

# Office of Inspector General Semiannual Report to the U.S. Congress

October 1, 2022 through March 31, 2023



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION  
OFFICE OF INSPECTOR GENERAL



## VISION

Effective, efficient and accountable management of Agency programs, operations and personnel.

## MISSION

To detect and prevent waste, fraud, and abuse, and promote economy, efficiency, and effectiveness in the programs and operations of the Equal Employment Opportunity Commission.

## CORE VALUES

Accountability

Integrity

Excellence

Collaboration

Innovation

## Table of Contents

MESSAGE FROM THE INSPECTOR GENERAL .....	3
EXECUTIVE SUMMARY .....	4
Completed Audit Activities .....	4
Ongoing Audit Activities.....	4
Other Audit Activities.....	4
Completed Evaluation Activities .....	4
Ongoing Evaluation Activities .....	4
Ongoing Other Special Projects .....	4
Ongoing Investigative Activity .....	4
INTRODUCTION.....	5
THE AUDIT PROGRAM.....	7
Completed Audit Activities .....	7
Ongoing Audit Activities.....	8
Other Audit Activities.....	9
THU EVALUATION PROGRAM .....	10
Completed Evaluation Activities .....	10
Ongoing Evaluation Activities.....	11
OFFICE OF INSPECTOR GENERAL OTHER SPECIAL PROJECTS.....	12
Ongoing Special Projects Activity .....	12
AUDIT AND EVALUATION FOLLOW-UP .....	13
Audit and Evaluation Reports Issued During This Reporting Period .....	13
Recommendations for Which Corrective Actions Have Not Been Completed .....	14
Audit and Evaluation Reports Which no Management Decision has been Made by the End of the Reporting Period .....	20
THE INVESTIGATION PROGRAM .....	22
Office of Inspector General Hotline.....	23
Ongoing Investigative Activity.....	23
APPENDICES .....	24



Appendix I. Final Audit/Evaluation/Inspection Reports..... 24

Appendix II. Investigative Statistical Report ..... 25

Appendix III. A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated. .... 25

Appendix IV. A Detailed Description of Any Instance of Whistleblower Retaliation..... 25

Appendix V. A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office of Inspector General. .... 26

Appendix VI. Detailed Descriptions of the Particular Circumstances..... 26

Appendix VII. Significant Management Decisions ..... 26

Appendix VIII. Index of Reporting Requirements ..... 27

Appendix IX. Single Audit Act Reporting..... 30

Appendix X. Peer Review Reporting..... 30



## MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to submit our Semiannual Report to the U.S. Congress, summarizing the work and accomplishments of the Equal Employment Opportunity Commission (EEOC), Office of Inspector General (OIG) from October 1, 2022, to March 31, 2023.

I have served, with great pride, as the Acting Inspector General since July 1, 2022. On March 13, 2023, Chair Charlotte A. Burrows appointed me as the new Inspector General of the EEOC. Though I have only acted in the Inspector General capacity briefly, I have been impressed with the dedication and commitment of the Agency's senior leadership and staff. I have tremendous respect for the vital mission and role of EEOC regarding the enforcement of federal laws that make it illegal to discriminate against a job applicant or an employee because of the person's race, color, religion, sex (including pregnancy and related conditions, gender identity, and sexual orientation), national origin, age (40 or older), disability or genetic information.

During my short tenure as the Inspector General, our team has risen to every challenge encountered and maintained the highest level of productivity. As the Inspector General, I plan to partner strategically with our internal and external stakeholders to assist in the identification of innovative approaches and methods to help enhance the Agency's program and operational effectiveness and efficiency.

I extend a special thanks to Chair Burrows, the EEOC Commissioners, senior Agency leadership, and their staff for their ongoing cooperation, and Congress for its continuing support of the mission of the OIG. I would also personally like to thank the OIG's dedicated team of talented professionals, whose resilience and flexibility during the last nine months have allowed the OIG to continue its vigilance in detecting and preventing waste, fraud, abuse, and misconduct in the Agency's operations and programs.

My staff and I look forward to continuing to provide independent and effective oversight of the EEOC and working with our stakeholders and the larger Inspector General community on important issues that cut across our government.

Respectfully Submitted,



Joyce T. Willoughby, Esq  
Inspector General



## EXECUTIVE SUMMARY

This Semiannual Report summarizes the OIG's activities and accomplishments for October 1, 2023, through March 31, 2023. The OIG issued three audits and two evaluations. The Office of Inspector General received 419 hotline contacts during the reporting period. The OIG's completed, ongoing, and planned activities include the following:

### Completed Audit Activities

- An audit report regarding compliance with the Federal Information Security Modernization Act of 2014.
- An audit of the Agency's financial statements.
- A review of the Agency's compliance with the Federal Managers' Financial Integrity Act of 1982, and the Office of Management and Budget Circular A-123.

### Ongoing Audit Activities

- An audit report on EEOC's compliance with the Federal Information Security Modernization Act of 2014.
- An audit report on EEOC's financial statements.
- A review of EEOC's compliance with the payment integrity.

### Other Audit Activities

- A peer review of Commodity Futures Trading Commission, Office of Inspector General.

### Completed Evaluation Activities

- An evaluation of EEOC's digital process transformation and automation.
- An evaluation of EEOC's management of private sector customer service.

### Ongoing Evaluation Activities

- An evaluation of EEOC's customer service portals.

### Ongoing Other Special Projects

- An inquiry regarding political bias against EEOC employees.

### Ongoing Investigative Activity

- An investigation of alleged misuse of position by an EEOC employee, working outside of EEOC without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.



## INTRODUCTION

### The Equal Employment Opportunity Commission

The Equal Employment Opportunity Commission (EEOC) is responsible for enforcing federal laws that make it illegal to discriminate against a job applicant or an employee because of the person's race, color, religion, sex (including pregnancy, transgender status, and sexual orientation), national origin, age (40 or older), disability or genetic information. Most employers with at least 15 employees are covered by EEOC laws (20 employees in age discrimination cases). Most labor unions and employment agencies are also covered. The laws apply to all types of work situations, including hiring, firing, promotions, harassment, training, wages, and benefits.

The EEOC is a bipartisan commission comprised of five presidentially appointed members, including the Chair, Vice-Chair, and three Commissioners. The Chair is responsible for administering and implementing policy and the Commission's financial management and organizational development. The Vice-Chair and the Commissioners participate equally in developing and approving Commission policies, issue charges of discrimination where appropriate, and authorize the filing of lawsuits. In addition to the Commissioners, the President of the United States appoints a General Counsel to support the Commission and provide direction, coordination, and supervision to the EEOC's litigation program.

### The EEOC Office of Inspector General

The U.S. Congress established an Office of Inspector General at the EEOC through the 1988 amendment of the Inspector General Act of 1978. The Office of Inspector General supports the Agency by carrying out its legislative mandate to independently and objectively conduct audits, evaluations, investigations, and other projects intended to prevent and detect fraud, waste, and abuse; and to promote economy, effectiveness, and efficiency in EEOC programs and operations.

The Office of Inspector General also reviews pending legislation and regulations. The Inspector General keeps the EEOC's Chair and the U.S. Congress informed about Agency issues, recommends corrective action(s), and monitors the EEOC's progress in implementing such actions.

The Office of Inspector General is under the leadership of the Inspector General, who provides overall direction, coordination, and supervision to staff. In the EEOC, a designated federal entity, the Inspector General is appointed by, and is under the general supervision of the Commission Chair. Even so, the Inspector General has a dual role since they also report directly to Congress. The EEOC leadership cannot prevent or prohibit the Office of Inspector General from conducting an audit, evaluation, investigation, or special project. The Office of Inspector General includes a deputy inspector general, auditors, evaluators, investigators, information technology specialists, independent counsel, and administrative staff.



The Deputy Inspector General serves as the alter ego of the Inspector General in the policy formation, budget formation, and management of OIG audit, evaluation, investigative, and technology matters relating to EEOC programs or operations. Additionally, the Deputy Inspector General is the direct supervisor and provides program guidance, direction, and supervision to the audit, evaluation, investigation, and technology staff.

The Counsel to the Inspector General provides legal advice concerning matters of particular significance to the Office of Inspector General and is the primary liaison between the Office of Inspector General, the Office of Legal Counsel, and other law enforcement entities. The Counsel to the Inspector General assists the Inspector General and Deputy Inspector General, coordinates and participates in developing and implementing officewide policies and procedures, and finally reviews all externally issued reports and legislative and regulatory proposals.

The Assistant Inspector General for Audit oversees the audit program, and the Supervisory Evaluator oversees the evaluation program.



## THE AUDIT PROGRAM

*The Audit Program supports the missions of the Equal Employment Opportunity Commission and the Office of Inspector General by conducting reviews that improve the Agency's compliance regarding Agency programs, operations, and activities.*

### Completed Audit Activities

[U.S. Equal Employment Opportunity Commission Fiscal Year 2022 Compliance with the Federal Managers' Financial Integrity Act \(OIG Report No. 2022-004- SOIG\)](#)

On November 9, 2022, the Office of Inspector General issued a report to the Chair describing whether the Agency's management controls were conducted in accordance with the Federal Managers' Financial Integrity Act of 1982 (FMFIA), P.L. 97-255, and the Office of Management and Budget's Circular A-123, Management's Responsibility for Enterprise Risk Management and Internal Control, Memoranda-16-17.

The EEOC Order 195.001, Management Accountability and Controls, requires the Office of Inspector General to conduct a review and submit a report to the Chair describing whether the Agency's management controls review was conducted in accordance with applicable laws and guidance.

Based on the Office of Inspector General's review, the Agency's management controls review process was conducted in accordance with applicable laws and guidance. Our independent auditors, Harper, Rains, Knight, & Company, P.A., did not identify any material weaknesses resulting from their audit of the Agency's Fiscal Year 2022 financial statements.

[Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2022 Financial Statements \(OIG Report No. 2022-002-AOIG\)](#)

On November 14, 2022, the Office of Inspector General issued its performance audit of the Equal Employment Opportunity Commission's Fiscal Year 2022 financial statements. The Office of Inspector General contracted with the independent certified public accounting firm of Harper, Rains, Knight & Company, P.A. to audit the financial statements of the EEOC for the Fiscal Years ending September 30, 2022 and 2021, and to report on EEOC's internal controls over financial reporting, and compliance with laws, regulations, contracts, and other matters.



Harper, Rains, Knight & Company, P.A. reported that:

- EEOC's financial statements present fairly, in all material respects, EEOC's financial position as of September 30, 2022 and 2021, and its net cost of operations, changes in net position, and budgetary resources for the fiscal years ending September 30, 2022 and 2021, in accordance with accounting principles generally accepted in the United States of America;
- Harper, Rains, Knight & Company, P.A. did not identify any deficiencies in internal control over financial reporting that they consider to be material weaknesses. However, material weaknesses may exist that have not been identified.
- Harper, Rains, Knight & Company, P.A. tests for compliance with selected provisions of applicable laws, regulations, and contracts disclosed no instances of noncompliance for Fiscal Year 2022 that would be reportable under Generally Accepted Government Auditing Standards or the Office of Management and Budget Bulletin 22-01, Audit Requirements for Federal Financial Statements.

[Federal Information Security Modernization Act of 2014 \(FISMA\) Fiscal Year 2022 Performance Audit \(OIG Report Number 2022-001-AOIG\)](#)

On November 3, 2022, the Office of Inspector General issued its performance audit of the Agency's compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year 2022. The Office of Inspector General contracted with the independent certified public accounting firm of Harper, Rains, Knight & Company, P.A. to conduct the independent performance audit.

The results of Harper, Rains, Knight & Company, P.A. independent performance audit concluded that the EEOC established and maintained a consistently implemented information security program and practices, consistent with applicable: FISMA requirements; Office of Management and Budget policy and guidance; Department of Homeland Security guidance; and National Institute for Standards and Technology standards and guidelines.

Harper, Rains, Knight & Company, P.A. made six recommendations to improve EEOC's information security practices and procedures.

### Ongoing Audit Activities

#### Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2023 Financial Statements

The Office of Inspector General contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to conduct the performance audit and render an opinion on the EEOC's Fiscal Year 2023 financial statements.



During the first quarter of Fiscal Year 2024, the Office of Inspector General will issue a performance audit regarding the Fiscal Year 2023 financial statements audit of the EEOC, as required by the Accountability of Tax Dollars Act of 2002.

### **Performance Audit Report on the U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act for Fiscal Year 2023**

The Office of Inspector General contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to conduct an independent performance audit on EEOC's compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year 2023.

During the fourth quarter of Fiscal Year 2023, the Office of Inspector General will issue its cyberscope metrics review as required by the Office of Management and Budget and the Department of Homeland Security. Also, during the first quarter of Fiscal Year 2024, the Office of Inspector General will issue its performance audit report regarding the Agency's compliance with the Federal Information Security Modernization Act of 2014.

### **Review of the U.S. Equal Employment Opportunity Commission's Compliance with Payment Integrity Information Act of 2019**

The Office of Inspector General contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to evaluate the Agency's compliance with the Payment Integrity Information Act of 2019. The Office of Inspector General plans to issue a memorandum on the Agency's compliance with the Payment Integrity Information Act of 2019 for Fiscal Year 2022 by May 22, 2023.

#### **Other Audit Activities**

##### **Peer Review of Commodity Futures Trading Commission, Office of Inspector General**

The Office of Inspector General is conducting a peer review of the Commodity Futures Trading Commission, Office of Inspector General audit function. The objective of this external peer review is to determine whether, for the period under review, the Commodity Futures Trading Commission, Office of Inspector General audit organization's system of quality control was suitably designed and whether the audit organization is complying with its system of quality control to provide it with reasonable assurance of conformance with applicable professional standards and applicable legal and regulatory requirements. The peer review is also conducted to ensure that established policies and procedures for the audit function are current and consistent with applicable professional standards.

Results regarding our peer review of the Commodity Futures Trading Commission, Office of Inspector General's audit function will be issued during the fourth quarter of Fiscal Year 2023.



## The Evaluation Program

*The Evaluation Program supports the missions of EEOC and the Office of Inspector General by executing ambitious, high-value evaluations and special assessments. OIG evaluations analyze the management, effectiveness, and efficiency of programs with the greatest effect on mission accomplishment.*

### Completed Evaluation Activities

#### [EEOC Digital Process Transformation and Automation](#)

On January 20, 2023, the Office of Inspector General issued an evaluation of the Agency's digital process transformation and automation capabilities, with an emphasis on evaluating EEOC's plans, capabilities, and requirements. The Office of Inspector General contracted with the company KAI Partners, Inc. to perform the evaluation. Digital process transformation and automation is the digitization and automation of business processes to improve effectiveness and efficiency and enhance the customer experience.

KAI Partners, Inc. used a digital maturity evaluation framework to determine EEOC's data process transformation and automation progress across six digital elements. These six digital elements were: strategy, organization & culture, technology, customer, operations, and, data.

KAI Partners concluded that the EEOC has two areas of relative strength: the technology and data digital elements. The KAI Partners evaluation determined that the customer digital element was rated "Developing." Finally, KAI Partners EEOC's determined that digital maturity was in the early stages regarding the digital elements of the Strategy, Organization & Culture, and Operations.

KAI Partners, Inc. identified nine recommendations to help improve EEOC's digital process transformation and automation management.

#### [Evaluation of EEOC's Management of Private Sector Customer Service](#)

On October 18, 2022, the Office of Inspector General issued an evaluation of the EEOC's management of private sector customer service. This evaluation aimed to assess the Agency's strategy and efforts to achieve customer service efficiency and measure customer satisfaction.

The Government Performance and Results Modernization Act of 2010 requires that agency performance plans measure progress toward customer service goals, including quality, timeliness, and satisfaction. More recently, the vision for President Biden's Management Agenda identifies three priority areas for transformation, the second of which addresses delivering excellent Federal services and improved customer service. To help accomplish this goal, President Biden signed Executive Order 14058, "*Transforming Federal Customer Experience and Service Delivery to Rebuild Trust in Government*," in December 2021. The Order states, "Government must be held



accountable for designing and delivering services with a focus on the actual experience of people whom it is meant to serve.”

EEOC’s Intake Information Group serves as the first line of contact for many citizens and provides information about employment discrimination to the public, responds to general inquiries, and directs potential charging parties to the EEOC public portals.

The evaluation found that:

- EEOC needs a comprehensive customer service plan.
- Customer service response times have improved but remain slow and far exceed private sector standards.
- The Intake Information Group maintains an adequate quality assurance program for incoming calls but not emails.
- Information shared between the Information Intake Group and district offices is often duplicative, and its usefulness is unclear.

The absence of a comprehensive customer service plan means customer service is being provided in silos throughout the Agency. There is no way to measure whether the customer service provided is acceptable. The Intake Information Group has established customer service metrics in staff performance plans, but they are not linked to customer service goals set by the Agency. Customer response times exceed private sector standards and, with respect to the increasing email inquiries, exceed the Intake Information Group’s standards. Feedback from customers is widely seen as the best way to improve customer service, and the Intake Information Group currently does not collect this data. The information collected from customers and shared with the EEOC District offices is often duplicative and uses already limited resources to resolve. The evaluation concluded that to improve customer service, the Agency must define acceptable customer service, set goals, measure progress toward the goals, and listen to its customers.

Seven recommendations were made to help improve EEOC’s management of private sector customer service.

### [Ongoing Evaluation Activities](#)

#### **Evaluation of EEOC’s Customer Service Portals**

The Office of Inspector General contracted with the company KAI Partners, Inc. to assess key performance aspects of the EEOC's four major outward-facing customer service portals that assist EEOC in accomplishing mission-critical activities. The primary purpose of the evaluation is to provide EEOC leadership and stakeholders with data, analysis, and recommendations to improve the effectiveness and efficiency of key EEOC portal activities. The OIG plans to issue its final report during the fourth quarter of Fiscal Year 2023.



## OFFICE OF INSPECTOR GENERAL OTHER SPECIAL PROJECTS

*Other Special Projects are often one-time projects (e.g. Management Advisories, Congressional Inquiries) that may or may not be performed using Government Auditing Standards or Council of the Inspectors General on Integrity and Efficiency Quality Standards for Investigation, Inspection and Evaluation.*

### Ongoing Special Projects Activity

#### **Review of Employee Bias Based on Political Affiliation**

The Office of Inspector General is conducting an inquiry regarding concerns raised by several Commission employees or members that certain EEOC officials were showing bias against other EEOC employees based on political affiliation. The Office of Inspector General is currently conducting a review regarding the alleged bias and plans to report the results of its review during the fourth quarter of Fiscal Year 2023.



## AUDIT AND EVALUATION FOLLOW-UP

*Audit and Evaluation Follow-up is an integral part of effective management. It is a shared responsibility of agency management officials, auditors, and evaluators. Corrective action taken by management to resolve findings and recommendations is essential to improving agency operations, effectiveness and efficiency.*

### Audit and Evaluation Reports Issued During This Reporting Period

Section 5(a)(1) of the Inspector General Act of 1978, as amended, requires that semiannual reports include a summary description of significant problems, abuses, and deficiencies relating to the agency’s administration of programs and operations disclosed by the Office of Inspector General during the reporting period. The Office of Inspector General issued three audit and two evaluation reports with TWENTY-TWO recommendations.

Fiscal Year	Report Number	Report Title	Date Issued	Number of Recommendations
2023	2022-004-SOIG	<a href="#">U.S. Equal Employment Opportunity Commission Fiscal Year 2022 Compliance with the Federal Managers’ Financial Integrity Act (OIG Report No. 2022-004- SOIG)</a>	November 9, 2022	0
2023	2022-002-AOIG	<a href="#">Audit of the U.S. Equal Employment Opportunity Commission’s Fiscal Year 2022 Financial Statements (OIG Report No. 2022-002-AOIG)</a>	November 14, 2022	0
2023	2022-001-AOIG	<a href="#">Federal Information Security Modernization Act of 2014 (FISMA)Fiscal Year 2022 Performance Audit (OIG Report Number 2022-001-AOIG)</a>	November 3, 2022	6



2023	2021-002-EOIG	<a href="#">EEOC Digital Process Transformation and Automation</a>	January 20, 2023	9
2023	2021-001-EOIG	<a href="#">Evaluation of EEOC's Management of Private Sector Customer</a>	October 18, 2022	7

### Recommendations for Which Corrective Actions Have Not Been Completed

As required by Section 5(a)(3) of the Inspector General Act of 1978, as amended, semiannual reports shall provide an identification of each significant recommendation described in previous semiannual reports for which corrective action has not been completed.

The Office of Inspector General reports NINE audit and THREE evaluation reports with open recommendations for this reporting period. The Office of Inspector General reports THIRTY-ONE total open recommendations. The following table shows those recommendations for which corrective actions have not been completed.

Fiscal Year	Report Number	Report Name	Date Issued
2022	2022-001-IOIG	FY 2021 Annual Report on EEOC's Compliance with the Payment Integrity Information Act of 2019 (PIIA)	7/6/2022
<ol style="list-style-type: none"> <li>1. We recommend that EEOC should conduct an annual improper payment review in accordance with PIIA and follow the guidance outlined in OMB Circular A-136, section II.4.5 [Payment Integrity Information Act Reporting].</li> <li>2. We recommend that EEOC should complete the OMB Annual Data Call reporting, and if necessary, contact OMB via email at MBX.OMB.OFFM. Paymentintegrity@omb.eop.gov to obtain access to the annual data call.</li> <li>3. We recommend that EEOC should report the OIG's finding of non-compliance with the FY 2021 PIIA requirements, as outlined in OMB Memorandum M-21-19, Section VI.D, "Agency Responsibility When a Program is Non-Compliant".</li> </ol>			



Fiscal Year	Report Number	Report Name	Date Issued
2022	2021-004-AOIG	Performance Audit Report U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA)	3/15/2022
<ol style="list-style-type: none"> <li>1. We recommend that EEOC defines, communicates, and implements an organization-wide SCRM strategy to guide supply chain analyses, provide communication channels with internal/external partners and stakeholders, and assist in building consensus regarding the appropriate resources for SCRM.</li> <li>2. We recommend that EEOC plans and prepares to meet the goals of the TIC initiative, consistent with OMB M-19-26. The agency should define and customize, as appropriate, a set of policies, procedures, and processes to implement TIC 3.0, including updating its network and system boundary policies, in accordance with OMB M-19-26. This includes, as appropriate, incorporation of TIC security capabilities catalog, TIC use cases, and TIC overlays.</li> <li>3. We recommend that EEOC implement strong authentication mechanisms for privileged and non-privileged users in accordance with Federal guidance, to meet the required use of PIV or an Identity Assurance Level (IAL)3/Authenticator Assurance Level (AAL) 3 credential of the agency's networks, including remote access sessions, in accordance with Federal targets. The agency should continue developing their plans for organization-wide use of strong authentication mechanisms for non-privileged users and require multifactor authentication to network access for all user accounts.</li> <li>4. We recommend that EEOC review and remediate the medium-level severity vulnerabilities identified during external penetration testing by: (1) Modifying network firewalls to no longer allow external access to specific services. (2) Reviewing the NTP server's configuration to ensure that this functionality is not abused. (3) Considering restricting or disabling NTP mode 6 query capabilities.</li> <li>5. We recommend that EEOC review and remediate the medium-level severity vulnerabilities identified during external penetration testing by: (1) Disabling IKE Aggressive Mode. (2) Refraining from the use of pre-shared authentication keys. (3) Implementing multifactor authentication for all VPN access.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-001-EOIG	Evaluation of EEOC's Social Media Program	7/26/2021
<ol style="list-style-type: none"> <li>1. Simplify the EEOC social media architecture by consolidating many of the existing social media channels and limiting creation of new channels.</li> <li>2. Implement a consistent content approval process run by OCLA.</li> <li>3. Implement an ongoing training series for all staff involved in the EEOC social media program.</li> <li>4. Use paid media to support improved reach and engagement.</li> <li>5. Complete revisions to the social media handbook and provide to all staff managing social media channels.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-004-AOIG	Performance Audit of the EEOC Commercial Charge Card Program	3/24/2021
<ol style="list-style-type: none"> <li>1. We recommend EEOC ensure that emailed policy memos are promptly updated in the appropriate EEOC Directives Transmittal Order.</li> <li>2. For purchase cards, EEOC management should create a control where management reviews, on a sample basis, purchase cards transactions to ensure all obligating documents and purchase orders are in conformity with EEOC Directives Transmittal Order 360.003, Commercial Purchase Charge Card Program Practical User's Guide. For travel cards, EEOC management should create a control where management reviews, on a sample basis, travel card transactions to ensure all travel authorization or vouchers and receipts are in conformity with EEOC Directives Transmittal Order 345.001, Travel and Transportation Administrative Policies and Procedures Manual.</li> <li>3. We recommend EEOC management update its policies and procedures to include all required safeguards and internal controls to be compliant with the Government Charge Card Abuse Prevention Act of 2012. In addition, EEOC should create a monitoring control to review the policy when changes or updates are made to federal law or Office of Management and Budget or General Services Administration guidance.</li> </ol>			



Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-003-AOIG	U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA)	3/24/2021
<p>1. We recommend EEOC's Office of Information Technology (OIT) review and remediate critical-risk and high-risk vulnerabilities in accordance with EEOC OIT's assessment of risk. Where risk acceptance is required for vulnerabilities based on EEOC's network operation, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities <b>(Repeat Finding)</b>.</p>			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-002-AOIG	Management Letter - FY 2020 Financial Statement Audit	11/12/2020
<p>1. We recommend EEOC management create a control where management reviews, on a sample basis, at least quarterly, the approved PP&amp;E disposals/retirements for conformity to EEOC SOP for OIT Excess Property that states, "When equipment is disposed of, an SF 120, SF 122, or SF 120 copy using GSAXcess, is approved by the EEOC Approving Official, CSD Backup or Property manager, evidenced by their signature and date." EEOC management should follow-up with Approving Official(s), CSD Backup or Property management who have been found to not adhere to requirements of the SOPs for OIT Excess Property and require them to obtain additional training, to include certifying they have read the Approving Officials responsibilities, as it relates to the aforementioned control. <b>(Repeat Finding)</b></p>			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-002-AOIG	FY 2019 Financial Statements Audit	11/19/2019
<p>1. EEOC should ensure the existing policy in place is followed and documentation of the process is reviewed by the CFO or their designee on a quarterly basis.</p>			



Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-001-EOIG	Evaluation of EEOC's Contract Administration Activities	11/19/2019
<p>1. OCFO should revise EEOC Order 360.001 as needed to assist in performing their duties. Include implementation guidance for contract administrative activities such as submitting contract modifications.</p>			

Fiscal Year	Report Number	Report Name	Date Issued
2019	2018-007-AOIG	FY 2017 and FY 2018 Performance Audit of the U.S. Equal Employment Opportunity Commission Commercial Charge Card Program	5/31/2019
<p>1. We recommend that the Office of the Chief Financial Officer of the U.S. Equal Employment Opportunity Commission enhance the documentation, monitoring, and enforcement of its controls over the closure of charge card accounts.</p> <ul style="list-style-type: none"> <li>• For purchase cards, the Administrative Officer (AO) or District Resources Manager (DRM) should maintain documentation of all account closures electronically or in hard copy. Documentation should include evidence of the name of the AO or DRM who received the employee's charge card, the date the card was turned in, the date the card was physically destroyed, and the date that account closure was confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the Agency/Organization Program Coordinator (A/OPC) and/or Agency Alternative/Organization Program Coordinator (AA/OPC) and appropriate disciplinary actions for noncompliance.</li> <li>• For travel cards, the Charge Card Program Manager (CCPM) should maintain documentation of all account closures electronically or in hard copy. Documentation should include evidence of the name of the immediate supervisor and/or servicing personnel officer who received the employee's charge card, the date the card was turned in, the date the card was cut in half, and the date that account closure was confirmed by the Charge Card Vendor. The policy or procedure should include</li> </ul>			



monitoring by the CCPM and appropriate disciplinary actions for noncompliance.  
**(Repeat Finding)**

Fiscal Year	Report Number	Report Name	Date Issued
2020	2018-001-EOIG	Evaluation of EEOC's Federal Hearings and Appeals Processes	3/27/2020
<ol style="list-style-type: none"> <li>1. Ensure future process changes are implemented according to change management best practices noted by GAO.</li> <li>2. The Office of Information Technology (OIT), in partnership with OFP and OFO, should re-evaluate IMS requirements, and requirements for the framework of its successor system, to determine what additional reporting functionalities are needed in order to analyze data about staff and office productivity. A Voice of the Customer exercise or a user requirement meeting could serve as starting point to gather current requirements from IMS main users (OFP and OFO) and to determine what other current systems need to be integrated to make them function in alignment with IMS (Power BI, Complainant Portal).</li> <li>3. OIT developers should meet directly with software users, such as OFO attorneys and supervisory attorneys and OFP AJs and Supervisory AJs (SAJ) to determine additional requirements.</li> <li>4. OFO and OFP, in partnership with OIT, should consider development of an IMS training guide or document that is consistently updated and reviewed following upgrades, enhancements or modifications of the software. This guide should include all necessary codes for every action item in the process and should be available for all product users. This guide should ensure that product users track all mandated steps in IMS. Given that each office's staff has their own needs within IMS: One guide should be made for OFP legal techs, AJs, and SAJs. A separate guide should be available for OFO CCD staff, attorneys and supervisory attorneys.</li> <li>5. Assign a target amount of days for intake so that management can determine if changes implemented impact the efficiency of the process.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2018	2017-007-AOIG	Independent Evaluation of the U.S. Equal Employment Opportunity Commission's Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (FISMA)	12/18/2017
<ol style="list-style-type: none"> <li>1. The EEOC should develop and implement a Trusted Internet Connection (TIC) program in accordance with Office of Management and Budget (OMB) requirements to assist in protecting the agency's network from cyber threats. <b>(Repeat finding)</b></li> <li>2. The EEOC OIT should fully implement multifactor authentication for logical and remote access enterprise-wide. <b>(Repeat finding)</b></li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2014	2013-008-PSA	Performance Audit of the Agency's Personnel Security Program	9/15/14
<ol style="list-style-type: none"> <li>1. Immediately correct any known weaknesses. If EEOC determines not to correct a noted weakness, EEOC should document this analysis and their acceptance of the associated risk.</li> <li>2. Implement a formalized training program for individuals who use classified information as a part of their duties. If an external agency is to assume the responsibility of training these individuals, this agreement should be documented in an MOU.</li> <li>3. Develop and implement policies and procedures to address the safeguarding, transfer, storage, or disposal of classified information. The policy should include the requirements for Memorandums of Understanding between agencies.</li> </ol>			

#### Audit and Evaluation Reports Which no Management Decision has been Made by the End of the Reporting Period

As required by Section 5(a)(10) of the Inspector General Act of 1978, as amended, semiannual reports must include a summary of each audit report issued before the start of the reporting period for which no management decision has been made by the end of the reporting period.

The Office of Inspector General has no audit or evaluation reports issued before the reporting period began, for which no management decision was made.



Fiscal Year	Number of Reports with Unimplemented Recommendations (such as report title, report number, hyperlink to report, etc.)	Number of Unimplemented Recommendations	Dollar Value of Aggregate Potential Cost Savings	For which no establishment comment was returned within 60 days of providing the report to the establishment
2023	0	0	0	N/A

## THE INVESTIGATION PROGRAM

*The Investigation Program supports the Office of Inspector General’s strategic goal by focusing its limited investigative resources on issues that represent the greatest risk and offer the maximum opportunity to detect and prevent fraud, waste, and abuse in EEOC programs and operations.*

The Office of Inspector General received 419 investigative contacts from October 1, 2022, through March 31, 2023, resulting in the following:

Investigative Inquiries Received October 1, 2022, through March 31, 2023	
Allegations	Number
Charge Processing	82
Mismanagement	3
Ethics Violations	6
Assault /Theft	2
Other Criminal Allegations	1
Other	37
Other Statutes	1
Conflict of Interest	9
Fraud	14
Title VII	1
Outside OIG Purview	263
<b>Total</b>	<b>419</b>



## Office of Inspector General Hotline

The Office of Inspector General Hotline is a clearinghouse for receiving and handling allegations regarding fraud, waste, abuse, mismanagement, or misconduct affecting Equal Employment Opportunity Commission programs and operations. Examples of allegations that should be reported to the Office of Inspector General hotline include misuse, embezzlement, or theft of government property or funds; contract or procurement fraud; contractor misconduct; employee misconduct, such as misuse of official position; bribes or unauthorized acceptance of gifts; conflicts of interest and other ethical violations.

Some complaints received by the Office of Inspector General are outside its jurisdiction. The Office of Inspector General frequently receives reports and allegations of misdirected complaints/inquiries belonging to other EEOC offices, federal agencies, law enforcement agencies, or other state or local government entities. Reviewing and responding to these reports and allegations can entail significant staff time and effort. In these instances, Office of Inspector General personnel strive to provide excellent customer service and offer the complainant the appropriate contact information to the entity that may address their needs. The complaint/inquiry may be redirected and sent directly from the Office of Inspector General to the appropriate office or agency.

## Ongoing Investigative Activity

The OIG has ongoing investigations in several field offices involving the following:

- A joint investigation with the Office of Special Counsel into allegations of prohibited personnel practices against an EEOC employee, by senior management, regarding being denied permission to serve on an external board/committee because of the employee's political affiliation.
- An investigation of alleged misuse of position by an EEOC employee without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.



## APPENDICES

### Appendix I. Final Audit/Evaluation/Inspection Reports

<b>Report Title</b>	<b>Date Issued</b>	<b>Questioned Costs</b>	<b>Funds Put to Better Use</b>	<b>Unsupported Costs</b>
<a href="#"><u>U.S. Equal Employment Opportunity Commission Fiscal Year 2022 Compliance with the Federal Managers' Financial Integrity Act</u></a>	November 9, 2022	-0-	-0-	-0-
<a href="#"><u>Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2022 Financial Statements</u></a>	November 14, 2022	-0-	-0-	-0-
<a href="#"><u>Federal Information Security Modernization Act of 2014 (FISMA) Fiscal Year 2022 Performance Audit</u></a>	November 3, 2022	-0-	-0-	-0-
<a href="#"><u>EEOC Digital Process Transformation and Automation</u></a>	January 20, 2023	-0-	-0-	-0-
<a href="#"><u>Evaluation of EEOC's Management of Private Sector Customer</u></a>	October 18, 2022	-0-	-0-	-0-



Appendix II. Investigative Statistical Report

Report Title	Number
Total number of investigative reports	-0-
Total number of persons referred to the Department of Justice for criminal prosecution during the reporting period	-0-
Total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period	-0-
Total number of indictments and criminal information during the reporting period that resulted from any prior referral to prosecuting authorities	-0-

Appendix III. A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated.

Report Name: N/A                      Report Number: N/A                      Date Issued    N/A

Facts and circumstances of the investigation	(B) the status and disposition of the matter, including- (i) if the matter was referred to the Department of Justice, the date of the referral; and (ii) if the Department of Justice declined the referral, the date of the declination
No	N/A

Appendix IV. A Detailed Description of Any Instance of Whistleblower Retaliation.

Information about the official was found to have engaged in retaliation.	Consequences the establishment imposed to hold that official accountable.
No	N/A



Appendix V. A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office of Inspector General.

Issue	Description
With budget constraints designed to limit the capabilities of the Office	No
Incidents where the establishment has resisted or objected to oversight activities of the Office or restricted or significantly delayed access to information, including the justification of the establishment for such action	No

Appendix VI. Detailed Descriptions of the Particular Circumstances.

Issue	Description
Inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public	No
An Investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public	No

Appendix VII. Significant Management Decisions

Issue	Description
Significant Management Decisions That Were Revised During the Reporting Period	N/A
Significant Management Decisions with which the Office of Inspector General is in disagreement	N/A



Appendix VIII. Index of Reporting Requirements

Inspector General Act Citation	Reporting Requirements	Page
Section 4(a)(2)	Review of Legislation and Regulations	N/A
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(3)	Significant Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	14-20
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	25
Section 5(a)(5)	Summary of Instances Where Information Was Refused	26
Section 5(a)(6)	List of Reports	13-14
Section 5(a)(7)	Summary of Significant Reports	7-12
Section 5(a)(8)	Questioned and Unsupported Costs	24
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	24
Section 5(a)(10)	<p>Summary of each audit report, inspection, evaluation report(s) issued before the commencement of the reporting period:</p> <p>(A) for which no management decision has been made by the end of the reporting period (including the date and title of each such report), an explanation of the reasons such management decision has not been made, and a statement</p>	20



	<p>concerning the desired timetable for achieving a management decision on each such report;</p> <p>(B) for which no establishment comment was returned within 60 days of providing the report to the establishment; and</p> <p>(C) for which there are any outstanding unimplemented recommendations, including the aggregate potential cost savings of those recommendations.</p>	
Section 5(a)(11)	Significant Management Decisions That Were Revised During the Reporting Period	26
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General is in disagreement	26
Section 5(a)(17)	<p>Statistical tables showing:</p> <p>(A) the total number of investigative reports issued during the reporting period;</p> <p>(B) the total number of persons referred to the Department of Justice for criminal prosecution during the reporting period;</p> <p>(C) the total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period; and</p> <p>(D) the total number of indictments and criminal information during the reporting period that resulted from any prior referral to prosecuting authorities.</p>	25

Section 5(a)(19)	<p>A report on each investigation conducted by the Office involving a senior Government employee where allegations of misconduct were substantiated, including a detailed description of:</p> <p>(A) the facts and circumstances of the investigation; and</p> <p>(B) the status and disposition of the matter, including:</p> <p>(i) if the matter was referred to the Department of Justice, the date of the referral; and</p> <p>(ii) if the Department of Justice declined the referral, the date of the declination.</p>	25
Section 5(a)(20)	<p>A detailed description of any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation and what, if any, consequences the establishment imposed to hold that official accountable.</p>	25
Section 5(a)(21)	<p>A detailed description of any attempt by the establishment to interfere with the independence of the Office, including:</p> <p>(A) with budget constraints designed to limit the capabilities of the Office; and</p> <p>(B) incidents where the establishment has resisted or objected to oversight activities of the Office or restricted or significantly delayed access to information, including the justification of the establishment for such action.</p>	26
Section 5(a)(22)	<p>Detailed descriptions of the particular circumstances of each:</p> <p>(A) inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public; and</p> <p>(B) an investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public.</p>	26

### Appendix IX. Single Audit Act Reporting

The Single Audit Act, as amended, establishes requirements for audits of states, local governments, Indian tribes, institutions of higher education (public or private nonprofit colleges and universities), and nonprofit organizations that expend a certain amount in federal awards during its fiscal year.

Independent auditors perform single audits that encompass both financial and compliance components. The compliance supplement is based on the requirements of the 1996 Single Audit Act Amendments and 2 CFR part 200, subpart F, which provide for the issuance of a compliance supplement to assist auditors in performing the required audits.

The OIG received no audit reports issued by independent auditors concerning Fair Employment Practice Agencies with work-sharing agreements with the EEOC during the reporting period.

### Appendix X. Peer Review Reporting

As required by the Government Auditing Standards and the Quality Standards for Inspection and Evaluation, The Office of Inspector General Audit and Evaluation programs must have an external peer review of its quality control system.

On September 8, 2020, the Appalachian Regional Commission, Office of Inspector General, issued its peer review report on our Audit program to determine if established policies and procedures were current and consistent with applicable professional standards. The peer review team determined that the OIG audit section's established policies and procedures for the audit function at March 31, 2020, were current and consistent with applicable professional standards as stated and conforming with Generally Accepted Government Auditing Standards (Yellow Book).

On March 15, 2023, the Pension Benefit Guaranty Corporation, Office of Inspector General, issued its modified peer review report on our Evaluation program. The review team determined that the Office of Inspector General evaluation section policies and procedures generally were consistent with the Blue Book standards addressed in the external peer review. Of the three reports reviewed, all of them generally complied with the Blue Book standards.



# Contact Us

The Office of Inspector General is at the forefront of the Nation's efforts to fight waste, fraud and abuse in EEOC programs and operations. If your question refers to programs that are not part of EEOC you can find contacts for all Federal agencies on the USA.gov website's <https://www.usa.gov/federal-agencies>



**For general inquiries, please visit:**

**<https://oig.eeoc.gov/contact>**

**To electronically report fraud, waste, abuse, and potential wrong-doing please visit:**

**<https://oig.eeoc.gov/hotline>**



**Toll-free Number:**

**1-800-840-3237**



**For written inquiries, please send mail to:**

**Office of Inspector General**

**Equal Employment Opportunity Commission**

**131 M. St. Suite 6<sup>th</sup> Floor**

**Washington, DC 20507**

**Contact Us QR code**



**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

**OFFICE OF INSPECTOR GENERAL**

**Your identity when contacting the OIG is fully protected and confidential**