



Progress Report  
to the **President**

Fiscal Year 2013



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

# Fiscal Year (FY) 2013 Results at a Glance

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

In FY 2013, approximately 14,000 employees at 72 OIGs conducted audits, inspections, evaluations, and investigations. Together, the work of the OIG community resulted in significant improvements to the economy and efficiency of programs Governmentwide, with potential savings totaling approximately **\$51.8 billion**. With the OIG community's aggregate FY 2013 budget of approximately \$2.5 billion, these potential savings represent about a \$21 return on every dollar invested in the OIGs. The potential savings total includes:

**\$37 billion in potential savings** from audit recommendations agreed to by management, and

**\$14.8 billion** from investigative receivables and recoveries.

In FY 2013, OIGs also considerably strengthened programs through:

- ♦ 7,618 audit, inspection, and evaluation reports issued;
- ♦ 25,260 investigations closed;
- ♦ 619,460 hotline complaints processed;
- ♦ 6,799 indictments and criminal informations;
- ♦ 6,705 successful prosecutions;
- ♦ 1,396 successful civil actions;
- ♦ 5,865 suspensions or debarments; and
- ♦ 4,213 personnel actions.

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# Foreword

On behalf of the members of the Council of the Inspectors General on Integrity and Efficiency (CIGIE or Council), we are pleased to present *A Progress Report to the President, Fiscal Year 2013*. The Council was established through the passage of the Inspector General Reform Act of 2008 (the Reform Act), which initially brought together 69 individual Federal Inspectors General (IGs) and 6 integrity-related senior officials as a community. Two years later, Congress added additional IGs from the intelligence community to the Council, thereby expanding the Council's membership to include this important oversight sector. At the close of fiscal year 2013, the Special Inspector General for Iraq Reconstruction, a member of the Council, closed down operations as required through their enabling legislation. Subsequently, CIGIE's membership consists of 78 members.

Recognizing the 5<sup>th</sup> year anniversary of the Reform Act and establishment of CIGIE, we are pleased to report that the Council and its member organizations function as a robust oversight group engaged in issues of nationwide significance. CIGIE's mandated missions are to address integrity, economy, and effectiveness issues that transcend individual Federal Government agencies, and to increase the professionalism and effectiveness of the IG workforce. In FY 2013, CIGIE continued to meet these missions, and through this report, we present CIGIE's accomplishments in FY 2013 reflecting our efforts in meeting our mandate.

First, in **Background**, we summarize the Council's history. We also discuss some of the accomplishments of CIGIE's standing committees in FY 2013. Then, in **Strategic Plan Business Goal Accomplishments**, we describe CIGIE's accomplishments under FY 2013's three major strategic business goals. Next, with the marking of the 35th anniversary of the IG Act of 1978, we take a look back at the various **Key Events** that transpired from the development of the initial statutory OIGs to the development of a robust Federal OIG system.

Next, we summarize current issues of concern to CIGIE members in **Key Legislation Affecting the IG Community** and **Shared Management and Performance Challenges**. We then offer perspective on **IG Community Accomplishments** and provide **Contact Information for CIGIE Members**. Finally, we recognize the recipients of the most noteworthy **2013 CIGIE Awards**.

CIGIE's evolution into an important institution for its members is strengthened by the efforts of leaders in the IG community; Congress; colleagues in the Office of Management and Budget (OMB) and the Government Accountability Office (GAO); other Federal agencies, law enforcement, and professional organizations; and private-sector supporters who share a commitment to improve Federal Government programs. We appreciate the continuing support and interest of all in our work.

Most especially, we express our thanks to the nearly 14,000 professionals who make up the Federal IG community, whose tireless efforts continue to improve the economy, efficiency, and effectiveness of the Federal Government.



**PHYLLIS K. FONG**  
Chairperson



**LYNNE A. MCFARLAND**  
Vice Chairperson





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# Background

## IG History

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

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

Today, CIGIE has 72 IG members that provide audit and investigative oversight to agencies across the Government and seek to prevent problems before they materialize. IGs are either nominated by the President and confirmed by the Senate, or appointed by their respective agency head. One IG is appointed by the President but Senate confirmation is not required. They are selected without regard to political affiliation and solely on the basis of personal integrity and professional expertise.

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

The latest amendments to the IG Act, the IG Reform Act of 2008, enacted October 14, 2008, further strengthened IG independence, enhanced IG operations, and created a significant milestone in IG history by combining the two former IG councils, PCIE and ECIE, into one—CIGIE.

## Community

The IG Reform Act of 2008 established CIGIE as the unified council of all statutory IGs to provide Governmentwide coordination of, and focus on, OIG activities. CIGIE consists of 72 Federal IGs and the following 6 Federal leaders:

- ♦ Deputy Director for Management (DDM), OMB;
- ♦ Deputy Director, Office of Personnel Management;
- ♦ Special Counsel, Office of the Special Counsel;
- ♦ Assistant Director of the Criminal Investigative Division, Federal Bureau of Investigation (FBI);
- ♦ Director, Office of Government Ethics; and
- ♦ Controller of the Office of Federal Financial Management, OMB.

The Honorable Beth Cobert, DDM, OMB, is CIGIE's Executive Chairperson.

In FY 2013, CIGIE was led by its elected Chairperson, Phyllis K. Fong, IG, U.S. Department of Agriculture; its Vice Chairperson, Lynne A. McFarland, IG, Federal Election Commission; and the members of the Executive Council (see Table 1 below).

CIGIE's Executive Council provides corporate leadership, collaborative vision, and long-term planning for the IG community.

Table 1. FY 2013 CIGIE Executive Council	
Phyllis K. Fong, Department of Agriculture	Chairperson
Lynne A. McFarland, Federal Election Commission	Vice Chairperson
Jon T. Rymer, Federal Deposit Insurance Corporation (currently Department of Defense)	Audit Committee Chair
Rebecca Anne Batts, Pension Benefit Guaranty Corporation (retired)	Information Technology Committee Chair
Kathy A. Buller, Peace Corps	Inspection and Evaluation Committee Co-Chair
Daniel R. Levinson, Department of Health and Human Services	Inspection and Evaluation Committee Co-Chair
Carl W. Hoecker, U.S. Securities and Exchange Commission	Investigations Committee Chair
Peggy E. Gustafson, Small Business Administration	Legislation Committee Chair
Mary L. Kendall, Department of the Interior (Deputy IG)	Professional Development Committee Chair
Gregory H. Friedman, Department of Energy	Past Vice Chair, President's Council on Integrity and Efficiency

The IG Reform Act of 2008 also established an Integrity Committee whose Chair, by law, is the CIGIE member who represents the FBI. The Integrity Committee serves a vital role as an independent investigative mechanism for allegations of IG misconduct, which it reviews and refers for investigation when warranted.



# CIGIE Committee Accomplishments

As shown below in Table 2, in FY 2013 CIGIE's committees undertook a variety of noteworthy projects to benefit the OIG community.

**Table 2. FY 2013 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2013 Accomplishments
<p><b>Audit</b>— Provides leadership to, and serves as a resource for, the Federal audit community. Sponsors and coordinates audits that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG audit activities, and provides oversight of auditor training..</p>	<p>Continued to administer CIGIE's audit peer review program to promote OIG compliance with <i>Government Auditing Standards</i> and CIGIE's <i>Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General</i>.</p> <p>Completed the Phase 1 revision of CIGIE's <i>Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General</i> in association with recent revisions of the <i>Government Auditing Standards</i>, and initiated the Phase 2 effort to update the guide to reflect <i>Government Auditing Standards</i> changes related to financial audit and attestation standards.</p> <p>Represented the IG community in initiatives and workgroups on various issues, including improper payments, information security, government credit cards, and accounting and auditing policies.</p> <p>Participated in the Office of Personnel Management's priority initiative to close critical skills gaps in the Federal workforce, one of which is the auditor job series.</p> <p>Worked with OMB, providing comments on the <i>Proposed OMB Guidance: Cost Principles, Audit and Administrative Requirements for Federal Awards</i>, and on the associated final guidance.</p> <p>Sponsored training and development for the audit community with the CIGIE Training Institute's Audit, Inspection, and Evaluation Training Academy, as well as co-hosted the annual Financial Statement Audit Conference.</p> <p>Oversaw CIGIE's annual financial audit.</p>
<p><b>Information Technology (IT)</b> — Facilitates effective OIG information technology audits, inspections, evaluations, and investigations, and provides a vehicle for expressing the IG community's perspective on Governmentwide IT operations.</p>	<p>Worked with the Department of Homeland Security to refine Federal Information Security Management Act metrics for OIG audits and evaluations.</p> <p>Collaborated with OMB, providing comments on guidance to agencies on enhancing the security of Federal information and information systems.</p> <p>Developed and provided comments to the Federal Law Enforcement Training Center on a proposal to develop a digital forensic examiner certification process.</p> <p>Worked with the Federal Acquisition Regulatory Council to advocate for inclusion of a standard clause allowing OIG audit and investigative access in cloud computing contracts.</p> <p>Established a Data Analytics Working group that serves to enhance OIGs' abilities to use aspects of data analytics to support audit, evaluation, and investigations work.</p> <p>With the Investigations Committee, developed and issued <i>Quality Standards for Digital Forensics</i>.</p>

**Table 2. FY 2013 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2013 Accomplishments
<p><b>Inspection and Evaluation (I&amp;E)</b> — Provides leadership to, and serves as a resource for, the Federal IG I&amp;E community. Sponsors and coordinates inspections and evaluations that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG I&amp;E community activities, and provides oversight of I&amp;E training.</p>	<p>Piloted a peer review process for Inspection and Evaluation units across CIGIE based on the <i>CIGIE Quality Standards for Inspection and Evaluation</i>, which are the professional standards for OIG inspectors and evaluators.</p> <p>Sponsored training and development for the I&amp;E community with the CIGIE Training Institute's Audit, Inspection, and Evaluation Academy.</p>
<p><b>Investigations</b>— Advises the IG community on issues involving criminal investigations, investigative personnel, and investigative standards and guidelines.</p>	<p>Continued to administer CIGIE's investigation peer review program to promote OIG compliance with CIGIE's investigative standards and Attorney General guidelines.</p> <p>Revised CIGIE's <i>Undercover Review Guide</i> to add Department of Justice members to the review panel identified in the guide; and led the Undercover Review Committee charged with reviewing and approving OIG undercover operations.</p> <p>Participated with the Department of Justice in creating a video describing the benefits of using suspension and debarment to be shared with all the United States Attorneys' offices.</p> <p>Sponsored a fact-based training session on suspension and debarment with the Federal Interagency Suspension and Debarment Committee.</p> <p>Sponsored training and development for the investigation community with the CIGIE Training Institute's Criminal Investigator Academy.</p>
<p><b>Legislation</b>— Ensures that CIGIE is kept abreast of matters in the Congressional arena that are of interest to the IG community. Develops, coordinates, and represents the official IG community positions on legislative issues.</p>	<p>Communicated with Congressional committees about the IG community's concerns over OIG roles, independence, and overlapping investigative authority related to certain legislative proposals.</p> <p>Provided Congressional testimony to share expertise on matters that impact the IG community.</p> <p>Shared expertise in the development or amendment of legislation aimed at mitigating fraud, waste, and abuse in Federal agencies.</p> <p>Provided information to Congressional staff on the impact of legislative provisions that affect IGs.</p> <p>Offered proactive recommendations on legislative drafts to represent CIGIE members' interests.</p> <p>Promoted technical amendments to the IG Reform Act of 2008, codifying CIGIE's authority and clarifying OIGs' website requirements.</p> <p>Recommended statutory changes to facilitate IG independence in conducting computer matches to identify fraud, waste, and abuse; and OIG exemption from the Paperwork Reduction Act.</p>



**Table 2. FY 2013 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2013 Accomplishments
<p><b>Professional Development—</b> Provides educational opportunities for members of the IG community and supports the development of competent personnel. Seeks opportunities to improve training methods, enhance the development of OIG staff, and establish training to meet continuing education requirements.</p>	<p>Provided leadership for the community in advising, overseeing, and working with the CIGIE Training Institute that ensured the delivery of specialized training to over 1,700 OIG staff through 65 training programs, as well as sponsor leadership and mission support training through the CIGIE Training Institute's Leadership and Mission Support Academy.</p> <p>Advanced and supported the development of OIG-wide communities of practice for practitioners to interact and share knowledge and experiences.</p> <p>Achieved accreditation from the Federal Law Enforcement Training Accreditation for CIGIE's IG Investigator Training Program.</p>
<p><b>Integrity—</b> Provides an investigative mechanism for allegations of administrative misconduct brought against IGs and their designated senior staff members. Reviews allegations and, when necessary, refers them for investigation either to the agency with jurisdiction or to an investigative team that is selected and supervised by the Committee's Chair.</p>	<p>Received 390<sup>1</sup> allegations:</p> <ul style="list-style-type: none"><li>Closed 361.<sup>1</sup></li><li>Referred 16 to the appropriate agency.</li><li>Referred 12 to the Committee's Chair for investigation.</li><li>1 pending review.</li></ul>

<sup>1</sup> Of the allegations received 312 concerned allegations previously reviewed and closed.

# Strategic Plan Business Goal Accomplishments

In early FY 2013, the Executive Council set three major goals to provide direction to CIGIE's activities for 2013. CIGIE's accomplishments in support of these goals included issuing reports and communications, further optimizing its Training Institute, and improving its capacity to carry out its mission.

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

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To achieve this goal in FY 2013, CIGIE focused on efforts to assist in improving program integrity, efficiency, and cost-effectiveness, by commissioning or continuing seven cross-cutting studies. CIGIE published the results of four of these studies, which are described below.

In late FY 2012, CIGIE established a working group, led by the Department of Defense OIG, to advise and develop a common framework for conducting evaluations under Public Law 111-258, the Reducing Over-Classification Act of 2010. The working group, after studying and compiling information, developed an evaluation guide that provides detailed guidance for use by OIGs when conducting such evaluations. In January 2013, CIGIE issued this guide entitled *A Standard User's Guide for Inspectors General Conducting Evaluations Under Public Law 111-258, the "Reducing Over-Classification Act."*

In March 2013, CIGIE issued a follow-up report to its earlier report entitled, *Summary of Inspector General Reports Related to Executive Order 13520 on Improper Payments* (August 2012). Led by the Social Security Administration's OIG, the study associated with this second report determined whether OIGs performed Improper Payments Elimination and Recovery Act of 2010 (IPERA) reviews in a timely manner and summarized the OIGs' conclusions on whether their agencies complied with IPERA.

Also in early FY 2013, CIGIE, the Recovery Accountability and Transparency Board, and the GAO convened a forum for the purpose of exploring ways in which oversight and law enforcement agencies use data analytics to assist in the prevention and detection of fraud, waste, and abuse; identifying the most significant challenges to realizing the potential of data analytics; and developing actions that the Government can take to address these challenges. Information generated through the forum was subsequently captured through a report summarizing the key themes that emerged. Specifically, the report discusses the challenges and opportunities in (1) accessing and using data and (2) sharing data. In addition, participants identified next steps to address these challenges and capitalize on opportunities. The report, titled *Data Analytics for Oversight and Law Enforcement*, was jointly issued in July 2013.

Finally, in August 2013, CIGIE issued its latest guidance relating to critical issues in new media, entitled *New Media for Offices of Inspectors General: A Discussion of Legal, Privacy, and Information Security Issues*. Earlier in the fiscal year CIGIE established a standing working group on new media led by the Department of Homeland Security OIG. This working group is studying and compiling information in order to develop and issue educational guides on critical issues identified. The guides will be available as a resource to both the IG community and the Federal community and their purpose is to assist organizations as they prepare to implement new media resources, as well as inform them of potential issues that may arise. This is the second of such guides issued.

In addition to these four reports, CIGIE continued with other cross-cutting studies. These studies include: an analytical research project on the protection provided to critical research, development, test, and evaluation information and initiatives that cut across all Government agencies; developing and issuing non-binding guidance on the effective use of Program Fraud Civil Remedies Act authorities; an OIG community project to test the controls and processes of the new reporting systems for Federal grants; and developing a high-level, non-binding audit guide to conduct cyber and IT security-related reviews.



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

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CIGIE's Training Institute serves the IG community by offering comprehensive training and professional development for auditors; inspectors and evaluators; criminal and administrative investigators; and leadership and mission support personnel. In order to ensure its training programs remain at the highest quality and relevant, CIGIE previously implemented a robust training evaluation process. The participant evaluations received this year reflected a 99 percent positive score. Additionally, in an effort to build upon its successes, CIGIE finalized and began implementing a three-year Training Institute Strategic Framework, which is a roadmap for providing quality instruction and obtaining accreditation. This framework also guides the development of curricula that are aligned with the OIG mission and that support emerging OIG community needs and Institute-wide instructional processes.

CIGIE seeks to continuously improve the quality, effectiveness, and integrity of its training programs. In FY 2013, the Council sought and received accreditation from the Federal Law Enforcement Training Accreditation for its basic IG-specific law enforcement course, the IG Investigator Training Program. As CIGIE continues with these efforts, it will continue to seek accreditation for various other training programs.

In FY 2013, the Training Institute coordinated and delivered 65 Inspector General-focused training programs to over 1,700 OIG community staff. More specifically, the Audit, Inspection and Evaluation Academy trained over 800 employees, the Leadership and Mission Support Academy trained over 300, and the IG Criminal Investigator Academy trained over 600. These training programs were provided to a broad cross-section of the IG community, including auditors, inspectors, investigators, hotline operators, attorneys, and others.

Finally, in June 2013, CIGIE adopted the *Common Competencies of Offices of Inspector General Criminal Investigators* based on its work on a job task analysis and competency assessment for Offices of Inspector General Criminal Investigators. This information is designed to provide assistance to OIGs in managing the criminal investigator (CI) workforce in areas such as developing criteria for CI performance, hiring of CIs, and updating CI competencies. Although the goal of these issuances is to achieve consistency in determining the common competencies and job tasks of CIs, the guidance recognizes the uniqueness of the mission of each OIG and provides flexibility in its implementation.

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

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A major function of CIGIE is to set policies and standards for the IG community. OIGs depend on these standards to measure and improve their work quality and effectiveness. In FY 2013, CIGIE continued its work toward updating and developing professional standards governing the work of the IG community. Based on the increased usage of digital forensics by OIGs, CIGIE developed *Quality Standards for Digital Forensics* and issued those standards in November 2012. Additionally, CIGIE updated its *Investigations Undercover Operations Guidelines* and subsequently issued those guidelines in June 2013.

CIGIE continued its efforts toward reviewing and updating, when necessary, its quality assessment peer review guides. In November 2012, CIGIE revised its *Guide for Conducting External Peer Reviews of the Audit Organizations of Federal Offices of Inspector General*, as part of a 2-phased effort. In March 2013, CIGIE began the second phase of its effort to update the Guide with the goal of reflecting changes in the *Government Auditing Standards* related to financial audit and attestation standards, addressing issues identified within the CIGIE audit community, and refreshing the overall document. Additionally during the year, CIGIE reviewed its peer review guide for investigations to ensure that it is current, relevant, and appropriately set out an evaluative plan to adequately assess OIG operations in these professional areas.

CIGIE continued to demonstrate its commitment to advancing OIG performance by establishing various working groups of specialists and practitioners within the OIG community to exchange information on effective practices in the areas of their specialty. Examples of these workgroups include a new media workgroup and a reducing over-classification workgroup. These workgroups assist in the sharing of information across the OIG community that contributes to further advancing effective operations.

In its third year of staff operations, CIGIE performed a review of its current approved staffing plan and determined, due to financial implications, that it was prudent to not fill one of the approved positions. Subsequently, CIGIE revised its financial plans to reduce the staffing level and the monetary amount associated with that reduced level. Additionally, with the planned departure of two staff, CIGIE openly recruited among its members for potential candidates to fill these two upcoming vacancies. Through its recruitment efforts and selection criteria, CIGIE was able to commit to filling these two positions with individuals from CIGIE member offices with the necessary knowledge, skills, and expertise on a reimbursable basis.

CIGIE continued its efforts to improve its website, which serves as a crucial function to enhance the knowledge of and serve as a resource to stakeholders and the public about the OIG community and CIGIE.

Additionally, CIGIE continues to efficiently administer its financial resources as reflected by its FY 2012 Financial Statement audit, in which it received an unqualified opinion. The auditors made a few recommendations to further improve CIGIE operations; CIGIE concurred and subsequently updated its financial procedures to address the recommendations.



# The Inspector General Act and 35 Years Later — Key Events

The year 2013 marks the 35<sup>th</sup> anniversary of the passage of the original Inspector General Act of 1978, which established the first group of statutory IGs. This section of the annual report recounts significant milestones in the IG community’s history since 1978. These events illustrate the growth, change, and refinement of the IG concept as it has evolved over the years.

**Table 1. FY 2013 CIGIE Executive Council**

October 12, 1978	The IG Act of 1978 is enacted by President Jimmy Carter, who signed the Act and described the new statutory IGs as “perhaps the most important new tools in the fight against fraud.” President Carter charges the IGs to always remember that their ultimate responsibility is not to any individual but to the public interest.
March 26, 1981	President Ronald Reagan establishes the President’s Council on Integrity and Efficiency (PCIE) through Executive Order 12301. PCIE was charged with developing plans for coordinated Governmentwide activities that attack fraud and waste in Government programs and operations, among other responsibilities.
October 18, 1988	The IG Act is amended, creating 30 additional OIGs at designated agencies, providing essentially the same powers and duties as those appointed by the President; however, these IGs are appointed by, and can be removed by, the agency head.
May 11, 1992	President George H.W. Bush establishes the Executive Council on Integrity and Efficiency (ECIE) for agency appointed IGs, and reconstituted the PCIE, through Executive Order 12805. ECIE and PCIE were charged with the responsibility to (1) continually identify, review, and discuss areas of weakness and vulnerability in Federal programs and operations to reduce fraud, waste, and abuse, and develop plans for coordinated, Governmentwide activities that address these problems and (2) promote economy and efficiency in Federal programs and operations, among other responsibilities.
March 21, 1996	President William J. Clinton establishes an Integrity Committee responsible for administering the procedures for investigating allegations of wrongdoing by individual IGs and certain staff members of the OIGs, through Executive Order 12993.
November 25, 2002	The Homeland Security Act of 2002 is enacted by President George W. Bush, transferring the Federal Emergency Management Agency functions to the Department of Homeland Security. Further, the Act amended the IG Act of 1978 authorizing the exercise of law enforcement authority, including carrying firearms, making arrests, and executing warrants, to special agents of 24 Presidentially-appointed OIGs. Additionally, the Act included provisions to enable other OIGs to qualify for law enforcement authority. Prior to this Act, four other OIGs possessed law enforcement authority pursuant to separate legislation.
October 14, 2008	The IG Reform Act of 2008 is enacted by President George W. Bush, establishing CIGIE as the unified council of all statutory IGs with the mission to address integrity, economy, and effectiveness issues that transcend individual Government agencies; and increase the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the OIGs.
February 17, 2009	The American Recovery and Reinvestment Act of 2009 is enacted by President Barack Obama, establishing appropriations for job preservation and creation, infrastructure investment, energy efficiency and science, assistance to the unemployed, and State and local fiscal stabilization, for the fiscal year ending September 30, 2009. Additionally, the Act established the Recovery Act Accountability and Transparency Board, consisting of the Chairperson and 10 IGs, and any other IGs designated by the President.

**Table 1. FY 2013 CIGIE Executive Council**

July 21, 2010	The Dodd Frank Wall Street Reform and Consumer Protection Act of 2010 is enacted by President Barack Obama, establishing, among other things, that designated Federal entities consisting of a board or commission, are considered heads of their agencies with respect to the appointment of those entities' IGs. Further, removal of such an IG requires a written concurrence of two-thirds of the board or commission.
October 7, 2010	The Intelligence Authorization Act for FY 2010 is enacted by President Barack Obama, establishing the Intelligence Community Inspector General and establishing the four Defense Intelligence components as designated Federal entities under the IG Act of 2008. Through enactment, all five of these IGs became members of the CIGIE.
November 27, 2012	The Whistleblower Protection and Enhancement Act of 2012 is enacted by President Barack Obama, establishing that each Presidentially-appointed Senate-confirmed IG shall designate a Whistleblower Protection Ombudsman responsible for educating agency employees about prohibitions on retaliation for protected disclosures and the rights and remedies against retaliation for protected disclosures.



# Revisiting the IG Reform Act of 2008

The IG Reform Act of 2008 was signed into law on October 14, 2008. The goal of the Act was to further enhance IG independence, improve operations, and create CIGIE. In recognizing the 5<sup>th</sup> year anniversary of the IG Reform Act of 2008, the following summarizes significant provisions of the Act.

## IG Independence

- **Appointment and Removal of IGs** – IGs are to be appointed without regard to political affiliation, and solely on the basis of integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations. Before an IG can be removed or transferred, the President or agency head, as appropriate, must provide the Congress with a 30-day advance written notice that includes the reason for removal or transfer.
- **IG Pay** – Salary adjustments were made for IGs who are Presidentially-appointed and Senate-confirmed, and IGs who are appointed by their agency head. IGs are prohibited from receiving cash awards or cash bonuses.
- **Separate Counsel for IGs** – Each IG will obtain legal advice from a counsel either reporting directly to the IG or another IG.
- **Submission of Budget Requests** – IGs will send to the heads of their respective agencies their budget request, which will specify the amount requested for IG training and identify resources necessary to support CIGIE. Further, the President's budget will include any comments from an IG who concludes that the budget submitted by the President would substantially inhibit the IG from performing the duties of the office.
- **OIGs Established as Separate Agencies** – OIGs are defined as separate agencies, and the IGs will have the functions, powers, and duties of an agency head for voluntary separation/buyouts, early outs, reemploying annuitants, waiving mandatory separation for law enforcement officers, and all provisions relating to the Senior Executive Service.

## CIGIE

The Act combines the former PCIE and ECIE into one council and includes legislative IGs and other officials. The Act establishes the Council as “an independent entity” in the executive branch and provides it with the ability to financially support its activities. An Integrity Committee charged with receiving, reviewing, and referring for investigation allegations of wrongdoing that are made against IGs or senior staff, is statutorily established.

## Improve Operations

- **Subpoena Power** – The Act makes clear that IG documentary subpoena power extends to information in any medium, to include electronically-stored information, as well as tangible things such as hard drives and computers.
- **OIG Websites** – OIGs are to post public reports (or portions) and final audit reports on their OIG website not later than three days after such reports are made publicly available. Posted reports must include a summary of OIG findings and be searchable and downloadable. Additionally, a direct link to the OIG's hotline must be on the OIG homepage.
- **IG Recommendations** – CIGIE is to submit recommendations of individuals to the appropriate appointing authority for any appointment to an Office of Inspector General.
- **Statistics for Evaluations/Inspections** – Statistical results from evaluation and inspection reports are to be included in OIG semiannual reports in addition to audit report statistics.
- **Extending Authorities to Agency-Appointed IGs** – Provisions of the Program Fraud Civil Remedies Act and the law enforcement authority under the IG Act of 1978, as amended, are extended to include agency-appointed IGs.

## Key Legislation Affecting the IG Community

During FY 2013, Congress considered several major legislative initiatives that could affect CIGIE members. CIGIE's Legislation Committee took the lead in surveying the IG community to determine how best to guide discussions with Congressional staff about proposed laws. In addition to keeping Congress and CIGIE members mutually informed, CIGIE took proactive steps to recommend legislative enhancements based on IGs' concerns, as summarized below.

The IG Act, as amended, established a dual reporting responsibility, whereby IGs report both to the heads of their respective agencies and to the Congress. The IGs are keenly aware of their responsibility to keep the Congress fully and currently informed concerning fraud and other serious problems, abuses, and deficiencies relating to the administration of programs and operations administered or financed by their respective establishments. This relationship with Congress provides the statutory safety net that helps protect OIG independence and objectivity. The Legislation Committee played a critical role in educating Congressional staff on common practices employed by OIGs to meet this responsibility, and developing a mutual understanding of the statutory reporting requirements.

The Congressional debate on cybersecurity continues in the 113th Congress. The Legislation Committee again engaged Congressional committees to offer the perspective of the IG community on this important topic, based on the extensive knowledge of information security possessed by OIGs through more than a decade of Federal Information Security Management Act of 2002-mandated audits and evaluations. The Legislation Committee offered formal views on legislative proposals to improve these concepts and preserve existing best oversight practices. Critical to the IG community, the Committee is actively raising awareness of the need for a Freedom of Information Act exemption that protects certain information that, if disclosed, would jeopardize an agency's information security system. CIGIE proposes that cybersecurity legislation include a statutory exemption to ensure IG reports concerning vulnerabilities in an agency's information security infrastructure are properly protected.

The Legislation Committee continued to monitor and provide CIGIE's views concerning Governmentwide transparency and accountability frameworks. The Committee communicated with Congressional staff on behalf of OIGs to ensure the IGs' roles complement these initiatives and also to preserve the capacity of IGs to conduct efficient oversight of Federal funds.

A particular area of concern for both OIGs and the Congress is reducing and eliminating improper payments. The Legislation Committee continues to pursue relief from the Computer Matching and Privacy Protection Act to facilitate reviews and identification of improper payments and potential fraud. Though a certain requirement in the existing process was eliminated for OIGs by legislation passed in the 112<sup>th</sup> Congress, CIGIE continues to advocate for a broader exemption, which would allow for using electronic means to efficiently identify improper payments. This would improve program efficiency and enable the Government to focus resources on eligible applicants.

Chief among concerns for IGs is the ability to perform their mission in a timely and independent manner. The IG community has identified independence concerns in the Computer Matching and Privacy Protection Act, and the Paperwork Reduction Act, arising from the need to obtain approvals from agency officials or OMB to perform reviews that involve these statutes. The CIGIE champions legislative proposals to alleviate these concerns. The Legislation Committee also actively dialogues with appropriate Congressional committees and staffs to provide technical assistance in the legislative process to mitigate any independence concerns on legislation impacting the IG community. For example, though independence concerns persist, the Committee has had a productive dialogue with sponsors of a bill aimed at consolidating suspension and debarment functions for most Government agencies.



As in past years, the Congress remains focused on encouraging and protecting whistleblowers. The Legislation Committee provided technical assistance on several bills that were enacted into law that enhanced or expanded whistleblower protections. Noteworthy changes for OIGs include the requirement to designate a Whistleblower Ombudsman and the enhancement of protections for non-Federal employee whistleblowers.

Finally, CIGIE continues to champion a comprehensive set of technical amendments to the IG Act. The amendments would codify provisions of the IG Act, such as authorizing CIGIE's Integrity Committee to consider allegations against the Special Counsel and Deputy Special Counsel, and allowing all OIGs to fund or participate in CIGIE activities.

# Shared Management and Performance Challenges

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

The following are the top management and performance challenges shared by many Federal agencies, as identified by OIGs in FY 2013:

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



# OIG Community Accomplishments

Together, CIGIE's member OIGs achieved considerable potential cost savings for programs Governmentwide in FY 2013. OIG audits, investigations, inspections, and evaluations helped Federal agency managers strengthen program integrity and use funds more effectively and efficiently. Over the years, OIGs have compiled statistics to measure these accomplishments quantitatively as presented in the following tables.

**Table 3. FY 2013 Performance Profile: IG Community Accomplishments**

Recommendations Agreed to by Management: Funds To Be Put to Better Use	\$31,983,770,454
Recommendations Agreed to by Management: Questioned Costs	\$5,480,270,493
Investigative Receivables and Recoveries	\$14,816,649,058
Successful Criminal Prosecutions	6,705
Indictments and Criminal Informations	6,799
Successful Civil Actions	1,396
Suspensions and Debarments	5,865
Personnel Actions	4,213

## Audit-Related Accomplishments

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

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

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

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

Reporting Year	Recommendations that Funds Be Put to Better Use	Amount of Recommendations Agreed to by Management
FY 2013	\$44,941,949,156	\$31,983,770,454
FY 2012	\$61,956,640,547	\$25,466,666,873
FY 2011	\$101,236,877,704*	\$74,367,073,339*
FY 2010	\$42,014,062,365	\$23,654,925,334
FY 2009	\$45,970,302,132	\$28,798,007,411

\* This amount includes nearly \$60 billion reported by the U.S. Postal Service's Office of Inspector General on its work associated with "Substantial Savings Available by Prefunding Pensions and Retirees' Health Care at Benchmarked Levels."

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

**Table 5. Questioned Costs**

Reporting Year	Amount of Questioned Costs	Amount of Recommendations Agreed to by Management
FY 2013	\$35,122,368,188	\$5,408,270,493
FY 2012	\$12,810,083,550	\$10,475,824,965
FY 2011	\$17,236,755,075	\$10,422,761,199
FY 2010	\$62,173,747,225*	\$56,577,408,559*
FY 2009	\$9,156,791,667	\$6,134,700,586

\* This amount includes nearly \$50 billion reported by the U.S. Postal Service's Office of Inspector General on its work associated with the "Civil Service Retirement System Overpayment by the Postal Service," and "Certification Process for Electronic Payments."

### Investigation-Related Accomplishments

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

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

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

**Table 6. Investigative Receivables and Recoveries**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2013	\$6,156,153,069	\$8,660,495,989	<b>\$14,816,649,058</b>
FY 2012	\$6,409,334,081	\$4,022,258,309	<b>\$10,431,592,390</b>
FY 2011	\$4,823,839,722	\$4,297,951,776	<b>\$9,121,791,498</b>
FY 2010	\$4,734,962,989	\$2,236,796,884	<b>\$6,971,759,873</b>
FY 2009	\$8,249,306,505	\$646,658,551	<b>\$8,895,965,056</b>



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

<b>Table 7. Criminal Prosecutions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2013	5,956	749	<b>6,705</b>
FY 2012	4,695	679	<b>5,374</b>
FY 2011	5,531	500	<b>6,031</b>
FY 2010	5,455	138	<b>5,593</b>
FY 2009	5,847	117	<b>5,964</b>

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

<b>Table 8. Indictments and Criminal Informations</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2013	6,027	772	<b>6,799</b>
FY 2012	5,822	847	<b>6,669</b>
FY 2011	5,878	647	<b>6,525</b>
FY 2010	5,469	141	<b>5,610</b>
FY 2009	6,009	192	<b>6,201</b>

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

<b>Table 9. Civil Actions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2013	1,249	147	<b>1,396</b>
FY 2012	954	115	<b>1,069</b>
FY 2011	878	85	<b>963</b>
FY 2010	927	46	<b>973</b>
FY 2009	1,078	24	<b>1,102</b>

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

<b>Table 10. Suspensions and Debarments</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2013	5,664	201	<b>5,865</b>
FY 2012	5,440	365	<b>5,805</b>
FY 2011	5,329	308	<b>5,637</b>
FY 2010	5,073	41	<b>5,114</b>
FY 2009	4,417	68	<b>4,485</b>

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

<b>Table 11. Personnel Actions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2013	4,091	122	<b>4,213</b>
FY 2012	3,247	185	<b>3,432</b>
FY 2011	3,732	201	<b>3,933</b>
FY 2010	4,093	156	<b>4,249</b>
FY 2009	3,724	101	<b>3,825</b>



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# Appendix B: Acronyms and Abbreviations

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

## Recipients of the 2013 Annual CIGIE Awards

On November 15, 2013, the IG community held its annual awards ceremony and recognized individuals and groups for their achievements and excellence over the preceding year. In addition to acknowledging a cross-section of OIG personnel, many of these awards recognized individuals from outside the IG community who collaborated with OIGs to promote efficiency and effectiveness and to ensure integrity in Federal programs and operations. Listed below are featured awards bestowed by the Executive Council.

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

**U.S. Department of Justice OIG's Operation Fast and Furious Team**, in recognition of the team's exemplary efforts in completing a review of two significant firearms trafficking investigations—Operations Wide Receiver and Fast and Furious conducted by the Bureau of Alcohol, Tobacco, Firearms and Explosives and the U.S. Attorney's Office for the District of Arizona.

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

**U.S. Department of Agriculture OIG's Organic Fertilizer Investigation Team**, in recognition of the courage and ingenuity demonstrated during an investigation that helped restore the integrity of USDA's National Organic Program by stopping a fraudulent organic fertilizer scheme.

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

**Abigail Cummings, Chief, Advice Branch, U.S. Department of Health and Human Services OIG**, in recognition of exemplary, sustained, and dedicated service to the mission of the Council of the Inspectors General on Integrity and Efficiency through vision and leadership in shaping and interpreting mission-critical legal authorities.

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

**U.S. Department of Defense (DoD) OIG's Combating Trafficking in Persons Team**, in recognition of exceptional performance assessing DoD efforts to combat trafficking in persons, specifically those which may occur as a consequence of DoD contracts, in response to Congressional concerns.

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

**Peter S. Hughes, Special Agent, Special Inspector General for Afghanistan Reconstruction**, in recognition of courage and uncommon selflessness in detecting contractor fraud that caused widespread security vulnerabilities and enabled roadside bombings in Afghanistan.

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

**Joel Grover, Deputy Assistant Inspector General for Financial Management and IT Audits (retired), U.S. Department of the Treasury**, in recognition of Mr. Grover's many years of exemplary service to improve Federal financial management.

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

**Council of Inspectors General on Financial Oversight Working Group**, in recognition of outstanding collaborative efforts to identify the security gaps in non-public information-sharing among members of the Financial Stability Oversight Council.



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