

# Progress Report to the President

Fiscal Year 2011



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

# Fiscal Year (FY) 2011 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 2011, more than 14,700 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 almost **\$93.9 billion**. With the OIG community's aggregate FY 2011 budget of approximately \$2.7 billion, these potential savings represent about a \$35 return on every dollar invested in the OIGs. The potential savings total includes:

**\$84.8 billion in potential savings** from audit recommendations agreed to by management,\*  
and

**\$9.1 billion in potential savings** from investigative receivables and recoveries.

In FY 2011, OIGs also considerably strengthened programs through:

- ♦ 7,469 audit, inspection, and evaluation reports issued;
- ♦ 26,677 investigations closed;
- ♦ 473,870 hotline complaints processed;
- ♦ 6,525 indictments and criminal informations;
- ♦ 6,031 successful prosecutions;
- ♦ 963 successful civil actions;
- ♦ 5,637 suspensions or debarments; and
- ♦ 3,933 personnel actions.

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\* 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."

# Progress Report to the President

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Fiscal Year 2011



# Foreword

The Inspector General Reform Act of 2008 brought 69 individual Federal Inspectors General (IGs) and 6 integrity-related senior officials together as a community to form the Council of the Inspectors General on Integrity and Efficiency (CIGIE or the Council). In October 2010, Congress added 4 IGs from the intelligence community, thereby expanding the Council's membership to include this important oversight sector. 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 Government agencies, and to increase the professionalism and effectiveness of the IG workforce. In fiscal year (FY) 2011, CIGIE continued to meet these missions. CIGIE also issued its first 5-year strategic plan in August 2011, providing operational direction for the Council in carrying out its mission. In this report, we discuss CIGIE's FY 2011 accomplishments in achieving its mission, while continuing to build the necessary infrastructure as an independent Federal entity.

First, in **IG History**, we summarize the Council's history and some of the accomplishments of CIGIE's standing committees in FY 2011. Then, in **Strategic Plan Business Goal Accomplishments**, we describe CIGIE's accomplishments under FY 2011'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 provide **Contact Information for CIGIE Members**. Finally, we recognize the recipients of the most noteworthy **2011 CIGIE Awards**.

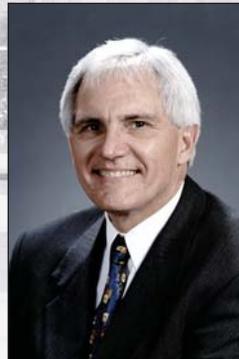
CIGIE's evolution into an important supporting institution for its members is strengthened by the efforts of leaders in the IG community; Congress; colleagues in the Office of Management and Budget (OMB) and the Government Accountability Office (GAO); other Federal agencies, law enforcement, and professional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

Most especially, we thank the over 14,700 professionals who make up the Federal IG community, whose tireless efforts continue to improve the economy, efficiency, and effectiveness of the Federal Government.



PHYLLIS K. FONG  
Chairperson

A handwritten signature in black ink that reads "Phyllis K. Fong".



CARL A. CLINEFELTER  
Vice Chairperson

A handwritten signature in black ink that reads "Carl A. Clinefelter".



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# IG History

## Background

The Inspector General Act of 1978, as amended (IG Act), consolidated the audit and investigative functions initially in 12 Cabinet-level agencies under their respective IGs. The IGs 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 IGs' 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, and financial institution).

Today, CIGIE has 73 IG members that provide audit and investigative oversight to agencies across the Government. 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 from both the Executive and Legislative branches, and 6 other Federal leaders as follows:

- ♦ 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 Jeffrey Zients, DDM, OMB, is CIGIE's Executive Chairperson.

In FY 2011, CIGIE was led by its elected Chairperson, Phyllis K. Fong, IG, U.S. Department of Agriculture (USDA); its Vice Chairperson, Carl A. Clinefelter, IG, Farm Credit Administration; and the members of the Executive Council (see Table 1 below).

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

**Table 1. FY 2011 CIGIE Executive Council**

Phyllis K. Fong, Department of Agriculture	Chairperson
Carl A. Clinefelter, Farm Credit Administration	Vice Chairperson
Jon T. Rymer, Federal Deposit Insurance Corporation	Audit Committee Chair
Gordon S. Heddell, <i>Department of Defense</i>	Information Technology Committee Chair
Kathy A. Buller, Peace Corps	Inspection and Evaluation Committee Co-Chair
Daniel R. Levinson, Department of Health and Human Services	Inspection and Evaluation Committee Co-Chair
Carl W. Hoecker, U.S. Capitol Police	Investigations Committee Chair
Peggy E. Gustafson, Small Business Administration	Legislation Committee Chair
Mary L. Kendall, Department of the Interior (Acting IG)	Professional Development Committee Chair
Gregory H. Friedman, Department of Energy	Past Vice Chair, President's Council on Integrity and Efficiency
Lynne A. McFarland, Federal Election Commission	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 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.

The Council's charter provides for six standing committees representing major OIG functions (audit, investigation, and inspection and evaluation) and areas of mutual concern (professional development, information technology, and legislation).

# CIGIE Committee Accomplishments

As shown below in Table 2, in FY 2011 CIGIE's committees undertook a variety of noteworthy projects to benefit the OIG community.

**Table 2. FY 2011 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2011 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>• Participated in a yearlong project to evaluate the successes of the Chief Financial Officers (CFO) Act of 1990 and recommended improvements.</li> <li>• Explored a proposal by OMB for CIGIE to manage the Federal Audit Clearinghouse and issued a white paper defining the roles CIGIE should play in Clearinghouse management.</li> <li>• Represented the IG community in initiatives and workgroups on various issues, including improper payments, information security, and accounting and auditing policies.</li> <li>• Represented the IG community on the Comptroller General's Advisory Council on Government Auditing Standards and participated in the 2011 revision GAO issued of the Government Auditing Standards (Yellow Book).</li> <li>• Continued to administer CIGIE's audit peer review program to promote OIG compliance with the Yellow Book.</li> <li>• Oversaw training for auditors and peer reviewers, as well as co-hosted the annual Financial Statement Audit Conference.</li> </ul>
<p><b>Information Technology</b>— Facilitates effective OIG information technology (IT) 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>• Explored cloud computing concerns and recommended contract language to provide for IG access to data.</li> <li>• Conducted a digital forensics survey on the IG community.</li> <li>• Provided comments on the issue of accreditation of all Federal forensic science service providers.</li> <li>• Drafted a revised checklist for assessing an OIG's conformity with computer forensic standards.</li> <li>• Facilitated discussions between the Department of Homeland Security and the IG community on requirements for the Trusted Internet Connections initiative.</li> </ul>
<p><b>Inspection and Evaluation</b>— Provides leadership to and serves as a resource for the Federal IG inspection and evaluation (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>• Revised CIGIE's "Quality Standards for Inspection and Evaluation" to clarify (1) the definitions of both inspections and evaluations; and (2) that OIGs conducting these reviews must conform to the standards and have written policies in place to implement them.</li> <li>• Worked with the new director of CIGIE's Audit, Inspections and Evaluations Academy to develop an I&amp;E training matrix.</li> </ul>



**Table 2. FY 2011 CIGIE Committee Accomplishments**

Committee and Purpose	FY 2011 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>▪ Developed and adopted “CIGIE Implementing Guidance for OIG Reporting of Peer Review Results in Semiannual Reports to Congress.”</li> <li>▪ Revised CIGIE’s “Quality Standards for Investigations” and “Quality Assessment Review Guidelines.”</li> <li>▪ Led a successful conference on suspension and debarment, with over 450 representatives from 60 agencies and OIGs attending.</li> <li>▪ Developed guidance and a template for memoranda of understanding for mutual law enforcement assistance.</li> <li>▪ Continued to support the CIGIE Investigator Academy.</li> <li>▪ Continued to administer CIGIE’s investigative peer review program.</li> </ul>
<p><b>Legislation</b>— Ensures that CIGIE is kept abreast of matters in the Congressional arena that are of interest to the IG community. Develops, coordinates, and represents the official IG community positions on legislative issues.</p>	<ul style="list-style-type: none"> <li>▪ Communicated with congressional committees about the IG community’s concerns over OIG roles, independence, and overlapping investigative authority related to certain legislative proposals.</li> <li>▪ Shared expertise in the development or amendment of legislation aimed at mitigating fraud, waste, and abuse in Federal agencies.</li> <li>▪ Provided information to congressional staff on the impact of legislative provisions that affect IGs.</li> <li>▪ Offered proactive recommendations on legislative drafts to represent CIGIE members’ interests.</li> <li>▪ Promoted technical amendments to the IG Reform Act of 2008, codifying CIGIE’s authority and clarifying OIGs’ website requirements.</li> </ul>
<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>▪ Participated in an ongoing update of the 2003 edition of CIGIE’s “Quality Standards for Federal Offices of Inspector General” (Silver Book).</li> <li>▪ Took part in a subject matter expert working group on SES performance management to ensure SES staff and the IG community’s needs are met.</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, supervised, and controlled by the Committee’s Chair.</p>	<p>Received 51 allegations:</p> <ul style="list-style-type: none"> <li>▪ Closed 22.</li> <li>▪ Referred 23 to the appropriate agency.</li> <li>▪ Referred 1 to the Committee’s Chair for investigation.</li> <li>▪ 5 pending review.</li> </ul>

# Strategic Plan Business Goal Accomplishments

In December 2010, the Executive Council and the membership set four major goals to provide direction to CIGIE's activities for 2011. CIGIE's accomplishments in support of these goals included issuing reports and communications, establishing a permanent staff, optimizing its Training Institute, and finalizing a strategic plan that will guide its actions in the coming years.

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## Goal 1: Contribute to improvements in program integrity, efficiency, and cost-effectiveness Governmentwide by providing cross-agency analyses of OIG findings and recommendations in areas of vulnerability confronting multiple Government programs.

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To help improve program integrity, efficiency, and cost-effectiveness, CIGIE develops interdisciplinary working groups and forms partnerships with member OIGs and other Federal organizations to report on issues affecting the IG community. In FY 2011, CIGIE published eight crosscutting studies on topics ranging from whistleblower protection to cybersecurity.

In October 2010, CIGIE issued a report outlining the conclusions of a working group formed to assess the IG community's hotline practices and whistleblower protection. *Recommended Practices for Office of Inspector General Hotlines* compiles findings on OIGs' complaint management processes and offers guidance on ways to improve the efficiency of hotlines. The report stresses the need for OIGs to better integrate hotlines into their operations, hire and sufficiently train complaint intake staff, use technology to increase efficiency, develop ways to track employee performance, and analyze emerging trends in complaint types.

CIGIE also established a working group focused on international trade issues, thus supporting the President's commitment to improving the Nation's trade practices and enhancing its standing in the global marketplace. In May 2011, the group's findings were presented in a *Compilation of Prior Inspector General Reports on International Trade and Competitiveness*. This report provides a historic overview of OIG work on trade. It also pinpoints several longstanding trade-related issues for Federal agencies, including inefficiencies, lack of clear program goals and strategies, poor coordination and communication among agencies, and overlapping trade functions.

Federal disaster preparedness was the focus of another CIGIE project: June 2011's *Compendium of Disaster Preparedness Programs*. The compendium gives a concise inventory of Federal programs addressing many kinds of potential disasters—from terrorist attacks to public health crises. It serves as a resource on Federal disaster preparedness for OIGs, Federal agencies, state and local governments, and the American people.

Also in FY 2011, CIGIE fulfilled a requirement of the Improper Payments Elimination and Recovery Act of 2010 by working with the CFO Council to examine the effectiveness of the CFO Act of 1990. In July, CIGIE and the CFO Council jointly issued *The Chief Financial Officers Act of 1990 – 20 Years Later*, a report to Congress and the Comptroller General. The report examines the history of the CFO Act, presents lessons learned since the act was passed, and recommends increasing the act's positive impact by enhancing the role of the Federal CFO and improving financial reporting.

In September 2011, CIGIE turned its attention to new media as a working group developed *Recommended Practices for Office of Inspectors General Use of New Media*. New media and social networking provide excellent opportunities for OIGs to enhance internal and external communications; however, these technologies also lead to greater IT security risks. This report explores how OIGs use new media today and identifies issues that could emerge from increased usage. Recommendations include educating staff and strategically focusing on new media to increase employee skills and organizational security.

In a related topic, CIGIE released its *Management Advisory Report on Cybersecurity* in September 2011. This report covers significant areas of IT security risk and opportunity faced by the IG community. The report makes several recommendations to enhance IT security through asset and identity management, early incident detection, and scalable trustworthy systems. In a future report, CIGIE will study and report on OIGs' role in Federal cybersecurity initiatives.

Also in September, CIGIE's suspension and debarment working group issued *Don't Let the Toolbox Rust: Observations on Suspension and Debarment, Debunking Myths, and Suggested Practices for Offices of Inspectors General*. Increasing the use of suspension and debarment is one way to protect Federal funds from noncompliant or unscrupulous contractors. In *Don't Let the Toolbox Rust*, CIGIE assesses the degree to which the IG community uses these essential tools and presents suggestions such as enhancing referral methods, internal policies, and identification of candidates for suspension or debarment.

Finally, in FY 2011 OMB asked CIGIE to consider assuming oversight of the Federal Audit Clearinghouse, which maintains data on single audits (annual audits of state and local government programs that have received Federal funds). In response to OMB's request, CIGIE issued a white paper on September 27, 2011, detailing the Clearinghouse's background and challenges, and analyzing the advantages and disadvantages of several funding and governance options.

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### Goal 2: Further increase the professionalism and effectiveness of the IG community workforce.

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CIGIE's Training Institute serves the IG community by offering comprehensive training and professional development on audits; inspections and evaluations; criminal and administrative investigations; and leadership and mission support. In FY 2011, CIGIE began permanently staffing the Training Institute, hiring an executive director as well as three other key members. OIGs also detailed eight staff members to the Training Institute so that it has the support it needs to operate while its permanent staff and operations are being established.

Even though the Training Institute is still in a transitional phase, during FY 2011 it delivered specialized training to 1,436 students, representing an increase of 416 (41%) students from the previous year. Training was provided to a broad cross-section of the IG community, including performance auditors, inspectors, investigators, hotline operators, attorneys, and others from 56 CIGIE agencies and 15 other Federal, State, and military OIGs. The percentage of positive feedback (94%) demonstrates the high degree of satisfaction from the IG community on the quality of training being provided from the Training Institute.

The Training Institute, once fully operational, will capture the CIGIE's broader vision of ensuring professional development across the IG community with an emphasis on quality and a shared understanding of institutional and instructional focus. This will result in a Training Institute that serves as a cost-effective model for education and quality training for the CIGIE members' workforce.

Going forward, the Training Institute also plans to expand its class offerings to include more courses that are Web based or a combination of Web based and instructor led. Doing so should make the Training Institute even more flexible and responsive to its students' needs.

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### Goal 3: Further advance the level of practice within the IG community workforce.

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One of CIGIE's key functions is to set policies and standards for the IG community. OIGs depend on these standards to measure and improve their work quality and effectiveness. In 2011, CIGIE advanced the level of practice in the OIG workforce by completing significant updates to many of its quality standards. In the spring, the Inspections and Evaluations Committee updated the "Quality Standards for Inspection and Evaluation." The Investigations Committee also revised its "Quality Standards for Investigations." Updates to the 2003 "Quality Standards for Federal Offices of Inspector General" (the

Silver Book) are ongoing; the new edition is scheduled for release during FY 2012. In addition, the Audit Committee participated in the December 2011 revision GAO issued of the *Government Auditing Standards* (the Yellow Book).

CIGIE's OIG peer review program is another quality measurement tool for the IG community. Peer reviews give IG offices the opportunity to regularly review each other's operations and provide constructive feedback, thus ensuring top performance in the areas of audits and investigations. In FY 2011, CIGIE initiated reviews of its program guides for audit and investigation peer reviews to make sure the guides are current and continue to meet the needs of OIGs.

CIGIE further demonstrated its commitment to advancing OIG performance by establishing working groups to provide direction and subject matter expertise for special projects. As described in Goal 1, CIGIE's working groups—formed to examine such varied topics as complaint hotlines, IT security, and suspension and debarment—continue to focus attention on issues that directly affect Federal OIGs.

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#### **Goal 4: Complete establishment of Council organization, staffing infrastructure, and processes to enable the Council to effectively meet its vision, mission, and goals.**

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In FY 2011, CIGIE hired a permanent Executive Director and several other permanent staff members. A permanent staff reduces CIGIE's need to rely on personnel detailed from member OIGs, and encourages the development of long-term processes and procedures that will enable CIGIE to better manage its future.

In order to meet its vision, mission, and goals, CIGIE needed an effective plan outlining its overarching goals and what steps it would have to take to realize them. As the Council established its initial organization, it also began to focus on mapping a long-term strategy. CIGIE's first 5-year strategic plan, published in August 2011, defines a strategic path for the Council's future. The plan includes three main goals:

1. Deliver timely, relevant products that identify and address cross-Government vulnerabilities;
2. Promote professional development for the IG community; and
3. Improve CIGIE's capacity to carry out its mission and vision.

For each goal, the plan introduces concrete objectives and lists performance measures that assign firm targets and responsible parties to each step. In addition, CIGIE will implement annual business plans that will incorporate the goals, objectives, and performance measures of the 5-year plan. By doing so, CIGIE can ensure that its goals and strategies are compatible and achievable.

Even as it worked to become a fully functional organization, CIGIE continued to meet its statutory obligations, including—

- Coordinating OIG activities across the Government to identify and produce crosscutting studies that mitigate common vulnerabilities and increase economy, efficiency, and effectiveness;
- Increasing the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in establishing a well-trained and highly skilled OIG workforce;
- Maintaining 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.

FY 2011 was a year of transformation and evolution for CIGIE. Looking ahead to 2012, CIGIE continues to increase its value by conducting more cross-agency studies designed to assist the IG community and CIGIE stakeholders in addressing issues of economy, effectiveness, and integrity.

# Key Legislation Affecting the IG Community

During FY 2011, Congress considered several major legislative initiatives that could affect CIGIE members. CIGIE's Legislation Committee took the lead in surveying the IG community to determine how best to guide discussions with congressional staff about proposed laws. In addition to keeping Congress and CIGIE members mutually informed, CIGIE took proactive steps to recommend legislative enhancements based on IGs' concerns.

In one case, the Legislative Committee voiced the IG community's concerns about a Governmentwide transparency and accountability framework being considered by Congress. The legislation would create a portal for recipients of Federal funds to report their obligations and expenditures, and would also establish a Federal Accountability and Spending Transparency (FAST) Board modeled after the American Recovery and Reinvestment Act of 2009's Recovery Accountability and Transparency Board. The Committee communicated with congressional staff on behalf of OIGs to ensure the roles of the FAST Board and IGs will complement—not duplicate—each other.

In addition, Congress is considering legislation to increase protection for whistleblowers whose disclosures involve misuse of Government funds. The Legislation Committee surveyed the IG community on certain whistleblower-related legislation and shared its perspective with Congress. Specifically, OIGs believe that they are well positioned to investigate these complaints, but the broad scope of the proposed legislation necessitates granting them the authority to access key records and the flexibility to balance these investigations with their other priorities.

The Committee also evaluated a congressional proposal to minimize improper payments, an area of great concern to OIGs because of their mandate to protect Government funds. Among other provisions, the bill, which is intended to fortify existing laws, would require OMB to provide guidance to agencies for improving improper-payment estimates. The bill would also codify an executive order regarding the establishment of a Governmentwide "Do Not Pay" list, based on information from Federal databases, of parties ineligible to receive payments from or work with the Government.

Finally, CIGIE has again proposed a comprehensive set of technical amendments to the IG Act. The amendments will codify provisions of the IG Act, such as authorizing CIGIE's Integrity Committee to consider allegations against the Special Counsel and Deputy Special Counsel, and allowing all OIGs to fund or participate in CIGIE activities. The Committee also continued to promote initiatives to relieve OIGs from some of the constraints of the Paperwork Reduction and Computer Matching acts, which would facilitate the independent work of OIGs to deter and detect fraud, waste, and abuse.

# 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 Federal OIGs:

- ♦ **Information Technology Management and Security.** Keeping the Government's over 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.
- ♦ **Federal Expenditures and Operations under the 2009 Recovery Act.** Federal agencies must continue to ensure that the \$787 billion they received in funding under the act is used only for activities that will foster the Nation's economic recovery.
- ♦ **Human Capital Management.** Managing human capital—hiring, training, and retaining a competent and motivated workforce—is a performance challenge that concerns the entire Government.
- ♦ **Procurement and Grants Management.** Throughout the 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 cost savings for programs Governmentwide in FY 2011. 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 2011 Performance Profile: IG Community Accomplishments**

Recommendations Agreed to by Management: Funds To Be Put to Better Use	\$74,367,073,339*
Recommendations Agreed to by Management: Questioned Costs	\$10,422,761,199
Investigative Receivables and Recoveries	9,121,791,498
Successful Criminal Prosecutions	5,924
Indictments and Criminal Informations	6,525
Successful Civil Actions	963
Suspensions and Debarments	5,637
Personnel Actions	3,933

*\* 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."*

## Audit-Related Accomplishments

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

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

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

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

Reporting Year	Recommendations that Funds Be Put to Better Use	Amount of Recommendations Agreed to by Management
FY 2011	\$101,236,877,704*	\$74,367,073,339*
FY 2010	\$42,014,062,365	\$23,654,925,334
FY 2009	\$45,970,302,132	\$28,798,007,411
FY 2008	\$23,566,673,218	\$9,753,263,909
FY 2007	\$21,151,726,355	\$7,313,756,130

\* 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 2011	\$17,236,755,075	\$10,422,761,199
FY 2010	\$62,173,747,225*	\$56,577,408,559*
FY 2009	\$9,156,791,667	\$6,134,700,586
FY 2008	\$6,308,035,525	\$4,419,333,800
FY 2007	\$5,464,017,707	\$4,087,941,919

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

### Investigation-Related Accomplishments

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

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

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

**Table 6. Investigative Receivables and Recoveries**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2011	\$4,823,839,722	\$4,297,951,776	\$9,121,791,498
FY 2010	\$4,734,962,989	\$2,236,796,884	\$6,971,759,873
FY 2009	\$8,249,306,505	\$646,658,551	\$8,895,965,056
FY 2008	\$3,335,353,638	\$1,109,300,817	\$4,444,654,455
FY 2007	\$3,856,379,659	\$1,266,375,062	\$5,122,754,721

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.

**Table 7. Criminal Prosecutions**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2011	5,531	500	6,031
FY 2010	5,455	138	5,593
FY 2009	5,847	117	5,964
FY 2008	6,640	226	6,866
FY 2007	8,348	613	8,961

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 2011	5,878	647	6,525
FY 2010	5,469	141	5,610
FY 2009	6,009	192	6,201
FY 2008	6,404	243	6,647
FY 2007	6,232	573	6,805

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. Civil Actions**

Reporting Year	OIG Investigations	Joint OIG Investigations	Total
FY 2011	878	85	963
FY 2010	927	46	973
FY 2009	1,078	24	1,102
FY 2008	1,168	38	1,206
FY 2007	1,223	54	1,277

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 2011	5,329	308	5,637
FY 2010	5,073	41	5,114
FY 2009	4,417	68	4,485
FY 2008	4,957	29	4,986
FY 2007	4,213	83	4,296

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 2011	3,732	201	3,933
FY 2010	4,093	156	4,249
FY 2009	3,724	101	3,825
FY 2008	5,657	55	5,712
FY 2007	5,674	133	5,807

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# Appendix B: Acronyms and Abbreviations

CFO . . . . .	Chief Financial Officer
CIGIE . . . . .	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
FAST . . . . .	Federal Accountability and Transparency
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
Recovery Act . . . . .	American Recovery and Reinvestment Act of 2009
USDA . . . . .	U.S. Department of Agriculture

# Recipients of the 2011 Annual CIGIE Awards

On October 18, 2011, 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:

**Department of Transportation OIG Bridge Safety Improvement Team**, in recognition of significant contributions to enhancing the safety of our nation's bridges through improvements to Federal and state inspections and oversight.

**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:

**American Grocers Investigation Team, U.S. Department of Agriculture OIG**, in recognition of outstanding efforts in investigating and prosecuting a conspiracy to defraud the U.S. Government, thereby ensuring the wholesomeness of exported foods to U.S. troops abroad and regaining millions of taxpayers' dollars.

**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:

**Edward T. Bradley, U. S. Department of Defense OIG**, in recognition of outstanding leadership and expertise in furthering the mission of the U.S. Department of Defense, Office of Inspector General, Defense Criminal Investigative Service.

**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:

**Health Care Reform Technical Assistance Team, U.S. Department of Health and Human Services (HHS) OIG**, in recognition of the HHS OIG Health Care Reform Technical Assistance Team's expert technical assistance to Congress throughout the health care reform legislative drafting process.

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

**Commander's Emergency Response Program Team, Special Inspector General for Afghanistan Reconstruction**, in recognition of exemplary performance while working in a harsh and unsafe environment while examining projects in Laghman Province, Afghanistan.

**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:

**Information Technology Auditors FISMA Team, Federal Reserve Board OIG**, in recognition of exceptional and unique contributions that furthered the CIGIE mission by collaborating across the OIG community to make sweeping changes to OIG FISMA review methodologies to improve agencies' cyber security infrastructures and controls.

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website at [www.ignet.gov](http://www.ignet.gov).

