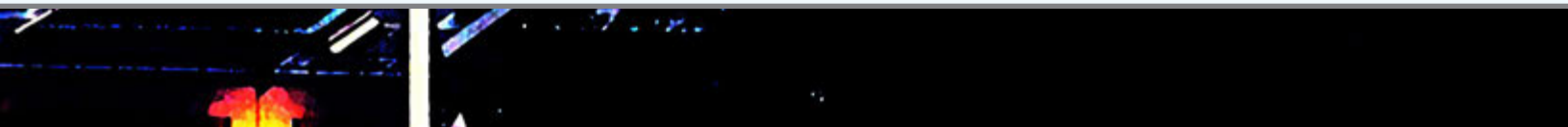


Council of the
INSPECTORS GENERAL
on INTEGRITY and EFFICIENCY



Annual Report to the President and Congress

Fiscal Year 2020



Fiscal Year (FY) 2020 Results at a Glance

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

In FY 2020, over fourteen-thousand employees at seventy-five 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 government wide, with potential savings totaling approximately \$53 billion.¹ With the OIG community's aggregate FY 2020 budget of approximately \$3.1 billion,² these potential savings represent an approximate \$17 return on every dollar invested in the OIGs. The potential savings total includes:

\$33.3 billion in potential savings from audit recommendations. A combined \$27.3 billion in current and prior year recommendations were also agreed to by management in FY 2020.

\$19.7 billion from investigative receivables and recoveries.

In FY 2020, OIGs also considerably strengthened programs through:

- **3,177** audit, inspection, and evaluation reports issued;
- **13,958** investigations closed;
- **408,699** hotline complaints processed;
- **4,082** indictments and criminal informations;
- **1,266** successful civil actions;
- **4,146** suspensions or debarments; and
- **3,687** personnel actions.

Copies of this publication may be obtained by visiting the Inspectors General websites at www.Oversight.gov or www.ignet.gov.

Cover image: Pete Crossley - Evening at the Capitol - Digital Watercolor.

¹This report reflects the total monetary amount of OIG recommendations, consistent with the methodology applied in the FY 2019 report.

²This total does not include amounts associated with Intelligence Community (IC) OIGs due to the classified nature of IC budgets.



**Annual
Report** | to the | **President and Congress**
Fiscal Year 2020





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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 the Annual Report to the President and Congress, Fiscal Year (FY) 2020. The "Coronavirus Aid, Relief, and Economic Security Act," or "CARES Act," enacted on March 27, 2020 in response to the COVID-19 outbreak, resulted in the establishment of two new oversight entities with ties to CIGIE. One of them, the Pandemic Response Accountability Committee or PRAC, operates as an element of the Council within CIGIE's existing administrative structure.

The PRAC will lead the efforts of CIGIE and its Inspectors General to promote transparency and support and conduct oversight of the funds provided to address the pandemic response by the CARES Act, the Paycheck Protection Program and Health Care Enhancement Act, the Coronavirus Preparedness and Response Supplemental Appropriations Act, and the Families First Coronavirus Response Act. As part of its oversight responsibilities, the PRAC is tasked with supporting efforts to "prevent and detect fraud, waste, abuse, and mismanagement [and] mitigate major risks that cut across program and agency boundaries." A compendium of ongoing work related to the government's pandemic response and recovery efforts, as well as an already extensive list of reports and recommendations can be found on the official PRAC website: <https://pandemic.oversight.gov>.

The other is the Special Inspector General for Pandemic Recovery or SIGPR. SIGPR joins the OIG community's ranks as CIGIE's 75th member organization. The 74th member organization, established last year in the form of the U.S. Development Finance Corporation OIG, also formally launched operations in FY2020.

Additionally, Oversight.gov continued delivering on its promise to increase transparency and accessibility to information through the addition of a robust set of new capabilities. These include an IG Vacancy Tracker; an Open Recommendations Database; the ability to host OIG websites, thereby increasing independence; and an Investigative Press Release feed providing current information on investigations and the results thereof. Significant progress has also been made on uploading State, Local and Tribal reports to provide an additional, deeper level of visibility on oversight.

The Council's membership is comprised of seventy-five individual Federal Inspectors General (IGs) and six integrity-related senior officials from the Office of Management and Budget (OMB), OSC, the Office of Government Ethics, the Office of Personnel Management (OPM), and the Federal Bureau of Investigation (FBI). Together, CIGIE and its member organizations play a critical oversight role involving matters of national interest and importance as well as less publicized but equally important cross-cutting efforts at the agency level that combine to foster an open and higher performing Federal Government in service of the American people. Through this report, we present CIGIE's accomplishments in FY 2020 reflecting our efforts in meeting our mandate.



MICHAEL E. HOROWITZ
Chairperson

A handwritten signature in black ink that reads "Michael E. Horowitz".



ALLISON C. LERNER
Vice Chairperson

A handwritten signature in black ink that reads "Allison C. Lerner".



First, in Background, we summarize the Council’s history and the Inspector General Empowerment Act of 2016, the most recent enhancement to the Inspector General Act of 1978. We also highlight some of the accomplishments of CIGIE’s standing committees in FY 2020. Then, in Strategic Plan Business Goal Accomplishments, we describe CIGIE’s accomplishments under FY 2020’s four 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 recognize recipients of the most noteworthy 2020 Annual CIGIE Awards. Finally, we provide Contact Information for CIGIE Members.

CIGIE’s ongoing efforts to support the IG community and fulfill its statutory mission are strengthened by the efforts of leaders in the IG community; OMB; Congress; the Government Accountability Office; other Federal agencies, law enforcement, professional organizations; and private-sector supporters who share the IG community’s commitment to improve the effectiveness and efficiency in Federal Government programs and to identify waste, fraud, abuse, and mismanagement. We appreciate the continuing support and interest of all in our work.

Moreover, we express our sincere thanks to the approximately fourteen-thousand professionals who make up the Federal IG community, whose tireless efforts on behalf of the public they serve continue to improve the economy, efficiency, and effectiveness of the Federal Government.

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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 twelve Federal agencies under their respective Inspectors General (IGs). The Offices of Inspector General (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 a 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 twelve 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 in additional agencies, including IGs to oversee specific initiatives (e.g., war efforts in Iraq and Afghanistan, financial institution reform, and mortgage industry regulation).

Today, the Council of the Inspectors General on Integrity and Efficiency (CIGIE) has seventy-five 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. By statute, IGs are required to be 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 IG Reform Act of 2008, enacted October 14, 2008, amended the IG Act to further strengthen IG independence and enhance IG operations. It also CIGIE by combining the two former IG councils, PCIE and ECIE, into one. The legislation also provided CIGIE with authorities and responsibilities beyond those of the PCIE and ECIE, including recommending candidates for vacant IG positions and overseeing an Integrity Committee that was responsible for handling allegations of misconduct by IGs and high-level OIG officials.

In December 2016, the President signed into law the Inspector General Empowerment Act of 2016 (IGEA), a landmark piece of legislation welcomed by IGs and all advocates of government accountability and efficiency.

Among its provisions, the IGEA confirms that Federal IGs are entitled to full and prompt access to agency records, thereby eliminating any doubt about whether agencies are legally authorized to disclose potentially sensitive information to IGs. In so doing, the IGEA ensures that IGs have the ability to conduct audits, reviews, and investigations in an independent and efficient manner. This provision was necessary because of refusals by a few agencies to provide their IGs with independent access to certain information that was available to the agency and relevant to ongoing oversight work by the agency IG. Further, it was necessary because of a Department of Justice Office of Legal Counsel (OLC) opinion in July 2015 asserting that the IG Act did not entitle IGs to all records available to an agency. As a result of the IGEA, this OLC opinion is no longer applicable.

Other important provisions allow IGs to match data across agencies to help uncover wasteful spending and

enhance the public’s access to information about misconduct among senior government employees.

CIGIE has long advocated for these measures and welcomed the passage of the IGEA.

As noted previously, the "Coronavirus Aid, Relief, and Economic Security Act," or "CARES Act," enacted on March 27, 2020 in response to the COVID-19 outbreak, resulted in the establishment of the PRAC. This organization has been chartered to conduct oversight responsibilities for a five-year period ending in FY2025.

Community

The IG Reform Act of 2008 established CIGIE as the unified council of all statutory IGs to provide government wide coordination of and focus on OIG activities. CIGIE consists of seventy-five Federal IGs and the following six Federal leaders:

- Deputy Director for Management (DDM), OMB, who serves as the Council’s Executive Chairperson;
- Deputy Director, Office of Personnel Management (OPM);
- Special Counsel, Office of Special Counsel (OSC);
- 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.

In FY 2020, Michael Rigas served as DDM of OMB, and CIGIE’s Executive Chairperson.

In FY 2020, CIGIE was led by its elected Chairperson, Michael E. Horowitz, IG, U.S. Department of Justice; its Vice Chairperson, Allison C. Lerner, IG, National Science Foundation; and the members of the Executive Council. CIGIE’s Executive Council provides leadership, collaborative vision, and long-term planning for the IG community. For a current listing of CIGIE’s Executive Council, see Table 1.

Table 1. CIGIE Executive Council	
Michael E. Horowitz, U.S. Department of Justice	Chairperson
Allison C. Lerner, National Science Foundation	Vice Chairperson
Hannibal “Mike” Ware, Small Business Administration	Audit Committee Chair
Carol Ochoa, General Services Administration	Budget Committee Chair
Tammy Whitcomb, United States Postal Service	Technology Committee Chair
Wendy Laguarda, Farm Credit Administration	Inspection and Evaluation Committee Chair
Kevin Winters, Amtrak	Integrity Committee Chair
Michael Missal, Department of Veterans Affairs	Investigations Committee Chair
Kathy A. Buller, Peace Corps	Legislation Committee Chair
Rae Oliver Davis, Department of Housing and Urban Development	Professional Development Committee Chair
Phyllis K. Fong, U.S. Department of Agriculture	Past Chairperson
Laura Davis, National Endowment for the Humanities	At-Large Member

The IG Reform Act of 2008 also established an Integrity Committee whose chair, by law, is the CIGIE member who represents the FBI. The IGEA, which as previously noted was enacted in early FY 2017, changed the composition of the Integrity Committee and changed the chair from the FBI representative to an IG selected by the members of the Integrity Committee. 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 2020, CIGIE’s committees undertook a variety of noteworthy projects to benefit the OIG community.

Table 2. FY 2020 CIGIE Committee Accomplishments	
Committee and Purpose	FY 2020 Accomplishments
<p>Audit — Provides leadership to, and serves as a resource for, the Federal audit community. Sponsors and coordinates audits that address multi-agency or government wide issues, develops and maintains professional standards for OIG audit activities, and provides oversight of auditor training.</p>	<ul style="list-style-type: none"> • Continued administration of CIGIE’s audit peer review program to promote OIG compliance with GAO’s Government Auditing Standards and CIGIE’s Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General. • Represented the IG community in initiatives and work groups on various issues, including DATA Act implementation planning, improper payments, and CFO Council. • Continued to participate in the Office of Personnel Management’s priority initiative to close critical skills gaps in the Federal workforce, specifically within the auditor job series. Activities included facilitating meetings of the FAST (Federal Action Skills Team) group, executing an action plan to address the skills gap identified, participating in quarterly briefings to the OPM Director, and coordinating accountability community comments on draft changes to the OPM job series. Successfully attained the ability to hire Performance Auditors under the updated 0511 Auditor Series; however continued to work with OPM to clarify flexibilities under updated standard and requirements to comply. • Sponsored training and development for the audit community with the CIGIE Training Institute’s Audit, Inspection, and Evaluation Academy. In particular, helped facilitate the “Connect, Collaborate, Learn” session allowing CIGIE audit professionals to share best practices and lessons learned from conducting audits while working remotely during the COVID-19 Pandemic. • Published the revised CIGIE Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General to reflect recent revisions related to performance audit, financial audit, and attestation standards in Government Auditing Standards. • Oversaw the annual audit of CIGIE’s financial statements. • Formed the Audit Committee’s Peer Review Subcommittee to address scheduling changes and questions, peer review issues, and peer review training. Created the Audit Peer Review Web page on IGnet.gov. • Facilitated CIGIE’s Cross-Cutting Initiative Working Group’s work on Grant Management across the IG Community. This group includes members from the Audit, Inspections and Evaluations, Investigations, and Technology Committees. • Developed the PRAC Audit Subcommittee in order to facilitate the exchange of ideas and projects regarding COVID-19 oversight, as well as increase coordination amongst CARES Act OIGs and CIGIE at large. The Subcommittee is finalizing an Agile Products Playbook for use by the IG Audit community to establish protocol on quick turnaround products and shortened agency response times. • Coordinated with FAEC and OMB to extend mandatory reporting deadlines for OIGs due to complexities associated with the pandemic.
<p>Budget—Provides leadership in the development of the Council’s annual budget by coordinating a transparent process to assess current CIGIE activities and—in consultation with the Chairperson, Vice Chairperson, and Executive Council—presenting a proposed budget to the membership for discussion and adoption.</p>	<ul style="list-style-type: none"> • Developed the FY 2021 budget proposal after soliciting input from the IG community and CIGIE Committee Chairs; presented the FY 2020 budget to members and subsequently received approval. • Oversaw the implementation of membership-approved recommendations for the draw-down of CIGIE’s budget reserve.

Table 2. FY 2020 CIGIE Committee Accomplishments

Committee and Purpose	FY 2020 Accomplishments
<p>Technology—Facilitates effective OIG IT audits, inspections, evaluations, and investigations, and provides a vehicle for expressing the IG community’s perspective on government wide IT operations.</p>	<ul style="list-style-type: none"> • Created the Oversight.gov Subcommittee to collect new requirements and build out capabilities offered on the site. The subcommittee: launched an Inspector General Open Recommendations section, which currently lists over 8,000 open recommendations to agencies to improve efficiency and effectiveness; created website templates for IGs to enable them to host their site independently from agency IT systems; and, built out an Investigative Press Releases page to post Department of Justice press releases on OIG work to Oversight.gov. • Facilitated a Geospatial Data Act Working Group, which developed a consensus response on how covered agencies would proceed to meet the Act’s audit requirements, and communicated that information to Congressional stakeholders. • The Emerging Technology Subcommittee hosted its first annual symposium, “Artificial Intelligence, Real Oversight.” Over 400 people participated in this virtual, half-day event, which provided briefings and panel discussions highlighting work being done in this interesting and evolving area. • The Investigations Subcommittee conducted a survey on OIG Cybercrime and Forensics Tools and Capabilities used within the IG community. Forty-three IGs responded and the group plans to use the results to identify critical capabilities, conduct a gap analysis, and work on ways to share important capabilities with members who need them.
<p>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 government wide issues, develops and maintains professional standards for OIG I&E community activities, and provides oversight of I&E training.</p>	<ul style="list-style-type: none"> • Leadership of the I&E Committee was passed from State OIG to FCA OIG. Wendy Laguarda, FCA IG, took over as Chair in June 2020, and Mark Greenblatt, Interior IG, is now serving as Co-Chair. • The Committee recruited 5 new IG members to replace members lost over the last few years. • The I&E Round-table continued to meet quarterly to cover important updates in the I&E community, share ideas, and provide updates on working groups and ongoing projects. • The Committee has three working groups to implement several major ongoing initiatives. Each of these groups has accomplished important work. <ul style="list-style-type: none"> • Peer Review Working Group-The peer review working group worked to ensure the first full 3-year cycle of I&E Peer reviews would be completed by December 2020. For fiscal year 2020, 13 OIGs had I&E peer reviews completed. The last round of the first 3-year cycle is ongoing with 10 OIGs being reviewed. The peer review working group also issued the 2021-2023 peer review schedule beginning in April 2021 and is finalizing the updated I&E Peer Review Guide. Major changes include revising the process and procedures for the reviewer format with one OIG reviewing another OIG and adjusting the peer review report content and format to have a Summary Report and a separate Letter of Comment, if appropriate. • Blue Book Working Group-The Blue Book Working Group began meeting in November 2019 and issued the first version of the revised Quality Standards for Inspection and Evaluation (Blue Book) in June 2020 to the I&E Roundtable and point of contact listing for comments. The group provided the updated version of the Blue Book in September after receiving comments/ feedback from 25 organizations. The Blue Book is anticipated for I&E Roundtable vote in October and will then go to the I&E Committee, Executive Council, and full CIGIE membership for vote in 2021. • Survey Working Group-The I&E Committee initiated a new project in July 2020 to survey the IG community on I&E projects, issues, and other statistics. The survey is planned to be released in November 2020.

Table 2. FY 2020 CIGIE Committee Accomplishments

Committee and Purpose	FY 2020 Accomplishments
<p>Investigations—Advises the IG community on issues involving criminal investigations, investigative personnel, and investigative standards and guidelines.</p>	<ul style="list-style-type: none"> • The Investigations Committee and Assistant Inspector General for Investigations (AIGI) Committee completed their first “all-virtual” joint training/collaboration event. The event focused predominately on the OIG investigative community’s response to COVID-19 and best practices that can be utilized in furtherance to conducting investigations in a pandemic environment. Over 100 representatives from OIGs throughout the community participated. • The Investigation Committee sponsored its first “all-virtual” peer review training program. The training curriculum was designed to ensure reviews are conducted in a uniform manner. • The Investigations Committee spearheaded the formation of four new pandemic-specific subcommittees to support OIGs’ collective pandemic-related efforts. The subcommittees consist of: <ul style="list-style-type: none"> • A law enforcement coordination cell– which will coordinate pandemic related fraud matters with state, local, federal, and international law enforcement partners. • A training subcommittee – which will identify unique training needs relating to pandemic -related investigations and assess options available to meet those needs. • A data analytics and proactive measures subcommittee – which will assist the Pandemic Response Accountability Committee (PRAC) in analyzing CARES and other recovery-related data, with the intent of identifying indicators of potential fraud, waste, and abuse; recurring fraud themes, etc. • A special investigative techniques subcommittee – which will explore unique investigative techniques, protocols, and “best practices” that can be utilized to identify and counter fraud schemes.
<p>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. Provides technical assistance to Congress through regular and ongoing communication regarding legislative issues and other matters of common interest between the Congress and CIGIE.</p>	<ul style="list-style-type: none"> • Assisted Congress as it considered establishing what became the Pandemic Response Accountability Committee by the CARES Act, a committee within CIGIE to promote transparency and oversight of coronavirus-response funds. • Proactively engaged Congress to enhance the institutional independence of IGs by ensuring that individuals directed to serve as acting IG are sufficiently independent from agency management. • Provided assistance to Congress on the CIGIE Legislative Priority to enhance oversight of Overseas Contingency Operations, which was passed as a part of the National Defense Authorization Act for Fiscal Year 2020 (Pub. L. No. 116-92). • Provided technical assistance to Congress regarding several CIGIE Legislative Priorities, resulting in bills introduced or passed by one or more chambers of Congress to address whistleblower employees of subcontractors and subgrantees and require Congressional notification when placing an IG on non-duty status.

Table 2. FY 2020 CIGIE Committee Accomplishments

Committee and Purpose	FY 2020 Accomplishments
<p>Professional Development—Provides educational opportunities, through the Training Institute, for members of the IG community and ensures the development of competent personnel. Receives input from the Audit Committee, Investigations Committee, and Inspection and Evaluation Committee on the training and development needs of the CIGIE community. Seeks opportunities to improve training methods, enhance the development of OIG staff, and establish training to meet continuing educational requirements.</p>	<ul style="list-style-type: none"> • Kicked-off the new “CIGIE Leading Inspiring and Fostering Talent (LIFT) Network” to bring together Federal oversight community professionals of all levels and functions to build connections and participate in cross-functional/cross-organizational learning opportunities. • Launched the 4th Cohort of the CIGIE Fellows Program with 16 Fellows from 10 different OIGs. This prestigious year-long blended leadership development program aims to continually align with the standards of federal executive development programs to advance leadership development within member agencies. • Partnered with OPM to secure spaces in the highly selective Federal Internal Coach Training Program (FICTP), a nine-month government-wide coach development program aligned with International Coaching Federation (ICF) standards. • Established a new coaching working group to identify additional ways to build coaching capacity within the IG community and provide coaching training and support. • Created a mentoring team which seeks to identify opportunities to create awareness, connection, and expand mentoring capabilities across the community. • Oversaw delivery of the 6th Annual CIGIE Leadership Forum with nearly 1,300 IG professionals participating in-person and online. The theme was Leading From Where You Are: Leading People - Leading Change - Driving Excellence.
<p>Integrity— The statutory mission of the Integrity Committee is to receive, review and refer for investigation allegations of wrongdoing made against an IG, certain designated senior members of an OIG, and the Special Counsel and Deputy Special Counsel of the OSC.</p>	<ul style="list-style-type: none"> • Received 1,152 incoming complaints: • Opened eighty-one cases • Closed: eighty-one cases (13 of which were FY19 cases; 1 from FY18; and 2 from FY17) • Referred to the Committee’s Chair for investigation: three • Cases Pending: twenty-three (7 are pre-FY20 investigations)
<p>Inspector General Candidate Review and Recommendation Panel—Per the IG Reform Act of 2008, CIGIE, in its function as an advisor to the President on IG matters, makes recommendations to the President of qualified candidates for IG vacancies. To aid this goal, it has established a panel led by the CIGIE Vice Chair with four other IGs to examine applications and identify candidates on an ongoing basis.</p>	<ul style="list-style-type: none"> • Enhanced the candidate identification process by conducting interviews of potential candidates. • Interviewed seven candidates for IG positions and made recommendations for the President’s consideration to fill existing Inspector General vacancies. • Provided support to agency heads filling non-PAS IG positions, including reviewing applications, providing questions for interview panels and participating in interview panels.

Strategic Plan Business Goal Accomplishments

During Fiscal Year (FY) 2020, the Council approved its annual performance plan to guide its activities for the year. The performance plan is associated with CIGIE's five-year Strategic Plan and aligns with the goals, objectives, and performance measures associated with the Strategic Plan. CIGIE's performance plan sets out four major business goals and supporting objectives. These goals are: (1) enhanced integrity and strength of Federal programs and operations; (2) a well-trained and highly skilled OIG community; (3) a focal point for collaboration, best practices, and outreach; and (4) an efficient, well-managed organization. The following information reflects CIGIE's accomplishments during fiscal year (FY) 2020 under each of these goals.

Goal 1: Enhanced Integrity and Strength of Federal Programs and Operations.

Upon passage of the CARES Act, responsibility for oversight of \$2.6 trillion in federal funding intended to support those affected by the COVID-19 pandemic became the single largest cross-cutting initiative in the Council's history. Spearheaded by CIGIE's newest component - the PRAC - this effort directly involves nearly one-third of all CIGIE-member OIGs on a daily basis, and the other two-thirds periodically and to varying degrees.

By leveraging the Council's existing infrastructure, PRAC was able to launch operations almost immediately and initiate public reporting within 30 days via a new, purpose-built website, pandemicoversight.gov. To facilitate transparency and inspire public confidence, the site includes a funding overview; interactive data visualizations and maps to find out where pandemic response program dollars are being spent, who's spending it, and what they're spending it on; reports; investigative results; and much more.

Over the five years of its planned existence, PRAC will focus on four particular aspects of oversight which are reflected herein as the organization's four major goals:

- PRAC Goal 1: Prevent and detect fraud, waste, abuse, and mismanagement
- PRAC Goal 2: Promote transparency
- PRAC Goal 3: Promote coordinated, comprehensive oversight
- PRAC Goal 4: Ensure effective and efficient PRAC operations

PRAC Goal 1 involves mitigating major risks that cut across program and agency boundaries and holding wrongdoers accountable. To achieve the former the PRAC will work with Federal Inspectors General and other oversight partners to identify major cross-cutting risks by using data analytics and risk assessments. Such risks will include criminal fraud schemes, internal control weaknesses with the disbursement and accounting of covered funds, and deficiencies with coordination across agencies and programs. 5 The PRAC will provide leading-edge data analytics, visualization, and risk modeling to identify indicators of fraud, waste, abuse, or mismanagement. In turn, the results of these activities will inform a risk-based approach to the PRAC's oversight efforts.

Achieving the latter entails supporting law enforcement in pursuing fraud investigations and criminal enforcement. To this end, the PRAC will maintain a website portal and encourage the public to report concerns, including allegations of fraud, waste, abuse or whistleblower reprisal. The PRAC will refer such allegations to the appropriate Office of Inspector General or agency, and will promote hotlines for individual Inspectors General as well as other Federal, state, and local oversight entities.5 The PRAC will use, or coordinate with Inspectors General to use, data analytics and other appropriate methods to identify suspected fraud and will refer potential criminal conduct to the relevant Inspector General for investigation so that

wrongdoers can be held accountable for their actions. When there is a reasonable belief Federal criminal law has been violated, the PRAC will report such information to the Attorney General, as required by statute.

PRAC Goal 2, a cornerstone of the oversight community’s work, will be accomplished by providing the public with timely data and information on covered funds and the Coronavirus response. The PRAC will pursue this objective through operating a robust, user-friendly website. The PRAC will make publicly available a wide range of data related to covered funds and the coronavirus response. The PRAC will publicly post reports and recommendations issued by Inspectors General and other oversight partners. The PRAC will pursue a communications strategy to heighten the visibility of the PRAC’s efforts and the work and recommendations of Inspectors General and other oversight partners as well as to engage the public to provide feedback on the use or misuse of covered funds. Consistent with the requirements in the CARES Act, as appropriate the PRAC will make timely reports to the President, Congress, the Office of Management and Budget.

PRAC Goal 3 features three key elements: facilitating exceptional coordination and collaboration to ensure high-impact results; fostering sound stewardship of covered funds and programs; and ensuring efficient sharing of data, analytics, and other information. With respect to the first element, Inspectors General have a rich history of collaboration and coordination among themselves and with their Federal, State, and local partners in pursuit of effective oversight. Building on this history and CIGIE’s longstanding institutional success, the PRAC will serve as an effective forum for coordination and collaboration among Inspectors General and other oversight partners, including GAO and State and local auditors, evaluators, and inspectors, to minimize duplication of effort and support high-impact oversight of covered funds and the coronavirus response. Through the PRAC, the Inspectors General and oversight partners will share information, expertise, and best practices. The collaboration will facilitate data sharing and the use of technology and analytics capabilities to enable data-driven oversight.

Sound stewardship is underpinned by efficient and effective management and administration of taxpayer-funded programs which are essential to ensuring that coronavirus response programs achieve their intended purposes and provide relief to intended individuals and entities. To meet this objective, the PRAC will coordinate with Inspectors General to:

- promote early engagement with agencies to provide technical assistance on accounting controls and procedures to prevent fraud, waste, abuse, and mismanagement and reduce the need for costly, after-the-fact remediation or enforcement
- assess agency compliance with applicable standards and internal control weaknesses in program administration
- identify and help remediate risks of contractor, grantee, and borrower fraud or noncompliance with program requirements
- identify and reduce improper payments and recommend recovery of misspent covered funds in programs for individuals; large corporations; small businesses; State, local, and Tribal governments; and public services
- review the effectiveness and efficiency of coronavirus response programs in delivering safe and high-quality services and in meeting intended program goals such as delivering benefits to eligible individuals, families, and businesses; enhancing the health care system and public health emergency response; supporting educational institutions, teachers, and students; bolstering critical infrastructure; keeping workers paid and employed; and supporting operations of Federal agencies responding to coronavirus
- identify and quantify, to the extent practicable, the impact of any tax expenditures or credits authorized under coronavirus legislation, as required by the CARES Act; and
- make available high-quality and timely machine-readable data to support data-driven risk management. The PRAC, in coordination with Inspectors General, will prioritize audits and reviews, and support robust follow-up on unimplemented recommendations produced by such oversight work.

To ensure the efficient sharing of data, etc., the PRAC will use its authorities to provide, directly or in partnership with Inspectors General that have existing data capabilities, a modern infrastructure to allow the efficient sharing of timely, relevant, actionable data among Inspectors General and the broader oversight community. The PRAC will provide leading-edge data analytics, visualization, and artificial intelligence to identify suspicious outliers, links, patterns, and trends that can ensure greater focus on risk areas. In addition, the PRAC will promote increased data literacy throughout the oversight community with the goal of strengthening oversight and reducing the data-sharing burden on Inspectors General, partners, and agencies during the coronavirus response.

PRAC Goal 4, more inward-looking, affirms the PRAC's commitment to fulfilling its statutory responsibilities; support the independent oversight of Inspectors General; and building a diverse team of innovative thought leaders.

To fulfill its statutory responsibilities the PRAC will use its appropriated budget of \$80 million to hire and train staff, maintain its website, and conduct Committee operations. The PRAC will leverage existing information technology resources, such as oversight.gov, to the extent practicable. The PRAC may also use funds to support relevant oversight by Inspectors General and to engage contractors to conduct audits or reviews. The PRAC's Executive Director, in consultation with the Committee, will continuously evaluate and promote the PRAC's performance in overseeing the coronavirus response.

In support of independent oversight, the PRAC will use leading tools and practices to support Inspectors General. The PRAC will establish a data-warehousing and analytics repository to provide Inspectors General with accessible data, tools, infrastructure, data analytics, and other support to help them conduct vigorous coronavirus response oversight, including oversight of cross-cutting vulnerabilities. The PRAC will respect the independence of Inspectors General to conduct audits or investigations of covered funds and the coronavirus response. The PRAC will support Inspectors General's efforts to procure equipment and technology necessary to conduct coordinated, effective, safe oversight.

Attracting innovative thought leaders to invest themselves in achieving the mission, the PRAC will encourage creative and practical problem-solving and insightful thought leadership, foster collaborative professional relationships, and focus on our core lines of business. In doing so, the PRAC will bring deep insight and oversight to the Federal Government's emergency pandemic relief and recovery efforts. To recruit and retain the best candidates, provide a positive work environment, and mitigate the risk of current and future pandemic-related workplace disruptions, the PRAC will function as a distributed workforce in a virtual workplace with a small physical footprint in Washington, DC.

At the close of FY20, the PRAC was already tracking nearly \$800 billion in dollars obligated or spent, across 20 agencies, 3.9M recipients and multiple states. Dozens of instances of criminal activity involving millions of dollars in pandemic-related funding has also been identified and is being acted upon by PRAC-member OIGs.

In parallel, Oversight.gov demonstrated remarkable gains in capabilities and functionalities that further enhance its value as a powerful oversight tool for the entire IG community. An IG Vacancy Tracker; an Open Recommendations Database; the ability to host OIG websites; an Investigative Press Release feed; and significant progress in enabling uploads of State, Local and Tribal reports highlighted this year's successes.

The Vacancy Tracker highlights fifteen active vacancies by agencies. Available data includes the length of time each has been vacant, the nominating authority, the nominee, and the nomination date.

CIGIE's Open Recommendations Database establishes the only single, public repository of information about the status of OIG recommendations issued to agencies in existence. At the close

of FY20 it showed 8,673 open recommendations and 25 priority recommendations. This component of Oversight.gov also identifies how long recommendations have been open, agencies with the highest numbers of reports with recommendations, the monetary impact of recommendations, and active links to the recommendations themselves. As FY20 closed, twenty-three OIGs had already uploaded recommendations with many more expected to follow suit in FY21.

Although the “go live” date for CIGIE’s ability to host OIG websites falls in the opening weeks of FY21, development of and testing of this capability took place in the FY20 reporting year. This achievement serves to strengthen IG independence in relation to the agencies they oversee and simultaneously increase the timeliness of public access to information by placing control of OIG websites directly in the hands of OIG staff. Rather than transmitting information through agency systems and according to agency timelines, information will flow through CIGIE systems and be released as directed by the IG.

The investigative press release feed brings a measure of meaning to many of the numbers shown on Oversight.gov. In consolidated fashion, it provides initial insights into the real-life stories of criminal activity; it also highlights the dedicated and often unknown efforts of OIG investigative personnel who work so diligently to combat such activity.

Substantive progress has also been made on achieving targeted integration with the reporting of state and local watchdog entities. The goal in this regard is that of allowing Members of Congress and the public a more comprehensive view of oversight findings and areas of concern within their state and locality. Testing and limited piloting of this capability is expected in FY21.

Goal 2: A Well-trained and Highly Skilled OIG Community

The mid-year arrival of COVID-19 dramatically affected CIGIE’s training operations in both obvious and unexpected ways. In terms of the obvious, this pandemic triggered the cancellation of all in-person classes; as “in-person” was the predominant modality, training delivery essentially shut down. Almost immediately, however, it became clear that this circumstance had also sparked a transformational wave of innovation that is fundamentally altering the organization’s approaches and capabilities.

The seeds of innovation had been planted during FY18 and then nurtured throughout FY19 in the form of a pilot project to completely revamp Inspections and Evaluation (I&E) training. As described in the FY19 Annual Report, this involved mapping the I&E workflow; documenting and prioritizing associated job tasks and the supporting knowledge required to perform those tasks; designing new training programs around how work is actually performed in the workflow, with added emphasis on prioritized tasks and supporting knowledge; and linking training to a set of supplementary performance support resources to assist OIG professionals in their work environment. Because the new content is designed for in-class or live Web delivery, I&E classes were quickly made available. Building upon this success, efforts are now underway to similarly impact audit and investigations training.

In parallel, training staff across all of CIGIE’s academies – Audit, Inspections and Evaluation; Criminal Investigator; and Leadership and Mission Support - worked diligently to identify appropriate, equivalent alternatives to classes that had been cancelled. In some instances, it was possible to rapidly redesign and redeploy those classes in an online format and in others this was accomplished by assessing the intended outcomes and reimagining how they might be achieved. For example, structured but relatively informal “pop-up,” topic-based sessions featuring subject matter experts from across the community and dynamic live chat among all participants proved popular and effective from a learning standpoint.

Combined, the three academies provided learning opportunities to 2,166 learners through April, before all scheduled classes and events were cancelled, and 3,384 after – from May through the end of September. In total, the 5,550 learners supported this year reflects an almost 40% increase over FY19.



Additionally, CIGIE's Professional Development Committee in concert with the Leadership Development Subcommittee and the Training Institute succeeded in expanding the nature, scope and quality of professional development opportunities available to the OIG workforce. These include:

- Launching the 4th Cohort of the CIGIE Fellows Program. This year-long blended leadership development program aims to continually align with the standards of federal executive development programs to advance leadership development within member agencies. 16 Fellows from 10 different OIGs are participating in this prestigious interagency program this year. In addition to the Fellows themselves, approximately 40% of the CIGIE member organizations have engaged in this year's program by either nominating fellows, hosting opportunities, serving as executive mentors, and/or speaking at or volunteering to deliver cohort development and training activities. Since the launch, the Fellows have begun interagency rotational assignments, completed leadership development training, engaged with a Senior Executive mentors, and participated in group coaching.
- Partnering with OPM to secure spaces in the highly selective Federal Internal Coach Training Program (FICTP), a nine-month government-wide coach development program aligned with International Coaching Federation (ICF) standards. Additionally, PDC and CIGIE launched a new coaching working group to identify additional ways to build coaching capacity within the IG community and provide coaching training and support. Through this working group, group coaching has been provided to the CIGIE Fellows.
- Kicking off a mentoring team in for the purpose of identifying opportunities to create awareness, connection, and the expansion of mentoring capabilities across the community.
- Shepherding the development and launch of the new "CIGIE Leading Inspiring and Fostering Talent (LIFT) Network." The goal for this new network is to bring together Federal oversight community professionals of all levels and functions. Through CIGIE LIFT, the PDC envisions oversight employees building connections and participating in learning opportunities. A working group of young professionals was brought together to conceptualize and stand up this network. The working group has been dedicated to designing this exciting network to help Federal oversight professionals engage, invest, and grow while participating in the important mission of oversight. The group held their first event on September 17, 2020, attended by 250 members of the IG community.

In spite of the obvious challenges, FY2020 was a year of remarkable progress and accomplishment.

Goal 3: A Focal Point for Collaboration, Best Practices, and Outreach

CIGIE supports a vibrant community of eight standing committees and forty six sub-committees, working groups and other collaborative bodies of varying sizes and scope dedicated to improving the state of practice within the OIG community, addressing significant cross-cutting issues, or increasing awareness in the public domain about the IG mission and responsibilities. Members come from across the entire community of 75 OIGs and individuals join these organizations according to their mission functions and interests. As a result, the degree of interagency engagement is often quite high and outcomes of their efforts characteristically have broad impact.

Highlights from this year's work include:

- Continued participation in the Office of Personnel Management's priority initiative to close critical skills gaps in the Federal workforce, specifically within the auditor job series. Activities included facilitating meetings of a FAST (Federal Action Skills Team) group, executing an action plan to address the skills gap identified, participating in quarterly briefings to OPM's Director, and coordinating accountability community comments on draft changes to the OPM job series.
- Initiation of "Connect, Collaborate, Learn" sessions allowing CIGIE audit professionals to share best practices and lessons learned from conducting audits while working remotely during the COVID-19 Pandemic.

- Publication of a revised CIGIE Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General to reflect recent revisions related to performance audit, financial audit, and attestation standards in Government Auditing Standards.
- Revisions of the Quality Standards for Inspection and Evaluation (Blue Book).
- A virtual joint training/collaboration event focusing on the OIG investigative community's response to COVID-19 and best practices that can be utilized in furtherance to conducting investigations in a pandemic environment.
- The stand-up of a law enforcement coordination cell to coordinate pandemic related fraud matters with state, local, federal, and international law enforcement partners.
- Formation of a data analytics and proactive measures subcommittee to assist the Pandemic Response Accountability Committee (PRAC) in analyzing CARES and other recovery-related data, with the intent of identifying indicators of potential fraud, waste, and abuse; recurring fraud themes, and so forth.
- Established a Diversity, Equity & Inclusion Work Group (DEIWG) to affirm, advance, and augment the commitment of the Inspector General community to a diverse, equitable, and inclusive workforce and workplace environment, that will help ensure the work produced by the Offices of Inspectors General (OIG's) is accessible to the diverse public we serve. The DEIWG is coordinating with the Pandemic Response Accountability Committee (PRAC) as it relates to the Government's response to the pandemic and its impact on communities experiencing relative disadvantage and use of funds at the state and local government level. It has also established a framework for modifying the CIGIE Strategic Plan in order to incorporate principles of diversity, equity, and inclusion; constructing a DE&I Maturity Model so that OIGs can establish goals and objectives, develop or enhance their programs, and measure their progress; and creating a roadmap focusing on the areas of Staffing, Hiring & Recruitment; Performance, Awards & Recognition; Training & Awareness; Promotions & Professional Development; and Business Diversity.

These are but a few among hundreds of activities occurring under CIGIE's auspices to further collaboration, best practices and outreach.

Goal 4: An efficient, well-managed organization

Characteristic of efficient, well-managed organizations is their ability to quickly react and adjust in the face of adversity or rapidly changing operational conditions. CIGIE did exactly that by shifting from in-person operations to 100% virtual operations almost overnight, without significant impacts to core mission functions or even those of an ancillary nature.

In terms of operational infrastructure, CIGIE took steps to significantly upgrade its performance management system, travel system, and financial management and reporting processes. These changes, many of which include an element of automation, will enable the organization to eliminate existing inefficiencies and redirect time and attention other priorities.

Additionally, CIGIE continued to meet its statutory responsibilities in FY 2020, to include:

- Coordinating OIG activities government wide, including producing cross-cutting studies that mitigate common vulnerabilities and increase economy, efficiency, and effectiveness;
- Increasing the professionalism and effectiveness of OIG personnel by developing policies, standards, and approaches to aid in establishing a well-trained and highly-skilled OIG workforce;
- Maintaining public and business websites for the benefit of the public, stakeholders, and the OIG community;
- Responding to inquiries from the public and stakeholders about CIGIE and OIG activities, including complaints and allegations against IGs;
- Administering peer review programs that assess OIG compliance with professional standards; and
- Recommending individuals to the appointing authority when IG vacancies occur.

Key Legislation Affecting the IG Community

CIGIE's Legislation Committee is responsible for providing regular and ongoing communication regarding legislative issues and other matters of common interest between Congress and the IG community. The Legislation Committee achieves this by providing timely information about Congressional initiatives to the IG community, soliciting the views and concerns of the IG community about legislative issues, and informing Congress and other stakeholders on matters of interest to our community. Congress has demonstrated interest in strengthening IG independence and authorities to help IGs more effectively carry out their oversight mission. The Legislation Committee continues to advise Congress on legislative proposals that enhance the work of IGs. Such advice includes providing technical guidance on legislation to address issues of interest to the IG community and assisting with other Congressional requests pertaining to the programs and operations which the IG community oversees.

Over the past year, the Legislation Committee provided assistance to Congress as it considered how best to promote transparency and oversight over Federal funds provided to respond to the coronavirus. Most significantly, the Legislation Committee provided technical assistance as Congress enacted the CARES Act provisions establishing the Pandemic Response Accountability Committee (PRAC) as a committee within CIGIE. We have continued to advise Congress on ways to enhance the authorities of the PRAC to better promote transparency and oversight of coronavirus-response funds.

Through our technical assistance and proactive engagement, a number of legislative reforms CIGIE has identified as key to strengthening government oversight have been taken up by Congress. For example, one matter of great interest to both CIGIE and Congress is the strengthening of whistleblower rights and protections. We previously reported the bipartisan support for H.R. 4147 in the House and S. 2315 in the Senate,¹ and are pleased to report that a counterpart provision recently passed the House of Representatives in H.R. 6395, the “William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021.” Furthermore, key Congressional stakeholders have demonstrated bi-partisan support for ensuring the institutional independence of Inspectors General through legislation that would ensure Congress is notified when an IG is placed on nonduty status and that would ensure individuals directed to serve as acting IG are sufficiently independent from agency management.

In addition, the Legislation Committee continues to brief Congress on the benefits to government oversight and the work of the IGs of (1) testimonial subpoena authority (TSA) for IGs; (2) requiring Congressional notification when an IG is placed in paid or unpaid non-duty status; (3) the need to protect sensitive but unclassified information if disclosure could reasonably be expected to lead to or result in unauthorized access, use, disclosure, disruption, modification, or destruction of agency information systems; (4) amendments to the Program Fraud Civil Remedies Act that would increase the use of the statute and deter fraud; (5) enhancing protections of employees of subcontractors and subgrantees who blow the whistle; and (6) mandatory temporary debarment of individuals convicted of fraud against the government.

Finally, the CIGIE Legislation Committee continued to provide assistance to Congressional stakeholders as it explores providing CIGIE with a direct appropriation. CIGIE received its first direct appropriation in FY 2019 for enhancements to Oversight.gov and received additional funding for further enhancements during FY 2020, as well as funding for the PRAC. CIGIE supports those efforts, and believes that a stable, transparent funding stream would enable CIGIE to perform more effective long-term planning and to better fulfill its statutory mission.

In conclusion, the Legislation Committee has enjoyed productive dialogue with Congressional stakeholders during FY 2020 and looks forward to continuing these dialogues in the future.

1. H.R. 4147, “Whistleblower Expansion Act of 2019” & S. 2315, “Whistleblower Act of 2019”.

Shared Management and Performance Challenges

Each year, Inspectors General (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. Information Technology Security Management and Security by a wide margin emerged as this year's top challenge. It was followed by Human Capital Management; Financial Management; and then a new entrant, Homeland Security/Disaster Preparedness/COVID-19. Rounding out the list was Procurement Management; Grant Management; and Performance Management and Accountability. Facilities Management/Physical Infrastructure was also noted as an item of continuing concern but less so relative to the other identified challenges and therefore excluded from this year's list.

- **Information Technology (IT) Security and Management**—This refers to (1) the protection of Federal IT systems from intrusion or compromise by external or internal entities and (2) the planning and acquisition for replacing or upgrading IT infrastructure. This is a long-standing, serious, and ubiquitous challenge for Federal agencies across the government, because agencies depend on reliable and secure IT systems to perform their mission-critical functions. The security and management of government IT systems remain challenges due to significant impediments faced by Federal agencies, including resource constraints and a shortage of cybersecurity professionals. Key areas of concern are safeguarding sensitive data and information systems, networks, and assets against cyber-attacks and insider threats; modernizing and managing Federal IT systems; ensuring continuity of operations; and recruiting and retaining a highly skilled cybersecurity workforce.
- **Human Capital Management**—Relates to recruiting, managing, developing, and optimizing agency human resources. Human capital management is a significant challenge that impacts the ability of Federal agencies to meet their performance goals and to execute their missions efficiently. Consistent with the findings of the IG community, the Government Accountability Office has identified strategic human capital management within the Federal Government as a high-risk area since 2001. Key areas of concern include inadequate funding and staffing; recruiting, training, and retaining qualified staff; agency cultures that negatively impact the agency's mission; and the impact of the lack of succession planning and high employee turnover.
- **Financial Management**—Spans a broad range of functions, from program planning, budgeting, and execution to accounting, audit, and evaluation. Weaknesses in any of these functional areas limit an agency's ability to ensure that taxpayer funds are being used efficiently and effectively and constitute a significant risk to Federal programs and operations. Key areas of concern include both the need for agencies to improve their financial reporting and systems, and the significant amount of dollars Federal agencies lose through improper payments.
- **Homeland Security/Disaster Preparedness**—Disasters, both natural and man-made, provide unique opportunities for fraud, abuse, and mismanagement that would deprive affected individuals the full benefit and use of Federal funds designated for relief and recovery. Congress and the public rely on the Federal IG community and the GAO to be the principal Federal line of defense against such incidents. State and local government audit and investigative organizations also provide a layer of oversight and routinely coordinate with Federal IGs to help ensure that disaster funds are used as intended and according to requirements.



- **Procurement Management**—The procurement management challenge encompasses the entire procurement process, including pre-award planning, contract award, and post-award contract administration. Given that the Federal Government awarded more than \$500 billion in contracts in FY 2018, the fact that many Federal agencies face challenges in Procurement Management indicates that billions of taxpayer dollars may be at increased risk for fraud, waste, abuse, and mismanagement. Further, many Federal agencies rely heavily on contractors to perform their missions and, as a result, the failure of a Federal agency to efficiently and effectively manage its procurement function could also impede the agency’s ability to execute its mission. Key areas of concern for this challenge include weaknesses with procurement planning, managing and overseeing contractor performance, and the training of personnel involved in the procurement function.
- **Grant Management**—Involves the process used by Federal agencies to award, monitor, and assess the success of grants. Deficiencies in any of these areas can lead to misspent funds and ineffective programs. As proposed in the President’s budget for FY 2018, Federal agencies will spend more than \$700 billion through grants to State and local governments, nonprofits, and community organizations to accomplish mission-related goals. However, the increasing number and size of grants has created complexity for grantees and made it difficult for Federal agencies to assess program performance and conduct oversight. Key areas of concern are ensuring grant investments achieve intended results, overseeing the use of grant funds, and obtaining timely and accurate financial and performance information from grantees.
- **Performance Management and Accountability**—Pertains to challenges related to managing agency programs and operations efficiently and effectively to accomplish mission-related goals. Although Federal agencies vary greatly in size and mission, they face some common challenges in improving performance in agency programs and operations. Key areas of concern include collecting and using performance-based metrics; overseeing private-sector corporations’ impact on human health, safety, and the economy; and aligning agency component operations to agency-wide goals.

Significant Work Accomplishments

Every Office of Inspector General (OIG) works diligently on behalf of Congress, the President, and the American taxpayer. Each year, the Council of Inspectors General on Integrity and Efficiency (CIGIE or Council) recognize the most outstanding work by members of the IG community at its annual awards ceremony. The keynote speaker at the 2020 CIGIE Award Ceremony was Dr. Anthony Fauci, director of the National Institute of Allergy and Infectious Diseases (NIAIA) at the U.S. National Institutes of Health, and the Special Category Award winners are identified on page 19 of this report. Additionally, below are selected work accomplishments from several OIGs that demonstrate the type and scope of work that CIGIE members regularly perform to serve our stakeholders.

Joint Operation to Recover Ventilators (USAID OIG)

Roughly 8 months into the COVID-19 pandemic, as countries continued to vie for scarce medical resources, USAID OIG launched a joint operation to recover USAID-funded ventilators, valued at roughly \$3 million. USAID OIG had received information that the equipment, which was destined for El Salvador, had been stolen in South Florida. Working with other Federal, state, and local law enforcement agencies, USAID OIG located and recovered all but one of the 192 stolen ventilators. The ventilators ultimately reached their destination, ensuring that El Salvador received critical U.S. assistance in responding to the pandemic and that life-saving equipment was delivered to the intended beneficiaries.

Exposure of Sensitive Trade Information Due to Security Program Failures (DOC OIG)

A February 2020 audit report revealed that the Department of Commerce did not protect sensitive data on its Enterprise Web Solutions (EWS), a document management system used by the Office of the Secretary. Many of the problems identified indicated that the Department had serious and pervasive issues that allowed exposure of sensitive data. Notably, sensitive global trade and foreign affairs data contained within the system was exposed to foreign entities around the time of major international trade negotiations. Specifically, we found: (1) the Department exposed sensitive data to unvetted foreign nationals working outside the United States; (2) unauthorized foreign nationals accessed and modified the EWS system after their contract had been terminated; (3) the Department mishandled the response to unauthorized access by foreign nationals; (4) the Department failed to account for sensitive data on its systems. Among other conclusions, the report noted that significant attention from senior management is needed to ensure that deficiencies in protecting Department data and systems do not reoccur.

\$57.5 Million Civil Settlement Resulting from False Claims Act Investigation (DOE OIG)

A Department of Energy (DOE) prime contractor agreed to a \$57.5 million Civil Settlement to resolve allegations of false claims submitted to the Department by one of the contractor's subsidiaries. An investigation determined that the contractor's subsidiary committed extensive, long-term fraudulent charging of work hours spanning three divisions at the Department's Hanford Site Waste Treatment and Immobilization Plant, inflating the number of workers and hours needed to complete projects. As a result, the contractor submitted time sheets for laborers at the site that misrepresented the number of hours being worked by their employees. Over a ten-year period, between January 2009 and July 2019, the contractor submitted false claims inflating worker hours by as much as 40% per day. As part of the Settlement Agreement, the contractors will also be required to retain a corporate monitor and compliance review team for a period of three years, at their own cost and with regular reporting of their findings to both the OIG and Department of Justice. If the contractors are found to be non-compliant, they will be subject to additional financial penalties.

Deadly Explosions Caused by Violations of the Pipeline Safety Act (DOT OIG)

On September 13, 2018, the cities of Lawrence, North Andover, and Andover in the Merrimack Valley area of Massachusetts experienced deadly gas-line explosions. The explosions set nearly 70 homes on fire, forcing thousands of evacuations. The explosions seriously injured nearly two dozen people and fatally injured another. An investigation found that in the process of replacing aging pipeline infrastructure, Columbia Gas of Massachusetts (Columbia Gas) violated the National Gas Pipeline Safety Act and recklessly disregarded known safety risks to focus on timely completion of construction projects to maximize earnings. The U.S. Attorney reached a plea agreement with Columbia Gas and the company subsequently pled guilty. On June 23, 2020, Columbia Gas was sentenced to a criminal fine of \$53,030,116 (the largest Federal criminal fine imposed under the Pipeline Safety Act) and a 3-year term of probation. During its probation period, the company will be required to employ an in-house compliance monitor to oversee their compliance with the recommendations of the National Transportation Safety Board and applicable laws and regulations. The term of probation will continue until the company is sold to a qualified buyer, meeting the terms required by the court. DOT OIG conducted this investigation with the FBI with substantial assistance from the Pipeline and Hazardous Materials Safety Administration; Massachusetts State Police, Fire and Explosion Investigation Section; and Lawrence Fire Department.

Bribery Scheme Results in Guilty Pleas (PBGC OIG)

PBGC OIG completed an investigation into a bribery scheme, in which the now former Procurement Director accepted cash, gifts, and the promise of a future job from a government contractor in exchange for steering professional service contracts to the company. As a result of the investigation, the former Procurement Director and two of the senior officers of the government contractor plead guilty to conspiring to bribe a government official. PBGC OIG found the Procurement Department (PD) administered the Cost-Plus-Award-Fee (CPAF) contract in a manner inconsistent with the Federal Acquisition Regulations (FAR) by not designing performance metrics for key factors required for an aggregate measure of performance. Based on the absence of support for all required elements, \$5.1 million for award fees paid under the contract were identified as unsupported; \$175,839 in questioned costs were also noted.

Combating Phone Scams (SSA OIG)

Responding to a deluge of 1.2 million complaints received over the past two fiscal years involving SSA-related phone impersonation schemes, the Social Security Administration began investigating the connections between scammers and consumers. The investigation, conducted jointly with the Department of Justice’s (DOJ) Transnational Elder Fraud Strike Force, found vulnerabilities in the U.S. telecommunications (telecom) network, particularly in relation to “gateway” carriers, which serve as the entry point for foreign-initiated calls into the U.S. telecommunications system. In January 2020, DOJ filed civil actions in two “landmark cases” against five telecom companies and their owners in the Eastern District of New York; these companies alone were responsible for facilitating millions of fraudulent robocalls every day from foreign call centers into the U.S. telecommunications system, and ultimately to the personal phones of victims in the U.S. The civil actions triggered injunctive relief to prevent the companies from continuing to pass scam calls to consumers. Investigative efforts have also resulted in significant disruption of the money-mule networks that receive and launder scam proceeds. For example, in one case, a husband-and-wife team operating in South Carolina were indicted in the U.S. District Court for the Northern District of Georgia for their role in stealing over a half million dollars from victims. The couple utilized false identification documents to receive packages of cash shipped by victims defrauded by the Social Security imposter scam. Each pleaded guilty to money laundering. With over 20 other investigations underway, SSA OIG continues to aggressively pursue and dismantle these criminal networks.

Foster Grandparent Program Irregularities (CNCS OIG)

The Corporation for National and Community Service (CNCS), Office of Inspector General (CNCS-OIG) investigated allegations that two employees of Our Lady of Lourdes (OLL) Foster Grandparent Program (FGP), located in Camden, NJ, altered the Criminal History Checks of FGP volunteers in advance of a CNCS monitoring visit. Investigators found that two employees altered and fabricated the CHCs of 46 FGP volunteers, allowing these volunteers to serve the community without assurance that they were not convicted murderers or sex offenders. A subsequent review showed none of the 46 individuals had a disqualifying criminal history. Also, CNCS-OIG noted irregularities in recording stipend hours, particularly during summer months for FGP volunteers. Specifically, there appeared to be numerous dates on which stipend hours were billed even though the service site at which the volunteer was purportedly working was not open. There also were numerous volunteer timesheets that appeared to have been altered to reflect a change in hours served. This matter was referred to the United States Attorney’s Office for the Eastern District of Pennsylvania, who pursued this matter with the United States Attorney’s Office for the District of New Jersey under the Civil False Claims Act. OLL entered into a settlement agreement with the United States and paid \$1,143,881.19. Subsequently, a former employee of OLL was debarred from participation in all Federal procurement and non-procurement transactions for a period of three years.

Recipients of the 2020 Annual CIGIE Awards

On October 13, 2020, the Inspector General (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 Office of Inspector General (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. The following list contains 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 Health and Human Services, Oversight of Migrant Children in HHS Custody Team, in recognition of comprehensive and multifaceted oversight that improved safety and wellbeing of migrant children in custody of the Department of Health and Human Services.

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, DOT-OIG Air Carrier Safety Oversight Team, in recognition of helping to restore public confidence in FAA's ability to consistently and effectively oversee air carrier maintenance programs.

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:

U.S. Department of Justice, Kelly McFadden, Director, Financial Statement Audit Office, in recognition of outstanding leadership in simplifying the government wide financial reporting model, including by eliminating agency Closing Package Financial Statement Audits and integrating them into General Purpose Financial Statement Audits.

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 (both deceased), who were considered by many to be the forefathers of the IG Act. It was presented to:

U.S. Department of Veterans Affairs, Failures Implementing Aspects of the VA Accountability and Whistleblower Protection Act of 2017 Team, in recognition of the team's meaningful contributions to furthering Congress's goals of protecting whistleblowers and enhancing the accountability of VA officials for misconduct and poor performance.

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

U.S. Department of Justice, U.S. Department of Health and Human Services Office of the Inspector General, Emergency Support Function 13, COVID19 Response Team, in recognition of their contribution to the United States government's effort to combat the COVID19 pandemic as part of Emergency Support Function 13, and in recognition of their courage and sacrifice in heeding the call to service.

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

U.S. Department of Defense, Glenn A Fine, Former Principal Deputy Inspector General Performing the Duties of the Inspector General, in recognition of more than 20 years of service and leadership in the IG community that produced vital oversight of critical programs, advanced independence of IGs, increased transparency, and helped improve inspector general communities.

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:

U.S. Department of Health and Human Services , Insys, in recognition of outstanding work investigating and prosecuting a firstofits kind criminal case against an opioid manufacturer and its executives.

Accomplishments Overview

Together, CIGIE’s member OIGs achieved considerable potential cost savings for programs government wide in FY 2020. 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. FY2020 Performance Profile: IG Community Accomplishments	
Recommendations: Funds Be Put to Better Use	\$16,495,965,958
Recommendations Agreed to by Management: Funds Be Put to Better Use	\$21,525,535,696**
Recommendations: Questioned Costs	\$16,772,781,337
Recommendations Agreed to by Management: Questioned Costs	\$5,812,512,002**
Investigative Receivables and Recoveries	\$19,731,651,945
Successful Criminal Prosecutions	3,467
Indictments and Criminal Information	4,082
Successful Civil Actions	1,266
Suspensions and Debarments	4,146
Personnel Actions	3,687

***Totals include amounts identified in prior years but not agreed to until FY 2020. Prior reporting only included amounts identified and agreed to in the same fiscal year (which for FY 2020 would have been \$5,505,760,642 in Funds for Better Use and \$3,173,753,422 in Questioned Costs).*

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, de-obligating 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 2020	\$16,495,965,958	\$21,525,535,696**
FY 2019	\$14,604,979,396	\$4,819,651,105
FY 2018	\$21,108,997,187	\$8,740,980,050
FY 2017*	\$22,108,497,297	\$7,462,708,570*
FY 2016	\$22,652,457,701	\$15,997,994,770
FY 2015	\$31,445,225,376	\$17,705,315,967
FY 2014	\$51,588,190,596	\$9,514,990,528
FY 2013	\$44,941,949,156	\$31,983,770,454

*FY 2017 amounts do not account for DCAA audit results not conducted on behalf an OIG, as prior years have included.

**Totals include amounts identified in prior years but not agreed to until FY 2020. Prior reporting only included amounts identified and agreed to in the same fiscal year (which for FY 2020 would have been \$5,505,760,642).

Table 5. Questioned Costs

Reporting Year	Amount of Questioned Costs	Amount of Recommendations Agreed to by Management
FY 2020	\$16,772,781,337	\$5,812,512,002**
FY 2019	\$14,629,218,186	\$ 7,604,257,934
FY 2018	\$12,901,148,798	\$3,669,272,503
FY 2017*	\$10,560,234,785	\$2,792,883,772*
FY 2016	\$17,717,970,095	\$9,214,046,309
FY 2015	\$16,657,413,296	\$8,586,364,314
FY 2014	\$14,209,307,260	\$4,289,324,798
FY 2013	\$35,122,368,188	\$5,408,270,493

*Beginning in FY 2017, amounts do not account for DCAA audit results not conducted on behalf an OIG, as prior years have included.

**Totals include amounts identified in prior years but not agreed to until FY 2020. Prior reporting only included amounts identified and agreed to in the same fiscal year (which for FY 2020 would have been \$3,173,753,422).

Investigation-Related Accomplishments

The following categories 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 following investigative statistics 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 2020	\$6,967,183,004	\$12,764,468,941	\$19,731,651,945
FY 2019	\$6,959,697,791	4,623,055,232	11,582,753,023
FY 2018	\$13,660,516,149	\$1,673,589,091	\$15,343,105,240
FY 2017	\$19,095,404,779	\$2,850,917,741	\$21,946,322,520
FY 2016	\$8,702,641,738	\$11,203,019,896	\$19,905,661,607
FY 2015	\$7,295,377,088	\$2,980,458,582	\$10,275,835,670
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

*This amount includes more than \$27 billion reported by the OIG members of the Residential Mortgage Backed Securities Working Group whose work obtained judicial settlements with several financial institutions responsible for misconduct contributing toward the financial crises involving the pooling of mortgage loans.

Successful Criminal Prosecutions are included as follows 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 2020	2,798	669	3,467
FY 2019	4,776	868	5,644
FY 2018	3,520	451	3,971
FY 2017	3,534	849	4,383
FY 2016	3,917	977	4,894
FY 2015	4,778	775	5,553
FY 2014	5,116	779	5,895
FY 2013	5,956	749	6,705

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 2020	3,165	917	4,082
FY 2019	3,643	548	4,191
FY 2018	3,931	531	4,462
FY 2017	3,786	963	4,749
FY 2016	4,139	981	5,120
FY 2015	4,890	827	5,717
FY 2014	4,656	865	5,521
FY 2013	6,027	772	6,799

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 Program Fraud Civil Remedies Act, 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 2020	949	317	1,266
FY 2019	985	303	1,288
FY 2018	969	191	1,160
FY 2017	1,304	167	1,471
FY 2016	1,305	275	1,580
FY 2015	1,533	328	1,861
FY 2014	1,676	151	1,827
FY 2013	1,249	147	1,396



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 2020	2,943	1,203	4,146
FY 2019	3,388	664	4,052
FY 2018	3,528	257	3,785
FY 2017	4,131	491	4,622
FY 2016	6,101	347	6,448
FY 2015	6,813	431	7,244
FY 2014	4,976	219	5,195
FY 2013	5,664	201	5,865

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 2020	3,570	117	3,687
FY 2019	3,949	206	4,155
FY 2018	4,543	121	4,664
FY 2017	2,953	1,133	4,086
FY 2016	4,201	114	4,315
FY 2015	4,382	119	4,501
FY 2014	3,884	104	3,988
FY 2013	4,091	122	4,213

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Appendix B: Acronyms and Abbreviations

CI.....	Criminal Investigator
CIGIE Council.....	Council of the Inspectors General on Integrity and Efficiency
CFO Council.....	Chief Financial Officers Council
CJIS.....	Criminal Justice Information Services
DATA Act.....	Digital Accountability and Transparency Act of 2014
DCAA.....	Defense Contract Audit Agency
DDM.....	Deputy Director for Management
ECIE.....	Executive Council on Integrity and Efficiency
FAEC.....	Federal Audit Executive Council
FBI.....	Federal Bureau of Investigation
FISMA.....	Federal Information Security Management Act of 2002
FY.....	Fiscal Year
GAO.....	Government Accountability Office
I&E.....	Inspection and Evaluation
IG.....	Inspector General
IG Act.....	Inspector General Act of 1978
IGEA.....	Inspector General Empowerment Act of 2016
IT.....	Information Technology
OIG.....	Office of Inspector General
OMB.....	Office of Management and Budget
PCIE.....	President’s Council on Integrity and Efficiency
SES.....	Senior Executive Service

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