



Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY

Progress Report to the President

Fiscal Year 2014



Fiscal Year (FY) 2014 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 2014, 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 **\$46.5 billion**. With the OIG community's aggregate FY 2014 budget of approximately \$2.6 billion, these potential savings represent about an \$18 return on every dollar invested in the OIGs. The potential savings total includes:

\$13.8 billion in potential savings from audit recommendations agreed to by management, and

\$32.7 billion* from investigative receivables and recoveries.

In FY 2014, OIGs also considerably strengthened programs through:

- **6,856** audit, inspection, and evaluation reports issued;
- **24,301** investigations closed;
- **547,948** hotline complaints processed;
- **5,521** indictments and criminal informations;
- **5,895** successful prosecutions;
- **1,827** successful civil actions;
- **5,195** suspensions or debarments; and
- **3,988** personnel actions.

*This amount includes over \$27 billion reported by the Federal Housing and Finance Agency's OIG for its work with the Residential Mortgage Backed Securities Working Group in obtaining judicial settlements with several financial institutions responsible for misconduct contributing towards the financial crises involving the pooling of mortgage loans.

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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 2014. 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 FY 2014, the Special Inspector General for Iraq Reconstruction, a member of the Council, closed down operations as required through its enabling legislation. Subsequently, CIGIE's membership now consists of 78 members.

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 2014, CIGIE continued to meet these missions, and through this report, we present CIGIE's accomplishments in FY 2014 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 2014. Then, in **Strategic Plan Business Goal Accomplishments**, we describe CIGIE's accomplishments under FY 2014's three major strategic business goals. Next, we summarize current issues of concern to CIGIE members in **Key Legislation Affecting the IG Community and Shared Management and Performance Challenges**. We then offer perspective on **IG Community Accomplishments** and provide **Contact Information for CIGIE Members**. Finally, we recognize the recipients of the most noteworthy **2014 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.

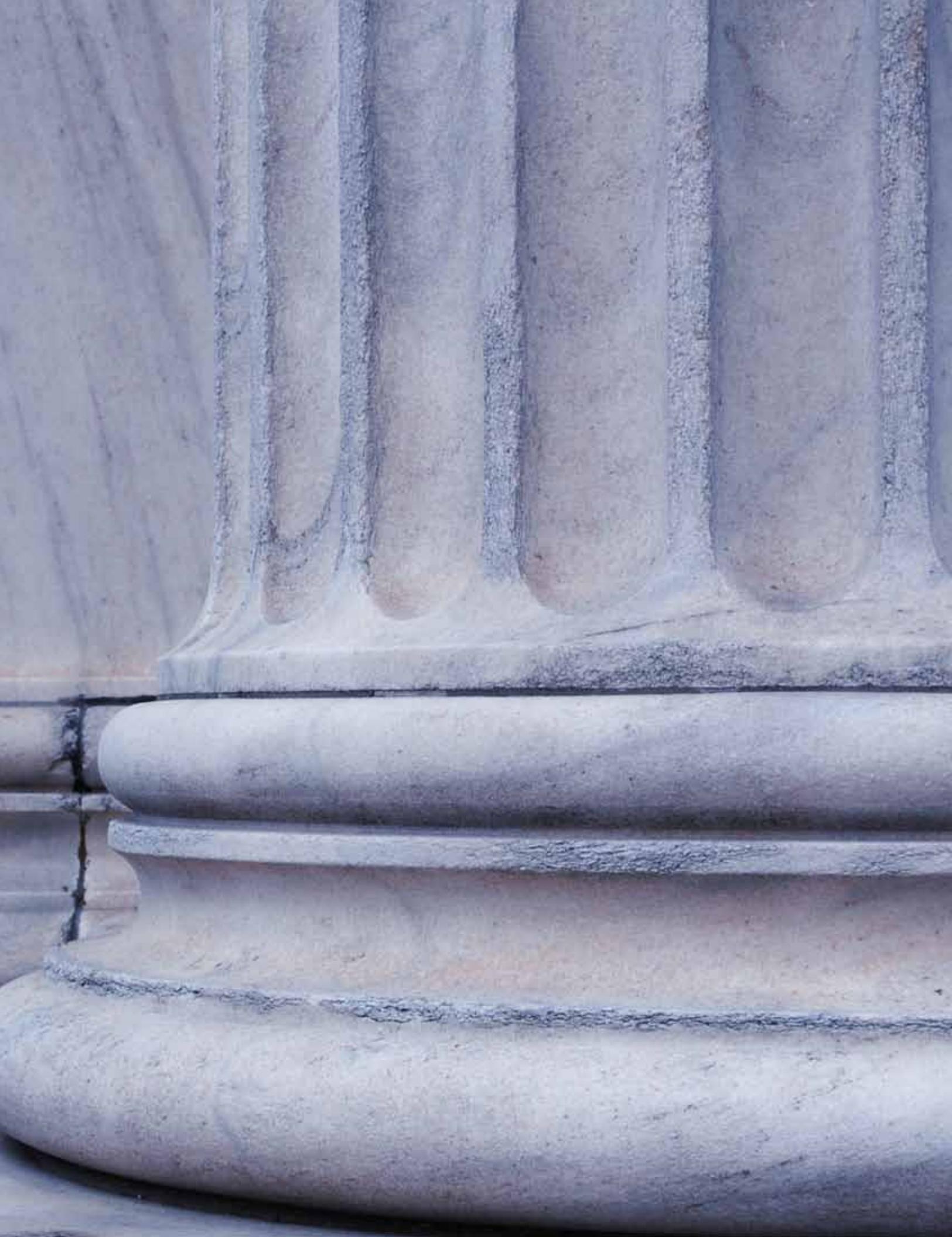
Most especially, we express our thanks to the nearly 14,000 professionals who make up the Federal IG community, whose tireless efforts continue to improve the economy, efficiency, and effectiveness of the Federal Government.



MICHAEL E. HOROWITZ
Chairperson



ALLISON C. LERNER
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 mortgage industry regulation).

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 David Mader, Acting DDM, OMB, is CIGIE's Acting Executive Chairperson.

In FY 2014, 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. For a current listing of CIGIE's Executive Council, see Table 1.

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

Table 1. CIGIE Executive Council

| | |
|---|--|
| Michael E. Horowitz, U.S. Department of Justice | Chairperson |
| Allison C. Lerner, National Science Foundation | Vice Chairperson |
| Jon T. Rymer, Department of Defense | Audit Committee Chair |
| Paul K. Martin, National Aeronautics and Space Administration | Budget Committee Chair |
| Kathleen Tighe, Department of Education | Information Technology Committee Chair |
| Daniel R. Levinson, Department of Health and Human Services | Inspection and Evaluation Committee Chair ¹ |
| Carl W. Hoecker, U.S. Securities and Exchange Commission | Investigations Committee Chair |
| Kathy A. Buller, Peace Corps | Legislation Committee Chair ² |
| David Montoya, Department of Housing and Urban Development | Professional Development Committee Chair ³ |
| Phyllis K. Fong, U.S. Department of Agriculture | Past Chairperson |
| Lynne A. McFarland, Federal Election Commission | Past Vice Chairperson |
| Elizabeth Dean, Farm Credit Administration | At-Large Member |

1. Daniel R. Levinson, Department of Health and Human Services' IG, and Kathy A. Buller, Peace Corps' IG, Co-Chaired the Inspection and Evaluation Committee in FY 2014.

2. Peggy Gustafson, Small Business Administration's IG, Chaired the Legislation Committee in FY 2014.

3. Mary Kendall, Department of Interior's Deputy IG, Chaired the Professional Development Committee in FY 2014.

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 in Table 2, in FY 2014, CIGIE's committees undertook a variety of noteworthy projects to benefit the OIG community.

Table 2. FY 2014 CIGIE Committee Accomplishments

| Committee and Purpose | FY 2014 Accomplishments |
|---|--|
| Audit — Provides leadership to, and serves as a resource for, the Federal audit community. Sponsors and coordinates audits that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG audit activities, and provides oversight of auditor training. | <ul style="list-style-type: none">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>.Completed the Phase 2 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>, updating the guide to reflect <i>Government Auditing Standards</i> changes related to financial audit and attestation standards.Represented the IG community in initiatives and workgroups on various issues, including improper payments, grant reform, information security, and accounting and auditing policies.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.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.Oversaw CIGIE's annual financial audit. |

Table 2. FY 2014 CIGIE Committee Accomplishments

| Committee and Purpose | FY 2014 Accomplishments |
|--|---|
| Information Technology (IT) — 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. | <ul style="list-style-type: none">• Spearheaded a Governmentwide project in which 19 OIGs reviewed 77 commercial cloud computing contracts with a value of approximately \$1.6 billion, finding that<ul style="list-style-type: none">• all 77 contracts lacked detailed specifications recommended in Federal cloud computing guidelines,• a number of cloud systems were not yet compliant with the Federal Risk Authorization and Management Program (FedRAMP), and• some agencies did not have complete inventories of their cloud systems.• Continued on the project being worked by the IT Committee's Audits and Evaluations subcommittee to develop a maturity model for OIG FISMA evaluations. Coordinating with stakeholders such as the Department of Homeland Security, OMB, and the National Institute of Standards and Technology, the subcommittee began the development of a maturity model for continuous monitoring for completion in FY 2015.• Continued to utilize the efforts of the IT Committee's Data Analytics Working Group (DAWG) to enhance OIGs' data analytics abilities to support audits, evaluations, and investigations.• Working through the DAWG, created a directory of data sources used in oversight and a library of open-source software and data analytics tools on the centralized site, MAX.gov to address recommendations from a Government Accountability Office/CIGIE/Recovery Accountability and Transparency Board forum on the challenges and opportunities related to sharing, using, and analyzing data in oversight.• With the Investigations Committee, updated the peer review checklist to be used with the Quality Standards for Digital Forensics.• Continued to work with the Federal Acquisition Regulatory Council and other Federal entities to advocate on issues related to OIG access in the cloud environment for purposes of OIG audits and investigations and provided information on OIG cloud access issues to the House Committee on Government Oversight and Government Reform for anticipated legislation related to the cloud. |
| Inspection and Evaluation (I&E) — Provides leadership to, and serves as a resource for, the Federal IG I&E community. Sponsors and coordinates inspections and evaluations that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG I&E community activities, and provides oversight of I&E training. | <ul style="list-style-type: none">• Conducted and evaluated the second of three planned pilots of the CIGIE Inspections and Evaluation peer review process, which is designed to promote compliance with the CIGIE Quality Standards for Inspection and Evaluation, the professional standards for all OIG evaluations and inspections.• Planned and sponsored training and development sessions for the I&E community with the CIGIE Training Institute's Audit, Inspection, and Evaluation Academy. |

Table 2. FY 2014 CIGIE Committee Accomplishments

| Committee and Purpose | FY 2014 Accomplishments |
|--|--|
| Investigations — Advises the IG community on issues involving criminal investigations, investigative personnel, and investigative standards and guidelines. | <ul style="list-style-type: none">• Through the Suspension and Debarment Working Group of the Investigation Committee (IC), issued the report, <i>Looking Inside the Accountability Toolbox: An Update from the CIGIE Suspension and Debarment Working Group</i>.• Under the auspices of the IC, developed a Practitioner's Guide through the Program Fraud Civil Remedies Act (PFCRA) Working Group to provide procedure guidance case handling methodologies under the statute and to offer examples of certain key documents used in PFCRA proceedings.• In response to a congressional request to evaluate derogatory information sharing with security clearance review offices, reminded the IG community that Section 6.2(b) of Executive Order 12968 encourages all Federal employees to report any information that raises doubts as to whether another employee's continued eligibility for access to classified information is clearly consistent with the national security.• In a related action, convened a cross-cutting project, "Target Share," to study the feasibility of creating a search engine and/or central database wherein OIGs, and those tasked with completing background checks, could upload and review limited information on individual subjects or business subjects under investigation. We anticipate the feasibility study will be issued in FY 15.• To facilitate OIG community awareness of two new Department of Justice (DOJ) memoranda (one on recorded interviews, the other on Giglio reporting), hosted DOJ representatives in three separate venues—CIGIE Investigations Committee, a Quarterly Assistant Inspector General for Investigations (AIGI) meeting, and a CIGIE training forum on recording interviews—to share policies to the AIGI group so that those OIGs needing samples have them.• Supported the creation of PFCRA training and the delivery of False Claims Act training for IG agents.• Finalized the new Peer Review schedule. |
| Legislation — Ensures that CIGIE members are kept abreast of IG-related matters in Congress. Develops, coordinates, and represents the official IG community positions on legislative issues. | <ul style="list-style-type: none">• Communicated with Congressional committees about the IG community's views on OIG roles, independence, and overlapping investigative authority related to certain legislative proposals.• Provided Congressional testimony to share expertise on matters that impact the IG community.• Shared expertise in the development or amendment of legislation aimed at mitigating fraud, waste, and abuse in Federal agencies.• Provided information to Congressional staff on the impact of legislative provisions that affect OIGs.• Offered proactive recommendations on legislative drafts to represent CIGIE members' interests.• Promoted technical amendments to the IG Reform Act of 2008.• Recommended statutory changes to facilitate IG independence in conducting computer data matches to identify fraud, waste, and abuse and to exempt OIGs from the Paperwork Reduction Act. |

Table 2. FY 2014 CIGIE Committee Accomplishments

| Committee and Purpose | FY 2014 Accomplishments |
|--|---|
| Professional Development — 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. | <ul style="list-style-type: none">• Accomplished strategic goals for the community in advising, overseeing, and working with the CIGIE Training Institute (Institute) to identify and deliver specialized training to over 2,200 OIG staff through 74 training programs.• Developed three new training programs<ul style="list-style-type: none">(1) Adjunct Instructor Training (to ensure both quality and relevancy of CIGIE training),(2) Contract and Grant Fraud Training (to bring a greater focus to these threats), and(3) Inspection and Evaluation Fundamentals Training.• Piloted two Emerging Leaders programs.• Maintained an average student satisfaction rating of 98% for overall material learned and a 97% rating that the material learned would improve their job performance.• Developed five new IG-specific leadership case studies to advance the development of future OIG leaders, including a 30-minute video featuring an IG and members of his staff discussing unique attributes of leadership in the OIG profession and four other case studies of various leadership topics to be used by resident instructors or augmented by OIG subject matter experts. |
| Integrity — 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>Received 72 allegations:</p> <ul style="list-style-type: none">• Closed 67.• Referred 4 to the Committee's Chair for investigation.• 1 pending review. |

Strategic Plan Business Goal Accomplishments

In early FY 2014, the Executive Council set three major goals to provide direction to CIGIE's activities for 2014. 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.

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

To achieve this goal in FY 2014, CIGIE focused on efforts to assist in improving program integrity, efficiency, and cost-effectiveness, by commissioning or continuing seven cross-cutting studies. CIGIE commissioned or continued eight cross-cutting studies and projects during FY 2014, of which five were completed in FY 2014. The following reflects the results of the five cross-cutting studies and projects that were completed in FY 2014:

- *Program Fraud Civil Remedies Act (PFCRA) Practitioner's Guide* – CIGIE established a PFCRA Working Group under the authority of the CIGIE Investigations Committee to implement a cross-cutting project to develop processes to enhance the use of PFCRA. The Working Group determined that many personnel in the OIG and elsewhere in the Federal Government are unfamiliar with the statute's required procedures, which hampers the use of the PFCRA. Accordingly, the PFCRA Working Group developed a Practitioner's Guide that provides guidance on PFCRA procedures and cases, including providing sample key documents that are used in PFCRA proceedings.
- *Management Advisory Report: A Guide for Assessing Cybersecurity within the Office of Inspector General Community* – The CIGIE Cybersecurity Working Group undertook a review to examine the oversight role of the OIG community in current Federal cybersecurity initiatives and, based on its review, created an audit guide to be used for cybersecurity and Information Technology (IT) security-related reviews conducted by OIGs. This audit guide is intended to result in better protecting the integrity of Federal computer systems and networks and minimizing the risks associated with cyber vulnerabilities and potential threats.
- **Cloud Computing Contracts** – The CIGIE IT Committee initiated a Governmentwide project to evaluate selected agencies' efforts to adopt cloud-computing technologies. The 19 participating OIGs, modeling work completed by the National Aeronautics and Space Administration OIG, reviewed 77 commercial cloud contracts with an approximate value of \$1.6 billion. The OIGs found that the reviewed agencies have not considered existing Federal guidance, agency policies, or established best practices when developing requirements for cloud computing contracts. The OIGs also found a number of cloud systems were not yet FedRAMP compliant and that some agencies did not have an accurate inventory of cloud systems. The issued report made a number of recommendations to OMB that would help address the findings identified.
- The GAO, CIGIE, and the Recovery Accountability and Transparency Board (the Board) convened a forum to address challenges and opportunities related to sharing, using, and analyzing data to identify fraud, waste, and abuse. Two of the outcomes of this forum were recommendations that CIGIE consider developing a directory of data sources and a library of open-source software, algorithms, and data-analytics tools to assist oversight entities in their audits, inspections, evaluations, and investigations. Thus, the CIGIE IT Committee established a Data Analytics Working group to address these project activities. The following reflects the working group's efforts to date on these projects.

- **Directory of Existing Data Sources** – The working group utilized the resources of the MAX.gov Federal Community to develop an OIG-wide information sharing site to host a consolidated directory of Federal data sources. These data sources, as reported by the OIG community, are used to support oversight efforts and are categorized based on ownership (e.g., agency, OIG, or commercial). This consolidated directory, which contains key information about ownership and content, increases the IG community's awareness of the types of data available within the Government and encourages ongoing information exchange.
- **Consolidated Library of Open-Source Software, Algorithms, and Data-Analytics Tools** – The working group utilized the same platform to build a library of open-source and OIG-developed data analytic tools. The library is structured by topic and was specifically developed to encourage proactive collaboration. The OIG community members are able to both contribute and use shared resources such as algorithms, best practices, models, and support documentation.

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

In FY 2014, CIGIE continued to provide quality training to the IG community and finalized its annual training plans for FY 2015. In order to ensure its training programs continue to be of the highest quality and relevance, CIGIE implemented a robust training evaluation process. The evaluations received to date reflect a 98 percent positive score from participants. Additionally, in an effort to build upon its successes in this area, CIGIE continued its implementation of a 3-year Training Institute strategic framework, which is a roadmap for providing quality instruction and achieving accreditation for CIGIE training programs and for developing curricula that are aligned with OIGs' missions and that support emerging OIG community needs and Training Institute-wide instructional processes.

CIGIE focused much of its training efforts on developing and providing leadership and management training programs, which were well-received by the OIG community. These programs were designed both to sharpen experienced managers' skills and to equip new and future leaders with the vital tools they need to become effective public administrators. Drawing from historical lessons learned as well as current challenges facing today's leaders, 16 training programs were attended by 550 OIG professionals by the end of FY 2014.

In FY 2014, CIGIE also delivered four 2-week introductory audit training programs to train nearly 110 new auditors from OIGs throughout the government. This program covers topics ranging from government auditing standards to writing skills. Additionally, CIGIE provided several other training programs to IG members' audit, inspection, and evaluation personnel, including 2 suspension and debarment classes, 10 writing classes, and several other programs. In total, these classes trained 949 OIG personnel and prepared new staff for their professional responsibilities.

CIGIE also provides training to OIG investigators. In FY 2014, CIGIE delivered basic, refresher, and advanced investigator training programs along with more specialized instruction, such as the Public Corruption Investigations Training Program. In total, these training programs taught 628 students representing nearly every Federal OIG, in addition to agents from State and local entities.

Additionally, in FY 2014, the Training Institute delivered three training programs primarily for OIG legal counsels on the specialized legal framework applicable to statutory OIGs and the unique challenges faced by OIG lawyers. The Institute also delivered two specialized training programs for the OIG community's human resources personnel on performing self-assessments of their operations and on creating and delivering effective briefings.

CIGIE continually focuses efforts on the quality, effectiveness, and integrity of its training courses and programs. The Training Institute is on track to receive National Association of State Boards of Accountancy's certification for the Training Institute's auditor training programs. The Training Institute will continue to seek accreditation and certification for other courses and training programs.

In the future, CIGIE plans to make training more widely available and synchronized with the professional needs of its member organizations by creating a variety of programs, including Web-based training. CIGIE's goal is to create responsive, high-quality, cost-effective, state-of-the-art, specialized training that can satisfy the IG community's needs today and in the future.

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

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 2014, CIGIE continued its work towards reviewing and ensuring its quality standards and quality assessment peer review guides were updated for the IG community. CIGIE's Inspection and Evaluation Committee and Investigations Committee continued to ensure that the quality standards for those professions were current and that changes were made when necessary during the year. For example, in FY 2014 the Digital Investigative Forensic Standards, developed by the IT Committee, were adopted by the Investigation Committee and approved by the Council, which are now part of the investigative quality assessment peer review guide.

CIGIE also continued its efforts towards reviewing and updating, when necessary, its quality assessment peer review guides. In September 2014, CIGIE updated and re-issued its *Guide for Conducting External Peer Reviews of the Audit Organizations of Federal Offices of Inspector General*. The Inspection and Evaluation Committee has performed two rounds of pilot peer reviews with plans for a third with the purpose of developing uniformed guidance for adoption in the future.

CIGIE established various working groups of specialists and practitioners within the OIG community to exchange information on effective practices in the areas of their specialty. Examples of these working groups include a suspension and debarment working group, a new media working group, and a PFCRA working group. These working groups shared information across the OIG community that contributed to advancing effective operations.

CIGIE continued its work to help facilitate the provision of professional and technical services, such as legal services, information technology services, and human resource management services, to OIGs in need of such services. In December 2013, CIGIE issued a resource paper entitled, "Professional and Technical Services Available."

In 2012, CIGIE put together a team to assess the content and design of its website and enhance the ability of the user to find information on the website. In September 2012, CIGIE completed a redesign plan to better organize content, and implementation of the plan began in FY 2013. A redesigned CIGIE website was launched in October 2014.

Key Legislation Affecting the IG Community

The Legislation Committee is dedicated to providing helpful and timely information about Congressional initiatives to the IG community, soliciting the views and concerns of the community in response to Congressional initiatives and requests, and presenting views and recommendations to Congressional entities and the OMB on issues and initiatives of interest.

Congress is keenly interested in ensuring that IGs have the necessary authority to carry out their oversight mission. During FY 2014, Congress actively debated legislation that would enhance the ability of IGs to combat waste, fraud and abuse within their agency's programs and operations. The Legislation Committee continues to advocate legislative proposals that enhance the work of IGs. Chief among concerns for IGs is the ability to perform their mission in a timely and independent manner. The IG community is concerned about independence in the Computer Matching and Privacy Protection Act and the Paperwork Reduction Act, arising from the need to obtain approvals from agency officials and/or OMB to perform reviews that involve these statutes. CIGIE also formulated a position on appropriate use of paid or unpaid, non-duty status in cases involving an IG, which again arises from fundamental independence concerns. CIGIE champions legislative proposals to alleviate these concerns, and the Legislation Committee actively communicates with appropriate Congressional committees and staffs to provide technical assistance in the legislative process.

In November 2014, the Committee on Homeland Security and Governmental Affairs in the Senate held a hearing to examine the roles and effectiveness of oversight within the Federal workforce. The Legislation Committee Chair provided testimony summarizing the IG community's efforts to implement the Inspector General Reform Act of 2008 and advocated for additional tools to alleviate identified challenges to enhance the effectiveness of IG oversight. Ensuing legislative proposals were introduced that were responsive to many of the legislative needs of the IG community. Though the Legislation Committee maintained a robust dialogue with Congress on these proposals throughout the 113th Congress, they have yet to be enacted.

Similarly, in January 2014, the Legislation Committee Chair provided testimony on ways to strengthen agency oversight through the IG community before the Committee on Oversight and Government Reform in the House of Representatives. CIGIE's Legislation Committee provided substantial technical assistance to this House committee as it developed and debated H.R. 5492—Inspector General Empowerment Act of 2014. Proposals included in this legislation remain priorities for the IG community, including the authority to issue subpoenas for testimony in accordance with oversight responsibilities set forth in the IG Act, as amended. The Legislation Committee also worked closely with Congress to achieve a mutual understanding of the process to ensure integrity of the IG community and identify any areas for improvement.

In April 2014, the Legislation Committee Chair provided testimony on behalf of CIGIE before the Senate, Committee on Homeland Security and Government Affairs, Subcommittee on Financial and Contracting Oversight. The purpose of the hearing was to review the processes and mechanisms by which small agencies and other Federal entities without statutory IGs receive oversight. The Subcommittee Chairman noted her principal concern is that there are approximately 40 Federal Government agencies/entities that are not subject to independent oversight by an IG. CIGIE provided technical assistance by offering six recommendations to consider in any legislative initiative to achieve the objective of providing oversight of the agencies/entities not currently covered.

Throughout the fiscal year, the Legislation Committee continued to monitor and to provide CIGIE's views concerning Governmentwide transparency and accountability frameworks. The

Committee communicated with Congressional staff to ensure the IGs' roles complement these initiatives and to preserve the capacity of IGs to conduct efficient oversight of Federal funds. One example of the Committee's efforts is S. 994—Digital Accountability and Transparency Act of 2014, signed into law by the President in May 2014.

Debate on cybersecurity also continued throughout the 113th Congress. The Legislation Committee engaged Congressional committees to offer the perspective of the IG community on this important issue, based on the extensive knowledge of information security possessed by OIGs through more than a decade of audits and evaluations mandated by the Federal Information Security Management Act of 2002. The Legislation Committee offered views on several legislative proposals to improve review processes and preserve existing best oversight practices. One, the Federal Information Security Modernization Act of 2014, was signed into law by the President in December 2014. Critical to the IG community, the Legislation Committee actively raised 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 has proposed that cybersecurity legislation include a statutory exemption to ensure IG reports concerning vulnerabilities in an agency's information security infrastructure are properly protected.

In addition to legislative outreach, the Legislation Committee prepared a handbook on behalf of CIGIE to aid its members in meeting Congressional reporting responsibilities set forth in the IG Act, as amended. CIGIE members are frequently invited to provide Congressional testimony on matters ranging from budgetary issues to efficiency and effectiveness of IG oversight. Recognizing that members of the IG community are widely diverse in their missions, authorities, staffing levels, funding, and day-to-day operations, this handbook offers relevant and sufficiently broad approaches for IGs to consider when keeping Congress currently and fully informed and, most importantly, maintaining and strengthening their offices' relationship with Congress.

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 2014:

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



IG Community Accomplishments

Together, CIGIE's member OIGs achieved considerable potential cost savings for programs Governmentwide in FY 2014. 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 2014 Performance Profile: IG Community Accomplishments

| | |
|---|-------------------|
| Recommendations Agreed to by Management: Funds Be Put to Better Use | \$9,514,990,528 |
| Recommendations Agreed to by Management: Questioned Costs | \$4,289,324,798 |
| Investigative Receivables and Recoveries | \$32,713,019,025* |
| Successful Criminal Prosecutions | 5,895 |
| Indictments and Criminal Informations | 5,521 |
| Successful Civil Actions | 1,827 |
| Suspensions and Debarments | 5,195 |
| Personnel Actions | 3,988 |

* This amount includes over \$27 billion reported by the Federal Housing and Finance Agency's OIG for its work with the Residential Mortgage Backed Securities Working Group in obtaining judicial settlements with several financial institutions responsible for misconduct contributing towards the financial crises involving the pooling of mortgage loans.

Audit-Related Accomplishments

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

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

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

Table 4. Recommendations that Funds Be Put to Better Use

| Reporting Year | Recommendations that Funds Be Put to Better Use | Amount of Recommendations Agreed to by Management |
|----------------|---|---|
| FY 2014 | \$51,588,190,596 | \$9,514,990,528 |
| 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 |

* 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 2014 | \$14,209,307,260 | \$4,289,324,798 |
| 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* |

* 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. 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 2014 | \$28,739,457,754 | \$3,973,561,271 | \$32,713,019,025* |
| FY 2013 | \$6,156,153,069 | \$8,660,495,989 | \$14,816,649,058 |
| FY 2012 | \$6,409,334,081 | \$4,022,258,309 | \$10,431,592,390 |
| FY 2011 | \$4,823,839,722 | \$4,297,951,776 | \$9,121,791,498 |
| FY 2010 | \$4,734,962,989 | \$2,236,796,884 | \$6,971,759,873 |

* This amount includes over \$27 billion reported by the Federal Housing and Finance Agency's OIG for its work with the Residential Mortgage Backed Securities Working Group in obtaining judicial settlements with several financial institutions responsible for misconduct contributing towards the financial crises involving the pooling of mortgage loans.

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

Table 7. Successful Criminal Prosecutions

| Reporting Year | OIG Investigations | Joint OIG Investigations | Total |
|----------------|--------------------|--------------------------|--------------|
| FY 2014 | 5,116 | 779 | 5,895 |
| FY 2013 | 5,956 | 749 | 6,705 |
| FY 2012 | 4,695 | 679 | 5,374 |
| FY 2011 | 5,531 | 500 | 6,031 |
| FY 2010 | 5,455 | 138 | 5,593 |

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

Table 8. Indictments and Criminal Informations

| Reporting Year | OIG Investigations | Joint OIG Investigations | Total |
|----------------|--------------------|--------------------------|--------------|
| FY 2014 | 4,656 | 865 | 5,521 |
| FY 2013 | 6,027 | 772 | 6,799 |
| FY 2012 | 5,822 | 847 | 6,669 |
| FY 2011 | 5,878 | 647 | 6,525 |
| FY 2010 | 5,469 | 141 | 5,610 |

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

Table 9. Successful Civil Actions

| Reporting Year | OIG Investigations | Joint OIG Investigations | Total |
|----------------|--------------------|--------------------------|--------------|
| FY 2014 | 1,676 | 151 | 1,827 |
| FY 2013 | 1,249 | 147 | 1,396 |
| FY 2012 | 954 | 115 | 1,069 |
| FY 2011 | 878 | 85 | 963 |
| FY 2010 | 927 | 46 | 973 |

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.

Table 10. Suspensions and Debarments

| Reporting Year | OIG Investigations | Joint OIG Investigations | Total |
|----------------|--------------------|--------------------------|--------------|
| FY 2014 | 4,976 | 219 | 5,195 |
| FY 2013 | 5,664 | 201 | 5,865 |
| FY 2012 | 5,440 | 365 | 5,805 |
| FY 2011 | 5,329 | 308 | 5,637 |
| FY 2010 | 5,073 | 41 | 5,114 |

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

Table 11. Personnel Actions

| Reporting Year | OIG Investigations | Joint OIG Investigations | Total |
|----------------|--------------------|--------------------------|--------------|
| FY 2014 | 3,884 | 104 | 3,988 |
| FY 2013 | 4,091 | 122 | 4,213 |
| FY 2012 | 3,247 | 185 | 3,432 |
| FY 2011 | 3,732 | 201 | 3,933 |
| FY 2010 | 4,093 | 156 | 4,249 |

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Appendix B: Acronyms and Abbreviations

| | |
|-------------------------|---|
| 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 2014 Annual CIGIE Awards

On October 21, 2014, 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 Witness Security Program Review Team, in recognition of the team's significant contributions to national security and public safety during an audit of the Department of Justice's handling of known or suspected terrorists admitted into the Federal Witness Security Program.

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 Transportation OIG's Toyota Investigative Prosecutive Team, in recognition of exceptional achievement in the investigation and deferred prosecution of the Toyota Motor Company.

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:

Timothy Menke, Senior Advisor for Investigations, U.S. Department of Health and Human Services OIG, in recognition of longstanding leadership, dedication, and contributions towards the success of HHS OIG Investigations and the CIGIE law enforcement community.

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:

Social Security Administration OIG's Death Master File Audit Team, in recognition of completing nine significant audits identifying deficiencies in SSA's death information processing.

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

Jeffrey Millsagle, Special Agent, Special Inspector General for Afghanistan Reconstruction, in recognition of courage and uncommon selflessness and dedication to duty during an insurgency attack on the Herat Consulate in Afghanistan in September 2013.

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:

Michael S. Barcus, Supervisory Criminal Investigator (retired), U.S. Department of Labor OIG, in recognition of outstanding leadership and dedicated service to furthering the mission of the U.S. Department of Labor, Office of Inspector General, Office of Labor Racketeering and Fraud Investigations.

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:

Boston Marathon Bombing Team, consisting of OIG personnel from the Intelligence Community, Central Intelligence Agency, Department of Justice, and Department of Homeland Security, in recognition of conducting successfully a joint independent review of the U.S. Government's sharing and handling of information leading up to the Boston Marathon Bombings. The report serves as an example of collaboration for which the IG community strives.

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