



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



# Progress Report to the President

Fiscal Year 2015

# Fiscal Year (FY) 2015 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 2015, approximately 13,000 employees at 73 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 \$36.6 billion. With the OIG community's aggregate FY 2015 budget of approximately \$2.7 billion, these potential savings represent about a \$14 return on every dollar invested in the OIGs. The potential savings total includes:

**\$26.3 billion in potential savings** from audit recommendations agreed to by management, and

**\$10.3 billion** from investigative receivables and recoveries.

In FY 2015, OIGs also considerably strengthened programs through:

- **6,079** audit, inspection, and evaluation reports issued;
- **24,246** investigations closed;
- **545,504** hotline complaints processed;
- **5,717** indictments and criminal informations;
- **5,553** successful prosecutions;
- **1,861** successful civil actions;
- **7,244** suspensions or debarments; and
- **4,501** personnel actions.

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# Foreword

On behalf of the members of the Council of the Inspectors General on Integrity and Efficiency (CIGIE or Council), we are pleased to present A Progress Report to the President, Fiscal Year 2015. 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 2015, 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 2015, CIGIE continued to meet these missions, and through this report, we present CIGIE’s accomplishments in FY 2015 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 2015. Then, in **Strategic Plan Business Goal Accomplishments**, we describe CIGIE’s accomplishments under FY 2015’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 **2015 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 13,000 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 73 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 73 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 2015, 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. 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
Mary Mitchelson, Corporation for Public Broadcasting	Audit Committee Chair <sup>1</sup>
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
Carl W. Hoecker, U.S. Securities and Exchange Commission	Investigations Committee Chair
Kathy A. Buller, Peace Corps	Legislation Committee Chair
David A. Montoya, Department of Housing and Urban Development	Professional Development Committee Chair
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. Jon T. Rymer, Department of Defense’s IG (resigned), Chaired the Audit Committee in FY 2015.

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 2015, CIGIE’s committees undertook a variety of noteworthy projects to benefit the OIG community.

**Table 2. FY 2015 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2015 Accomplishments
<p><b>Audit</b> — Provides leadership to, and serves as a resource for, the Federal audit community. Sponsors and coordinates audits that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG audit activities, and provides oversight of auditor training.</p>	<ul style="list-style-type: none"> <li>• Continued administration of CIGIE’s audit peer review program to promote OIG compliance with GAO’s <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>.</li> <li>• Revised CIGIE’s <i>Guide for Conducting External Quality Control Reviews of the Audit Operations of Offices of Inspector General</i> to reflect recent revisions related to financial audit and attestation standards in <i>Government Auditing Standards</i>.</li> <li>• Represented the IG community in initiatives and workgroups on various issues, including DATA Act implementation planning, improper payments, grant reform, information security, cross-cutting project proposals, and accounting and auditing policies.</li> <li>• Participated in the Office of Personnel Management’s priority initiative to close critical skills gaps in the Federal workforce, including within the auditor job series.</li> <li>• Sponsored training and development for the audit community with the CIGIE Training Institute’s Audit, Inspection, and Evaluation Academy, as well as co-hosted the annual Financial Statement Audit Conference.</li> <li>• Oversaw CIGIE’s annual financial audit.</li> </ul>
<p><b>Budget</b> — Provides leadership in the development of the Council’s annual Congressional appropriation request 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"> <li>• Developed FY 2017 budget options after soliciting input from the IG community; presented proposed FY 2017 budget to membership for discussion and approval.</li> <li>• Developed CIGIE’s request to OMB for a direct appropriation of \$7.9 million in FY 2017; met with OMB Controller and staff to discuss request.</li> <li>• Submitted appeal to OMB upon denial of CIGIE’s request for a direct appropriation.</li> </ul>

**Table 2. FY 2015 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2015 Accomplishments
<p><b>Information Technology (IT)</b> — Facilitates effective OIG information technology audits, inspections, evaluations, and investigations, and provides a vehicle for expressing the IG community’s perspective on Governmentwide IT operations.</p>	<ul style="list-style-type: none"> <li>• Coordinating with OMB, DHS, and NIST, completed project work to develop a maturity model for information security continuous monitoring for the FY 2015 OIG FISMA evaluations, which helps ensure consistency across the OIGs in their annual FISMA reviews.</li> <li>• Worked with OMB to ensure that the implementation of new Chief Information Officer (CIO) enhancements mandated by the Federal Information Technology Acquisition Reform Act of 2014 did not impact the independence of the OIGs with respect to personnel, procurement, and budget.</li> <li>• Provided comments and recommendations to the following entities and their documents:               <ul style="list-style-type: none"> <li>• to OMB on proposed revisions to OMB Circular A-130, <i>Managing Information as a Strategic Resource</i> and its appendices,</li> <li>• to the Federal CIO on draft guidance on <i>Improving Cybersecurity Protections in Federal Acquisitions</i>, and</li> <li>• to the CIGIE Legislation Committee on the <i>Proposed Fraud Reduction and Data Analysis Act of 2015</i>.</li> </ul> </li> <li>• Initiated a cross-cutting project on the security of Web applications to determine the extent and efficiency of agency efforts to identify, assess, and mitigate vulnerabilities on publicly accessible Web applications and, where appropriate, assess efforts to control or reduce the number of publicly accessible Web applications.</li> <li>• Established a working group to address possible data analytics options for CIGIE to consider in light of the sunset of the Recovery Accountability and Transparency Board and its Recovery Operations Center (ROC) and to address a recommendation made by GAO in a September 2015 report that suggested that Congress may wish to consider directing CIGIE to develop a legislative proposal to reconstitute the essential capabilities of the ROC to help ensure Federal spending accountability.</li> </ul>
<p><b>Inspection and Evaluation (I&amp;E)</b> — Provides leadership to, and serves as a resource for, the Federal IG I&amp;E community. Sponsors and coordinates inspections and evaluations that address multi-agency or Governmentwide issues, develops and maintains professional standards for OIG I&amp;E community activities, and provides oversight of I&amp;E training.</p>	<ul style="list-style-type: none"> <li>• Worked on the following peer review initiatives:               <ul style="list-style-type: none"> <li>• Completed the third and final round of the pilot Peer Review process,</li> <li>• Undertook an ongoing evaluation of the pilot process (to be delivered in the spring of 2016), and</li> <li>• Drafted the formal guidance for conducting Inspection and Evaluation Peer Reviews.</li> </ul> </li> <li>• Through the Inspection and Evaluation Training Workgroup, supported the CIGIE Training Institute’s Audit, Inspection, and Evaluation Academy to meaningful training, including:               <ul style="list-style-type: none"> <li>• Developed the first Inspection and Evaluation Fundamentals course and presented the pilot; improvements were made based on the pilot and three iterations are scheduled for 2016, and</li> <li>• Conducted two Inspection and Evaluation learning forums, Work Planning for Evaluations and Project Management for IG Inspections and Evaluations, which will continue into 2016.</li> </ul> </li> </ul>



**Table 2. FY 2015 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2015 Accomplishments
<p><b>Investigations</b> — Advises the IG community on issues involving criminal investigations, investigative personnel, and investigative standards and guidelines.</p>	<ul style="list-style-type: none"> <li>• Reviewed and provided education and recommendations to help resolve Inspector General investigative issues.</li> <li>• Formed a Law Enforcement Authority (LEA) Working Group that reviewed the requirements of OIGs LEA and briefed the committee.</li> <li>• Studied the feasibility of creating a central database wherein OIGs could upload and review limited information on individual subjects or business subjects under investigation. The primary purposes of this system are investigative de-confliction and collaboration, identifying patterns of fraud and wrongdoing, and allowing for more effective background checks related to OIG investigations.</li> <li>• Through its Assistant Inspector General for Investigations Working Group and the Director of the IG Criminal Investigator Academy, reviewed the <i>Final Report of the President's Task Force on 21st Century Policing</i> in preparation of the working group participation in the Federal Law Enforcement's Training Center's planned 21st Century Policing Initiative Summit, which will include trainers and representatives from academia, state and local law enforcement, community groups, and businesses.</li> <li>• Continued to review and assess CIGIE's <i>Quality Standards for Investigations</i> and peer review guidelines to prepare recommended changes addressing various criminal, civil, and administrative investigations conducted by OIGs and the applicability of the investigative peer review process and standards to all forms of investigative type work.</li> <li>• Continued to update the CIGIE Peer Review training program to better enable members of review teams to perform their duties when they are assigned a peer review.</li> </ul>
<p><b>Legislation</b> — 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.</p>	<ul style="list-style-type: none"> <li>• Relayed to Congress its concern with the undue burden on IGs and inherent risks for IG independence associated with adherence to the Computer Matching and Privacy Protection Act and the Paperwork Reduction Act.</li> <li>• Provided technical assistance to Congress that addressed the access-denying effects of an opinion from the Office of Legal Counsel at the Department of Justice, mainly through each chamber's legislative initiatives of S. 579 and H.R. 2395.</li> <li>• Informed Congress about the benefits to IG oversight of being granted the authority to issue subpoenas for testimony in accordance with oversight responsibilities set forth in the IG Act, as amended.</li> <li>• Advised Congress on the need to protect sensitive but unclassified information related to agency information security vulnerabilities from public release under the Freedom of Information Act.</li> <li>• Furnished information to Congress on amendments to the Program Fraud Civil Remedies Act (PFCRA), which would increase the use of the statute and deter fraud.</li> </ul>

**Table 2. FY 2015 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2015 Accomplishments
<p><b>Professional Development</b> — Provides educational opportunities for members of the IG community and supports the development of competent personnel. Seeks opportunities to improve training methods, enhance the development of OIG staff, and establish training to meet continuing education requirements.</p>	<ul style="list-style-type: none"> <li>• Contributed to the 2015 Internal Control and Fraud Prevention Training hosted by the Association of Government Auditors (AGA), September 15-16, 2015, through the efforts of the committee’s chairman to co-chair the steering committee that organized and developed this annual conference, which included valuable information for participants such as fraud detection, data analytics, shared services, improper payments, DATA Act updates, procurement fraud prevention, combating data breaches, and risks with government payment cards.</li> <li>• Through the support, guidance, and leadership of the PDC, the CIGIE Training Institute held 85 classes and 5 learning forums, combining for a total of 2,471 OIG students trained.</li> <li>• Enabled a paper from one of its academy directors titled <i>Preventing and Mitigating Blue-On-Blue Confrontations: A Training Model for Plainclothes and Uniformed Officers</i>, which discussed training and policy considerations on how to prevent or handle a sudden armed confrontation between law enforcement officers.</li> </ul>
<p><b>Integrity</b> — Provides an investigative mechanism for allegations of administrative misconduct brought against IGs and their designated senior staff members. Reviews allegations and, when necessary, refers them for investigation either to the agency with jurisdiction or to an investigative team that is selected and supervised by the Committee’s Chair.</p>	<p>Received 65 allegations:</p> <ul style="list-style-type: none"> <li>• Closed: 60</li> <li>• Referred to the Committee’s Chair for investigation: 0</li> <li>• Pending review: 5</li> </ul>

# Strategic Plan Business Goal Accomplishments

During the fiscal year, 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 three major business goals and supporting objectives. These goals are: (1) deliver timely, relevant products that identify and address cross-government vulnerabilities, opportunities for improvements, and best practices; (2) promote and improve professional development for the IG community; and (3) improve CIGIE capacity to carry out its mission and vision. The following information reflects CIGIE's accomplishments during fiscal year FY 2015 under each of these goals.

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

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During FY 2015, the Council approved its annual performance plan associated with its 5-year Strategic Plan to track goals, objectives, and performance measures. In addition, CIGIE commissioned or continued the following six cross-cutting studies and projects:

- **Federal Grants Reporting Systems** – The CIGIE Grant Reform Working Group established a project to undertake OIG community testing on the controls and processes of the new labor effort reporting systems for Federal grant recipients piloted by four institutions. Thirteen OIGs have oversight responsibilities for the four institutions in the pilot, including the National Science Foundation (NSF), the Department of Health and Human Services (HHS), the National Aeronautics and Space Administration (NASA), and the Departments of Energy, Agriculture, and Defense. The labor effort reporting system reviews are being conducted by cross-teaming from the NSF and HHS OIGs. To date, two of the four reviews have been completed.
- **Maturity Model for Continuous Monitoring under the Federal Information Security and Management Act (FISMA)** – The CIGIE IT Committee established a working group to develop a maturity model for continuous monitoring under FISMA to (1) summarize the status of agencies' information security programs and their maturity on a 5-level scale; (2) provide transparency to agency chief information officers and top management officials about what has been accomplished and what still needs to be implemented to move the information security program to the next maturity level, and (3) help ensure consistency across the OIGs in their annual FISMA reviews. The maturity model was completed and issued on May 27, 2015.
- **Assessment Framework for the Protection of Critical Research, Development, and Acquisition (RDA) Information and Programs** – A CIGIE working group was established to evaluate how OIGs assess the protection of RDA in selected agencies given the Federal government's \$8.3 billion investment in RDA initiatives. The assessment tool will be designed to provide a Governmentwide framework to review policies and practices associated with protecting critical RDA information and programs and to assess whether existing procedures ensure protection of critical RDA information and programs. The assessment framework is expected to be issued by September 30, 2015.
- **Assessment of the 2013 Disaster Relief Appropriation Act** – A CIGIE working group was established in August 2015 to compile Federal participant entities' 2013 Disaster Relief Appropriation Act funding and expenditures and evaluate OIG oversight of the funds to identify common concerns and develop recommendations to improve oversight and enhance

collaboration.

- **Security of Publicly Accessible Government Web Applications** – The CIGIE IT Committee established a working group in June 2015 to examine the controls in place to manage and secure the Federal Government’s publicly accessible Web applications. Specifically, the working group will assess the effectiveness of efforts across the Federal Government to secure publicly accessible web applications to (1) determine the extent and efficacy of agencies’ efforts to identify and assess vulnerabilities on publicly accessible Web applications and mitigate the most severe vulnerabilities and (2) where appropriate, assess efforts to control or reduce the number of publicly accessible web applications. The goal of this effort is to improve the security and management of the Federal Government’s publicly accessible Web applications and identify opportunities to reduce vulnerability to breaches that could result in loss of sensitive data or seriously impair agency operations.
- **Target Share Feasibility Study** – The CIGIE Investigations Committee formed a working group in early 2015 to study the feasibility of OIGs sharing limited information on subjects under investigation. Target Share’s goal is to create efficiencies by sharing information and reducing redundancy in OIG investigative efforts. The working group is exploring technical issues and legal and legislative barriers to determine the feasibility of developing a pilot program.

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

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In FY 2015, CIGIE continued to provide quality training to the IG community and finalized its annual training plans for FY 2016. In order to ensure its training programs continue to be of the highest quality and relevance, CIGIE maintains a robust training evaluation process. Evaluations received during the year indicate a 98 percent positive score from participants. Additionally, in an effort to build upon its successes in this area, CIGIE continued implementation of its Training Institute strategic framework, which is a roadmap for providing quality instruction, achieving accreditation for CIGIE training programs, and developing curricula that are aligned with OIGs’ missions and that support emerging OIG community needs and Training Institute-wide instructional processes.

CIGIE continued to focus much of its training efforts on developing and providing leadership and management training programs, which were subsequently well received by the OIG community, whereas 296 participants were trained. 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, 85 training programs were attended by 2,182 OIG professionals by the end of FY 2015.

In FY 2015, CIGIE delivered five 7-day introductory audit training programs to 150 new auditors from OIGs throughout the government. This program covered topics ranging from government auditing standards to writing skills. Additionally, CIGIE developed and piloted a 4½ day Inspection and Evaluation Fundamentals training program for the Federal Inspector General community. CIGIE provided several other training programs to IG members’ audit, inspection, and evaluation personnel, including 5 critical thinking skills classes, 17 writing classes, and several other training programs. In total, these programs trained nearly 1,200 OIG personnel and prepared new staff for their professional responsibilities.

CIGIE also provides training to OIG investigators. In FY 2015, 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 689 students representing nearly every Federal OIG, in addition to agents from State and local entities.

CIGIE continually focuses efforts on the quality, effectiveness, and integrity of its training courses and programs. In early October 2015, the Training Institute received the National Association of



State Boards of Accountancy's (NASBA) certification for its auditor and I&E 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.

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

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In FY 2015, 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 Audit, Inspection, and Evaluation Committee and its Investigations Committee continued to ensure that the quality standards for those professions were current and that changes are made when necessary during the year. CIGIE also continued its efforts towards reviewing and updating, when necessary, its quality assessment peer review guides.

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, data analytics working group, inspections and evaluations roundtable, and a disaster assistance working group. These working groups shared information across the OIG community that contributed to advancing effective operations.

CIGIE implemented additional information security policies and procedures in preparation for review of its systems that will be scheduled to be conducted in FY 2016. Upon the employment, through reimbursable detail, of an Information Technology (IT) specialist, CIGIE will work to schedule its first information security management review. Additionally, CIGIE began discussions with member IG offices to work towards taking on a collaborative Web site and incorporate a wider scope into the CIGIE's online presence.

CIGIE began to initiate planning for its next five-year strategic plan. Throughout the year, CIGIE evaluated its current program and responsibilities to assist in formulating its plan forward. With this information, CIGIE will continue its planning and subsequently develop a five-year strategic plan to succeed its first five-year strategic plan that carries CIGIE through fiscal year 2017.

CIGIE began to further leverage technology in its Training Institute program area through the planning and obtaining of a student information management system that will provide automated registration and automated evaluation system. This system will assist in streamlining these processes for CIGIE and provide for better tracking of the Institute's programs to lay a foundational platform for future growth into online learning. Additionally, CIGIE continues to efficiently administer its financial resources as reflected through its FY 2015 Financial Statement audit, in which an unmodified opinion was received.

In addition to these accomplishments, CIGIE met all of its statutory responsibilities, including:

- Coordinating OIG activities Governmentwide, 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 Web sites for the benefit of the public, stakeholders, and the OIG community;
- Preparing and transmitting the Annual Progress Report to the President;

- 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 CIGIE. 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 OMB on matters of interest to the community. Congress has recently demonstrated interest in considering measures strengthening IG independence and authority to effectively carry out their oversight mission. During FY 2015, Congress actively debated legislation that would enhance the ability of IGs to combat waste, fraud, and abuse within their agency's programs and operations. Much of that debate has been associated with S. 579, the Inspector General Empowerment Act of 2015, in the Senate and H.R. 2395, the Inspector General Empowerment Act of 2016, in the House. The Legislation Committee continues to advise Congress on those and other legislative proposals that enhance the work of IGs, provide technical guidance on legislation to address issues of interest to the IG community, and assist with other Congressional requests pertaining to the programs and operations the IG community oversees.

At the core of effective IG oversight is the ability of the inspectors general to perform their mission in a timely and independent manner, as well as to have access to all records and information available to the agencies they oversee. On July 20, 2015, the Office of Legal Counsel (OLC) at the Department of Justice (DOJ) issued an opinion that restricts the DOJ/IG's independent access to grand jury, wiretap, and credit information in DOJ's possession that is necessary to DOJ/IG's oversight. The OLC's restrictive reading of the IG Act creates a serious challenge to the authority of every IG and our collective ability to have the timely and independent access to agency records that is central to our ability to uphold the oversight principle at the core of the IG Act. At the behest of both houses of Congress, the CIGIE Legislation Committee provided technical assistance addressing the access-denying effects of the OLC opinion, mainly through each chamber's respective legislative initiatives: S. 579 and H.R. 2395.

Further, the IG community prioritizes legislative efforts that enhance the effectiveness and independence of IG oversight. During the reporting period, the Legislation Committee expressed to Congress its concern with the undue burden on IGs and inherent risks for IG independence associated with adherence to the Computer Matching and Privacy Protection Act and the Paperwork Reduction Act. Both laws require that IGs seek approvals from agency officials and/or OMB to perform OIG reviews covered by the statutes. CIGIE also informed Congress about the benefits to IG oversight of being granted the authority to issue subpoenas for testimony in accordance with oversight responsibilities set forth in the IG Act, as amended. Proposals addressing the OLC opinion, IG independence, and testimonial subpoena authority were included in both S. 579 and H.R. 2395. An additional IG community priority being considered in the Senate bill is CIGIE's position on the appropriate use of paid or unpaid non-duty status in cases involving an IG, which again arises from fundamental independence concerns. The CIGIE Legislation Committee has also provided information to Congress on the need to protect sensitive but unclassified information related to agency information security vulnerabilities from public release under the Freedom of Information Act and provided information on amendments to the Program Fraud Civil Remedies Act, which would increase the use of the statute and deter fraud. However, these legislative priorities are not currently addressed in proposed legislation.

Throughout FY 2015, the Legislation Committee continued to monitor and provide IG community views to stakeholders concerning Governmentwide transparency and accountability frameworks, as well as the detection and prevention of fraud, waste, and abuse in Government programs and

operations. The Legislation 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. For example, the Legislation Committee provided technical guidance for bills concerning fraud reduction, the use of data analytics to assess fraud risks and to identify and prevent fraud, prevention of improper payments to deceased people, and whistleblower rights and remedies.

Beyond technical guidance on legislative initiatives, the Legislation Committee also developed training for new and existing Members of Congress and their staff to introduce trainees to the roles and authorities of IGs and best practices for working with IGs. The training also introduces Members and their staff to the IG Act, as amended, common technical terminology used in legislation and Congressional requests, and factors for a successful relationship between Congress and the IG community. The training will help Congress to better tailor its requests and legislative initiatives to fulfill its oversight goals, while efficiently using the resources available to the IG community to keep Congress currently and fully informed.

# 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 2015:

- **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 2015. 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 2015 Performance Profile: IG Community Accomplishments	
Recommendations Agreed to by Management: Funds Be Put to Better Use	\$17,705,315,967
Recommendations Agreed to by Management: Questioned Costs	\$8,586,364,314
Investigative Receivables and Recoveries	\$10,275,835,670
Successful Criminal Prosecutions	5,553
Indictments and Criminal Informations	5,717
Successful Civil Actions	1,861
Suspensions and Debarments	7,244
Personnel Actions	4,501

## 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 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 2012	\$61,956,640,547	\$25,466,666,873
FY 2011	\$101,236,877,704*	\$74,367,073,339*

\* 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 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
FY 2012	\$12,810,083,550	\$10,475,824,965
FY 2011	\$17,236,755,075	\$10,422,761,199

### 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 2015	\$7,295,377,088	\$2,980,458,582	<b>\$10,275,835,670</b>
FY 2014	\$28,739,457,754	\$3,973,561,271	<b>\$32,713,019,025*</b>
FY 2013	\$6,156,153,069	\$8,660,495,989	<b>\$14,816,649,058</b>
FY 2012	\$6,409,334,081	\$4,022,258,309	<b>\$10,431,592,390</b>
FY 2011	\$4,823,839,722	\$4,297,951,776	<b>\$9,121,791,498</b>

\* 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.

<b>Table 7. Successful Criminal Prosecutions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	<b>Total</b>
FY 2015	4,778	775	<b>5,553</b>
FY 2014	5,116	779	<b>5,895</b>
FY 2013	5,956	749	<b>6,705</b>
FY 2012	4,695	679	<b>5,374</b>
FY 2011	5,531	500	<b>6,031</b>

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

<b>Table 8. Indictments and Criminal Informations</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	<b>Total</b>
FY 2015	4,890	827	<b>5,717</b>
FY 2014	4,656	865	<b>5,521</b>
FY 2013	6,027	772	<b>6,799</b>
FY 2012	5,822	847	<b>6,669</b>
FY 2011	5,878	647	<b>6,525</b>

**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.

<b>Table 9. Successful Civil Actions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	<b>Total</b>
FY 2015	1,533	328	<b>1,861</b>
FY 2014	1,676	151	<b>1,827</b>
FY 2013	1,249	147	<b>1,396</b>
FY 2012	954	115	<b>1,069</b>
FY 2011	878	85	<b>963</b>



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

<b>Table 10. Suspensions and Debarments</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	<b>Total</b>
FY 2015	6,813	431	<b>7,244</b>
FY 2014	4,976	219	<b>5,195</b>
FY 2013	5,664	201	<b>5,865</b>
FY 2012	5,440	365	<b>5,805</b>
FY 2011	5,329	308	<b>5,637</b>

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

<b>Table 11. Personnel Actions</b>			
Reporting Year	OIG Investigations	Joint OIG Investigations	<b>Total</b>
FY 2015	4,382	119	<b>4,501</b>
FY 2014	3,884	104	<b>3,988</b>
FY 2013	4,091	122	<b>4,213</b>
FY 2012	3,247	185	<b>3,432</b>
FY 2011	3,732	201	<b>3,933</b>

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## Appendix B: Acronyms and Abbreviations

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



## Recipients of the 2015 Annual CIGIE Awards

On October 22, 2015, 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:

**Social Security Administration's Improper Payment and Fraud Team**, in recognition of demonstrating, over the long term, exceptional leadership and maximizing resources through data analysis to address improper payments and fraud.

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

**U.S. Department of Agriculture's Wright County Egg Investigative Team**, in recognition of the extraordinary investigative efforts and interagency cooperation to prosecute violators of food safety standards and practices that resulted in a nationwide outbreak of salmonellosis that led to a recall of millions of eggs.

**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:

**Judith Oliveira, Director, Boston Audit Division, Social Security Administration OIG**, in recognition of leading CIGIE's efforts to ensure the OIG community complied with Executive Order 13520, the Improper Payments Elimination and Recovery Act of 2010 and the Improper Payments Elimination and Recovery Improvement Act of 2012.

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

**U.S. Department of Homeland Security's DHS OIG Audits Team - CBP Unmanned Aircraft Systems**, in recognition of the DHS OIG audit team's exemplary service and commendable effort in auditing U.S. Customs and Border Protection's (CBP) Unmanned Aircraft Systems.

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

**Special Inspector General for Afghanistan Reconstruction's Customs Audit and Investigations Team**, in recognition of courage, uncommon selflessness, and dedication to duty in conducting audit and investigative work in a kinetic environment to support the Afghan government in developing revenue collection capability leading to long term sustainability.

**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:

**Robert B. Peterson, Assistant Inspector General for Inspections (retired), U.S. Department of State OIG**, for sustained and significant contributions to the mission of the Office of Inspector General at the Department of State and Broadcasting Board of Governors for nearly three decades.

**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:

**CIGIE's Cloud Computing Initiative, consisting of personnel from multiple offices of inspector general, U.S. Department of Agriculture (project lead)**, in recognition of outstanding achievements in improving the integrity, efficiency, and effectiveness of executive branch agencies' operations in the critical realm of cloud computing.

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