by the Federal Law Enforcement Training Center. In addition to its

classroom facilities in Glynco, GA, the Academy opened its multi-purpose classroom and office facilities in Rosslyn, Virginia. Those facilities, which opened in March 2003, are convenient and easily accessible to the large number of OIG investigative personnel working in the Washington, DC metropolitan area. The Investigations Committee serves as the Academy's Board of Directors and sets policies, approves budgets, and authorizes staffing. The Academy's FY 2003 budget was \$2.5 million, which is funded by assessments paid by and contributions of staff from the IG community.

- ★ FY 2003 was the Inspector General Auditor Training Institute's (IGATI) first full year at its new facility in Rosslyn, Virginia. During the year, IGATI developed 7 new courses, which brought its curriculum to a total of 37 courses in the areas of performance management, financial auditing, information system auditing, management analysis, and communications. IGATI successfully completed over 100 training sessions involving over 1,480 students. The Audit Committee oversees IGATI operations and its annual budget

of \$1.1 million. IGATI is self-funded, with its revenue coming from student tuition fees.

★ The I&E Roundtable continues to work with IGATI to expand its training opportunities for the I&E community. In addition to the IGATI courses, the HHS OIG developed and delivered a writing course designed for evaluators. Several OIGs were able to benefit from the training.

★ The IT Roundtable sponsored regular workshops for OIG staff covering new technologies, best and promising practices, and creative approaches. For example, the NASA OIG held a workshop designed to propagate advanced digital evidence collection techniques relating to network intrusion investigations. In addition, the IT Roundtable routinely handles inquiries from OIG IT professionals and provides support,



## New PCIE and ECIE Awards Recognize Exemplary Performance



During the annual PCIE and ECIE awards program held in October 2003, 134 individuals and groups were recognized for their outstanding performance and commitment to fulfilling the IG mission. In addition, the PCIE and ECIE recognized the “best of the best” with the introduction of three new awards in celebration of the IG Act’s 25th anniversary. PCIE and ECIE Chair Clay Johnson along with PCIE Vice Chair Gaston Gianni and ECIE Vice Chair Barry Snyder presented these awards, which are the highest offered by the Councils.



### Alexander Hamilton Award

Recognizes achievements in improving the integrity, efficiency, or effectiveness of Executive Branch agency operations.

*Presented to*

**The CFO Audit Team, Department of Treasury OIG**

*in recognition of accelerating the audit of the Treasury Department’s FY 2002 consolidated financial statements from 150 days to only 45 days after the fiscal year-end.*



### Better Government Award

Recognizes contributions to the ideals of the IG Act and actions that improve the public’s confidence in government.

*Presented to*

**Theresa Lehr, OIG, and Sally Clark, CFO Office, Department of Education**

*for their outstanding leadership on the Joint CFO Council and PCIE Erroneous Payment Work Group.*



### Glenn/Roth Exemplary Service to the Congress Award

Recognizes achievements in furthering relations between a Department or Agency (or the community) and the Congress. This award was named for former Senators John Glenn and William Roth (deceased), who were considered by many to be the forefathers of the IG Act.

*Presented to*

**David Steensma, Department of Defense OIG**

*for assisting the Congress in the crafting of legislation to improve both Federal acquisition processes and financial management within the Department of Defense.*

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recommendations for training, and referrals to colleagues.

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

★ Based in large part on its core competency work, the HR Committee formed a partnership with the OPM Federal Executive Institute to design, develop, and pilot an IG Leadership Development Course. The course, which addresses the need for developing future leaders in the IG community, focuses on four key areas: personal leadership and coaching, systems theory, creativity, and globalization. Incorporating feedback from the first pilot, the Committee successfully piloted a second, more expanded session of the

course in January 2004. Given the success of the two pilots and support of the IG community, the HR Committee anticipates that this course will be the community's primary vehicle for leadership training.

★ The HR Committee began exploring the feasibility of establishing a rotation program that would provide opportunities for "details" between and among OIGs. Such a program could benefit OIG staff by expanding their programmatic knowledge and offering new insights on OIG management operations. As organizations, OIGs could benefit from a rotation program by utilizing the new perspectives that staff from another OIG could bring to bear on an operational issue. The Committee will continue to consider rotation possibilities during 2004.

## 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. With an emphasis on standards setting and implementation, the Councils continued their efforts to maintain and advance the effectiveness, professionalism, and integrity of the IG community during FY 2003.

*The PCIE and ECIE met the goal for advancing professionalism and effectiveness. Updating existing and developing new standards as well as establishing processes for ensuring that standards are being upheld was a key objective for the IG community during FY 2003.*

**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 continued to provide corporate leadership, centralized external communications, and long-term planning for the PCIE and ECIE. The membership of the Executive Council consists of the Vice Chairs of the PCIE and ECIE, who are appointed by the PCIE and ECIE Chair, Chairs of Committees under IG leadership, and

one At-Large Member. The Executive Council met quarterly during FY 2003.

★ As stipulated in *A Strategic Framework*, the PCIE held elections to democratically select the Chairs of the Committees under IG leadership. These Committee Chairs began their 2-year terms in January 2004. The ECIE also held an election to select its At-Large Member to serve a 2-year term on the Executive Council, beginning in January 2004 (see Table 2).

★ 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 2003, the Integrity Committee, headed by the Assistant Director of the FBI's Criminal Investigative Division, received 36 new complaints and processed and brought to closure 21 separate complaint matters, which included cases opened in previous years but not closed until FY 2003. Of the 21 cases closed, 15 were deemed outside the Committee's purview and referred to other agencies for consideration, 3 were unsubstantiated, and 1 was closed administratively. The Committee supervised the investigations into two cases of alleged misconduct by OIG personnel. The investigations substantiated administrative misconduct and were referred to the PCIE Chair for further action.

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

- ★ The Inspector General Criminal Investigator Academy continued to hold its one-day *New IG Orientation Seminar* to provide new IGs with a working knowledge of the issues and challenges they may face in their new position. The seminars are led by experienced IGs and OGE and OSC executives. Through presentations and small-group discussion, participants gain an understanding of the IG Act and its requirements, agency and congressional relations, and operational issues associated with leading an OIG. These seminars will be continued as new IGs enter the community.
- ★ At the request of the I&E Committee, the I&E Roundtable, under the leadership of the HHS OIG, surveyed the community and produced a report profiling the 26 I&E units that currently are working as distinct units within the Federal IG community. The survey, which covered the composition and function of these units, collected information that can be used to (1) illustrate cross-cutting issues of concern to different OIGs, (2) provide ideas for future OIG work or internal OIG management initiatives, and (3) educate others—especially new IGs and those interested in establishing evaluation units—about the value of having I&E units to aid the OIGs in their mission. The results of this survey

**Table 2.** Executive Council for 2004–2005

<b>Christine Boesz</b>	ECIE At-Large Member
<b>Kenneth Donohue</b>	Investigations Committee Chair
<b>Johnnie Frazier</b>	Inspection & Evaluation Committee Chair
<b>J. Russell George</b>	Legislation Committee Chair
<b>Gaston Gianni</b>	PCIE Vice Chair
<b>Everett Mosley</b>	Audit Committee Chair
<b>Barry Snyder</b>	ECIE Vice Chair
<b>Nikki Tinsley</b>	Human Resources Committee Chair

are one of the many topics shared with new IGs at their orientation program.

- ★ The PCIE and ECIE held their annual conference on March 24–26, 2003, to focus on “Planning for the Future.” The conference provided the Councils with an opportunity to look internally at their activities and think strategically on their direction. The conference also allowed the members to collaborate on various initiatives and exchange pertinent and valuable information. The IGs from the Department of Veterans Affairs (VA) and U.S. International Trade Commission (ITC) coordinated to host the conference.

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

- ★ Under the leadership of the Federal Deposit Insurance Corporation (FDIC) OIG, the Councils updated and reissued their *Quality Standards for Federal Offices of Inspector General*. These standards had not been updated since 1986. Building on and incorporating the IG Act and other related laws, these updated quality standards encompass the broad range of OIG activities and functions and set forth the overall



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quality framework for managing, operating, and conducting OIG work. To commemorate the IG Act's "silver" anniversary, these standards were published in October 2003 with a silver cover and became known as the "Silver Book." The complete text of the *Quality Standards* is available in hard copy and on [www.ignet.gov](http://www.ignet.gov).

- ★ On November 25, 2002, the President signed the Homeland Security Act of 2002. A section in the Act amended the IG Act of 1978 to statutorily authorize the exercise of law enforcement authority, which includes carrying firearms, making arrests, and executing warrants, to special agents of 24 presidentially appointed OIGs.<sup>1</sup> The statute also provides the Attorney General with authority to conduct prudent oversight of the OIGs' use of this law enforcement authority. As a result, the Investigations Committee formed a working group to work with DOJ representatives to draft the mandated Attorney General Guidelines that would be used to set policies and procedures in the exercise of this law enforcement authority. These guidelines, *Attorney General Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority*, were approved by the Attorney General on December 8, 2003, and became effective immediately.
- ★ Under the auspices of the Investigations Committee, a subgroup developed the *Qualitative Assessment Review Guidelines for Federal Offices of Inspector General*. This guide established an independent external review process to ensure that general and qualitative standards adopted by the OIGs comply with the PCIE and ECIE *Quality Standards for Investigations* and that adequate safeguards and management procedures exist within OIGs that exercise law enforcement powers pursuant to the IG Act and Attor-

ney General guidelines. The Tennessee Valley Authority (TVA) OIG led the effort to develop this guide.

- ★ The Investigations Committee, through its Advisory Subcommittee consisting of Assistant Inspectors General for Investigations, formed a working group to update the PCIE and ECIE *Quality Standards for Investigations*, last published in September 1997. The general and qualitative standards are guidelines applicable to the investigative efforts conducted by the OIG criminal investigators. The updated guidelines were published in December 2003 and are available on IGnet, at [www.ignet.gov](http://www.ignet.gov).
- ★ The Audit Committee established a working group to review the *Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General* to incorporate the new *Yellow Book* standards. The Committee also created an authoritative body to answer questions about this peer review guidance.
- ★ With the assistance of the DOE OIG, the I&E Committee is updating its *Quality Standards for Inspections*. These standards were first published in March 1993. In addition to general updates and revisions, the Committee is incorporating recent changes to the *Yellow Book*, as applicable. A draft version of the revised standards will be shared within the community for comment in early 2004.

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The next section gives a brief overview of the IG community's collective efforts to address governmentwide management challenges and the President's initiatives.

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1. Granted under separate pieces of legislation, four OIGs—the Departments of Agriculture and Health and Human Services, the Treasury Inspector General for Tax Administration, and U.S. Postal Service—possessed statutory law enforcement authority prior to the passage of the Homeland Security Act.



# Addressing Government Challenges and the President's Initiatives

Despite progress on several fronts, the Federal government continues to encounter challenges and obstacles to good government. Over the years, OIGs have reported these issues to their agency heads to alert them to the challenges facing their agency. This emphasis on management challenges began in December 1997, when congressional leaders asked the 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.

Since 1999, the PCIE and ECIE have compiled the individual agency results to provide the Congress and others responsible for overseeing government activities with a list of governmentwide matters that warrant high-level attention and review. In preparing this report, the Councils again compiled the management issues that present challenges for the near future. These challenges include:

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

As has been the case since this effort began, IT, financial, and performance management issues rank as the highest challenges that Federal agencies must confront. Human capital as well as procurement and grant management are also priority challenges that numerous agencies are facing. Rounding out the seven challenges, homeland security and public service issues continue to present complexities that demand attention.

The top management challenges for each agency are reflected in Table 3 (page 18). The IGs are committed to working with their respective agencies to

provide practical suggestions for addressing these complex issues as well as working with their IG colleagues to identify ways to more effectively attend to these issues from a governmentwide perspective.

Not surprising, the top management challenges identified by OIGs over the past several years closely correlate with the reform initiatives that were targeted in the President’s Management Agenda when it was released in the summer of 2001. These five governmentwide reform initiatives include: human capital management, competitive sourcing, financial management improvement, expanded electronic government, and budget and performance integration as well as the added emphasis on homeland security activities.

Over the next few pages, this report summarizes the IG community’s efforts as they relate to the top management challenges and the Administration’s governmentwide initiatives. In addition, Appendix A lists topics, grouped by these same areas, that OIGs reported on during FY 2003, and the OIG’s respective Web site address, as available.

## Information Technology Management and E-Government

The IG community continues to report IT as the Federal government’s top management challenge. The Federal government invests about \$60 billion each year in IT resources to support systems development, procurement, security, and electronic government (E-government) efforts. Clearly the financial investment in this area is great, but the importance of these systems in implementing programs, controlling government investments, serving the public, and protecting the homeland and its citizenry is staggering. Appendix A (page A-1) includes a listing of IT areas reported by OIGs during the past fiscal year.

### *IT Security Evaluations*

IT security has been and continues to be a challenge facing nearly every government agency. To

**Table 3. Agency Management Challenges Most Frequently Identified by Various OIGs, as of April 2004**

Agency <sup>1</sup>	Information Technology Management & Security	Financial Management & CFO Statements	Performance Management & Accountability	Human Capital	Procurement & Grant Management	Homeland Security	Service to the Public
AID	✓	✓	✓	✓	✓		
DHS	✓	✓	✓	✓	✓	✓	✓
DOC	✓	✓	✓		✓	✓	
DOD	✓	✓		✓	✓	✓	
DOE	✓		✓		✓	✓	
DOI	✓	✓			✓	✓	
DOJ	✓	✓	✓	✓	✓	✓	
DOL	✓	✓	✓	✓	✓		
DOS	✓	✓	✓	✓		✓	
DOT	✓	✓	✓		✓		✓
ED	✓	✓	✓	✓	✓		
EPA	✓		✓	✓	✓	✓	
FCA	✓	✓	✓	✓			
FDIC	✓	✓	✓	✓	✓	✓	✓
FLRA	✓			✓			✓
GSA	✓		✓	✓	✓	✓	✓
HHS	✓	✓			✓	✓	✓
HUD	✓	✓	✓	✓	✓		✓
IRS	✓	✓	✓	✓		✓	✓
NASA	✓	✓	✓		✓		
NLRB	✓	✓	✓				
NRC	✓	✓	✓	✓	✓	✓	✓
NSF	✓	✓	✓	✓			
OPM	✓	✓	✓	✓		✓	✓
RRB	✓	✓					
SBA	✓	✓	✓	✓	✓		
SSA	✓	✓	✓	✓		✓	✓
Treasury	✓	✓	✓	✓			
USDA	✓	✓	✓			✓	✓
USPS	✓	✓	✓	✓	✓	✓	✓
VA	✓	✓	✓		✓	✓	✓
<b>TOTAL</b>	31	27	26	21	20	18	14

1. The acronym or abbreviation for each agency listed below can be found in Appendix B, Glossary of Acronyms and Abbreviations, beginning on page B-1.

assist agency managers in addressing this challenge, IGs continue to conduct annual independent evaluations of their agencies' information security programs and practices, as required by the Federal Information Security Management Act of 2002 (FISMA). These evaluations, which are due to OMB each September, provide the Administration and the Congress with useful information regarding agency efforts to secure their information systems, including sensitive data and operations. These reviews are critical as the government pushes toward its E-government initiatives and electronic citizen-to-government interfacing.

Under the leadership of the FDIC OIG, the community organized two governmentwide symposiums to exchange ideas and best practices for complying with FISMA. These symposiums, attended by CIOs, agency management, and IG staff from more than 30 government agencies, featured FISMA-related perspectives from GAO, OMB, and National Institute of Standards and Technology (NIST). Topics discussed included challenges of implementing FISMA, overall FISMA results, OMB reporting requirements, and NIST standards for protecting information resources. The symposiums have led to higher quality, more efficient and effective agency evaluations and reporting, and greater assurance that Federal IT resources are better safeguarded.

### *Critical Infrastructure Protection*

In addition to FISMA, the Administration has continued to focus on infrastructure protection issues. On December 17, 2003, the President issued Homeland Security Presidential Directive 7, which established a national policy for Federal agencies to identify and prioritize the Nation's critical infrastructure and key resources and to protect them from terrorist attacks. Included in this directive is a requirement for agencies to submit for OMB's approval their plans for protecting their critical physical and cyber infrastructure. Over the years, the PCIE and ECIE, under the leadership of the NASA OIG, have issued two reports addressing critical infrastructure protection within the Federal government. Work on the third such report occurred during FY 2003. The results of this review will be reported in FY 2004.

### *IT Investigative Efforts*

To bolster the investment that OIGs have made in this arena, the IT Roundtable uses a workshop

concept to share, coordinate, and disseminate new and innovative information. For example, the Roundtable sponsored a workshop designed to propagate advanced digital evidence collection techniques relating to network intrusion investigations. These workshops offer new technologies, best and promising practices, and creative approaches for the benefit of the IG community. The Roundtable support staff maintains a publicly accessible Web site covering the IG community's information technology activities. In addition to leading the IT Roundtable, the NASA OIG provides leadership for the various IT Roundtable working groups.

### *Electronic Government*

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. The focus of this work includes ensuring that, in the move to a more paperless process, appropriate controls are in place to safeguard sensitive data and critical systems.

## **Improved Financial Management**

Since the enactment of key Federal financial management legislation during the 1990s, OIGs have acquired a more central role in facilitating sound financial management and secure financial systems. The IG community, and in particular the Audit Committee, remains committed to the financial audit arena and has been working with OMB and agency officials to develop processes and procedures to ensure timely audit opinions, produce useful financial information, and improve financial systems.

Over the last several years, OIGs have also devoted their energy and resources to help their agencies uncover the underlying causes related to erroneous and improper payments and purchase and travel card abuse. Equally important to uncovering the cause, OIGs are sharing possible solutions and best practices to assist their agencies in minimizing these costly problems. Appendix A includes a listing of the types of financial management reports OIGs issued during FY 2003 (page A-3). The IG community views financial management as a critical challenge

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to the government, as evidenced by over 70 percent of the OIGs issuing reports on this area.

### *Financial Statement Audits*

Under the CFO Act, OIGs conduct financial statement audits as required for 23<sup>2</sup> CFO agencies and issue opinions on the state of the agencies' financial statements. The goal for each agency is to receive an unqualified or "clean" opinion on its financial statements. Since this Act was passed in 1990, financial managers from the CFO Act agencies have been working to obtain clean opinions from their OIG. In FY 2003, 20 of the 23 CFO agencies received clean opinions. Although not all agencies have reached that goal, significant improvements in financial management continue to be made.

While such progress is notable, agencies still face major challenges to sound financial management. Attaining a clean opinion does not necessarily equate to a reliable and constant accounting operation. For example, only 3 of the 20 agencies receiving an unqualified opinion were in compliance with the Federal Financial Management Improvement Act (FFMIA) mandates or were without a material internal control weakness.

While the focus for so many years has been on obtaining clean opinions in individual agencies, a significant challenge lies ahead: positioning the Federal government to achieve an unqualified opinion on the Federal government's consolidated financial statements. Towards this end, the Audit Committee established a working group to coordinate with OMB on key efforts related to the proposed Treasury Post-Closing Package process. Another working group was established to research the proposed requirement for Opinions on Internal Controls over Financial Reporting and issue a white paper. Over the past year, the Financial Statement Audit Network has been facilitating discussions of financial statement-related issues and working collaboratively with GAO to update the governmentwide financial audit manual. The Network, a subcommittee of the FAEC, is comprised of auditors

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2. The Federal Emergency Management Agency (FEMA) was one of the original CFO Act agencies. The Homeland Security Act of 2002 eliminated FEMA as a separate agency and incorporated its function into the Department of Homeland Security (DHS). DHS is not covered by the CFO Act, thus only 23 agencies were required to comply with the CFO Act in FY 2003.

from Federal agencies, GAO, OMB, and the Federal Accounting Standards Advisory Board.

Clearly, the goal of sound financial management extends beyond the CFO Act agencies. The Accountability of Tax Dollars Act of 2002 requires audited financial statements in about 78 more Federal agencies beginning in FY 2003. Many OIGs are involved in this effort.

### *Accelerated Financial Statement Audits*

Over the last few years, the Administration has not only underscored the need for unqualified financial statements but has also, with its acceleration initiative, emphasized the need for more timely financial information. The deadline for issuing an audit opinion on the CFO agencies' FY 2004 financial statements has gone from 5 months after, to within 45 days of, the end of the fiscal year.

For the FY 2003 season, OIGs at AID, ED, HHS, Treasury, VA, EPA, NSF, and SSA delivered audit opinions on financial statements that were included in their agencies' Performance and Accountability Reports. These eight reports were issued in mid-November—achieving the acceleration initiative a year ahead of the schedule. OIGs in another 10 agencies delivered audit opinions by the end of December, which was one month ahead of the FY 2003 schedule.

While certainly an impressive accomplishment for those agencies that met the acceleration requirements, these accelerated reporting requirements could be a significant challenge for other agencies going forward. Recognizing these challenges, the IG community, through the FAEC, and the CFO Council formed a task force to work collaboratively to accelerate the financial statement audit and reporting process. In August 2003, the task force sponsored a Roundtable meeting on "Accelerated Financial Reporting Issues and Best Practices" to highlight the accelerated financial reporting issues and answer questions on the acceleration process.

### *Erroneous Payments*

Improper and erroneous payments are an over \$35 billion problem. The Improper Payments Act of 2002 expanded the Administration's efforts to identify and reduce erroneous payments in government programs and activities, and required all CFO Act agencies to submit implementation plans to

OMB by November 30, 2003. Consequently, agencies are carefully examining the risk of erroneous payments in all programs and activities they administer, including grant programs.

In conjunction with the CFO Council, the Audit Committee led key efforts to facilitate the implementation of the Improper Payments Information Act of 2002. The Erroneous Payments Working Group, a joint venture with the PCIE and CFO Council members, has been developing benchmark methods to reduce improper payments and assisting OMB in establishing appropriate guidance. The Working Group will continue to explore this issue and develop guidance and best practices to assist the agencies in their efforts. Information describing the different kinds of improper and erroneous payments and suggestions for preventing such payments from occurring can be found on the IG Web site, [www.ignet.gov](http://www.ignet.gov).

### *Purchase and Travel Card Abuse*

Over the past couple of years, travel and purchase card abuse by employees in the Federal government



has received much Congressional and media attention. Aware of the problems and outrage expressed by many concerning abuses associated with government travel cards, the I&E Committee issued a best practices guide, *Common Problems and Uncommon Solutions: How OIGs are Helping Improve Federal Travel Card Programs*, in December 2003.

This guide synthesizes the results of reviews that 25 OIGs conducted on travel card programs and serves as a primer by highlighting the most common problems identified by some OIGs while concurrently offering some proven solutions and best practices for fixing or avoiding these same problems. This publication also incorporates other useful information, including (1) the terms and

conditions of GSA's Master Contract for the Federal travel card program, (2) guidance that should be consulted in assessing a travel card program, (3) GAO's *Standards for Internal Control in the Federal Government*, and (4) the roles and responsibilities of parties involved in the Federal travel card program. DOC and the Department of Labor (DOL) IGs were key contributors to the publication of this guide. Prior to issuing this publication, the I&E Committee issued a purchase card guide. Both guides are available at [www.ignet.gov](http://www.ignet.gov).

In addition, with input from 41 OIGs, the I&E Committee prepared a searchable on-line database of 125 OIG reports on purchase and travel card programs in various Federal agencies. This database is a useful resource to OIGs and agency management officials, who are seeking to review or improve management of purchase and travel card programs. The directory will be expanded on a regular basis as more OIG reports are issued. DOC OIG had the lead on this project. The directory is available at [www.ignet.gov](http://www.ignet.gov).

## **Budget and Performance Integration**

Enacted into law in 1993, the Government Performance and Results Act (GPRA) laid the foundation for strategic and performance planning, goal setting, and performance measurement. Over the years, Federal departments and agencies have developed plans and reported on their performance as required by GPRA but have not always aligned or included this information in their budget submissions to OMB. Two years ago, OMB introduced the Program Assessment Rating Tool (PART) to evaluate the effectiveness and performance of selected Federal programs.

For the second consecutive year, OMB used this management tool to assess the performance of approximately 400 Federal programs, representing more than \$1 trillion in 2003. The GPRA Roundtable has shared information with OMB on the PART process, but to date, individual OIGs have not been involved in the analysis itself or in evaluating the process. As noted in Appendix A (page A-7), the IG community has continued to report on GPRA implementation as well as other budget and performance issues.

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## *GPR*A Implementation

Implementing GPR*A* to achieve greater accountability and a closer link between budget and performance data continues to be a significant agency challenge across government. During FY 2003, more than 20 OIGs issued reports specifically on performance management and accountability issues. In addition, many OIGs have incorporated the assessment of GPR*A*-related performance measures as a standard part of their work to examine program efficiency and effectiveness. Key areas for improvement in this area include GPR*A* compliance, data verification and validation, performance measurement, and budget integration, to name a few. OIGs have also noted repeatedly that agencies need to upgrade their financial and program information systems to generate the appropriate information for fully integrating their budget and performance programs.

Over the past year, the GPR*A* Roundtable hosted seven sessions and several ad hoc meetings on such topics as the Congressional perspectives on GPR*A*, building and measuring investigative performance, agency performance reports, human capital measurement, and PART. These sessions provide an avenue for about 75 participants, representing PCIE and ECIE member organizations, to interact with prominent experts and gain perspectives from the Administration, the Congress, and government think tanks. In addition, the Roundtable issued an OIG guide related to PART, a sample balanced scorecard on investigative measures, and recommendations on how the Congress can make greater use of GPR*A* for budget decisions.

## Procurement and Grant Management

Under its competitive sourcing initiative, the Administration is emphasizing competition between Federal and private sources for certain tasks that are readily available in the commercial marketplace. Agencies are working to develop the infrastructure necessary to conduct these competitions. With this emphasis on “market-based” government, the OIGs’ independent assessment of agency contracting activities and infrastructure takes on added importance.

As we have reported over the years, audits and investigations across the IG community continue to

uncover lax contractor oversight in Federal procurements. A significant portion of the OIG-reported questioned costs and recommendations that funds be put to better use are the result of poor contractor oversight and 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. During FY 2003, an ad hoc working group addressing grant fraud issues sponsored a forum to discuss OMB regulatory requirements, possible indicators of grant fraud, and those specific categories of grants that have proven to be most susceptible to fraud.

In July 2003, the IG community established its Competitive Sourcing Roundtable to focus attention on this governmentwide initiative. Specifically, the Roundtable was formed to facilitate discussion within the community relative to the community’s roles and responsibilities in the competitive sourcing arena. Since it was established, the Roundtable, which is sponsored by the DOI OIG, has been discussing both the OIG oversight role in reviewing agency implementation as well as the OIGs’ own execution of this initiative.

As a result of the community’s work, OIGs continue to identify procurement and grant management as a major management challenge. Fourteen OIGs have issued reports in the competitive sourcing area as noted in Appendix A (page A-8).

## Human Capital Management

During the last year, as noted in Appendix A (page A-9), over one-third of the OIGs conducted work in the human capital area. These OIGs reported that agencies could address their human capital issues through workforce skills and competency assessments, workforce restructuring, benchmarking against other Federal or private sector organizations, innovative recruitment and hiring approaches, improved training opportunities and techniques, and adoption of appropriate workplace tools.

Members of the IG community agree that human capital management is a major challenge not only for their respective agencies but also within their own internal organizations. As discussed in the prior section, the IG community has continued to focus internally on its human capital issues by examining core competencies, developing a com-

munity leadership program, and exploring possibilities for a community-based rotation program.

## Homeland Security

The events of September 11, 2001, and resulting unrest throughout the world have caused government leaders to examine the Nation's vulnerabilities very differently and to increase the focus on protecting and securing the homeland and the public from harm. Many such initiatives are underway and tend to be concentrated in several agencies. Border protection, transportation safety, emergency management, bioterrorism threats, financial systems, identity theft, and infrastructure protection are just a few of the areas where individual OIGs are expending energy and resources to offer recommendations to their agencies to reduce these vulnerabilities.

On March 17, 2003, the PCIE issued its report, *Federal Agencies' Controls over the Access, Disclosure, and Use of Social Security Numbers by External Entities*. This report concluded that most agencies involved in the review had inadequate controls over access

and use of Social Security numbers (SSN) and suggested that agencies better protect the identity of these numbers by strengthening controls over access and disclosure. With the leadership of the SSA OIG, 15 OIGs conducted individual reviews of their agencies and included their results in the overall report.

The community is also considering a joint project to examine the government's response to biological incidents. This review would include those agencies involved in the 2001 anthrax attacks and remediation of those attacks and encompass "lessons learned" from the events, plans or actions taken in response, and the current state of readiness. At least four OIGs may be participating in this joint project.

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The following section of the report includes the statistical accomplishments of the IG community during FY 2003 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 second year of the comparative illustrations.





# OIG Statistical Accomplishments

The tables on the following pages consolidate data reported by each OIG to provide a statistical overview of the IG community's accomplishments for FY 2003 and a visual comparison of these results with prior years. Appendix B of this report includes a complete listing of the acronyms and abbreviations used in these tables. In most cases, the statistics are consistent with the uniform reporting categories for each OIG's semiannual report to the Congress, as defined by the IG Act. Because of data limitations or features peculiar to individual OIGs, some variations occur, as explained in the accompanying footnotes. In addition, OIGs often participate in multi-agency task forces or join with other OIGs to accomplish a common objective, which may also contribute to some variation between this summary report and the individual semiannual reports.

Of particular note, the PCIE tables related to Recommendations that Funds Be Put to Better Use (Tables I-P and II-P) and Questioned Costs (Tables III-P and IV-P) on the following pages reflect statistics from the newly created DHS OIG, which came into being on March 1, 2003, pursuant to the Homeland

Security Act of 2002. Consistent with this Act, DHS integrates 22 previously separate Federal agencies and programs—including FEMA and significant programs from DOJ and Treasury—into a single organization. To the extent possible, the DHS OIG statistics incorporate recommendations and associated results for DHS and legacy OIGs for the period of April 1, 2003 through September 30, 2003. The ECIE tables in these categories (Tables I-E through IV-E) were unaffected.

The investigative statistics cited in this report were consolidated using a methodology designed to identify and eliminate duplicate reporting of casework involving multiple OIGs. As a result, the statistics reported in the following tables for many OIGs will differ from those same investigative statistics in their semiannual reports to the Congress. Consistent with prior years, 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 4. FY 2003 Performance Profile**  
Summary of Combined Accomplishments of PCIE and ECIE Members

Recommendations that Funds Be Put to Better Use .....	\$26,458,286,927
Recommendations Agreed to by Management: Funds For Better Use (may include decisions on open recommendations from FY 2002) .....	\$11,334,893,561
Questioned Costs .....	\$3,112,677,749
Recommendations Agreed to by Management: Questioned Costs (may include decisions on open recommendations from FY 2002) .....	\$1,989,689,586
Successful Criminal Prosecutions .....	6,608
Indictments and Criminal Informations .....	6,826
Civil Actions .....	653
Suspensions and Debarments .....	7,607
Personnel Actions .....	1,999
Investigative Receivables and Recoveries .....	\$4,468,042,262



## Funds Be Put to 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-obligation 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.

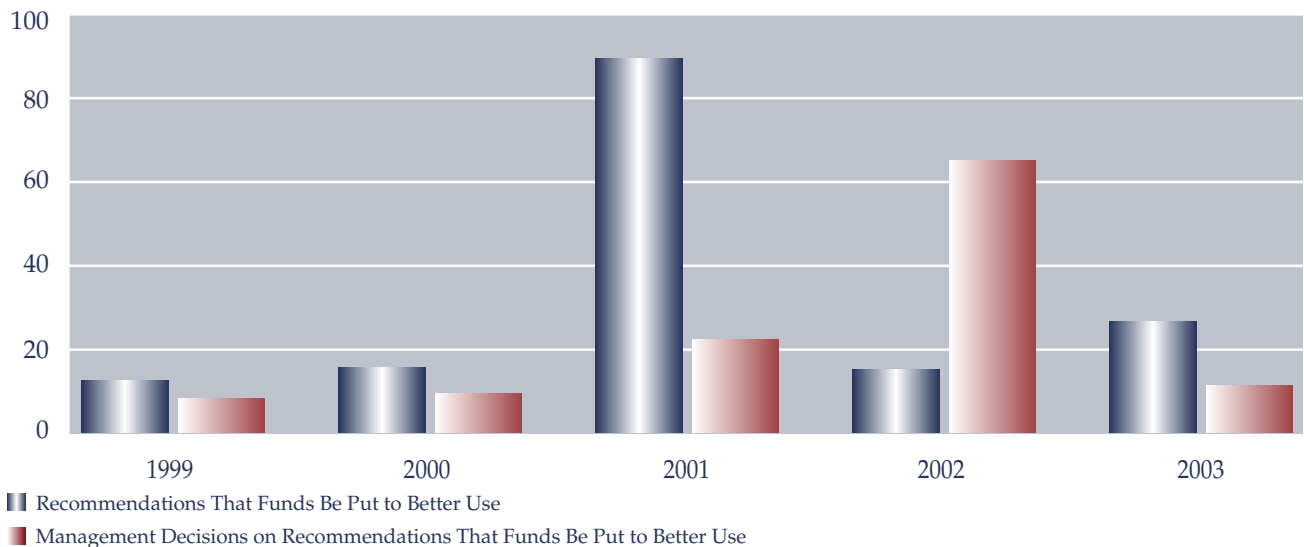
For FY 2003, including Defense Contract Audit Agency (DCAA) audits performed in agreement with OIGs or agencies, PCIE member agencies recommended that approximately \$26.2 billion be put to better use; ECIE member agencies recommended that approximately \$230 million be put to better use. As shown in figure 1 below, the IG community as a whole recommended about \$26.4 billion could be put to better use in FY 2003—an increase of \$11.2 billion over total FY 2002 recommendations in this category.

In FY 2003, PCIE member agency management agreed with approximately \$11.2 billion in recommendations that funds be put to better use; ECIE member agency management agreed with approximately \$163 million in recommendations that funds be put to better use. For FY 2003, Figure 1 below shows that management agreed with IG recommendations of about \$11.3 billion in funds that could be put to better use. This amount is lower than prior fiscal years, primarily due to the timing of management decisions on outstanding recommendations. The FY 2002 figures were significantly higher because management agreed during FY 2002 on recommendations outstanding at the end of FY 2001.

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

**Figure 1. Recommendations That Funds Be Put to Better Use and Related Management Decisions, FY 1999–FY 2003**

\$ billions



**Table I-P. PCIE—Recommendations That Funds Be Put to Better Use, FY 2003**

OIG	OIG Recommendations	DCAA Recommendations <sup>1</sup>	Total
AID	\$106,063	\$76,674	\$182,737
CNCS	\$119,000	\$0	\$119,000
DHS <sup>2</sup>	\$24,327,524	\$0	\$24,327,524
DOC	\$29,583,820	\$0	\$29,583,820
DOD <sup>3</sup>	\$7,073,704,000	\$6,160,280,013	\$13,233,984,013
DOE	\$542,354,152	\$0	\$542,354,152
DOI	\$80,829,497	\$0	\$80,829,497
DOJ	\$16,073,223	\$0	\$16,073,223
DOL	\$428,000,000	\$0	\$428,000,000
DOS	\$1,086,000	\$0	\$1,086,000
DOT	\$534,785,232	\$0	\$534,785,232
ED	\$690,232	\$0	\$690,232
EPA	\$748,000	\$491,000	\$1,239,000
FDIC	\$2,121,099	\$0	\$2,121,099
GSA	\$86,842,690	\$0	\$86,842,690
HHS	\$838,943,000	\$0	\$838,943,000
HUD	\$1,301,671,000	\$0	\$1,301,671,000
NASA	\$0	\$154,222,000	\$154,222,000
NRC	\$0	\$0	\$0
OPM	\$0	\$0	\$0
RRB	\$0	\$0	\$0
SBA	\$442,915	\$0	\$442,915
SSA	\$1,072,213,269	\$0	\$1,072,213,269
Treasury	\$5,079,000,000	\$7,410,000	\$5,086,410,000
TIGTA	\$1,950,906,212	\$0	\$1,950,906,212
TVA	\$41,706,000	\$0	\$41,706,000
USDA	\$698,537,723	\$0	\$698,537,723
VA <sup>4</sup>	\$100,900,000	\$0	\$100,900,000
<b>TOTALS</b>	<b>\$19,905,690,651</b>	<b>\$6,322,479,687</b>	<b>\$26,228,170,338</b>

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

2. DHS figures reflect only the period April 1 through September 30, 2003, and consolidate recommendations related to FEMA and certain other legacy OIGs. FEMA issued DCAA reports but no dollars were involved.

3. DOD figures include forward pricing proposals and operations audits of DOD and all other reimbursable customers except where reported by another OIG.

4. VA figures include better use of funds produced by its Office of Investigations (\$32.3 million) and Hotline Division (\$2.6 million).

Table I-E. ECIE—Recommendations That Funds Be Put to Better Use, FY 2003

OIG	OIG Recommendations	DCAA Recommendations	Total
Amtrak	\$1,463,279	\$0	\$1,463,279
ARC	\$685,000	\$0	\$685,000
CFTC	\$0	\$0	\$0
CPB	\$0	\$0	\$0
CPSC	\$0	\$0	\$0
EEOC	\$0	\$0	\$0
FCA	\$0	\$0	\$0
FCC	\$0	\$0	\$0
FEC	\$0	\$0	\$0
FHFB	\$0	\$0	\$0
FLRA	\$0	\$0	\$0
FMC	\$32,000	\$0	\$32,000
FRB	\$1,725,672	\$0	\$1,725,672
FTC	\$18,900	\$0	\$18,900
GPO	\$98,446	\$0	\$98,446
ITC	\$0	\$0	\$0
LSC	\$0	\$0	\$0
NARA	\$84,529	\$0	\$84,529
NCUA	\$0	\$0	\$0
NEA	\$0	\$0	\$0
NEH	\$0	\$0	\$0
NLRB	\$317,000	\$0	\$317,000
NSF	\$4,705,448	\$4,073,313	\$8,778,761
PBGC	\$0	\$0	\$0
PC	\$15,000	\$0	\$15,000
SEC	\$0	\$0	\$0
SI	\$112,941	\$0	\$112,941
USPS	\$216,785,061	\$0	\$216,785,061
<b>TOTALS</b>	<b>\$226,043,276</b>	<b>\$4,073,313</b>	<b>\$230,116,589</b>

**Table II-P. PCIE—Management Decisions on Recommendations That Funds Be Put to Better Use, FY 2003**

OIG	No Management Decision Start of FY 2003	Recommendations Issued in FY 2003	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2003
AID	\$400,000	\$182,737	\$469,858	\$112,494	\$385
CNCS	\$1,607,000	\$119,000	\$42,000	\$20,000	\$1,644,000
DHS <sup>1</sup>	\$46,093,834	\$24,327,524	\$6,020,922	\$993,874	\$63,406,562
DOC <sup>2</sup>	\$9,904,829	\$29,583,820	\$24,082,874	\$1,874,170	\$13,675,585
DOD <sup>3,4</sup>	\$4,086,817,000	\$13,233,984,013	\$1,965,620,000	\$1,415,127,000	\$13,940,054,013
DOE	\$3,753,902,263	\$542,354,152	\$367,505,050	\$158,350,531	\$3,770,400,834
DOI <sup>5</sup>	\$200,073,322	\$80,829,497	\$39,442,727	\$2,600,000	\$238,860,092
DOJ <sup>6</sup>	\$3,688,893	\$16,073,223	\$11,479,505	\$3,473,052	\$3,506,215
DOL	\$889,555	\$428,000,000	\$717,611	\$171,944	\$428,000,000
DOS <sup>7</sup>	\$17,541,000	\$1,086,000	\$14,857,000	\$3,100,000	\$670,000
DOT	\$544,100,000	\$534,785,232	\$315,385,000	\$0	\$763,500,232
ED	\$0	\$690,232	\$0	\$0	\$690,232
EPA <sup>8,9</sup>	\$3,622,000	\$1,239,000	\$15,000	\$745,000	\$3,627,000
FDIC	\$1,559,418	\$2,121,099	\$2,488,300	\$1,192,217	\$0
GSA <sup>10</sup>	\$57,077,632	\$86,842,690	\$127,450,552	\$1,190,976	\$14,698,665
HHS <sup>11</sup>	\$8,881,131,000	\$838,943,000	\$765,079,000	\$2,816,000	\$8,952,179,000
HUD <sup>12</sup>	\$534,127,000	\$1,301,671,000	\$1,275,824,000	\$15,720,000	\$544,254,000
NASA <sup>13</sup>	\$285,762,000	\$154,222,000	\$199,813,000	\$35,292,000	\$204,879,000
NRC	\$0	\$0	\$0	\$0	\$0
OPM	\$0	\$0	\$0	\$0	\$0
RRB	\$0	\$0	\$0	\$0	\$0
SBA <sup>14</sup>	\$2,063,767	\$442,915	\$1,144,962	\$0	\$1,361,720
SSA	\$6,400	\$1,072,213,269	\$797,753,898	\$134,831,943	\$139,633,828
Treasury	\$6,030,000	\$5,086,410,000	\$5,090,195,000	\$2,245,000	\$0
TIGTA	\$0	\$1,950,906,212	\$7,654,789	\$1,898,911,423	\$44,340,000
TVA	\$8,567,000	\$41,706,000	\$44,520,000	\$5,753,000	\$0
USDA	\$60,544,370	\$698,537,723	\$49,032,556	\$1,981	\$710,047,556
VA <sup>15</sup>	\$20,300,000	\$100,900,000	\$65,400,000	\$3,500,000	\$17,400,000
<b>TOTALS</b>	<b>\$18,525,808,283</b>	<b>\$26,228,170,338</b>	<b>\$11,171,993,604</b>	<b>\$3,688,022,605</b>	<b>\$29,856,828,919</b>

1. DHS figures reflect the period April 1 through September 30, 2003, and consolidate recommendations related to FEMA and certain other legacy OIGs.
2. DOC totals do not equal because resolution may result in values greater than the original recommendations.
3. DOD figures include results of DCAA 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.
4. DOD FY 2003 beginning balance adjusted for contracts not awarded and revised audit findings and recommendations.
5. DOI FY 2003 beginning balance differs from its FY 2002 ending balance because \$114,568,918 was reinstated.
6. DOJ FY 2003 ending balance reflects the transfer of open Immigration and Naturalization Service audit reports to DHS for follow-up.
7. DOS FY 2003 beginning balance was revised to include adjustments for prior year errors.
8. EPA FY 2003 beginning balance differs slightly from FY 2002 ending balance due to adjustments in its audit tracking system.
9. EPA FY 2003 ending figures for Recommendations with No Management Decision do not include \$474,000 in recommended efficiencies that were either agreed to or acted upon before report issuance or were issued in a non-audit report, not otherwise entered into the agency resolution process.
10. GSA FY 2003 ending balance reflects an audit transferred to DHS and another audit removed from resolution.
11. HHS opening balance adjusted to \$8,881,131,000 due to amended decisions.
12. HUD FY 2003 ending balance includes \$514 million from the Audit of HUD's Financial Statements for FY 2001 and 2000 relating to deobligation of funds. The matter was referred to the Comptroller General. In the interim, the Department has taken alternative actions. The matter will be resolved in FY 2004.
13. NASA FY 2003 beginning balance differs from its FY 2002 ending balance due to DCAA adjustments for contracts not awarded and revised audit findings and recommendations. The NASA OIG portion of \$115,000,000 did not change.
14. SBA FY 2003 beginning balance differs from its FY 2002 ending balance because it began tracking recommendations made in all reports, not just audits.
15. VA FY 2003 Recommendations Agreed to by Management were adjusted to exclude additional better use of funds produced by its Office of Investigations (\$32.3 million) and Hotline Division (\$2.6 million).

**Table II-E. ECIE—Management Decisions on Recommendations That Funds Be Put to Better Use, FY 2003**

OIG	No Management Decision Start of FY 2003	Recommendations Issued in FY 2003	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2003
Amtrak	\$0	\$1,463,279	\$863,279	\$0	\$600,000
ARC	\$0	\$685,000	\$0	\$0	\$685,000
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	\$0	\$0	\$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	\$32,000	\$0	\$0	\$32,000
FRB	\$0	\$1,725,672	\$0	\$0	\$1,725,672
FTC	\$0	\$18,900	\$18,900	\$0	\$0
GPO	\$675,512	\$98,446	\$81,176	\$600,512	\$92,270
ITC	\$0	\$0	\$0	\$0	\$0
LSC	\$0	\$0	\$0	\$0	\$0
NARA	\$34,700	\$84,529	\$68,930	\$33,498	\$16,801
NCUA	\$0	\$0	\$0	\$0	\$0
NEA	\$0	\$0	\$0	\$0	\$0
NEH	\$0	\$0	\$0	\$0	\$0
NLRB	\$0	\$317,000	\$260,000	\$0	\$57,000
NSF	\$444,103	\$8,778,761	\$530,303	\$4,073,313	\$4,619,248
PBGC	\$0	\$0	\$0	\$0	\$0
PC <sup>1</sup>	\$0	\$15,000	\$1,003,000	\$0	\$0
SEC	\$0	\$0	\$0	\$0	\$0
SI	\$1,003,870	\$112,941	\$773,762	\$218,867	\$124,182
USPS	\$128,121,000	\$216,785,061	\$159,300,607	\$25,916,444	\$159,689,010
<b>TOTALS</b>	<b>\$130,279,185</b>	<b>\$230,116,589</b>	<b>\$162,899,957</b>	<b>\$30,842,634</b>	<b>\$167,641,183</b>

1. PC FY 2003 Recommendations Agreed to by Management includes \$988,000 for an FY 2002 recommendation on which a decision was reached in FY 2003.





## Questioned Costs

The IG Act defines a questioned cost as:

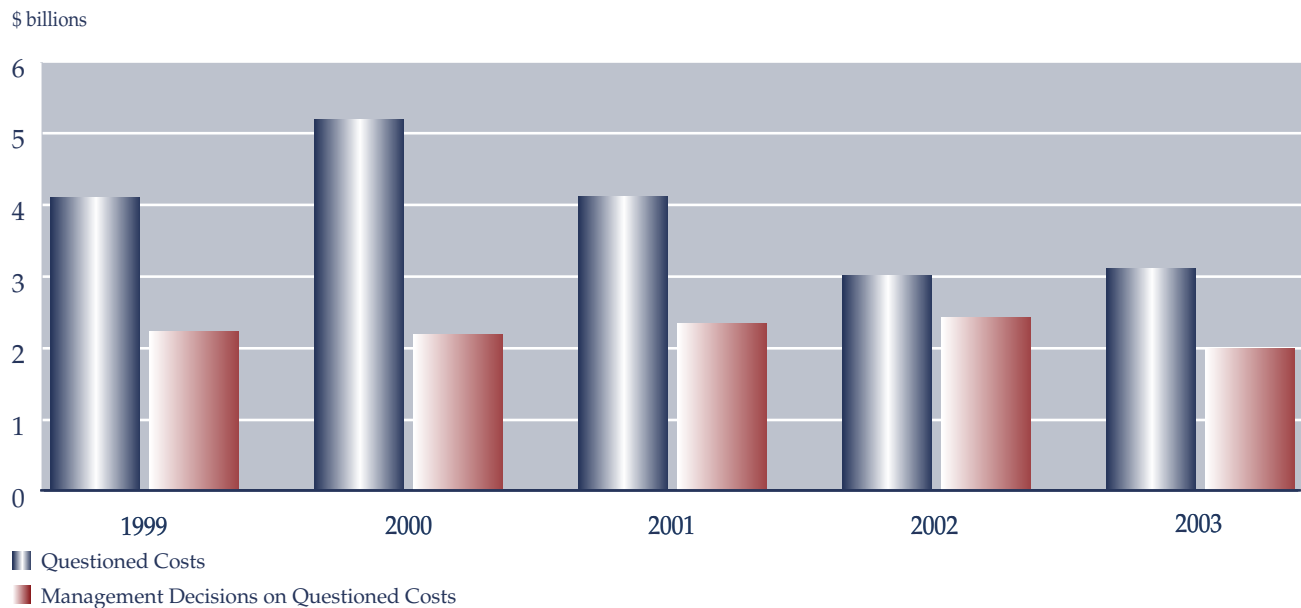
a cost that is questioned by the Office because of (1) an alleged violation or provision of law, regulation, contract, grant, or cooperative agreement, or other agreement or document governing the expenditure of funds; (2) a finding that, at the time of the audit, such cost is not supported by adequate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

During FY 2003, including DCAA audits performed in agreement with OIGs or agencies, PCIE member agencies questioned costs of approximately \$3 billion, while ECIE member agencies tallied approximately \$113 million in questioned costs. In total, FY 2003 questioned costs were about \$3.1 billion.

For FY 2003, PCIE member agency management agreed with approximately \$1.9 billion in questioned costs; ECIE member agency management agreed with approximately \$77 million in questioned costs. Combined, agency management agreed with about \$2 billion of PCIE and ECIE recommendations.

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

**Figure 2. Management Decisions on Questioned Costs, FY 1999–FY 2003**



**Table III-P. PCIE—Questioned Costs, FY 2003**

OIG	Costs Questioned by OIG	Costs Questioned by DCAA <sup>1</sup>	Total
AID	\$8,017,047	\$5,424,289	\$13,441,336
CNCS	\$3,585,000	\$0	\$3,585,000
DHS <sup>2</sup>	\$55,880,953	\$0	\$55,880,953
DOC	\$18,848,302	\$0	\$18,848,302
DOD <sup>3</sup>	\$0	\$1,058,775,930	\$1,058,775,930
DOE	\$4,057	\$0	\$4,057
DOI	\$23,346,529	\$0	\$23,346,529
DOJ	\$51,183,175	\$0	\$51,183,175
DOL	\$189,943,576	\$0	\$189,943,576
DOS	\$5,332,000	\$0	\$5,332,000
DOT	\$272,925,162	\$0	\$272,925,162
ED	\$162,567,292	\$0	\$162,567,292
EPA	\$36,471,000	\$486,000	\$36,957,000
FDIC	\$431,473	\$0	\$431,473
GSA	\$2,910,007	\$0	\$2,910,007
HHS	\$768,092,000	\$0	\$768,092,000
HUD	\$63,625,000	\$0	\$63,625,000
NASA	\$9,015	\$78,308,000	\$78,317,015
NRC	\$97,758	\$107,638	\$205,396
OPM	\$60,847,534	\$0	\$60,847,534
RRB	\$0	\$0	\$0
SBA	\$5,485,564	\$0	\$5,485,564
SSA	\$56,602,321	\$0	\$56,602,321
Treasury	\$0	\$383,000	\$383,000
TIGTA	\$4,756,697	\$1,069	\$4,757,766
TVA	\$3,033,436	\$0	\$3,033,436
USDA	\$38,118,701	\$0	\$38,118,701
VA	\$24,400,000	\$0	\$24,400,000
<b>TOTALS</b>	<b>\$1,856,513,599</b>	<b>\$1,143,485,926</b>	<b>\$2,999,999,525</b>

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

2. DHS figures reflect the period April 1 through September 30, 2003, and consolidate recommendations related to FEMA and certain other legacy OIGs. FEMA issued DCAA reports but no dollars were involved.

3. DOD figures include incurred cost, Cost Accounting Standards, and defective pricing of DOD and all other reimbursable customers except where reported by another OIG.

Table III-E. ECIE—Questioned Costs, FY 2003

OIG	Costs Questioned by OIG	Costs Questioned by DCAA	Total
Amtrak	\$22,352,536	\$0	\$22,352,536
ARC	\$388,000	\$0	\$388,000
CFTC	\$0	\$0	\$0
CPB	\$449,939	\$0	\$449,939
CPSC	\$0	\$0	\$0
EEOC	\$0	\$0	\$0
FCA	\$0	\$0	\$0
FCC	\$0	\$0	\$0
FEC	\$0	\$0	\$0
FHFB	\$0	\$0	\$0
FLRA	\$0	\$0	\$0
FMC	\$0	\$0	\$0
FRB	\$585,630	\$0	\$585,630
FTC	\$11,400	\$0	\$11,400
GPO	\$98,066	\$0	\$98,066
ITC	\$0	\$0	\$0
LSC	\$0	\$0	\$0
NARA	\$288,625	\$0	\$288,625
NCUA	\$0	\$0	\$0
NEA	\$538,311	\$0	\$538,311
NEH	\$0	\$0	\$0
NLRB	\$7,408	\$0	\$7,408
NSF	\$3,227,233	\$4,159	\$3,231,392
PBGC	\$0	\$0	\$0
PC	\$0	\$0	\$0
SEC	\$0	\$0	\$0
SI	\$0	\$0	\$0
USPS	\$3,088,002	\$81,638,915	\$84,726,917
<b>TOTALS</b>	<b>\$31,035,150</b>	<b>\$81,643,074</b>	<b>\$112,678,224</b>

**Table IV-P. PCIE—Management Decisions on Questioned Costs, FY 2003**

OIG	No Management Decision Start of FY 2003	Recommendations Issued in FY 2003	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2003
AID	\$2,490,500	\$13,441,336	\$6,862,696	\$6,318,064	\$2,751,076
CNCS	\$35,437,000	\$3,585,000	\$721,000	\$13,648,000	\$24,653,000
DHS <sup>1</sup>	\$73,001,703	\$55,880,953	\$17,316,168	\$2,428,322	\$109,138,166
DOC <sup>2</sup>	\$10,742,091	\$18,848,302	\$15,398,493	\$5,853,593	\$9,091,850
DOD <sup>3,4</sup>	\$5,841,592,000	\$1,058,775,930	\$794,384,000	\$454,215,000	\$5,651,768,930
DOE	\$4,458,647	\$4,057	\$25,753	\$0	\$4,436,951
DOI	\$39,501,237	\$23,346,529	\$29,660,440	\$833,180	\$32,354,146
DOJ <sup>5</sup>	\$21,162,774	\$51,183,175	\$38,172,982	\$5,304,078	\$18,452,616
DOL <sup>6</sup>	\$107,799,091	\$189,943,576	\$195,792,538	\$11,397,425	\$90,552,704
DOS <sup>7</sup>	\$17,523,000	\$5,332,000	\$8,342,000	\$0	\$14,513,000
DOT <sup>8</sup>	\$7,039,000	\$272,925,162	\$222,111,000	\$8,941,000	\$48,982,000
ED	\$203,579,492	\$162,567,292	\$52,263,568	\$4,601,000	\$309,282,216
EPA <sup>9,10</sup>	\$55,173,000	\$36,957,000	\$10,820,000	\$28,645,000	\$51,717,000
FDIC	\$215,174	\$431,473	\$398,090	\$239,182	\$9,375
GSA <sup>11</sup>	\$329,376	\$2,910,007	\$3,159,525	\$0	\$35,392
HHS <sup>12</sup>	\$1,592,643,000	\$768,092,000	\$334,568,000	\$37,286,000	\$1,988,881,000
HUD <sup>13</sup>	\$37,803,000	\$64,234,000	\$52,666,000	\$5,732,000	\$43,639,000
NASA <sup>14</sup>	\$163,958,000	\$78,317,015	\$23,514,015	\$12,249,000	\$206,512,000
NRC	\$38,433	\$205,396	\$205,396	\$0	\$38,433
OPM	\$8,005,802	\$60,847,534	\$37,193,918	\$3,307,136	\$28,352,282
RRB	\$0	\$0	\$0	\$0	\$0
SBA	\$0	\$5,485,564	\$1,582,748	\$0	\$3,902,816
SSA	\$9,731,554	\$56,602,321	\$15,540,010	\$10,563,234	\$40,230,631
Treasury <sup>15</sup>	\$2,418,000	\$383,000	\$0	\$387,000	\$1,661,000
TIGTA	\$1,675,465	\$4,757,766	\$1,786,055	\$4,646,107	\$1,069
TVA	\$0	\$3,033,436	\$1,125,939	\$77,536	\$1,829,961
USDA <sup>16</sup>	\$152,367,976	\$38,118,701	\$25,104,553	\$17,122,258	\$149,031,962
VA	\$0	\$24,400,000	\$24,400,000	\$0	\$0
<b>TOTALS</b>	<b>\$8,388,685,315</b>	<b>\$3,000,608,525</b>	<b>\$1,913,114,887</b>	<b>\$633,794,115</b>	<b>\$8,831,818,576</b>

1. DHS figures reflect the period April 1 through September 30, 2003, and consolidate recommendations related to FEMA and certain other legacy OIGs.
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 reimbursable customers 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.
4. DOD FY 2003 beginning balance adjusted for contracts not awarded and revised audit finding and recommendations.
5. DOJ FY 2003 ending balance reflects the transfer to DHS of questioned cost recommendations related to open Immigration and Naturalization Service audit reports.
6. DOL FY 2003 beginning balance differs from its FY 2002 ending balance due to a post-reporting period adjustment of \$1,605,027.
7. DOS FY 2003 beginning balance revised to reflect adjustments for prior year errors.
8. DOT FY 2003 figures reflect management agreement on a higher dollar amount than the outstanding recommendation.
9. EPA FY 2003 beginning balance differs slightly from its FY 2002 ending balance due to adjustments in its audit tracking system.
10. EPA figures reflect \$948,000 in recommended questioned costs agreed to or acted upon before report was issued or in other non-audit reports, not otherwise entered into the agency resolution process.
11. GSA figures reflect audit transferred to DHS.
12. HHS opening balance adjusted to \$1,592,643,000 due to amended decisions.
13. HUD figures are \$609,000 more for amounts included in Office of Investigations statistics.
14. NASA FY 2003 beginning balance differs from its FY 2002 ending balance due to DCAA adjustments for contracts not awarded and revised audit findings and recommendations. The NASA OIG portion of \$1,800,000 did not change.
15. Treasury FY 2003 ending balance reflects the transfer to DHS of questioned cost recommendations related to the legacy U.S. Customs Service.
16. USDA figures reflect a variance of \$772,096 between beginning and ending balances because collections agencies made exceeded the amounts identified in the audits.

Table IV-E. ECIE—Management Decisions on Questioned Costs, FY 2003

OIG	No Management Decision Start of FY 2003	Recommendations Issued in FY 2003	Recommendations Agreed to by Management	Recommendations Not Agreed to by Management	No Management Decision as of the End of FY 2003
Amtrak	\$1,574,782	\$22,352,536	\$16,524,227	\$0	\$7,403,091
ARC	\$30,000	\$388,000	\$0	\$16,000	\$402,000
CFTC	\$0	\$0	\$0	\$0	\$0
CPB	\$223,632	\$449,939	\$51,570	\$0	\$622,001
CPSC	\$0	\$0	\$0	\$0	\$0
EEOC	\$0	\$0	\$0	\$0	\$0
FCA	\$0	\$0	\$0	\$0	\$0
FCC	\$253,453	\$0	\$253,453	\$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	\$585,630	\$0	\$0	\$585,630
FTC	\$0	\$11,400	\$11,400	\$0	\$0
GPO	\$76,173	\$98,066	\$9,640	\$66,533	\$98,066
ITC	\$0	\$0	\$0	\$0	\$0
LSC	\$0	\$0	\$0	\$0	\$0
NARA	\$0	\$288,625	\$52,290	\$0	\$236,335
NCUA	\$0	\$0	\$0	\$0	\$0
NEA	\$0	\$538,311	\$347,261	\$0	\$191,050
NEH	\$0	\$0	\$0	\$0	\$0
NLRB	\$0	\$7,408	\$7,408	\$0	\$0
NSF	\$1,183,111	\$3,231,392	\$895,255	\$641,818	\$2,877,430
PBGC	\$0	\$0	\$0	\$0	\$0
PC	\$0	\$0	\$0	\$0	\$0
SEC	\$0	\$0	\$0	\$0	\$0
SI	\$0	\$0	\$0	\$0	\$0
USPS <sup>1</sup>	\$219,126,404	\$84,726,917	\$58,422,195	\$156,897,924	\$88,533,202
<b>TOTALS</b>	<b>\$222,467,555</b>	<b>\$112,678,224</b>	<b>\$76,574,699</b>	<b>\$157,622,275</b>	<b>\$100,948,805</b>

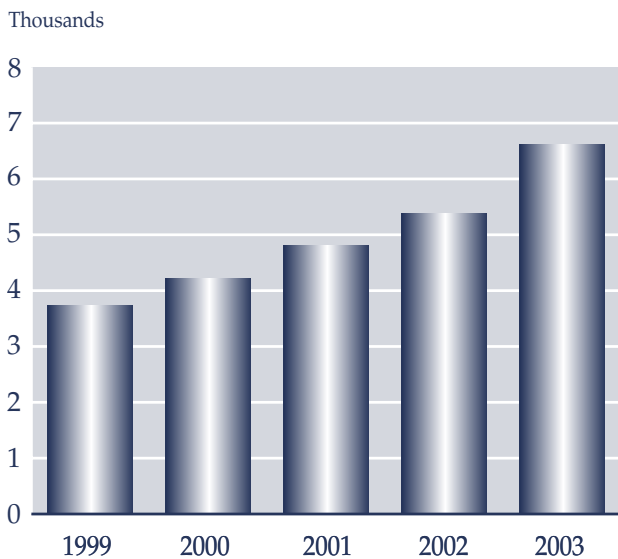
1. USPS FY 2002 ending balance of \$219,617,994 was revised to \$219,126,404, to reflect removal of \$491,590 in questioned costs identified in an audit report.

## 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 6,608 successful prosecutions in FY 2003, of which 557 were based on joint investigations.

As indicated in figure 3, the number of successful criminal prosecutions has averaged about 5,000 per year over the last 5 years. Statistics for FY 2001 through FY 2003 were calculated using a 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. No adjustments were needed for the statistics reported in *A Progress Report to the President, FY 2000*.

**Figure 3. Successful Criminal Prosecutions, FY 1999–FY 2003**



**Table V. PCIE and ECIE—Successful Criminal Prosecutions, FY 2003**

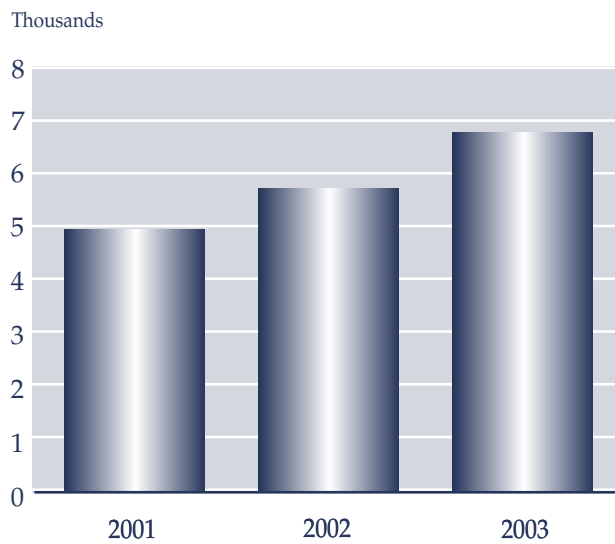
PCIE		ECIE	
OIG	Successful Criminal Prosecutions	OIG	Successful Criminal Prosecutions
AID	1	Amtrak	12
CNCS	3	ARC	0
DHS	97	CFTC	0
DOC	8	CPB	0
DOD	116	CPSC	0
DOE	18	EEOC	0
DOI	23	FCA	0
DOJ	136	FCC	0
DOL	242	FEC	0
DOS	4	FHFB	0
DOT	157	FLRA	0
ED	67	FMC	0
EPA	6	FRB	0
FDIC	20	FTC	0
GSA	34	GPO	3
HHS	534	ITC	0
HUD	488	LSC	0
NASA	38	NARA	0
NRC	0	NCUA	0
OPM	8	NEA	0
RRB	54	NEH	0
SBA	26	NLRB	0
SSA	2,802	NSF	1
TIGTA	295	PBGC	0
Treasury	4	PC	2
TVA	6	SEC	0
USDA	433	SI	2
VA	403	USPS	8
<b>Subtotal</b>	<b>6,023</b>	<b>Subtotal</b>	<b>28</b>
<b>Total from Individual Investigations.....</b>		<b>6,051</b>	
<b>Total from Joint Investigations .....</b>		<b>557</b>	
<b>Total from Individual and Joint Investigations .....</b>		<b>6,608</b>	

**Note.** Data provided by individual OIGs and adjusted by a methodology designed to eliminate duplicate reporting of casework involving multiple OIGs.

## Indictments and Criminal Informations

This 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 6,826 criminal indictments and informations in FY 2003, of which 816 were based on joint investigations.

**Figure 4. Criminal Indictments and Informations, FY 2001–FY 2003**



**Table VI. PCIE and ECIE—Indictments and Criminal Informations, FY 2003**

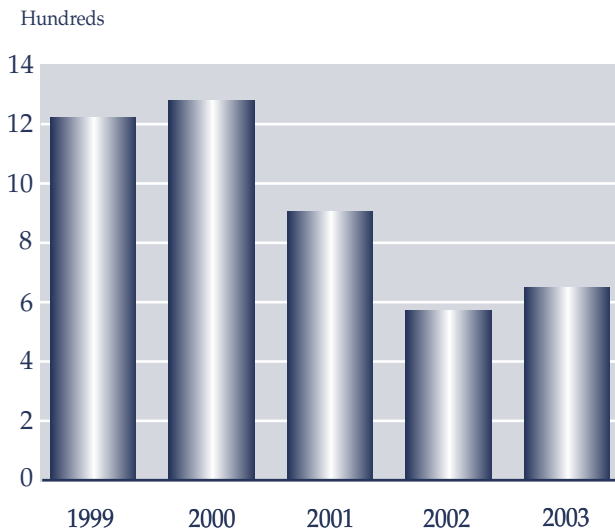
PCIE		ECIE	
OIG	Indictments and Criminal Informations	OIG	Indictments and Criminal Informations
AID	0	Amtrak	0
CNCS	8	ARC	0
DHS	123	CFTC	0
DOC	8	CPB	0
DOD	201	CPSC	0
DOE	17	EEOC	0
DOI	18	FCA	0
DOJ	140	FCC	0
DOL	359	FEC	0
DOS	0	FHFB	0
DOT	267	FLRA	0
ED	86	FMC	0
EPA	18	FRB	0
FDIC	37	FTC	0
GSA	28	GPO	0
HHS	618	ITC	0
HUD	822	LSC	0
NASA	42	NARA	0
NRC	1	NCUA	0
OPM	10	NEA	0
RRB	49	NEH	0
SBA	32	NLRB	0
SSA	2,030	NSF	0
TIGTA	277	PBGC	0
Treasury	1	PC	0
TVA	6	SEC	0
USDA	484	SI	0
VA	311	USPS	17
<b>Subtotal</b>	<b>5,993</b>	<b>Subtotals</b>	<b>17</b>
<b>Total from Individual Investigations.....</b>		<b>6,010</b>	
<b>Total from Joint Investigations .....</b>		<b>816</b>	
<b>Total from Individual and Joint Investigations .....</b>		<b>6,826</b>	

**Note.** Data provided by individual OIGs and adjusted by a methodology designed to eliminate duplicate reporting of casework involving multiple OIGs.

## 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 civil judgments or forfeitures in favor of the U.S. government filed in Federal, local, state, or foreign government venues; or settlements negotiated by a prosecuting authority prior to or following the filing of a formal civil complaint; or judgments, settlements or agreements reached based on the Program Fraud Civil Remedies Act (PFCRA), civil money penalties, or other agency-specific civil litigation authority. Personnel actions and suspensions and debarments are not reported as civil actions. In FY 2003, PCIE and ECIE member agencies had 653 civil actions, 55 of which resulted from joint investigations.

**Figure 5. Successful Civil Actions from OIG Investigations, FY 1999–FY 2003**



**Table VII. PCIE and ECIE—Successful Civil Actions, FY 2003**

PCIE		ECIE	
OIG	Successful Civil Actions	OIG	Successful Civil Actions
AID	1	Amtrak	0
CNCS	1	ARC	0
DHS	3	CFTC	0
DOC	1	CPB	0
DOD	65	CPSC	0
DOE	0	EEOC	0
DOI	4	FCA	0
DOJ	2	FCC	0
DOL	1	FEC	0
DOS	2	FHFB	0
DOT	8	FLRA	0
ED	16	FMC	0
EPA	2	FRB	0
FDIC	5	FTC	0
GSA	3	GPO	0
HHS	238	ITC	0
HUD	82	LSC	0
NASA	2	NARA	0
NRC	0	NCUA	0
OPM	3	NEA	0
RRB	23	NEH	0
SBA	7	NLRB	0
SSA	73	NSF	2
TIGTA	2	PBGC	0
Treasury	2	PC	0
TVA	0	SEC	0
USDA	14	SI	2
VA	30	USPS	4
<b>Subtotal</b>	<b>590</b>	<b>Subtotals</b>	<b>8</b>
<b>Total from Individual Investigations.....</b>		<b>598</b>	
<b>Total from Joint Investigations .....</b>		<b>55</b>	
<b>Total from Individual and Joint Investigations .....</b>		<b>653</b>	

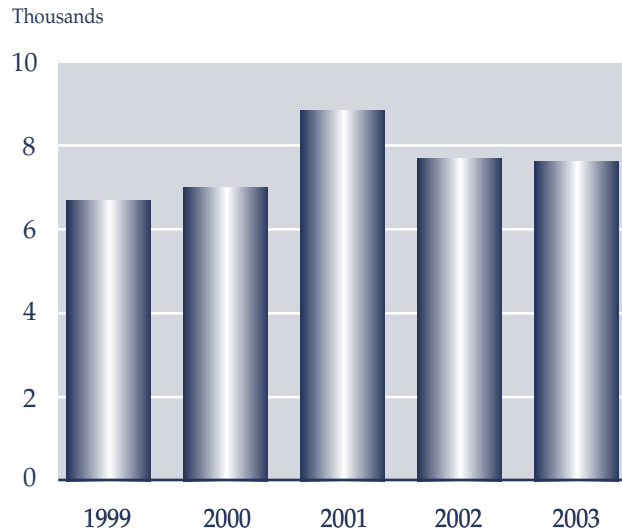
**Note.** Data provided by individual OIGs and adjusted by a methodology designed to eliminate duplicate reporting of casework involving multiple OIGs.



## 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 7,607 individuals and entities suspended and debarred by PCIE and ECIE member agencies in FY 2003. Of these, 97 resulted from joint investigations by the OIGs.

**Figure 6.** Suspensions and Debarments by PCIE and ECIE Member Agencies, FY 1999–FY 2003



**Table VIII.** PCIE and ECIE—Suspensions and Debarments, FY 2003

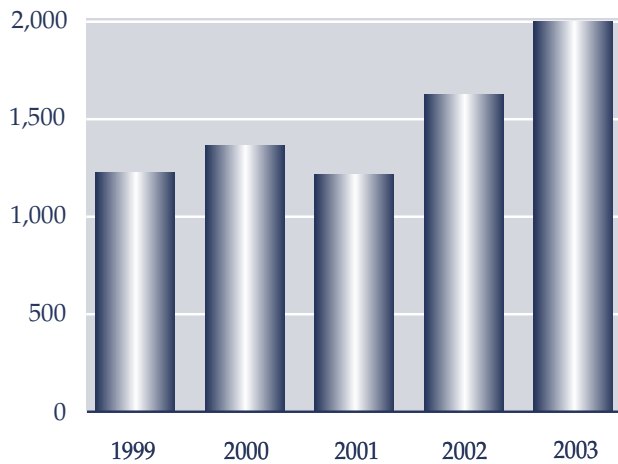
PCIE		ECIE	
OIG	Suspensions and Debarments	OIG	Suspensions and Debarments
AID	6	Amtrak	0
CNCS	3	ARC	0
DHS	1	CFTC	0
DOC	0	CPB	0
DOD	76	CPSC	0
DOE	7	EEOC	0
DOI	6	FCA	0
DOJ	0	FCC	0
DOL	31	FEC	0
DOS	0	FHFB	0
DOT	12	FLRA	0
ED	13	FMC	0
EPA	4	FRB	0
FDIC	0	FTC	0
GSA	109	GPO	0
HHS	3,284	ITC	0
HUD	396	LSC	0
NASA	2	NARA	0
NRC	0	NCUA	0
OPM	3,410	NEA	0
RRB	0	NEH	0
SBA	2	NLRB	0
SSA	0	NSF	1
TIGTA	0	PBGC	0
Treasury	0	PC	0
TVA	0	SEC	0
USDA	120	SI	0
VA	9	USPS	18
<b>Subtotal</b>	<b>7,491</b>	<b>Subtotals</b>	<b>19</b>
<b>Total from Individual Investigations.....</b>		<b>7,510</b>	
<b>Total from Joint Investigations .....</b>		<b>97</b>	
<b>Total from Individual and Joint Investigations .....</b>		<b>7,607</b>	

**Note.** Data provided by individual OIGs and adjusted by a methodology designed to eliminate duplicate reporting of casework involving multiple OIGs.

## Personnel Actions

Personnel actions are the total number of reprimands, suspensions, demotions, or terminations of Federal, state, and local (and Federal contractor or grantee) employees as a result of OIG actions. During FY 2003, PCIE and ECIE member agencies initiated 1,999 personnel actions, 11 of which resulted from joint investigations.

**Figure 7. Personnel Actions as a Result of OIG Actions, FY 1999–FY 2003**



**Table IX. PCIE and ECIE—Personnel Actions, FY 2003**

PCIE		ECIE	
OIG	Personnel Actions	OIG	Personnel Actions
AID	16	Amtrak	51
CNCS	0	ARC	0
DHS	19	CFTC	0
DOC	12	CPB	0
DOD	21	CPSC	0
DOE	45	EEOC	1
DOI	77	FCA	3
DOJ	143	FCC	1
DOL	29	FEC	0
DOS	15	FHFB	0
DOT	29	FLRA	0
ED	5	FMC	0
EPA	12	FRB	4
FDIC	3	FTC	0
GSA	34	GPO	6
HHS	5	ITC	2
HUD	120	LSC	0
NASA	79	NARA	6
NRC	28	NCUA	8
OPM	3	NEA	0
RRB	0	NEH	0
SBA	7	NLRB	43
SSA	33	NSF	3
TIGTA	756	PBGC	2
Treasury	21	PC	2
TVA	42	SEC	15
USDA	52	SI	8
VA	211	USPS	16
<b>Subtotal</b>	<b>1,817</b>	<b>Subtotals</b>	<b>171</b>
<b>Total from Individual Investigations .....</b>		<b>1,988</b>	
<b>Total from Joint Investigations .....</b>		<b>11</b>	
<b>Total from Individual and Joint Investigations .....</b>		<b>1,999</b>	

**Note.** Data provided by individual OIGs and adjusted by a methodology designed to eliminate duplicate reporting of casework involving multiple OIGs.

## 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, local, state, 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.

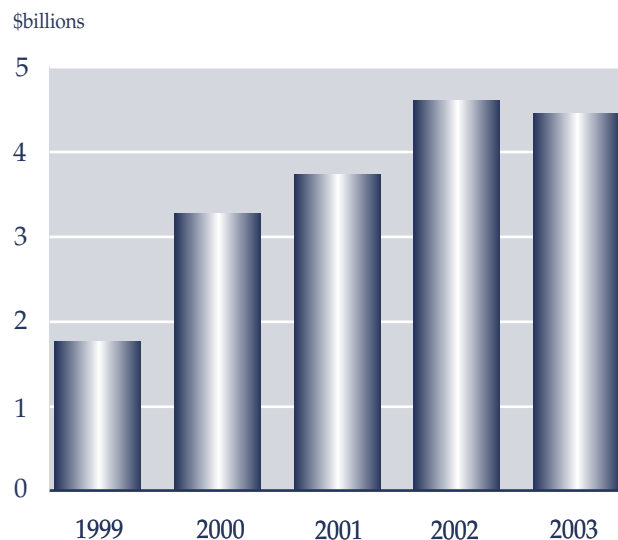
In FY 2003, PCIE and ECIE member agencies tallied investigative receivables and recoveries totaling nearly \$4.5 billion, of which \$1.2 billion resulted from joint investigations.

**Table X. PCIE and ECIE—Receivables and Recoveries from Successful OIG Investigations, FY 2003**

PCIE		ECIE	
OIG	Receivables and Recoveries	OIG	Receivables and Recoveries
AID	\$2,577,145	Amtrak	\$1,259,178
CNCS	\$198,988	ARC	\$0
DHS	\$5,199,296	CFTC	\$0
DOC	\$84,662	CPB	\$0
DOD	\$510,356,964	CPSC	\$0
DOE	\$986,620	EEOC	\$0
DOI	\$57,673,298	FCA	\$0
DOJ	\$3,359,917	FCC	\$0
DOL	\$1,307,217	FEC	\$0
DOS	\$124,149	FHFB	\$0
DOT	\$128,258,741	FLRA	\$0
ED	\$14,218,605	FMC	\$0
EPA	\$3,394,394	FRB	\$0
FDIC	\$84,126,030	FTC	\$0
GSA	\$7,368,590	GPO	\$950
HHS	\$1,628,778,164	ITC	\$6,773
HUD	\$613,826,233	LSC	\$0
NASA	\$10,096,551	NARA	\$0
NRC	\$147,056	NCUA	\$0
OPM	\$1,414,557	NEA	\$0
RRB	\$2,691,091	NEH	\$0
SBA	\$16,747,216	NLRB	\$20,003
SSA	\$47,252,215	NSF	\$2,743,011
TIGTA	\$31,643,446	PBGC	\$254,800
Treasury	\$566,767	PC	\$20,000
TVA	\$468,568	SEC	\$0
USDA	\$65,671,158	SI	\$57,257
VA	\$20,329,573	USPS	\$1,184,765
<b>Subtotal</b>	<b>\$3,258,867,211</b>	<b>Subtotals</b>	<b>\$5,546,737</b>
<b>Total from Individual Investigations .....</b>		<b>\$3,264,413,948</b>	
<b>Total from Joint Investigations .....</b>		<b>\$1,203,628,314</b>	
<b>Total from Individual and Joint Investigations .....</b>		<b>\$4,468,042,262</b>	

Note. Data provided by individual OIGs and adjusted by a methodology designed to eliminate duplicate reporting of casework involving multiple OIGs.

**Figure 8. Investigative Receivables and Recoveries, FY 1999–FY 2003**



## Joint Investigations

This table lists the percent of investigations that PCIE and ECIE member agencies conducted with other Federal investigative entities, not including OIGs.

**Table XI. PCIE and ECIE—Percent of Investigations Conducted Jointly with Federal Investigative Offices Other than OIGs, FY 2003**

PCIE		ECIE	
OIG	Percent	OIG	Percent
AID	1%	Amtrak	3%
CNCS	0%	ARC	0%
DHS	2%	CFTC	0%
DOC	9%	CPB	0%
DOD	15%	CPSC	0%
DOE	32%	EEOC	0%
DOI	18%	FCA	0%
DOJ	24%	FCC	0%
DOL	43%	FEC	0%
DOS	15%	FHFB	0%
DOT	20%	FLRA	0%
ED	21%	FMC	0%
EPA	6%	FRB	36%
FDIC	28%	FTC	0%
GSA	13%	GPO	0%
HHS	N/A <sup>1</sup>	ITC	0%
HUD	37%	LSC	0%
NASA	55%	NARA	5%
NRC	0%	NCUA	0%
OPM	45%	NEA	0%
RRB	5%	NEH	0%
SBA	39%	NLRB	0%
SSA	6%	NSF	0%
TIGTA	0%	PBGC	0%
Treasury	1%	PC	29%
TVA	8%	SEC	8%
USDA	3%	SI	0%
VA	7%	USPS	21%

1. This information is not available due to database limitations. The HHS OIG is developing systems to track and accurately report the number of joint investigations.

# Appendix A

## Government Challenges and Management Agenda Activities Reported on by OIGs During FY 2003

Information Technology Management and E-Government		
Agency	Topic Areas	OIG Web Site
AID	<ul style="list-style-type: none"> <li>• IT Internal Controls and Security Training</li> </ul>	<a href="http://www.usaid.gov/oig">www.usaid.gov/oig</a>
CNCS	<ul style="list-style-type: none"> <li>• FISMA</li> </ul>	<a href="http://www.cncsig.gov">www.cncsig.gov</a>
CPSC	<ul style="list-style-type: none"> <li>• FISMA</li> </ul>	N/A
DHS	<ul style="list-style-type: none"> <li>• Customs and Border Protection</li> <li>• FISMA</li> </ul>	<a href="http://www.dhs.gov/oig">www.dhs.gov/oig</a>
DOC	<ul style="list-style-type: none"> <li>• Security Controls</li> <li>• Systems Acquisition</li> </ul>	<a href="http://www.oig.doc.gov">www.oig.doc.gov</a>
DOD	<ul style="list-style-type: none"> <li>• Information Assurance</li> <li>• Information Security</li> <li>• IT Management</li> </ul>	<a href="http://www.dodig.osd.mil">www.dodig.osd.mil</a>
DOE	<ul style="list-style-type: none"> <li>• Cyber Security</li> <li>• Desktop and Laptop Computers</li> <li>• Information Systems</li> <li>• Internet Privacy</li> <li>• Personal Computer Internal Controls</li> <li>• Web site Security</li> <li>• Wireless Networking Security</li> </ul>	<a href="http://www.ig.doe.gov">www.ig.doe.gov</a>
DOI	<ul style="list-style-type: none"> <li>• E-Government</li> <li>• FISMA</li> <li>• IT Management</li> <li>• IT Security</li> <li>• Web site Security</li> </ul>	<a href="http://www.oig.doi.gov">www.oig.doi.gov</a>
DOJ	<ul style="list-style-type: none"> <li>• Computer Security</li> <li>• IT Management</li> <li>• Integrating Fingerprint Systems</li> </ul>	<a href="http://www.usdoj.gov/oig/">www.usdoj.gov/oig/</a>
DOL	<ul style="list-style-type: none"> <li>• GISRA</li> <li>• FISMA</li> <li>• IT Management</li> </ul>	<a href="http://www.oig.dol.gov">www.oig.dol.gov</a>
DOS	<ul style="list-style-type: none"> <li>• Certification and Accreditation</li> <li>• Information Security and Assessment</li> <li>• Knowledge Management</li> <li>• Paperwork Elimination</li> <li>• System Integration</li> </ul>	<a href="http://oig.state.gov">oig.state.gov</a>
DOT	<ul style="list-style-type: none"> <li>• Computer Center Shutdown</li> <li>• Computer Security</li> <li>• E-Government</li> <li>• Management Controls</li> </ul>	<a href="http://www.oig.dot.gov">www.oig.dot.gov</a>

## Information Technology Management and E-Government, *Continued*

Agency	Topic Areas	OIG Web Site
ED	<ul style="list-style-type: none"> <li>• Capital Planning and Investment Management</li> <li>• Financial Management Systems</li> <li>• FISMA and Contingency Planning</li> <li>• Protection of Cyber Assets</li> </ul>	<a href="http://www.ed.gov/about/offices/list/oig">www.ed.gov/about/offices/list/oig</a>
EEOC	<ul style="list-style-type: none"> <li>• IT System Security Compliance</li> <li>• IT Systems</li> </ul>	<a href="http://www.ignet.gov">www.ignet.gov</a>
EPA	<ul style="list-style-type: none"> <li>• Computer Security</li> <li>• IT Controls</li> </ul>	<a href="http://www.epa.gov/oigearth">www.epa.gov/oigearth</a>
FCA	<ul style="list-style-type: none"> <li>• Data Reporting</li> <li>• E- Government</li> <li>• Information Security</li> </ul>	<a href="http://www.fca.gov/oig/">www.fca.gov/oig/</a>
FCC	<ul style="list-style-type: none"> <li>• Accessibility</li> <li>• Capital Investment Practices</li> <li>• Computer Controls</li> </ul>	<a href="http://www.fcc.gov/oig">www.fcc.gov/oig</a>
FDIC	<ul style="list-style-type: none"> <li>• IT Management</li> <li>• IT Security</li> </ul>	<a href="http://www.fdicig.gov">www.fdicig.gov</a>
FLRA	<ul style="list-style-type: none"> <li>• FISMA</li> </ul>	<a href="http://www.flra.gov">www.flra.gov</a>
FRB	<ul style="list-style-type: none"> <li>• E-Government</li> <li>• FISMA</li> </ul>	<a href="http://www.federalreserve.gov/oig">www.federalreserve.gov/oig</a>
FTC	<ul style="list-style-type: none"> <li>• IT Security</li> </ul>	<a href="http://www.ftc.gov">www.ftc.gov</a>
GSA	<ul style="list-style-type: none"> <li>• Data Accuracy</li> <li>• Enhanced Network Operations</li> <li>• Information Security</li> <li>• IT Security</li> <li>• Systems Development Weaknesses</li> <li>• Systems Performance Measures</li> </ul>	<a href="http://www.oig.gsa.gov">www.oig.gsa.gov</a>
HHS	<ul style="list-style-type: none"> <li>• Compliance with GISRA</li> <li>• Operating Effectiveness</li> </ul>	<a href="http://www.oig.hhs.gov">www.oig.hhs.gov</a>
HUD	<ul style="list-style-type: none"> <li>• Information Security</li> <li>• IT Control</li> </ul>	<a href="http://www.hud.gov/offices/oig">www.hud.gov/offices/oig</a>
NARA	<ul style="list-style-type: none"> <li>• IT Management</li> </ul>	N/A
NASA	<ul style="list-style-type: none"> <li>• Effective Management Controls</li> <li>• Independent Verification and Validation Software</li> <li>• IT Security, Continuity Planning, and Performance Measures</li> <li>• Management of Contract Data Reports</li> </ul>	<a href="http://www.hq.nasa.gov/office/oig">www.hq.nasa.gov/office/oig</a>
NCUA	<ul style="list-style-type: none"> <li>• Information Technology</li> </ul>	<a href="http://www.ncua.gov">www.ncua.gov</a>
NEH	<ul style="list-style-type: none"> <li>• FISMA Reviews</li> </ul>	N/A
NEA	<ul style="list-style-type: none"> <li>• FISMA</li> </ul>	N/A
NLRB	<ul style="list-style-type: none"> <li>• Information Security Review</li> </ul>	<a href="http://www.nlr.gov">www.nlr.gov</a>
NRC	<ul style="list-style-type: none"> <li>• E-Government</li> <li>• Information Technology Management</li> </ul>	<a href="http://www.nrc.gov">www.nrc.gov</a>

## Information Technology Management and E-Government, *Continued*

Agency	Topic Areas	OIG Web Site
NSF	<ul style="list-style-type: none"> <li>• IT Security</li> </ul>	<a href="http://www.nsf.gov">www.nsf.gov</a>
OPM	<ul style="list-style-type: none"> <li>• IT and E-Government Performance Measures</li> <li>• Section 508</li> </ul>	<a href="http://www.opm.gov/oig">www.opm.gov/oig</a>
PBGC	<ul style="list-style-type: none"> <li>• Enterprise-wide Security</li> </ul>	<a href="http://www.oig.pbgc.gov">www.oig.pbgc.gov</a>
RRB	<ul style="list-style-type: none"> <li>• Authentication of Internet Transactions</li> <li>• End-User Computer Applications</li> <li>• Expansion of Electronic Services</li> <li>• Information Security System</li> <li>• Internet Reports and Contributions</li> </ul>	<a href="http://www.rrb.gov/oig/Rrboig.htm">www.rrb.gov/oig/Rrboig.htm</a>
SBA	<ul style="list-style-type: none"> <li>• IT Management &amp; E-Government</li> </ul>	<a href="http://www.sba.gov">www.sba.gov</a>
SEC	<ul style="list-style-type: none"> <li>• IT Management and Security</li> </ul>	<a href="http://www.ignet.gov">www.ignet.gov</a>
SI	<ul style="list-style-type: none"> <li>• IT Systems Security</li> </ul>	<a href="http://www.si.edu/oig">www.si.edu/oig</a>
SSA	<ul style="list-style-type: none"> <li>• Critical Infrastructure Protection and Systems Security</li> </ul>	<a href="http://www.ssa.gov/oig/">www.ssa.gov/oig/</a>
Treasury	<ul style="list-style-type: none"> <li>• Expanded E-Government</li> <li>• IT Investment and Security</li> <li>• Privacy</li> </ul>	<a href="http://www.ustreas.gov">www.ustreas.gov</a>
TIGTA	<ul style="list-style-type: none"> <li>• Information Systems</li> </ul>	<a href="http://www.ustreas.gov/tigta">www.ustreas.gov/tigta</a>
TVA	<ul style="list-style-type: none"> <li>• IT Management and Controls</li> </ul>	<a href="http://www.oig.tva.gov">www.oig.tva.gov</a>
USDA	<ul style="list-style-type: none"> <li>• FISMA</li> <li>• IT Controls and Security</li> </ul>	<a href="http://www.usda.gov/oig">www.usda.gov/oig</a>
USITC	<ul style="list-style-type: none"> <li>• Information Security</li> </ul>	<a href="http://www.usitc.gov">www.usitc.gov</a>
VA	<ul style="list-style-type: none"> <li>• Information Security</li> </ul>	<a href="http://www.va.gov/oig">www.va.gov/oig</a>

## Improved Financial Management

AID	<ul style="list-style-type: none"> <li>• Financial Statements</li> <li>• Financial Systems</li> </ul>	<a href="http://www.usaid.gov/oig">www.usaid.gov/oig</a>
CNCS	<ul style="list-style-type: none"> <li>• Financial Statements Audit</li> <li>• Grants Management</li> <li>• Internal Controls</li> <li>• Travel Cards</li> <li>• Trust Fund Accounting</li> </ul>	<a href="http://www.cncsig.gov">www.cncsig.gov</a>
CPB	<ul style="list-style-type: none"> <li>• Grants Management</li> </ul>	<a href="http://www.go.cpb.org/main/">www.go.cpb.org/main/</a>
DHS	<ul style="list-style-type: none"> <li>• Financial Improvement</li> </ul>	<a href="http://www.dhs.gov/oig">www.dhs.gov/oig</a>
DOC	<ul style="list-style-type: none"> <li>• System Controls</li> </ul>	<a href="http://www.oig.doc.gov">www.oig.doc.gov</a>

## Improved Financial Management, *Continued*

Agency	Topic Areas	OIG Web Site
DOD	<ul style="list-style-type: none"> <li>• Contract Administration</li> <li>• Enterprise Architecture</li> <li>• Financial Controls</li> <li>• Financial Policy, Procedures, Reporting and Statements</li> <li>• Information Security</li> <li>• Inventory Controls</li> <li>• Payments</li> <li>• Property Accountability</li> <li>• Purchase Cards</li> </ul>	<a href="http://www.dodig.osd.mil">www.dodig.osd.mil</a>
DOE	<ul style="list-style-type: none"> <li>• Consolidated Financial Statement Audit</li> <li>• Costs Claimed and Internal Controls</li> <li>• Financial Instruments</li> <li>• Financial Integrity Act</li> <li>• Grants</li> <li>• Leases and Leasing Costs</li> <li>• Plant Capabilities</li> <li>• Research Funds</li> <li>• Safeguards and Security Funding</li> <li>• Settlement Agreements</li> <li>• Oversight Funds</li> </ul>	<a href="http://www.ig.doe.gov">www.ig.doe.gov</a>
DOI	<ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Financial Statement</li> <li>• Gainsharing/ Awards</li> <li>• Revenue Allocation</li> <li>• Travel Cards</li> <li>• Working Capital Fund</li> </ul>	<a href="http://www.oig.doi.gov">www.oig.doi.gov</a>
DOJ	<ul style="list-style-type: none"> <li>• Financial Statement Audits</li> </ul>	<a href="http://www.usdoj.gov/oig">www.usdoj.gov/oig</a>
DOL	<ul style="list-style-type: none"> <li>• Financial Management</li> </ul>	<a href="http://www.oig.dol.gov">www.oig.dol.gov</a>
DOS	<ul style="list-style-type: none"> <li>• Centralized Trial Balance</li> <li>• Colombian National Police</li> <li>• Drug Control Funds</li> <li>• Financial Assistance and Statements</li> <li>• Intergovernmental Activities</li> <li>• Travel Card</li> </ul>	<a href="http://oig.state.gov">oig.state.gov</a>
DOT	<ul style="list-style-type: none"> <li>• Acquisition Management</li> <li>• Anti-Deficiency</li> <li>• Budget and Cost Issues</li> <li>• Contract Administration</li> <li>• Cost Accounting</li> <li>• Cost Growth, Schedule Delays, and Performance Problems</li> <li>• Finance Plans</li> <li>• Financial Management and Internal Controls</li> <li>• Financial Statement</li> <li>• Loan Guarantees</li> <li>• Owner-Controlled Insurance Program</li> <li>• Revenue Use</li> <li>• Travel Charge Card</li> </ul>	<a href="http://www.oig.dot.gov">www.oig.dot.gov</a>



## Improved Financial Management, *Continued*

Agency	Topic Areas	OIG Web Site
ED	<ul style="list-style-type: none"> <li>• Contract Monitoring</li> <li>• Controls Over Equipment Purchases</li> <li>• Financial Statement Audits</li> </ul>	<a href="http://www.ed.gov/about/offices/list/oig">www.ed.gov/about/offices/list/oig</a>
EEOC	<ul style="list-style-type: none"> <li>• Financial Statements</li> <li>• Internal Controls</li> </ul>	<a href="http://www.ignet.gov">www.ignet.gov</a>
EPA	<ul style="list-style-type: none"> <li>• Financial Statements</li> </ul>	<a href="http://www.epa.gov/oigearth">www.epa.gov/oigearth</a>
FCA	<ul style="list-style-type: none"> <li>• Financial Audit</li> </ul>	<a href="http://www.fca.gov/oig/">www.fca.gov/oig/</a>
FCC	<ul style="list-style-type: none"> <li>• Annual Financial Statement</li> <li>• Purchase Cards</li> <li>• Schools and Libraries Program</li> </ul>	<a href="http://www.fcc.gov">www.fcc.gov</a>
FDIC	<ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Procurement Credit Card Program</li> </ul>	<a href="http://www.fdicig.gov">www.fdicig.gov</a>
FHFB	<ul style="list-style-type: none"> <li>• Financial Reporting</li> </ul>	<a href="http://www.fca.gov/oig">www.fca.gov/oig</a>
FLRA	<ul style="list-style-type: none"> <li>• Financial Reports</li> </ul>	<a href="http://www.flra.gov">www.flra.gov</a>
FRB	<ul style="list-style-type: none"> <li>• Financial Statement Audit</li> </ul>	<a href="http://www.federalreserve.gov/oig">www.federalreserve.gov/oig</a>
FTC	<ul style="list-style-type: none"> <li>• Financial Statement Audit</li> <li>• Government Credit Cards</li> </ul>	<a href="http://www.ftc.gov/oig">www.ftc.gov/oig</a>
GSA	<ul style="list-style-type: none"> <li>• Financial Controls</li> <li>• Financial Statements Audits</li> <li>• Internal Controls</li> </ul>	<a href="http://www.oig.gsa.gov">www.oig.gsa.gov</a>
HHS	<ul style="list-style-type: none"> <li>• Disproportionate Share Hospital Payments</li> <li>• Error Rate</li> <li>• Financial Statement Audits</li> <li>• HIV/AIDS Grants</li> <li>• Hospital Beds</li> <li>• International Merchant Purchase Authorization Card Program</li> <li>• Noncustodial Parents Contributions to Medicaid Costs</li> <li>• Pension Funds</li> <li>• Postacute Care</li> </ul>	<a href="http://www.oig.hhs.gov">www.oig.hhs.gov</a>
HUD	<ul style="list-style-type: none"> <li>• Internal Controls</li> <li>• Financial Statement</li> </ul>	<a href="http://www.hud.gov/offices/oig">www.hud.gov/offices/oig</a>
NARA	<ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Grant Management</li> </ul>	N/A
NASA	<ul style="list-style-type: none"> <li>• Adequate Management of Unfinalized Contract Actions</li> <li>• Agency Financial Statement Audit</li> <li>• Integrated Financial Management</li> <li>• Performance Measures and Risk Mitigation Policy</li> <li>• Planned Full Cost Accounting</li> </ul>	<a href="http://www.hq.nasa.gov/office/oig">www.hq.nasa.gov/office/oig</a>
NCUA	<ul style="list-style-type: none"> <li>• Financial Management</li> </ul>	<a href="http://www.ncua.gov/org">www.ncua.gov/org</a>
NLRB	<ul style="list-style-type: none"> <li>• Financial Statements</li> <li>• Fund Accounting</li> <li>• Leased Vehicles</li> </ul>	<a href="http://www.nlr.gov">www.nlr.gov</a>

## Improved Financial Management, *Continued*

Agency	Topic Areas	OIG Web Site
NRC	<ul style="list-style-type: none"> <li>• Improved Financial Management</li> </ul>	<a href="http://www.nrc.gov">www.nrc.gov</a>
NSF	<ul style="list-style-type: none"> <li>• Financial Management</li> </ul>	<a href="http://www.nsf.gov">www.nsf.gov</a>
OPM	<ul style="list-style-type: none"> <li>• Cash Controls</li> <li>• Debt Collection</li> <li>• Financial Statements</li> <li>• Performance Measures Related to Improved Financial Management</li> </ul>	<a href="http://www.opm.gov/oig">www.opm.gov/oig</a>
PBGC	<ul style="list-style-type: none"> <li>• Control Weaknesses</li> <li>• Estimated Recoveries</li> <li>• Estimated Liabilities</li> <li>• Identification of Key Controls</li> <li>• Integrated Financial Management Systems</li> <li>• Measurement of Asset Values</li> </ul>	<a href="http://www.oig.pbgc.gov">www.oig.pbgc.gov</a>
RRB	<ul style="list-style-type: none"> <li>• Disclosure Requirements</li> <li>• Federal Financial Management Requirements</li> <li>• Financial Performance</li> <li>• Improper Payments</li> </ul>	<a href="http://www.rrb.gov/oig/Rrboig.htm">www.rrb.gov/oig/Rrboig.htm</a>
SBA	<ul style="list-style-type: none"> <li>• Financial Management</li> </ul>	<a href="http://www.sba.gov">www.sba.gov</a>
SEC	<ul style="list-style-type: none"> <li>• Financial Management</li> </ul>	<a href="http://www.ignet.gov">www.ignet.gov</a>
SI	<ul style="list-style-type: none"> <li>• Checking Accounts</li> </ul>	<a href="http://www.si.edu/oig">www.si.edu/oig</a>
SSA	<ul style="list-style-type: none"> <li>• Improved Financial Management</li> </ul>	<a href="http://www.ssa.gov/oig/">www.ssa.gov/oig/</a>
Treasury	<ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Financial Statement Audit</li> <li>• Purchase Cards</li> <li>• Revenue Protection</li> </ul>	<a href="http://www.ustreas.gov">www.ustreas.gov</a>
TIGTA	<ul style="list-style-type: none"> <li>• Administrative Systems</li> <li>• Procurement</li> <li>• Revenue Protection</li> <li>• Taxpayer Protection and Rights</li> </ul>	<a href="http://www.ustreas.gov/tigta">www.ustreas.gov/tigta</a>
TVA	<ul style="list-style-type: none"> <li>• Cost Reviews</li> <li>• Data Integrity</li> <li>• Financial Statement Audit</li> <li>• Internal Controls</li> </ul>	<a href="http://www.tva.gov">www.tva.gov</a>
USDA	<ul style="list-style-type: none"> <li>• Financial Statement Audits</li> <li>• Internal Controls Over Travel Card Expenditures</li> </ul>	<a href="http://www.usda.gov/oig/">www.usda.gov/oig/</a>
USITC	<ul style="list-style-type: none"> <li>• Management Control</li> <li>• Procurement</li> </ul>	<a href="http://www.usitc.gov">www.usitc.gov</a>

## Improved Financial Management, *Continued*

Agency	Topic Areas	OIG Web Site
VA	<ul style="list-style-type: none"> <li>• Combined Assessment Program Reviews</li> <li>• Financial Management System Review</li> <li>• Financial Statements Audits</li> <li>• Franchise Funds</li> <li>• Fugitive Felon Program</li> <li>• Loan Guaranty Systems and Service Loan Refunding Practices</li> <li>• Personnel and Accounting Integrated Data System Review</li> <li>• Procurement</li> </ul>	<a href="http://www.va.gov/oig">www.va.gov/oig</a>

## Budget and Performance

AID	<ul style="list-style-type: none"> <li>• Government Performance and Results Act</li> </ul>	<a href="http://www.usaid.gov/oig">www.usaid.gov/oig</a>
DOD	<ul style="list-style-type: none"> <li>• Accounting Procedures</li> <li>• Budgeting</li> <li>• Contracting for Life-Cycle Support</li> </ul>	<a href="http://www.dodig.osd.mil">www.dodig.osd.mil</a>
DOE	<ul style="list-style-type: none"> <li>• Performance Measures</li> <li>• Planning, Programming, Budgeting, and Evaluation</li> <li>• Project Management</li> <li>• Property Management</li> <li>• Work and Community Safety</li> </ul>	<a href="http://www.ig.doe.gov">www.ig.doe.gov</a>
DOI	<ul style="list-style-type: none"> <li>• GPRA Measures and Reporting</li> <li>• Performance Management</li> </ul>	<a href="http://www.oig.doi.gov">www.oig.doi.gov</a>
DOJ	<ul style="list-style-type: none"> <li>• Drug Enforcement Administration's Performance</li> </ul>	<a href="http://www.usdoj.gov/oig">www.usdoj.gov/oig</a>
DOT	<ul style="list-style-type: none"> <li>• Airspace Capacity Enhancements and Budget</li> <li>• Anti-Deficiency</li> <li>• Aviation Safety</li> <li>• Contract Oversight</li> <li>• Cost Accounting and Growth</li> <li>• Energy Management and Conservation</li> <li>• Federal Facilities</li> <li>• Loan Guarantees</li> <li>• Operational Improvement</li> <li>• Revenue Use</li> </ul>	<a href="http://www.oig.dot.gov">www.oig.dot.gov</a>
ED	<ul style="list-style-type: none"> <li>• Access to ESEA Title I Funds</li> <li>• Eligibility for GEAR-UP Program</li> <li>• GPRA Reporting</li> <li>• Guarantee Contracts</li> <li>• IDEA Funding Formula Requirements</li> <li>• Priority for Services Migrant Children</li> <li>• Talent Search Program</li> <li>• VI Equipment Inventory Control and Management of Federal Education Funds</li> <li>• VOC ED Performance Data</li> </ul>	<a href="http://www.ed.gov/about/offices/list/oig">www.ed.gov/about/offices/list/oig</a>
EEOC	<ul style="list-style-type: none"> <li>• Performance and Results</li> </ul>	<a href="http://www.ignet.gov">www.ignet.gov</a>
EPA	<ul style="list-style-type: none"> <li>• Financial Statements</li> </ul>	<a href="http://www.epa.gov/oigearth">www.epa.gov/oigearth</a>

## Budget and Performance, *Continued*

Agency	Topic Areas	OIG Web Site
FCC	<ul style="list-style-type: none"> <li>• GPRA</li> </ul>	<a href="http://www.fcc.gov">www.fcc.gov</a>
GSA	<ul style="list-style-type: none"> <li>• Performance Measures</li> </ul>	<a href="http://www.oig.gsa.gov">www.oig.gsa.gov</a>
HUD	<ul style="list-style-type: none"> <li>• Planning, Programming, Budgeting, and Evaluation</li> </ul>	<a href="http://www.hud.gov/offices/oig">www.hud.gov/offices/oig</a>
NEA	<ul style="list-style-type: none"> <li>• Budget Division Operations</li> </ul>	N/A
NLRB	<ul style="list-style-type: none"> <li>• Results Act</li> </ul>	<a href="http://www.nlr.gov">www.nlr.gov</a>
NSF	<ul style="list-style-type: none"> <li>• Budget/Performance Integration</li> </ul>	<a href="http://www.nsf.gov">www.nsf.gov</a>
OPM	<ul style="list-style-type: none"> <li>• GPRA Annual Performance Plan</li> </ul>	<a href="http://www.opm.gov/oig">www.opm.gov/oig</a>
NASA	<ul style="list-style-type: none"> <li>• Failures in Cost Estimating</li> <li>• Performance Measurement System and Risk Mitigation Policy</li> <li>• Planned Full Cost Accounting</li> <li>• Planning and Projections for Wind Tunnel Use</li> </ul>	<a href="http://www.hq.nasa.gov/office/oig">www.hq.nasa.gov/office/oig</a>
SI	<ul style="list-style-type: none"> <li>• Project Management</li> </ul>	<a href="http://www.si.edu/oig">www.si.edu/oig</a>
SSA	<ul style="list-style-type: none"> <li>• Budget, Performance and Integration</li> </ul>	<a href="http://www.ssa.gov/oig">www.ssa.gov/oig</a>
Treasury	<ul style="list-style-type: none"> <li>• GPRA</li> </ul>	<a href="http://www.ustreas.gov">www.ustreas.gov</a>
TIGTA	<ul style="list-style-type: none"> <li>• Customer Service Issues</li> <li>• Revenue Protection. Examination Strategy</li> <li>• Taxpayer Protection and Rights</li> <li>• Training</li> </ul>	<a href="http://www.ustreas.gov/tigta">www.ustreas.gov/tigta</a>

## Competitive Sourcing

CPB	<ul style="list-style-type: none"> <li>• Procurement</li> </ul>	<a href="http://www.go.cpb.org/main">www.go.cpb.org/main</a>
DOD	<ul style="list-style-type: none"> <li>• A-76 Competition</li> <li>• Contract Administration</li> <li>• Pilot Program</li> </ul>	<a href="http://www.dodig.osd.mil">www.dodig.osd.mil</a>
DOE	<ul style="list-style-type: none"> <li>• Recurring Acquisitions</li> <li>• Subcontracting Practices</li> </ul>	<a href="http://www.ig.doe.gov">www.ig.doe.gov</a>
DOI	<ul style="list-style-type: none"> <li>• Contract Administration</li> <li>• Incurred Costs</li> <li>• Leasing</li> </ul>	<a href="http://www.oig.doi.gov">www.oig.doi.gov</a>
DOJ	<ul style="list-style-type: none"> <li>• Prison Space Procurement</li> </ul>	<a href="http://www.usdoj.gov/oig/">www.usdoj.gov/oig/</a>
DOS	<ul style="list-style-type: none"> <li>• Inventory Reform Act</li> </ul>	<a href="http://oig.state.gov">oig.state.gov</a>
DOT	<ul style="list-style-type: none"> <li>• Aviation Safety and Cost Metrics</li> </ul>	<a href="http://www.oig.dot.gov">www.oig.dot.gov</a>
FCC	<ul style="list-style-type: none"> <li>• Billing System Controls</li> <li>• Equitable Adjustment Proposal</li> <li>• Incurred Costs</li> <li>• Labor Charging</li> <li>• Price Adjustment</li> </ul>	<a href="http://www.fcc.gov/oig/">www.fcc.gov/oig/</a>
FDIC	<ul style="list-style-type: none"> <li>• Contract Oversight</li> <li>• Contract Review</li> </ul>	<a href="http://www.fdicig.gov">www.fdicig.gov</a>

## Competitive Sourcing, *Continued*

Agency	Topic Areas	OIG Web Site
FLRA	<ul style="list-style-type: none"> <li>• FAIR Act Compliance</li> </ul>	<a href="http://www.flra.gov">www.flra.gov</a>
OPM	<ul style="list-style-type: none"> <li>• Performance Measures Related to Competitive Sourcing</li> </ul>	<a href="http://www.opm.gov/oig">www.opm.gov/oig</a>
NASA	<ul style="list-style-type: none"> <li>• Adequacy of Competition in Subcontracting</li> <li>• Contract Administration</li> <li>• Contract Management: Technical, Safety, or Quality Assurance Reviews</li> </ul>	<a href="http://www.hq.nasa.gov">www.hq.nasa.gov</a>
TIGTA	<ul style="list-style-type: none"> <li>• Revenue Protection</li> </ul>	<a href="http://www.ustreas.gov/tigta">www.ustreas.gov/tigta</a>
VA	<ul style="list-style-type: none"> <li>• Performance Measures Validation</li> </ul>	<a href="http://www.va.gov/oig">www.va.gov/oig</a>

## Human Capital Management

AID	<ul style="list-style-type: none"> <li>• Contract Monitoring</li> <li>• Ethics</li> <li>• Human Capital Data</li> <li>• Procurement Staffing</li> </ul>	<a href="http://www.usaid.gov/oig">www.usaid.gov/oig</a>
CNCS	<ul style="list-style-type: none"> <li>• Alternative Personnel System</li> </ul>	<a href="http://www.cncsig.gov">www.cncsig.gov</a>
DOD	<ul style="list-style-type: none"> <li>• Contracting</li> <li>• Emergency Services</li> <li>• Personnel System</li> <li>• Staffing Levels and A-76</li> </ul>	<a href="http://www.dodig.osd.mil">www.dodig.osd.mil</a>
DOE	<ul style="list-style-type: none"> <li>• Assignment of Employees to Other Federal Agencies</li> <li>• Recruitment and Retention</li> </ul>	<a href="http://www.ig.doe.gov">www.ig.doe.gov</a>
DOJ	<ul style="list-style-type: none"> <li>• Drug Interdiction in Prisons</li> <li>• FBI Discipline System</li> <li>• Human Capital</li> <li>• Retaliation</li> <li>• Training Evaluation Standards</li> </ul>	<a href="http://www.usdoj.gov/oig/">www.usdoj.gov/oig/</a>
DOS	<ul style="list-style-type: none"> <li>• Foreign National Employees</li> <li>• Workforce Planning</li> </ul>	<a href="http://oig.state.gov">oig.state.gov</a>
DOT	<ul style="list-style-type: none"> <li>• Controlling Costs</li> <li>• Internal Controls and Controlling Costs</li> <li>• Veterans' Preference for Screeners</li> </ul>	<a href="http://www.oig.dot.gov">www.oig.dot.gov</a>
ED	<ul style="list-style-type: none"> <li>• Human Capital</li> </ul>	<a href="http://www.ed.gov/about/offices/list/oig">www.ed.gov/about/offices/ list/oig</a>
EEOC	<ul style="list-style-type: none"> <li>• Telework</li> </ul>	<a href="http://www.ignet.gov">www.ignet.gov</a>
EPA	<ul style="list-style-type: none"> <li>• Human Capital Management</li> </ul>	<a href="http://www.epa.gov">www.epa.gov</a>
FLRA	<ul style="list-style-type: none"> <li>• Customer Service</li> <li>• Human Capital Progress</li> <li>• Government Vehicles</li> </ul>	<a href="http://www.flra.gov">www.flra.gov</a>
FRB	<ul style="list-style-type: none"> <li>• Retirement Plan Administration</li> </ul>	<a href="http://www.federalreserve.gov/oig">www.federalreserve.gov/oig</a>
HUD	<ul style="list-style-type: none"> <li>• Human Capital Management</li> </ul>	<a href="http://www.hud.gov/offices/oig">www.hud.gov/offices/oig</a>

## Human Capital Management, *Continued*

Agency	Topic Areas	OIG Web Site
NLRB	<ul style="list-style-type: none"> <li>• Personnel and Personnel Actions</li> <li>• Training</li> </ul>	<a href="http://www.nlr.gov">www.nlr.gov</a>
OPM	<ul style="list-style-type: none"> <li>• FEGLI</li> <li>• Performance Measures Related to Human Capital Management</li> </ul>	<a href="http://www.opm.gov/oig">www.opm.gov/oig</a>
NASA	<ul style="list-style-type: none"> <li>• Astronaut Candidate Selection and Hiring</li> </ul>	<a href="http://www.hq.nasa.gov/office/oig">www.hq.nasa.gov/office/oig</a>
RRB	<ul style="list-style-type: none"> <li>• Workforce Restructuring</li> </ul>	<a href="http://www.rrb.gov">www.rrb.gov</a>
Treasury	<ul style="list-style-type: none"> <li>• Personnel Security</li> <li>• Workforce Utilization</li> <li>• Workplace Safety</li> </ul>	<a href="http://www.ustreas.gov">www.ustreas.gov</a>
TIGTA	<ul style="list-style-type: none"> <li>• Personnel</li> </ul>	<a href="http://www.ustreas.gov/tigta">www.ustreas.gov/tigta</a>
USITC	<ul style="list-style-type: none"> <li>• Employee Safety</li> </ul>	<a href="http://www.usitc.gov">www.usitc.gov</a>
VA	<ul style="list-style-type: none"> <li>• Time and Attendance</li> </ul>	<a href="http://www.va.gov/oig">www.va.gov/oig</a>

## Homeland Security

DHS	<ul style="list-style-type: none"> <li>• Border and Transportation Security</li> <li>• FEMA</li> <li>• Firefighter Grants</li> <li>• Transportation Security Administration</li> </ul>	<a href="http://www.dhs.gov/oig">www.dhs.gov/oig</a>
DOD	<ul style="list-style-type: none"> <li>• Security at DOD Biological Facilities</li> </ul>	<a href="http://www.dodig.osd.mil">www.dodig.osd.mil</a>
DOE	<ul style="list-style-type: none"> <li>• Emergency Medical Coordination</li> <li>• Explosive Safety</li> <li>• Force-on-Force Performance Tests</li> <li>• Hazardous Waste</li> <li>• Infrastructure Protection</li> <li>• Internal Control of Firearms</li> <li>• International Materials</li> <li>• Personnel Security</li> <li>• Plutonium Production</li> <li>• Protective Forces</li> <li>• Safeguards and Security</li> <li>• Sensitive Website Information</li> <li>• Unclassified Foreign Visits and Assignments</li> </ul>	<a href="http://www.ig.doe.gov">www.ig.doe.gov</a>
DOI	<ul style="list-style-type: none"> <li>• Icon Park Security</li> <li>• Infrastructures</li> </ul>	<a href="http://www.oig.doi.gov/">www.oig.doi.gov/</a>
DOJ	<ul style="list-style-type: none"> <li>• 9/11 Detainees' Civil Rights</li> <li>• Border Security</li> <li>• Counterintelligence and Security</li> <li>• Effectiveness in Removing Aliens</li> <li>• Issuing SSNs to Aliens</li> <li>• Tracking Foreign Students</li> <li>• Visa Waiver Program</li> </ul>	<a href="http://www.usdoj.gov/oig">www.usdoj.gov/oig</a>
DOS	<ul style="list-style-type: none"> <li>• Passport</li> <li>• Visa</li> </ul>	<a href="http://oig.state.gov">oig.state.gov</a>

## Homeland Security, Continued

Agency	Topic Areas	OIG Web Site
DOT	<ul style="list-style-type: none"> <li>• Aviation Security and Cost</li> <li>• Aviation Security Prior to 9/11</li> <li>• Aviation Security Technologies</li> <li>• Contract Oversight</li> <li>• Federal Air Marshal Program</li> <li>• Financial Statements</li> <li>• Screener Security Program</li> <li>• Sections 106 and 138 of the Aviation and Transportation Security Act</li> </ul>	<a href="http://www.oig.dot.gov">www.oig.dot.gov</a>
EPA	<ul style="list-style-type: none"> <li>• Air Monitoring</li> <li>• Cyber Security</li> <li>• Security of Nation's Water Supply</li> <li>• Water Infrastructure Security</li> </ul>	<a href="http://www.epa.gov/oigearth">www.epa.gov/oigearth</a>
FCC	<ul style="list-style-type: none"> <li>• GISRA</li> <li>• Physical Security</li> <li>• Workplace Violence</li> </ul>	<a href="http://www.fcc.gov">www.fcc.gov</a>
FDIC	<ul style="list-style-type: none"> <li>• Business Continuity Planning</li> <li>• Patriot Act</li> </ul>	<a href="http://www.fdicig.gov">www.fdicig.gov</a>
FLRA	<ul style="list-style-type: none"> <li>• Occupational Safety and Health</li> </ul>	<a href="http://www.flra.gov">www.flra.gov</a>
GSA	<ul style="list-style-type: none"> <li>• Security Clearance Process for Contractor Personnel</li> </ul>	<a href="http://www.oig.gsa.gov">www.oig.gsa.gov</a>
HHS	<ul style="list-style-type: none"> <li>• Bioterrorism</li> </ul>	<a href="http://oig.hhs.gov">oig.hhs.gov</a>
NASA	<ul style="list-style-type: none"> <li>• Computer and Network Systems Incident Response and Coordination Capability</li> <li>• Compliance With Guidance and Policies to Protect IT Resources</li> <li>• IT Security and Vulnerabilities</li> <li>• Physical Security and Safety Assessment</li> <li>• Surveillance and Safety Procedures</li> </ul>	<a href="http://www.hq.nasa.gov/office/oig">www.hq.nasa.gov/office/oig</a>
NLRB	<ul style="list-style-type: none"> <li>• Building Security</li> </ul>	<a href="http://www.nlr.gov">www.nlr.gov</a>
SBA	<ul style="list-style-type: none"> <li>• Homeland Security</li> </ul>	<a href="http://www.sba.gov">www.sba.gov</a>
SSA	<ul style="list-style-type: none"> <li>• SSN Integrity and Protection</li> </ul>	<a href="http://www.ssa.gov">www.ssa.gov</a>
Treasury	<ul style="list-style-type: none"> <li>• Border Security</li> <li>• Law Enforcement</li> <li>• Money Laundering and Terrorist Financing</li> <li>• National Security</li> </ul>	<a href="http://www.ustreas.gov">www.ustreas.gov</a>
TIGTA	<ul style="list-style-type: none"> <li>• Security Program</li> <li>• Taxpayer Protection Rights</li> </ul>	<a href="http://www.ustreas.gov/tigta">www.ustreas.gov/tigta</a>
TVA	<ul style="list-style-type: none"> <li>• Facility Access Control Systems Security</li> <li>• FISMA</li> <li>• Resource Access Control</li> </ul>	<a href="http://www.oig.tva.gov">www.oig.tva.gov</a>

## Homeland Security, *Continued*

Agency	Topic Areas	OIG Web Site
USDA	<ul style="list-style-type: none"><li>• Biohazardous Materials Controls</li><li>• Emergency Management</li><li>• Facility Security</li><li>• National Forest System Security Reviews</li><li>• Security Safeguards</li></ul>	<a href="http://www.usda.gov/oig">www.usda.gov/oig</a>
USITC	<ul style="list-style-type: none"><li>• Emergency Management</li><li>• Information Security</li></ul>	<a href="http://www.usitc.gov">www.usitc.gov</a>



# Appendix B

## Glossary of Acronyms and Abbreviations

<b>Acronym/ Abbreviation</b>	<b>Definition</b>
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
CPA	Coalition Provisional Authority
CPSC	Consumer Product Safety Commission
CPB	Corporation for Public Broadcasting
DCAA	Defense Contract Audit Agency
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 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
FAEC	Federal Audit Executive Council
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
GPRA	Government Performance and Results Act
GSA	General Services Administration
HEW	Department of Health, Education and Welfare
HHS	Department of Health and Human Services
HR	Human Resources

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## Glossary of Acronyms and Abbreviations, *Continued*

<b>Acronym/ Abbreviation</b>	<b>Definition</b>
HUD	Department of Housing and Urban Development
I&E	Inspections and Evaluations
IG	Inspector General
IGATI	Inspectors General Auditor Training Institute
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
NIST	National Institute of Standards and Technology
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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Inspector General**  
DEPARTMENT OF HEALTH AND HUMAN SERVICES  
330 Independence Ave., SW  
Washington, DC 20201  
☎800-447-8477

**Kenneth M. Donohue, Inspector General**  
DEPARTMENT OF HOUSING AND  
URBAN DEVELOPMENT  
451 7th Street, SW, Room 8256  
Washington, DC 20410-4500  
☎800-347-3735 or 202-708-4200

**Robert W. Cobb, Inspector General**  
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ADMINISTRATION  
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☎800-424-9183

**Hubert T. Bell, Inspector General**  
NUCLEAR REGULATORY COMMISSION  
Mail Stop T5 D28  
Washington, DC 20555  
☎800-233-3497

**Patrick E. McFarland, Inspector General**  
OFFICE OF PERSONNEL MANAGEMENT  
1900 E Street, NW, Room 6400  
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☎Fraud, Waste, and Abuse: 202-606-2423  
☎Healthcare Fraud: 202-418-3300

**Martin J. Dickman, Inspector General**  
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Chicago, IL 60611-2092  
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SMALL BUSINESS ADMINISTRATION  
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Washington, DC 20416  
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**Patrick P. O'Carroll, Jr., Acting Inspector  
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Altmeyer Building, Suite 300  
6401 Security Boulevard  
Baltimore, MD 21235  
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**Dennis Schindel, Acting Inspector  
General**  
DEPARTMENT OF THE TREASURY  
1500 Pennsylvania Ave., NW,  
Washington, DC 20220  
☎800-359-3898

**Pamela Gardiner,  
Acting Inspector General**  
TREASURY INSPECTOR GENERAL  
FOR TAX ADMINISTRATION  
1125 15th St., NW, Suite 700A  
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☎800-366-4484

**Richard Moore, Inspector General**  
TENNESSEE VALLEY AUTHORITY  
400 W. Summit Hill Drive  
Knoxville, TN 37902-1499  
☎800-323-3835

**Phyllis Fong, Inspector General**  
U.S. DEPARTMENT OF AGRICULTURE  
1400 Independence Ave., SW  
Room 117-W Whitten Building  
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**Richard J. Griffin, Inspector General**  
DEPARTMENT OF VETERANS AFFAIRS  
810 Vermont Avenue NW  
Washington, DC 20420  
☎800-488-8244

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

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OFFICE OF MANAGEMENT AND BUDGET  
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### Kenneth Konz, Inspector General

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McLean, VA 22102  
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Washington, DC 20463  
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☎800-276-8329 or 202-408-2900

### Francine C. Eichler, Inspector General

FEDERAL LABOR RELATIONS AUTHORITY  
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Washington, DC 20424  
☎800-331-3572

### Tony P. Kominoth, Inspector General

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800 N. Capitol St., Rm. 1054  
Washington, DC 20573  
☎202-523-5865

### Frederick J. Zirkel, Inspector General

FEDERAL TRADE COMMISSION  
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Washington, DC 20580  
☎202-326-2800

### Marc A. Nichols, Inspector General

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Washington, DC 20401  
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### Len Koczur, Acting Inspector General

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### Paul Brachfeld, Inspector General

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ADMINISTRATION  
8601 Adelphi Road  
College Park, MD 20740  
☎800-786-2551 OR 301-837-3000

### Herbert Yolles, Inspector General

NATIONAL CREDIT UNION ADMINISTRATION  
1775 Duke Street  
Alexandria, VA 22314-3428  
☎800-778-4806 or 703-518-6357

### Daniel L. Shaw, Inspector General

NATIONAL ENDOWMENT FOR THE ARTS  
1100 Pennsylvania Ave., NW  
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☎202-682-5402

### Sheldon L. Bernstein, Inspector General

NATIONAL ENDOWMENT FOR THE HUMANITIES  
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Washington, DC 20506  
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### Christine C. Boesz, Inspector General

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### Robert Emmons, Inspector General

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### Charles D. Smith, Inspector General

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Washington, DC 20526  
☎800-233-5874

### Walter Stachnik, Inspector General

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Washington, DC 20549  
☎202-942-4460

### Thomas D. Blair, Inspector General

SMITHSONIAN INSTITUTION  
Victor Bldg., Suite 4200  
750 Ninth St., NW  
Washington, DC 20560  
☎202-275-1671

### Kenneth F. Clarke, Inspector General

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500 E Street, SW, Room 515  
Washington, DC 20436  
☎800-500-0333 or 202-205-2210

### David C. Williams, Inspector General

U.S. POSTAL SERVICE  
1735 N. Lynn Street  
Arlington, VA 22209-2005  
☎888-USPS-OIG (888-877-7644)

\*See also Members on Both Councils, page C-1

☎Hotline Numbers



# Appendix D

## Called to Serve

In recent months, nearly one hundred individuals from more than twenty member offices of the PCIE and ECIE have been called to active duty. 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*  
Steve Bennett, *National Guard*  
Sylvia Bergstedt, *Air Force*  
John Berrett, *Air Force*  
Peter Blackburn, *Marine Corps*  
Wayne Blackwood, *Marine Corps*  
Darci Blakely-Bell, *Air Force*  
Marlon R. Bowles, *Army*  
William "Dave" Boxmeyer,  
*Air Force*  
Jose Braniella, *Navy*  
Jeffrey Brown, *Army*  
Joseph Bredhopt, *Army*  
Alma Certa, *Coast Guard*  
James J. Collins, *Army*  
Dennis Conway, *Army*  
Matthew Craig, *Army*  
Marcus Culpepper, *Air Force*  
Paul D'Agostino, *Army*  
Rod Dahl, *Army*  
John DeMaggio, *Navy*  
Charles G. Dirks, *Army*  
Steven Driver, *Coast Guard*  
David Enos, *Army*  
Richard J. Erickson,  
*National Guard*  
George Fifer, *Air Force*  
Malik Freeman, *National Guard*  
Hector Garcia, *National Guard*  
Michael Geasley, *National Guard*  
Brett Gehring, *Army*  
Curtis Gelber, *Air Force*

Albert T. Gombis, *Air Force*  
James Greer, *Air Force*  
Ed Gumban, *Air Force*  
Gloria Hill, *Navy*  
Jeffrey Hochadel, *Navy*  
Rodney Holliman, *Army*  
Robert J. Kaufman, *Army*  
Teri Kayati, *Coast Guard*  
Shelia Keating, *Army*  
Paul Kimbrough, *Army*  
Wade Krieger, *Air Force*  
Douglas Latessa, *Army*  
John Ledden, *Army*  
Freddy Lopez, *Marine Corps*  
Janet Lynch, *Army*  
Shawn Magowan, *Army*  
Steven Manber, *Marine Corps*  
Angel Matos, *Army*  
Samuel Maxey, *National Guard*  
Esther Maysonet, *Marine Corps*  
Eric McGraw, *Army*  
Tracy McIntosh, *Army*  
Richard Mebs, *Army*  
Jon J. Metry, *Army*  
Peter Moore, *Army*  
Paul W. Myers, *Army*  
Boris Frank Nazaroff,  
*Marine Corps*  
Wayne Nomi, *Coast Guard*  
Wayne North, *Coast Guard*  
Christopher O'Gara, *Army*  
Keith Owens, *Army*

Allen Pajarin, *Army*  
Michael Porter, *National Guard*  
Eric Radwick, *Air Force*  
Santos Ramirez, *Air Force*  
Anthony Register,  
*National Guard*  
Jorge Rey, *Army*  
Meredith Ross, *Army*  
Lorne Segerstrom,  
*National Guard*  
Ivan Serpa, *Army*  
Tonya Shorts, *Army*  
Todd Sikkink, *Air Force*  
Derek Simmons, *Marine Corps*  
Derek A. Smith, *National Guard*  
Mark Smith, *Air Force*  
Lance Stamper, *Army*  
Charles B. Stephens, *Air Force*  
Scott Stokes, *Marine Corps*  
Monty Stokes, *Air Force*  
William F. Stumme, *Navy*  
Keith Tate, *Air Force*  
Edward Thomas Jr., *Air Force*  
Pedro Toscano, *Army*  
Clara Veal, *Army*  
Dennis Wade, *Army*  
Jeffery Walsh, *National Guard*  
Idenne Whetsel, *Marine Corps*  
Edwin Wilkinson, *Navy*  
W. David Winstead, *Army*  
Richard F. Woodford Jr., *Navy*  
William Zastrow, *Army*





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## *With Our Sincere Appreciation...*

**O**n November 25, 2002, the President signed into law the Homeland Security Act of 2002. Among other things, this law extended to selected OIGs the authority to exercise law enforcement powers while engaged in official duties. In addition, this law established a peer review process to ensure that adequate internal safeguards and management procedures exist within each OIG. Prior to the law's passage, law enforcement powers were granted administratively to most OIGs.

Over the years, the PCIE has worked to statutorily obtain these powers and establish this review process. Looking back, several individuals stand out as being instrumental to the passage of this important piece of legislation. We sincerely appreciate their commitment and would like to take this opportunity to recognize them by name.

On Capitol Hill, the chief proponents, who displayed unwavering support and sponsorship for the passage of this authority, include:

- ★ Senator Fred Thompson, Former Chair, Committee on Governmental Affairs, U.S. Senate
- ★ Senator Joseph Lieberman, Ranking Member, Committee on Governmental Affairs, U.S. Senate
- ★ Bill Outhier, Former Staff Director, Committee on Governmental Affairs, U.S. Senate

Within the IG community, the former and current IGs, who devoted extraordinary effort and commitment toward accomplishing this end, were:

- ★ June Gibbs Brown, Inspector General, HHS (1993-2001)
- ★ Julian De La Rosa, Inspector General, DOL (1990-1993)
- ★ Charles C. Matsen, Inspector General, DOL (1993-2000)
- ★ Glenn A. Fine, Inspector General, DOJ
- ★ Patrick E. McFarland, Inspector General, OPM

And at the senior staff level within the IG community, those individuals, who worked tirelessly with Members of the Congress, their staff, and Administration officials, include:

- ★ Jack Hartwig, Former Assistant IG for Investigations, HHS
- ★ James Henderson, Assistant IG for Investigations, GSA
- ★ Abigail Cummings, General Counsel Branch Chief, HHS
- ★ Marcia Sayer, Congressional Liaison, HHS





## *Inspector General Act of 1978 Twenty-fifth Anniversary*

**Agency for International Development ★ Amtrak ★ Appalachian Regional Commission ★ Central Intelligence Agency ★ Commodity Futures Trading Commission ★ Consumer Product Safety Commission Corporation for National and Community Service ★ Corporation for Public Broadcasting ★ Department of Agriculture ★ Department of Commerce ★ Department of Defense ★ Department of Education Department of Energy ★ Department of Health and Human Services Department of Homeland Security ★ Department of Housing and Urban Development ★ Department of the Interior ★ Department of Justice Department of Labor ★ Department of State and the Broadcasting Board of Governors ★ Department of Transportation ★ Department of the Treasury ★ Department of Veterans Affairs ★ Environmental Protection Agency ★ Equal Employment Opportunity Commission ★ Farm Credit Administration ★ Federal Communications Commission ★ Federal Deposit Insurance Corporation ★ Federal Election Commission ★ Federal Housing Finance Board ★ Federal Labor Relations Authority ★ Federal Maritime Commission ★ Federal Reserve Board ★ Federal Trade Commission ★ General Services Administration ★ Government Printing Office ★ Legal Services Corporation ★ National Aeronautics and Space Administration ★ National Archives and Records Administration National Credit Union Administration ★ National Endowment for the Arts National Endowment for the Humanities ★ National Labor Relations Board ★ National Science Foundation ★ Nuclear Regulatory Commission Office of Personnel Management ★ Peace Corps ★ Pension Benefit Guaranty Corporation ★ Railroad Retirement Board ★ Securities and Exchange Commission ★ Small Business Administration ★ Smithsonian Institution ★ Social Security Administration ★ Tennessee Valley Authority ★ Treasury Inspector General for Tax Administration U.S. International Trade Commission ★ United States Postal Service**

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