2007
Survey of Inspection and Evaluation Units in the Federal Inspector General Community

I&E

President's Council on Integrity and Efficiency
Executive Council on Integrity and Efficiency

The President's Council on Integrity and Efficiency (PCIE) is primarily composed of Presidentially appointed Inspectors General. The Executive Council on Integrity and Efficiency (ECIE) includes IGs appointed by agency heads. Both the PCIE and ECIE were established on May 11, 1992, by Executive Order 12805 to address integrity, economy, and effectiveness issues within federal agencies, and to increase the professionalism and effectiveness of OIG personnel throughout the government, including establishing policies and standards to accomplish their missions and strengthen the OIG community and its resources.

PCIE/ECIE Inspection and Evaluation Committee

The I&E Committee represents the federal inspectors general I&E community. Among other things, the Committee (1) promotes effective I&E practices and information sharing; (2) develops innovative ways to address issues that impact multiple federal agencies; (3) fosters improved I&E methodologies and techniques; and (4) advances the analytic and administrative skills of OIG inspectors and evaluators by providing or supporting training on a variety of topics.

Inspection and Evaluation Roundtable

Created in 1993, the Roundtable promotes the professional development of employees in I&E units, improves the practice of evaluation and analysis, and provides positive contributions to the OIG community. The Roundtable supports the I&E Committee by developing resources, initiating joint projects, and sharing effective practices. The Roundtable is generally comprised of the assistant IGs or heads of inspection and evaluation units within the federal Offices of Inspector General.

President's Council on Integrity and Efficiency
Executive Council on Integrity and Efficiency

December 2007

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Stuart Wright
I&E Roundtable,
Chair

MEMORANDUM FOR MEMBERS OF THE PCIE AND ECIE

SUBJECT: 2007 Survey of Inspection and Evaluation Units in the Federal Inspector General Community

I am pleased to provide the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE) with the results of the most recent Inspection & Evaluation Committee survey of inspection and evaluation units within federal Offices of Inspector General. This year's review reveals some significant changes within the I&E community since the survey was last conducted in 2003. It also highlights the usefulness of inspections and evaluations to help IGs address the many issues and demands that OIGs and government managers face today.

The number of OIGs performing inspections and evaluations continues to grow. In 2007, 31 reported that they conduct some type of inspections or evaluations. Altogether these OIGs reported that they have 25 separate I&E units with dedicated I&E staff, either in stand-alone I&E offices or as units within another OIG entity, such as their Office of Audits. The remainder do not have dedicated I&E staff, but perform inspections or evaluations as part of their audit, investigative, or other function. While the number of dedicated I&E units decreased from 26 to 25 since 2003, the number of dedicated I&E staff overall has increased by almost 23 percent. The number of I&E reports and other work products have slightly decreased also, but they have grown in complexity and diversity, as is evident from the examples of recent I&E work listed in appendix B.

This 2007 survey report captures the current profile of the I&E community. It highlights the changing composition of each I&E unit, including staffing levels, expertise, budget, organizational placement, and type of work. It discusses how I&E units are working together to share resources and best practices and address crosscutting issues throughout the federal government. Finally, it provides a number of recommendations for enhancing the I&E community.

In closing, I thank the I&E Roundtable for conducting the survey and the Department of Commerce Office of Inspector General for consolidating the results into this comprehensive report. Our appreciation also goes to the Inspectors General and the members of each OIG who responded to the survey questionnaire. Please feel free to contact my office at 202-619-3148 for additional information about the survey results.

Daniel R. Levinson, Chair
Inspection and Evaluation Committee

Executive Summary

This report presents the results of a 2007 survey of inspection and evaluation operations at federal Offices of Inspector General (OIGs) conducted by the Inspection and Evaluation Committee of the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE). The survey builds on the results of three previous surveys, conducted in 1995, 1999, and 2003.

All 57 federal OIGs received this year's survey questionnaire. Thirty-six OIGs responded to the survey: Thirty-one indicated they conduct I&E work. These OIGs reported that they have 25 I&E units with dedicated staff—either in stand-alone I&E units or within other units (e.g., audits). Two OIGs have multiple units (five in total). The results presented in this report are from these 25 units. Our analysis of their survey responses has yielded a comprehensive profile of the I&E community, including details on personnel, budgets, types of work performed, and the diverse experience and backgrounds of staff. We also provide respondents' recommendations for enhancing inspections and evaluations within the federal OIG community.

OIG I&E Units	1995	1999	2003	2007
Number of I&E Units	19	15	26	25
Total FTEs	n/a	415	528	648
Annual Budget (average)[1]	n/a	$2,424,000	$2,655,789	$3,953,068
Reports Issued	n/a	306	412	400

[1] This average budget is based on data from those I&E units that provided budget figures.

The survey results show that inspections and evaluations continue to significantly impact the efficiency and effectiveness of the federal government, and that the I&E community has changed over the years in response to a workload that has grown more complex and diverse (see appendix B for a listing of sample reports). The number of I&E units decreased by 1 since our last survey—from 26 to 25 units—but the total number of full-time equivalent employees (FTEs) within these units has increased by almost 23 percent, and the average I&E budget is up nearly 49 percent.

I&E units continue to demonstrate flexibility and willingness to collaborate in addressing crosscutting issues throughout the federal government by participating in numerous interagency projects that illustrate the importance of sharing perspectives and resources to accomplish a goal not attainable by any one OIG acting alone. The survey results provide the I&E community, Inspectors General, and other interested parties with an overview of the valuable contributions inspection and evaluation units make to the OIG community. They also offer ideas and best practices that can further stimulate and benefit OIG work.

Introduction

Federal Offices of Inspectors General (OIGs) conduct audits, investigations, inspections, evaluations, and other special reviews to assess the effectiveness, efficiency, and integrity of federal programs and operations. Inspection and evaluation units support this mission with a range of specialized services and products, including quick reaction reviews, onsite inspections of an office, and in-depth evaluations of a major departmental function, activity, or program. The role of inspection and evaluation units varies throughout the OIG community. The survey provides a current snapshot of these units and their roles within OIGs.

This survey of federal I&E activities is the fourth in a series conducted by the PCIE/ECIE's Inspection and Evaluation Committee and its I&E Roundtable over the past 12 years* to capture the changing dynamic of the I&E community. It highlights the diverse composition of each I&E unit, with details on staffing, expertise, and function. It also (1) illustrates crosscutting issues of concern, (2) provides ideas for future OIG work or internal OIG management initiatives, and (3) shows the value of having inspection and evaluation units to help accomplish an OIG's mission.

> **Snapshot of Survey Results**
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> Thirty-one OIGs perform some I&E work. They reported
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> - 25 units with dedicated I&E staff (either in a separate I&E unit or within another organizational unit)
> - 9 units that conduct some I&E work, but not routinely and not with dedicated staff
> - Multiple I&E units within 2 OIGs (Commerce-2; Interior-3)

This year's survey questionnaire went to the entire PCIE and ECIE community—all 57 federal Offices of Inspector General. Thirty-six OIGs responded to the survey and reported having 25 units with dedicated I&E staff working either in stand-alone I&E offices or as part of another entity with their OIG. Two of the responding OIGs reported having multiple units performing inspections and evaluations: the Department of Commerce OIG has two units and the Department of the Interior has three. The results presented in this report are from the 25 separate units.

The main section of this report contains an analysis of the overall data and answers submitted by the survey respondents. Appendix A provides detailed information on each of the 25 distinct I&E units. Appendix B contains information on some recent work and accomplishments identified by many of the 34 units that conduct some type of inspection and/or evaluation within their OIG, whether or not they have a separate I&E unit.

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* Previous surveys were conducted in 1995, 1999, and 2003.

Survey Findings

I.   Profile of Inspection and Evaluation Units*

A.   Number of I&E Units Remains Steady

The I&E community remains strong in 2007: 25 I&E units are currently performing inspections and evaluations, compared with only 15 in 1999 and 19 in 1995. The 2007 number is down by one from 2003, which counted 26 I&E units, but includes several new additions: The Federal Deposit Insurance Corporation and the Department of Agriculture both established separate I&E units within their OIGs. The Treasury Inspector General for Tax Administration and the Legal Services Corporation reported that they have begun performing inspections and evaluations since our last survey, as part of the operations of other units within their organizations.

The 25 I&E units include 19 that perform work as separate offices within their Offices of Inspector General; 4 that operate within another OIG office with other functions, such as the Office of Audits; and 2 that perform inspections and evaluations along with other responsibilities, such as technical support. Five of the 25 units are housed within two agencies: Commerce has 2 separate I&E units—the Office of Inspections and Program Evaluations and the Office of Systems Evaluations. Interior has 3 units performing inspections and evaluations: the Office of Program Analysis and Technical Support, the Program Integrity Division, and the Office of Information Technology.

Federal OIGs with Inspection and Evaluation Units

Amtrak

Central Intelligence Agency

Defense Intelligence Agency

Department of Agriculture

Department of Commerce (2 I&E units)

Department of Defense

Department of Education

Department of Energy

Department of Health and Human Services

Department of Homeland Security

Department of Housing and Urban Development

Department of the Interior (3 I&E units)

Department of Justice

Department of State

Department of Veterans Affairs

Environmental Protection Agency

Equal Employment Opportunity Commission

Federal Deposit Insurance Corporation

Legal Services Corporation

National Reconnaissance Office

Peace Corps

Treasury Inspector General for Tax Administration

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* Throughout the balance of this report we use the term I&E units to represent both those that are stand-alone and those that exist as components within another OIG unit (e.g., Audits).

B.   Unit Size and Structure Vary

Several respondents to this year's survey reported having expanded their internal operations. In fiscal year 2003, approximately 528 OIG staff performed inspections and evaluations. Four years later, 648 full-time equivalent employees are performing work within the I&E community—an increase of almost 23 percent. Despite this growth, most I&E units are relatively small—with fewer than 20 staff members. In fact, only 8 units have more than 30 FTEs. Most of the units represented in the survey have between 3 and 20 FTEs. I&E unit heads typically report to the agency Inspector General or Deputy Inspector General.

Number of I&E Staff
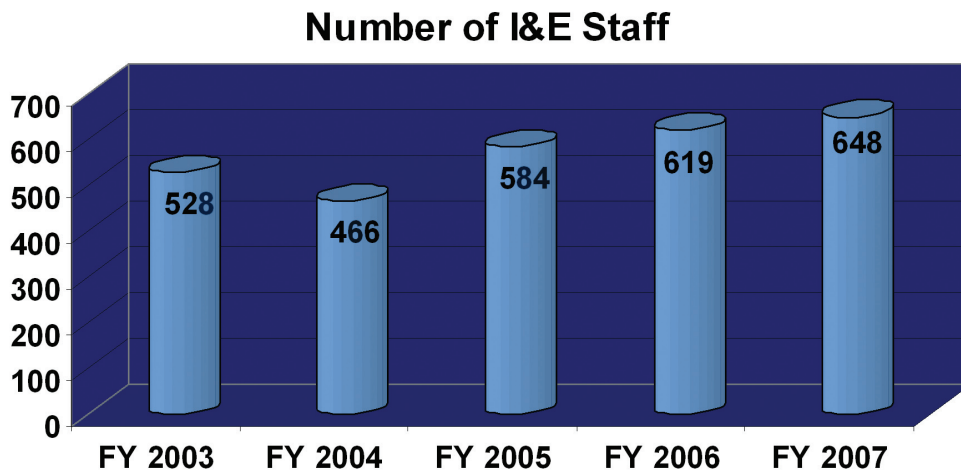
The Department of Health and Human Services' Office of Evaluation and Inspections continues to have the largest staff and budget of all federal I&E units—153 FTEs and an FY 2007 budget of $16.7 million. Established in 1985, it was one of the earliest I&E units and today is more than double the size of the next largest I&E unit—the Environmental Protection Agency's Office of Program Evaluation (see table 1).

EPA's I&E unit has grown exponentially over the past 4 years. In 2003, the agency did not rank among the top six largest I&E units, with only 15 employees. Today, its Office of Program Evaluation has approximately 70 FTEs and a budget of $7.8 million.

I&E operations at the Department of Homeland Security have grown significantly as well. At the time of our 2003 survey, DHS had just been established, and I&E units from the Department of Treasury and the Federal Emergency Management Agency were to become part of the I&E unit in the new DHS OIG. The unit began with only 2 FTEs in its Office of Inspections. Just 4 years later the I&E unit has 47 FTEs and is now the fifth largest. Other organizational changes since 2003 include the following:

- The Department of State merged its Office of Inspections and Office of Security Oversight in FY 2005, increasing the size of its inspections unit to 65 FTEs and becoming the third largest I&E unit.

- The Department of Agriculture established its Office of Inspections and Research in June 2006 and reported seven FTEs were on board in FY 2007.

- The Federal Deposit Insurance Corporation's Office of Evaluations separated from the Office of Audits in November 2006, reestablishing itself as a separate I&E unit.
- The Treasury Inspector General for Tax Administration piloted an inspections and evaluations program in 2006 and in FY 2007 started officially performing inspections and evaluations with 10 FTEs.
- The Legal Services Corporation established an I&E program within its Management and Evaluations unit and reported on e-half an FTE in FY 2007.

Table 1. Eight Largest OIG I&E Units in FY 2007

Department/Agency	Unit	FTEs	Budget*
Department of Health and Human Services	Office of Evaluation and Inspections	153	$16,700,000
Environmental Protection Agency	Office of Program Evaluation	70	$7,800,000
Department of State	Office of Inspections	65	$12,200,000
Department of Veterans Affairs	Office of Healthcare Inspections	57	N/A
Department of Homeland Security	Office of Inspections	47	$407,573**
Central Intelligence Agency	Inspections	37	N/A
Department of Energy	Office of Inspections and Special Inquiries	35	$3,139,519
Department of Justice	Evaluation and Inspections Division	34	$121,000**

* Based on FY 2007 estimated budgets.
**This figure does not include staff salaries because they were not available at the time of the survey.

C. I&E Units Continue to Provide a Variety of Products, Services and Reports

Conducting evaluations is the primary focus of most I&E units: 9 reported performing these assessments, while 3 units reported doing inspections, and 11 offices reported doing both. Generally, an evaluation is an in-depth assessment of a major departmental function or activity and according to the 2007 survey results, typically averages 32 weeks from the time the review is initiated until the final report is issued. Inspections are usually more concise reviews of a specific office, event, or topic and typically are completed in an average of 24 weeks.

Most I&E units focus on the effectiveness of agency programs, with 23 units listing this as a report topic. Ninety-six percent of the survey respondents reported that management practices, safety, security, and emergency preparedness are common topics of their inspection and evaluation reports. Individual units also cover the following issues

as part of their agency reviews: performance measures (21), effective use of resources (21), best practices (20), internal controls (19), fraud, waste, and abuse (19) agency policy or regulations (18), cost-benefit analysis (18), IT systems (17), interagency evaluations (14), and OIG internal operations (13).

A number of units reported producing specific types of written products, such as cross-cutting reports (17) and quick-reaction reviews (15), while many continue to provide reports on best practices (11) to their agencies. Eight units responded that they have participated in interagency reporting, an activity that is becoming increasingly cost-efficient and effective, given the crosscutting nature and funding of many federal activities and programs. More than half of the I&E community has participated in some type of joint inspection. For example, in FY 2007, the Departments of Defense and Veterans Affairs performed a joint inspection of the DoD and VA health care transition process for newly discharged military personnel. Similarly, from 2000 to 2007, I&E and audit offices from OIGs at the CIA, Commerce, Homeland Security, Defense, Energy, State, and Treasury participated in the export control working group that reported yearly to Congress on the status of U.S. export controls.** A number of I&E units have conducted reviews of the workers' compensation program at their agencies after learning about the results of such OIG reviews at other agencies and obtaining information about survey methodologies from members of the I&E Committee and Roundtable.

Seven I&E units reported that they prepare the IG semiannual reports to Congress, and a similar number noted that they regularly perform reviews at the request of Congress. A small group of units reported that they manage their OIG's hotline or provide counseling to officials on operational improvements, proposed policies, and other matters.

Half of the I&E units handle functions that are unique to their agency or may more typically be the responsibility of Audits, Investigations, or other components within an OIG, such as the following:

1. At HHS, I&E staff provide federal oversight of State Medicaid Fraud Control Units.
2. At HUD, they conduct management assistance reviews for the Office of Investigation.
3. At Energy, they assess certain whistleblower and hotline complaints.
4. At Veterans Affairs, they conduct inspections and program assessments at VA medical centers.

D.   I&E Processes Respond to Internal and External Stakeholders

Work Initiation

As in 2003, most I&E units reported in the 2007 survey that their projects are self-initiated through internal analysis and participation in the OIG planning process. This year's survey also identified congressional requests as a primary source of reviews: 15 units reported that Congress influences what projects they perform. And over 65 percent reported that requests from their agency and OIG senior managers generate new projects.

Other sources of projects include the OIG's work plans (9), OIG-identified management challenges facing their agencies (8), and hotline referrals (6). Three units reported that the media or public interest play a role in determining what projects they undertake.

** USDA and HHS Inspectors General participated in the 2005 review.

Remaining sources mentioned were referrals from other units within their OIG, ideas presented at I&E Committee or Roundtable meetings, and suggestions or requests from various internal or external parties. Several OIGs noted that they try to conduct work in all bureaus within their agencies with some regularity, and this practice generates specific review ideas as well.

Work Plan

Twenty-one I&E units prepare some type of schedule or plan for their inspections and evaluations. Most do not have independent I&E work plans—only 7 have prepared stand-alone lists of projects. Eleven units reported that their inspections plans are part of the overall OIG work plan, and 14 units reported that their inspection plans are disseminated outside OIG.

Practices/Procedures

Unannounced inspections. Seven units reported that they conduct unannounced inspections.

Follow-up. Twenty units reported that they formally track the status of I&E recommendations via database, formal follow-up, and/or compliance reviews.

Documented procedures. Nineteen I&E units reported that they have inspection or evaluation program policies in place. Several units provide online access to their policies either on the Internet or on their intranet. Twelve units indicated that they have operations and procedures manuals. And 12 reported having directives. Manuals and directives outline most of the policies, procedures, internal controls, standards, and quality assurance measures applicable to their units. Four units are currently drafting operations manuals (Agriculture, Defense, Federal Deposit Insurance Corporation, and Justice).

Report Distribution and Internet Presence

Twenty-three I&E units indicated that they routinely distribute their reports to agency program managers, and all but one distribute their reports to the Department or agency head. Only 15 units routinely send their reports to members of Congress, 11 provide them to the general public, and 11 send them to OMB. Five units stated that they regularly provide copies of their reports to Department clients, two regularly send them to state or local government officials, and six routinely send them to the media. One unit reported that it sends copies to the academic community. These numbers are slightly up from our 2003 survey, which found that 14 I&E units sent their reports to Congress and 8 to OMB.

Most I&E units continue to distribute paper copies of reports despite their availability on the Internet or through other electronic media. Only five units reported providing copies on CD-ROM. Seventeen continue to disseminate paper copies though they also use e-mail to distribute copies and/or send notifications of new reports' availability. Thirteen units have separate links for I&E reports on the OIG's web site, which indicates that I&E units are recognizing the value of the Internet for distributing information, providing key statistics about their activities, and reducing costs associated with educating internal and external stakeholders about the OIG mission and work.

E.   I&E Staffs Bring Broad Expertise and Diversity to the OIG Community

Inspections and evaluations often cover specialized topics or programs that fall outside the range of traditional audits and investigations and therefore may require staff with specialized experience and expertise. The 2007 survey highlighted the diversity of talent, professional backgrounds, and job series within the I&E community.

Professional backgrounds. From engineers and doctors to procurement and contract specialists, to scientists and safety professionals, the cadre of I&E specialists represents expertise that goes beyond that of traditional management and program analysts. (See appendix A.) While lawyers and engineers were the most frequently reported professions, I&E units also employ economists, accountants, auditors, forensic scientists, management analysts, public and business administrators, international development specialists, labor relations specialists, statisticians, IT specialists, security personnel, and operations officers. The Department of Defense Inspections and Evaluations Directorate has military pilots and a graphic designer on staff. EPA's Office of Program Evaluation has environmental scientists. The Veterans Affairs' I&E unit includes doctors, nurses, and other health-care professionals. The Commerce's I&E units have information systems evaluators, computer programmers, software developers, economists, and persons with business and trade experience on their staffs.

Most professional staff are permanent OIG employees, but some I&E units use
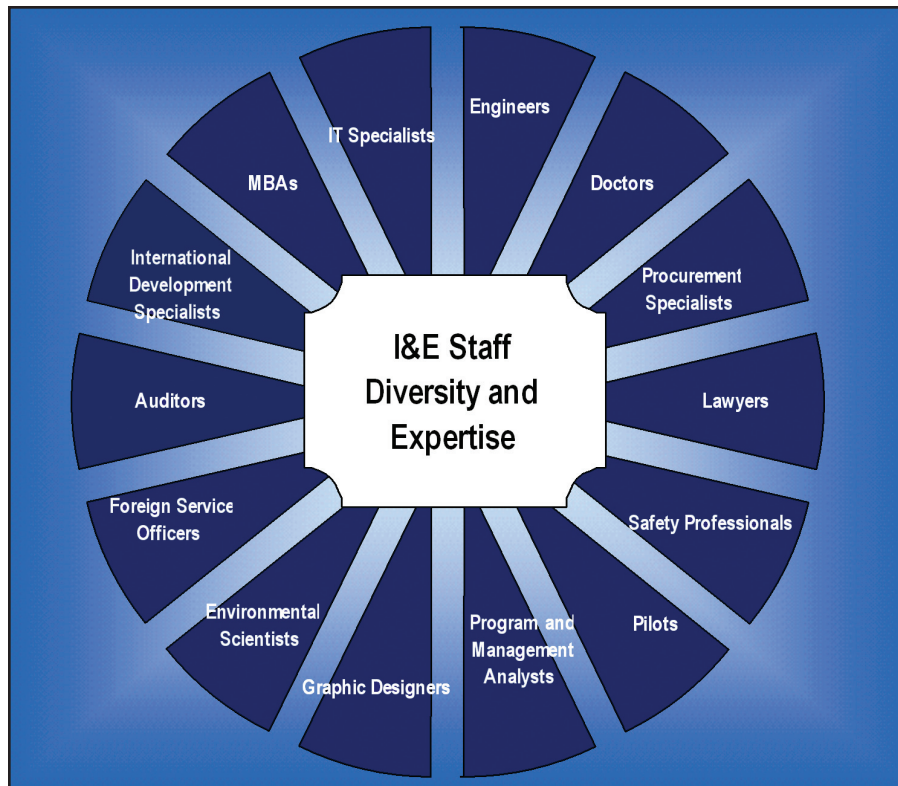
contractors or temporary workers to bring in needed expertise. For example, the Department of State employs a large number of security professionals and retired foreign service officers in its inspections unit, which enables it to perform inspections of overseas embassy and consulate operations in combination with former ambassadors and other State Department personnel also on staff.

These specialized backgrounds partially explain the relatively high grades or salaries of I&E staff. The 2007 survey indicates that the majority of I&E positions are grades GS-13 and above (72 percent). More than 20 percent of the I&E community is at the SES or GS-15 level. But many I&E units also have employees at grades GS-12 and below. For example, the Department of Health and Human Services has 17 staff at GS-10 or lower and the majority (59 percent) of the Department of Homeland Security's staff is at GS-12 or below.

Occupational series. Program analyst (GS-0343) remains the most widely represented job series throughout the I&E community: the majority of respondents indicated they have staff assigned to this series. The second most common position series was miscellaneous administrative (GS-0301), followed by auditor (GS-0511). Several units also have mathematical statisticians (GS-1529), writer/editors (GS-1082), and criminal investigators (GS-1811) on staff.

F.   I&E Units Are Trying to Meet Specific Training Needs

The I&E community offers a variety of training opportunities for its staff, both internal and external. Eleven units reported providing their staffs with general evaluation methods and skills training, which typically includes critical thinking, project design, analysis, and evaluation skills and techniques.

Survey respondents also indicated that they provide a wide variety of specialized training to meet specific needs of the unit. For example, the Federal Deposit Insurance Corporation offers a course in emerging issues in banking, and the Department of State provides a variety of foreign service courses, such as consular operations and general services officer training. Several I&E offices also stated that they provide IT, management, leadership, and team-building training.

The sources of training vary. Many of the larger I&E units provide in-house classes in such areas as auditing, accounting, IT security, TeamMate, interviewing, procurement and contracting, and statistical sampling. Some OIGs have offered seats in their in-house courses to staff from other OIGs. Some I&E units reported using outside training programs and online courses provided through the PCIE or various vendors. These programs offer a wider variety of courses that can be geared to specific program reviews or critical skill categories.

Some of the most targeted training available to the OIG and I&E community was planned or conducted by two organizations that were combined into the former Inspector General Institute—the Inspectors General Auditor Training Institute (IGATI) and the Inspectors General Management Institute. I&E units reported sending staff to IGATI for audit

and evaluation training courses, such as essential skills and techniques for evaluators and inspectors. I&E managers received training at the Federal Executive Institute and at the IG Management Institute when it was operational.

As dedicated government IG training resources have declined, I&E units have in some cases turned to private vendors, such as Management Concepts and ESI International. Some units use the Department of Agriculture's Graduate School. One I&E unit reported using the Evaluator's Institute, and another has sent staff to the Federal Law Enforcement Training Center for noncriminal investigator training. The Department of State OIG identified the Foreign Service Institute as a source of training in financial management and leadership skills for its staff. However these alternatives do not typically offer courses that are specific to I&E operations. And several respondents recommended increasing opportunities for targeted training in conducting evaluations and inspections. They are also interested in identifying quality training opportunities in such areas as report writing and project design, to name a few.

II.   Recommendations for Enhancing the Inspection and Evaluation Community

The I&E community is always looking for ways to improve its work, work products, and interagency collaboration. Respondents to this year's survey offered a number of suggestions for addressing these three areas, which the I&E Committee and Roundtable will draw on to generate new projects.

A.   Suggestions for Improving I&E Work

Survey respondents offered several ideas for increasing the overall effectiveness or impact of inspections and evaluations, such as increasing information sharing within the I&E community. In particular, they were interested in learning from the experiences of others and sharing resources, expertise, and details about work methods and products to enhance the efficiency of their own operations and the effectiveness of future reviews.

Other suggestions for enhancing evaluation work included the following:

- Sharing skills between agencies, including the design, development, approaches or methodology, and application of statistical analysis and questionnaires.
- Improving coordination with audit and investigative teams to promote collaboration on crosscutting issues.
- Producing reports that highlight best practices and commendable programs within agencies, along with the standard elements of findings and observations.
- Designing an extensive annual planning process that ensures topics selected for review reflect concerns and challenges identified by agency management and Congress.
- Placing greater emphasis on the inspector's discipline, ethic, role, and value in relation to investigators and auditors.
- Following Government Auditing Standards (The Yellow Book).
- Conducting periodic informal peer reviews, not only to increase quality assurance but also to share ideas or methods for performing inspections and evaluations.

B.   Products and Resources That May Be Helpful to the I&E Community

The I&E community supports the development of products and resources that can aid multiple I&E units and OIGs in conducting their work. Over the past 11 years, the I&E Committee has developed several best practice guides and other publications to leverage the experience within the community and aid in the development of work plans (see box on page 11). Survey respondents indicated that these publications are useful tools for initiating new reviews and applying techniques successfully used by other OIGs.

The 2007 survey asked respondents to identify additional products that might be helpful. The feedback was extensive. Respondents reported that sharing in-house resources and processes can improve the effectiveness of their units and identified the following internal and external resources and publications that would facilitate their work:

- Guidance on how to address OMB's rules and policies on protecting sensitive information and personally identifiable information.
- Coordination with the Government Accountability Office to more effectively coordinate its work with that of OIGs.
- A formal process for sharing best practices and other I&E procedures and processes within the I&E community.
- A shared repository of audit/evaluation programs and methodologies.
- A centralized web site for the I&E community and online access to a consolidated, indexed library of all OIG inspection, audit, and evaluation reports.
- Guides on how to initiate and conduct crosscutting reviews, to economize on resources while assessing issues of broad impact.
- Online sources for benchmarking and listing best practices that may have government-wide applicability.

C.   Crosscutting Issues for Future Projects

Over the last 4 years, the I&E community has strengthened its commitment to and involvement in joint projects. The November 2006 publication of *An IG's Guide to Evaluating Agency Emergency Preparedness* was a significant accomplishment that brought together the expertise of more than 20 OIGs. Similarly, in January 2005, the PCIE and ECIE published its *Quality Standards for Inspections*—a joint effort that involved input from nearly all I&E units. As noted earlier in this report, many I&E units have already participated in joint projects—sharing resources and expertise to gain greater efficiencies and address common issues.

Respondents to the 2007 survey provided a priority list of topics for new joint projects. Personnel security clearances was the most frequently mentioned for crosscutting review. One OIG suggested the I&E community look at whether agencies—when bringing on new hires—accept clearances or background investigations completed by former federal employers or whether they conduct new investigations even if clearances were recently granted. Given the growing interest in protecting national security, personally identifiable information, and government facilities, security issues remain an important area of interest and one that offers numerous potential topics for collaborative review by multiple I&E units.

I&E Committee and Roundtable Publications

- A*n IG's Guide to Evaluating Agency Emergency Preparedness (November 2006)*
- *Directory of Purchase and Travel Card Reports (online bibliography)*
- *Quality Standards for Inspections (January 2005)*
- *Common Problems and Uncommon Solutions: How OIGs are Helping Improve Federal Travel Card Programs (December 2003)*
- *A Practical Guide for Reviewing Government Purchase Card Programs (June 2002)*
- *Advisory and Assistance Services: A Practical Reference Guide (January 2001)*
- *Screening of Federal Grants and Loans by Offices of Inspector General and Their Agencies' Grant and Loan Officers (January 1998)*
- *Survey on Working Relationships of Inspction and Evaluation Units (January 1998)*
- *Inspection and Evaluation Units: Examples of Impact (January 1997)*
- *OIG Involvement in GPRA Activities (August 1996)*
- *Accountability for Block Grants (July 1996)*

Other suggested crosscutting topics include the following:

- Grant-making techniques and oversight.
- Use of sick leave by federal employees.
- Biosecurity.
- Use of fraudulent, stolen, or deceased persons' social security numbers to obtain federal subsidies and benefits.
- Management and oversight of federal workers' compensation benefits.
- Coordination of federal overseas activities (e.g., trade, economic development, security, contracting, foreign policy, representation, and intelligence).
- Succession planning within OIGs and within the federal government.
- Programs involving interagency transfer of funds, facilities, and/or expertise.
- Management and oversight of federal contracts and procurement activities.
- Development and enforcement of federal environmental laws and regulations.
- Interoperability of healthcare records.

APPENDIX A: Profile of OIG Inspection and Evaluation Units

	Department/ Agency	Title of Unit(s)	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2004 2005 2006 2007	Annual Budget: 2004 2005 2006 2007[1]	FTEs: 2004 2005 2006 2007	Sampling of Staff Expertise
1	Amtrak	Inspections and Evaluations	Chief, Inspections and Evaluations	IG	Separate (1999)	5 7 6 2	$1.8 mil $1.7 mil $5.1 mil $4.4 mil	7.5 8 8 8.5	• Engineers • Procurement/ Contract Specialists
2	Central Intelligence Agency	Inspections Staff	Assistant IG (AIG) for Inspections	IG	Separate (1962)	10 13 10 12	N/A	37 37 37 37	• N/A
3	Defense Intelligence Agency	Inspections	AIG for Inspections	IG	Separate (1991)	38 41 41 39	N/A	14 19 18 26	• Security Professionals • IT Specialists
4	Department of Agriculture	Office of Inspections and Research	AIG for Inspections and Research	DIG	Separate (2006)	N/A N/A 1 4	0 0 0 $600,000	N/A N/A N/A 7	• Biologists • Economists • IT Specialists • Statisticians
5	Department of Commerce (1)	Office of Inspections and Program Evaluations	AIG for Inspections and Program Evaluations	IG	Separate (1982)	15 6 8 7	$1.5 mil $1.5 mil $1.6 mil $1.5 mil	11 13 15 15	• Trade Specialists • Lawyers • MBAs • MPAs • Auditors

APPENDIX A: Profile of OIG Inspection and Evaluation Units

	Department/ Agency	Title of Unit(s)	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2004 2005 2006 2007	Annual Budget: 2004 2005 2006 2007	FTEs: 2004 2005 2006 2007	Sampling of Staff Expertise
6	Department of Commerce (2)	Office of Systems Evaluations	AIG for Systems Evaluations	IG	Separate (1994)	4 3 5 9	$1.3 mil $1.4 mil $1.7 mil $1.8 mil	8 8 11 13	• Engineers • Computer Scientists • IT Security Specialists • Procurement/ Contract Specialists
7	Department of Defense	Inspections and Evaluations Directorate	AIG for Inspections and Evaluations	DIG	Separate (2003)	N/A 5 2 13	$2.3 mil $2.5 mil $2.6 mil $2.8 mil	14 14 14 14	•Engineers •Procurement/ Contract Specialists •Statisticians •Doctors/ Nurses/ Health Professionals •Pilots •Graphic Designers •Lawyers
8	Department of Education	Office of Evaluation, Inspection, and Management Services	AIG for Evaluation, Inspection, and Management Services	DIG	Within (N/A)	N/A	N/A	N/A	N/A

APPENDIX A: Profile of OIG Inspection and Evaluation Units

	Department/Agency	Title of Unit(s)	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2004 2005 2006 2007	Annual Budget: 2004 2005 2006 2007[1]	FTEs: 2004 2005 2006 2007	Sampling of Staff Expertise
9	Department of Energy	Office of Inspections and Special Inquiries	AIG for Inspections and Special Inquiries	DIG for Investigations and Inspections	Separate (1977)	28 31 27 33	$2.9 mil $3.6 mil $3.6 mil $3.1 mil	33 41 40 35	• Lawyers
10	Department of Health and Human Services	Office of Evaluation and Inspections	Deputy IG for Evaluation and Inspections	IG	Separate (1985)	44 49 58 45	$14 mil $15.2 mil $15.5 mil $16.7 mil	126 135 132 153	• Statisticians • Doctors/Nurses/Health Professionals • Lawyers
11	Department of Homeland Security	Office of Inspections	AIG for Inspections	DIG	Separate (2003)	13 11 13 14	$450,977[2] $319,243[2] $213,275[2] $407,573[2]	24 31 41 47	• Lawyers • Economists
12	Department of Housing and Urban Development	Office of Investigation, Inspections and Evaluations Division	Special Agent in Charge	DAIG for Investigations	Part of another OIG entity	N/A 3 11 8	N/A	N/A 1.5 3 4	• Procurement/Contract Specialists

APPENDIX A: Profile of OIG Inspection and Evaluation Units

	Department/ Agency	Title of Unit(s)	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2004 2005 2006 2007	Annual Budget: 2004 2005 2006 2007[1]	FTEs: 2004 2005 2006 2007	Sampling of Staff Expertise
13	Department of the Interior (1)	Regional Audit Offices	Regional Audit Manager	AIG for Audits		7[3]	N/A	11	• Security Professionals
14	Department of the Interior (2)	Program Integrity Division	Director	AIG for Investigations	Combined with another OIG entity	22[3]		15	• IT Specialists
15	Department of the Interior (3)	Office of Information Technology	AIG for Information Technology	DIG		17[3] 21[3]		17 17	
16	Department of Justice	Evaluation and Inspections Division	AIG for Evaluation and Inspections	DIG	Separate (N/A)	10 10 10 9	$137,000[2] $128,000[2] $135,000[2] $121,000[2]	30 31 32 34	• Lawyers • Economists • Accountants • Forensic Scientists • Criminal Justice Staff
17	Department of State	Office of Inspections	AIG for Inspections	DIG	Separate (N/A)	52 56 43 42	$10.2 mil $12.5 mil $11.3 mil $12.2 mil	N/A 67 65 65	• Security Professionals • Foreign Service Officers • Management Analysts
18	Department of Veterans Affairs	Office of Healthcare Inspections	AIG for Healthcare Inspections	IG	Separate (1991)	71 77 116 100	N/A	48 61 61 57	• Statisticians • Doctors/ Nurses/ Health Professionals • Lawyers

APPENDIX A: Profile of OIG Inspection and Evaluation Units

	Department/ Agency	Title of Unit(s)	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2004 2005 2006 2007	Annual Budget: 2004 2005 2006 2007	FTEs: 2004 2005 2006 2007	Sampling of Staff Expertise
19	Environmental Protection Agency	Office of Program Evaluation	AIG for Program Evaluation	Acting IG	Separate (N/A)	22 18 18 13	$9.5 mil $9.4 mil $9.2 mil $7.8 mil	87 86 85 70	• Environmental Scientists • Engineers • Statisticians • Lawyers • Auditors
20	Equal Employment Opportunity Commission	Inspections	Senior Evaluator	DIG	Within (N/A)	N/A	N/A	N/A	• N/A
21	Federal Deposit Insurance Corporation	Office of Evaluations	Director	AIG for Evaluations and Management	Separate (2006)	11 8 9 12	$1.78 mil $2.2 mil $3.38 mil $2.81 mil	10 11 18 14	• Lawyers
22	Legal Services Corporation	Management and Evaluation Unit	AIG for Management and Evaluation	IG	Combined with another OIG entity	1 0 1 N/A	0 0 0 $45,000	N/A N/A N/A 1/2	• Management Analysts
23	National Reconnaissance Office	Inspection Staff	AIG for Inspections	IG	Separate (2002)	7 9 9 10	N/A	N/A N/A 17 20	• Engineers • Security Professionals • IT/Procurement/ Contract Specialists • Certified Fraud Examiner

APPENDIX A: Profile of OIG Inspection and Evaluation Units

	Department/ Agency	Title of Unit(s)	Title of Unit Head	Reports to:	Location within OIG and date established	Reports Issued: 2004 2005 2006 2007	Annual Budget: 2004 2005 2006 2007[1]	FTEs: 2004 2005 2006 2007	Sampling of Staff Expertise
24	Peace Corps	Evaluations and Inspections	AIG for Evaluations and Inspections	IG	Separate (N/A)	4 9 5 3	N/A	5 5 5 5	• Statisticians
25	Treasury Inspector General for Tax Administration	Special Tax Matters	AIG for Audit (Small Business and Corporate)	DIG for Audit	Within Audit	0 0 1 4	0 0 Pilot $1 mil	N/A N/A 0 10	• Economists

1 Estimated
2 Does not include salaries.
3 Reports issued, annual budget, and FTEs are for all three units combined. The information was not available for each unit.

ABBREVIATIONS:
AIG – Assistant Inspector General
DIG – Deputy Inspector General
I&E – Inspections and Evaluations
IG – Inspector General
OIG – Office of Inspector General

NOTES:
• OIGs that responded to the survey but indicated they do not have a unit that performs inspections and evaluations are not included in this table. However, those OIGs that said they do not have an I&E unit but do conduct some inspections or evaluations and provided the titles of some recent I&E reports and other notable accomplishments are included in appendix B. They are the Farm Credit Administration, Federal Labor Relations Authority, National Aeronautics and Space Administration, National Endowment for the Humanities, and National Science Foundation. The Government Printing Office, Securities and Exchange Commission, Social Security Administration, and U.S. Postal Service OIGs perform evaluations or inspections as part of their audit units but did not provide any recent report titles or accomplishments to include in the table.

• OIGs that responded to the survey but did not provide any additional information are not included in either list. They are the Commodity Futures Trading Commission, Corporation for National and Community Service, Federal Maritime Commission, National Endowment for the Arts, and the Small Business Administration.

APPENDIX B: Examples of Recent I&E Reports and Other Notable Accomplishments

	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
1	Amtrak	• Amtrak Mechanical Maintenance Operations • Impact of Poor Long Distance On-Time Performance • Facility Maintenance Program • Food and Beverage Financial Performance	**Review of Amtrak's Mechanical Maintenance Operations.** We recommended that Amtrak implement Reliability-Centered Maintenance, and over the past year, we have helped the agency facilitate this process. **Long Distance Train On-Time Performance (OTP).** This report detailed the financial implications of poor OTP and recommended cost-effective actions to improve performance. **Facility Maintenance Program.** Our evaluation focused Amtrak's attention on this crucial but neglected program
2	Defense Intelligence Agency	• Review of Terrorist Watchlisting • Review of Foreign Material Exploitation • Inspections of Defense Attaché Offices • Review of the Underground Facilities Analysis Center	N/A
3	Department of Agriculture	• Improving Program Integrity - Crop Insurance • International Activities and Agreements of USDA Agencies	**Improving Program Integrity.** We developed a brochure on this topic for training purposes at the request of our agency and the user community.
4	Department of Commerce – Office of Inspections and Program Evaluations	• Commerce Can Further Assist U.S. Exporters by Enhancing Its Trade Coordination Efforts • U.S. Dual-Use Export Controls for India Should Continue to Be Closely Monitored • CS Brazil Is Operating Well Overall but Needs Management Attention in Some Areas • Preparing for Census 2010: Follow-up Review of the Workers' Compensation Program at the Census Bureau Reveals Limited Efforts to Address Previous OIG Recommendations	**Trade Promotion Coordination.** At the request of Congress, we worked with five other OIGs on this review. Our March 2007 report resulted in improved cooperation and coordination of trade promotion efforts among Commerce bureaus involved in trade matters and with other federal, state, and private trade partners. This includes renewed efforts to improve Commerce-State Department cooperation at overseas posts to assist U.S. exporters, improved and consolidated information on exporting and trade leads on the federal government's export.gov Internet portal, better information on and access to multilateral banks and other sources of export finance and market opportunities. **Export Controls Related to India.** This work resulted in the final three reports prepared in response to an 8-year congressional requirement for multiagency reviews of the adequacy of U.S. export controls. Many improvements in Commerce's licensing and enforcement of dual-use export controls have been made as a result of this body of work. This includes closer cooperation between federal agencies reviewing license applications; improved follow-up by Commerce to ensure exporters' compliance with license conditions; improved conduct of and follow-up on overseas end-use checks; better outreach to U.S. companies; greater transparency in U.S. dual-use export control policies and regulations; and renewed attention to concerns about deemed exports involving foreign nationals in the U.S. **Commercial Service Operations in Brazil.** This comprehensive review of CS' largest post in Latin America highlighted what the post was doing well and where it needed to improve. It resulted in significant changes in the post's management structure and financial/accounting/fee collection practices; increased funding for and attention to in-country travel, marketing efforts, and the post's products and services; tighter oversight of the post's performance reporting; and better cooperation on and oversight of Commerce's intellectual property protection and standards attaches in Brazil and within the region.

APPENDIX B: Examples of Recent I&E Reports and Other Notable Accomplishments

	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
5	Department of Commerce – Office of Systems Evaluations	• SARSAT's E-Authentication Controls Do Not Provide Adequate Assurance of Users' Identities • FDCA Program for 2010 Census Is Progressing, but Key Management and Acquisition Activities Need to Be Completed • Information Security in Contracts Needs Better Enforcement and Oversight	**Counting American Indians on Reservations.** In preparation for the 2010 decennial census, we looked at the impact of a new query tested by Census during the 2006 update/enumerate operation that was to improve the count of all household members (within-household coverage), a problem often encountered on reservations where multiple families may reside in one housing unit. Overall, we found the new query had little impact on reservation enumerations at the test site - the Cheyenne River Reservation. **SARSAT's E-Authentication Controls.** We evaluated the quality of the National Oceanic and Atmospheric Administration's e-authentication risk assessment and controls for SARSAT - the U.S. portion of an international program that uses satellites to coordinate search and rescue activities. We found that SARSAT's e-authentication controls do not provide adequate assurance of users' identities and recommended that NOAA redo the e-authentication risk assessment to better characterize and assess authentication risk, improve the system security plan to identify e-authentication requirements and appropriate controls, test controls, and take actions to correct deficiencies. **Field Data Collection Automation Program.** Our inspection focused on the Census Bureau's progress in planning for and acquiring a contractor to develop, implement, and manage the systems for the Field Data Collection Automation (FDCA) program, an $800 million effort to automate much of the 2010 decennial census. We sought to determine if the Census Bureau was positioned to complete the FDCA program in time for the 2008 dress rehearsal and the 2010 decennial census. Our survey revealed Census needed to formulate a sound project management plan and track program progress against the project management plan, consider contracting for the entire effort early in the capital asset planning process, and establish specific procedures for how Census staff will communicate with vendors during prototype development, including informing potential vendors if system requirements change during the development process.
6	Department of Defense	• 2006 Evaluation of the Federal Voting Assistance Program in the Department of Defense • Report on Survey Regarding Post-Government Service Employment Restrictions • Evaluation of DoD Efforts to Combat Trafficking in Persons • Interagency DoD/DoS Assessment of Afghan National Police	**Interagency DoD/DoS IG Assessment of Iraqi Police Training.** This assessment earned the DoD and State OIGs a PCIE Award of Excellence, Multiple Disciplines, in recognition of exceptional performance. **Support to Iraqi Security Force (Ministry of Defense and Ministry of Interior).** The team conducting this work was recognized as DoD IG Policy and Oversight Team of the Year 2006. **DoD Voting Assistance Program.** This OIG work was recognized as DoD IG Policy and Oversight Project of the Year 2006.

APPENDIX B: Examples of Recent I&E Reports and Other Notable Accomplishments

	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
7	Department of Energy	• Excessing of Computers Used for Unclassified Controlled Information at Lawrence Livermore National Laboratory • Chemical Safety Protocols at the Pantex Plant • Sandia National Laboratory-California Procurement Card Program • Review of the Protective Force Radio Communication System at Sandia National Laboratory-New Mexico.	**Internal controls over computer property in the Department's counterintelligence and intelligence offices.** We identified significant accountability weaknesses relating to computers that process classified and sensitive information. We made recommendations to better ensure the protection of sensitive government property and information... **Status of DOE Office of Inspector General export control recommendations.** This was the final report in a series that examined export controls in several areas throughout the DOE complex. We have made numerous recommendations over the last several years to enhance the Department's role in the export process, and this report showed the positive steps that have been taken and also resulted in additional recommendations to more fully address certain issues/vulnerabilities. **DOE's canine program at select sites.** We identified reliability issues involving the canine element of security at several critical Department sites. We made recommendations to improve key aspects of the Department's canine program.
8	Department of Health and Human Services	• Medicare Payments for Surgical Debridement Services • Enrollment Levels in Head Start • Examining Fluctuations in Average Manufacturer Prices	**Drug Pricing Studies.** The Medicare Prescription Drug, Improvement, and Modernization Act of 2003 established new mandates for the HHS/OIG that required ongoing monitoring of drug pricing. Our work has pointed out many problems with the way the federal government calculates drug prices from Medicare and Medicaid beneficiaries, and we have recommended refinements and improvements that offer significant savings. **Nursing Home Emergency Preparedness and Response During Recent Hurricanes.** We studied the emergency preparedness of selected nursing homes in five Gulf states and found that all of these facilities experienced problems, whether evacuating or sheltering in place. Administrators and staff often did not follow their emergency plans, and the plans were often missing suggested provisions. A lack of collaboration between state and local emergency entities and nursing homes further impeded emergency planning and response. We recommended strengthening federal certification standards for nursing home emergency plans. **South Florida Durable Medical Equipment Suppliers' Compliance With Medicare Standards: Results from Unannounced Visits.** OEI staff made unannounced site visits to 1,581 suppliers of durable medical equipment, prosthetics, orthotics, and other supplies in three South Florida counties to determine whether they comply with certain Medicare standards. We found that, contrary to Medicare requirements, 31 percent of suppliers in Miami-Dade, Broward, and Palm Beach counties did not maintain facilities or their facilities were not open for business or staffed. The study garnered significant media and congressional attention.

APPENDIX B: Examples of Recent I&E Reports and Other Notable Accomplishments

	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
9	Department of Homeland Security	• The Department of Homeland Security's Role in Food Defense and Critical Infrastructure Protection • A Performance Review of FEMA Disaster Management Activities in Response to Hurricane Katrina • Survey of DHS Intelligence Collection and Dissemination • ICE's Compliance with Detention Limits for Aliens with a Final Order of Removal from the United States	**Performance Review of FEMA Disaster Management Activities.** PCIE's Evaluation Award for Excellence (2006) Within 1 week after the hurricane's landfall, our Office of Inspections formed a 10-person team that immediately began an assessment of how well FEMA carried out its disaster management responsibilities in response to Hurricane Katrina. After a comprehensive, 3-month assessment, the team made 38 recommendations to DHS headquarters and FEMA to establish measurable expectations of FEMA's response; provide the necessary financial, technical, and staff support to meet them; and assess FEMA's readiness. **DHS Management of Overseas Operations; DHS and the Department of State's Visa Security Program Activities; Joint Reviews with DOS OIG to Inspect DHS Programs Abroad.** Expansion of international oversight: Abroad, DHS staff supports container security, criminal investigations, immigration, and other efforts. We have expanded our international oversight with the project *DHS Management of Overseas Operations*, which is examining DHS' strategic management, coordination, resource support, and other aspects of its international programs and activities. In *DHS and the Department of State's Visa Security Program Activities*, inspections staff is evaluating the management and operations of the Visa Security Program run by Immigration and Customs Enforcement. Finally, during the past year, we continued our involvement in joint reviews with State OIG, accompanying a State team to Russia and evaluating coordination among DHS staff at the Moscow Embassy. **External Pilot Peer Review.** In 2006, the DHS Office of Inspections arranged its first peer review, performed by I&E representatives from the offices of inspector general at Commerce, Health and Human Services, and Veterans Affairs. We asked the reviewers to focus on project management, quality of analysis, and verification. They suggested improvements to our report writing processes and business practices. We addressed all suggestions in the *Inspections Manual, Version 2.5*, which was presented to Inspections staff in January 2007. In addition to these improved procedures, we derived a number of intangible benefits from the external peer review process, including ideas about variation among I&E units and how to improve procedures for conducting our next peer review. We plan to conduct the peer reviews every 3 years.

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	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
10	Department of Housing and Urban Development	• College Student Section 8 Recipients • Social Security Number Validations for Single Family Loans • Sprint FONCARDS • Multifamily Project Recertifications (Gulf Coast)	**College Student Section 8 Recipients.** We completed a limited review concerning college students living in Section 8 subsidized housing in response to media and congressional attention. We estimated that a substantial number of ineligible college students were using the program. The review resulted in new regulations and policy guidance from HUD that restricted student eligibility. **Social Security Number (SSN) Validations for Single Family Loans.** We completed a limited review of social security number validation procedures used by lenders to qualify single family loans for FHA mortgage insurance. We determined that (1) lenders were using the validation procedures and the procedures were working; (2) use of invalid SSNs and total loans originated by lenders significantly decreased since HUD revised the validation procedures; (3) the Quality Assurance Division has reported considerably fewer uses of invalid or false social security numbers by mortgage companies; and (4) lenders properly resolved initial SSN validation failures that occurred through FHA Connection. **Multifamily Project Recertifications (Gulf Coast).** We are reviewing the recertifications of multifamily projects in Alabama, Louisiana, and Mississippi that were damaged and vacated as a result of Hurricane Katrina. HUD had advanced Housing Assistance Payments (HAP) through November 2005 with the understanding that the advances would be deducted from future HAP payments. We determined that HUD recovered monies from all affected reopened projects in Alabama and Mississippi. But HUD has no process in place to recover monies from projects in Louisiana that have not or may never reopen.
11	Department of Interior	• National Business Center Insider Threat Evaluation • Assessment of the U.S. Fish and Wildlife Service, Office of Law Enforcement • Evaluation of Partnership Construction Process, National Park Service	**National Business Center Trusted Insider Threat.** OIG evaluated the National Business Center's internal network security control architecture to understand the extent to which someone with insider knowledge and physical access could obtain unauthorized access to critical information technology. We demonstrated that such unauthorized access can be obtained by an attacker with only physical facilities access. We obtained authentication credentials belonging to DOI's "Enterprise Admins" group, which gave us substantial access to IT resources. As a result, DOI issued a "Notice of Finding and Recommendations," containing specific measures to mitigate such risks. **U.S. Fish and Wildlife Service, Office of Law Enforcement (FWS-OLE).** Our assessment found that despite efforts in the past 5 years to improve organizational efficiency, deficiencies persist in the FWS-OLE program in the areas of internal affairs policy, disciplinary action, controls over firearms, and in the core areas of leadership and oversight. These latter weaknesses have contributed to a general mistrust of senior management. **Partnership Construction Process, National Park Service (NPS).** NPS established its Partnership Construction Process to provide accountability for expensive park projects constructed in collaboration with private entities or with other federal, state, or local governmental agencies. The process represents a positive step toward accountability, though NPS has not yet fully implemented it. Areas needing improvement included guidance on what constitutes a partnership project and reliable cost estimates. OIG suggested six steps that, if taken, should improve both the implementation and accountability of the process.

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	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
12	Department of Justice	• Review of the Federal Bureau of Prisons' Monitoring of Mail for High-Risk Inmates • Review of the Federal Bureau of Investigation's Use of National Security Letters • Review of the United States Marshals Service Judicial Security Process	**The Federal Bureau of Prisons' Monitoring of Mail for High-Risk Inmates.** This review looked at how the agency monitors the written and verbal communications of incarcerated terrorists and other high-risk inmates. We pinpointed needed changes within the federal prison system, the FBI, and the U.S. Attorneys' Offices in the ways these organizations evaluate inmates for heightened monitoring, perform the monitoring, and share intelligence gathered from inmates' communications. **The Federal Bureau of Investigation's use of National Security Letters.** This review, which was a joint project between the Evaluation and Inspections Division and the OIG's Oversight and Review Division, found widespread and serious misuse of the FBI's national security letter authorities. In many instances, the FBI's misuse of national security letters violated NSL statutes, Attorney General Guidelines, or the FBI's own internal policies. The review also documented that the FBI did not provide adequate guidance, controls, or training on the use of these sensitive authorities. **The United States Marshals Service Judicial Security Process (USMS).** This follow-up review examined USMS' progress in evaluating and responding to threats made against federal judges and other court personnel that the agency protects. We found that more than 2 years after we had issued our original report (in 2004), the agency had made little progress at improving its threat assessment process and had a backlog of 1,190 assessments. We also found that USMS made limited progress at establishing an Office of Protective Intelligence unit to proactively identify potential threats. However, the agency had successfully implemented a home alarm program for federal judges and had begun enhancing a Technical Operations Group to provide sophisticated technological support for judicial security investigations and intelligence work.
13	Department of State	• Interagency Assessment of Afghanistan Police Training and Readiness • Inspection of Embassy Moscow, Russia and Constituent Posts • Review of Contracting Allegations at Embassy Hague, The Netherlands • Memorandum Report, International Cooperative Administrative Support Services • Review of the Department of State's Country Reports on Terrorism	**Bureau of Administration's Office of Logistics Operations and Office of Program Management and Policy.** This inspection found that the Office of Logistics Management could increase effectiveness and substantially reduce costs by implementing organizational, policy, and regulatory changes. Full implementation of several existing programs, plus full utilization of the Hagerstown, MD, storage facility, could result in significant savings for the Department. The report also found serious deficiencies in the Department's management and oversight of about $1.2 billion of nonexpendable property and of motor vehicles valued at $300 million. **Bureau of Administration's Office of the Procurement Executive, Office of Acquisitions Management, and Office of Small and Disadvantaged Business Utilization.** We found that the procurement function in the Department of State was approaching a crisis, despite the best efforts of managers and staff in the Office of Acquisitions Management (AQM) and Office of Procurement Executive (OPE). The acquisition and federal assistance workload had grown dramatically in the past 5 years, but the professional contracting staff had remained relatively static. **Embassy Moscow, Russia.** We found that Embassy Moscow had been influential in improving the tone of bilateral relations and the degree of access to Russian government policymakers, despite continuing policy disputes between Russia and the United States. The Ambassador astutely focused Washington policymakers' attention on areas where the U.S. and Russian governments can find common ground.

APPENDIX B: Examples of Recent I&E Reports and Other Notable Accomplishments

	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
14	Department of Veterans Affairs	• Combined Assessment Program Review of the Northport VA Medical Center, Northport, New York • Healthcare Inspection: Review of the Care and Death of a Veteran Patient, VA Medical Centers St. Cloud and Minneapolis, Minnesota • Healthcare Inspection – Alleged Conflict of Interest and Breach of Confidentiality in VHA's Merit Review Process • Administrative Investigation: Loss of VA Information, VA Medical Center, Birmingham, Alabama	**Health Status of and Services for Operation Enduring Freedom/Operation Iraqi Freedom Veterans after Traumatic Brain Injury Rehabilitation.** This report tracked the care received by a cohort of veterans who suffered traumatic brain injury in Iraq or Afghanistan; it focused on their status 2 years after inpatient rehabilitation. It also compared their treatment to a matched group of traumatic brain-injured patients from the private sector. **Implementing VHA's Mental Health Strategic Plan Initiatives for Suicide Prevention.** In response to a congressional request, on a fairly short turnaround we reviewed VHA's progress in implementing initiatives for preventing suicide in the veteran population. **Legionnaire's Disease Risk in Veterans Health Administration Inpatient Facilities.** This review assessed the risks for Legionnaire's Disease to patients in these facilities and suggested prevention strategies.
15	Environmental Protection Agency	• EPA Needs to Take More Action in Implementing Alternative Approaches to Superfund Cleanups • EPA Can Improve Its Oversight of Audit Follow-up • Better Enforcement Oversight Needed for Major Facilities with Water Discharge Permits in Long-term Significant Noncompliance • EPA Relying on Existing Clean Air Act Regulations to Reduce Atmospheric Deposition to the Chesapeake Bay and its Watershed	**Saving the Chesapeake Bay Watershed.** Our assessment found that EPA must improve its coordination and collaboration with its bay partners and the agricultural community to better reduce nutrients and sediment entering the Chesapeake Bay watershed. However, members of the agricultural community have been reluctant to participate because of EPA's regulatory enforcement role. USDA, a bay partner at the federal level, could provide significant help to EPA in implementing the needed conservation practices within the agricultural community. **Performance Track Program Design and Management.** Our review found that Performance Track did not have clear plans that connected activities with goals, and did not have performance measures that show if it achieves anticipated results. These implementation challenges detracted from EPA's anticipated results (only 2 of 30 sampled Performance Track members met all of their environmental improvement commitments). In addition, members did not have access to some program benefits in assessing members' leadership using independent criteria. We found that most Performance Track members' compliance and toxic release records were better than average, but some were not. Although most members showed leadership and environmental progress, the presence of underperforming facilities in this leadership program reduces the integrity and value of the brand. **EPA's Oversight of the Vehicle Inspection and Maintenance Program.** Properly implemented, inspection and maintenance programs ensure that poorly performing vehicles are identified and promptly repaired. These programs represent a key component of the pollution control strategies for major urban areas. We reviewed the success of these programs in one region of the country, and found that states in that region have substantially reduced vehicle emissions, but EPA has not ensured that states have fully met their program commitments. Four of 5 inspection and maintenance programs in the region reported high percentages of vehicles with no known final outcome.

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16	Farm Credit Administration	• Federal Information Security Management Act Evaluation • Protection of Credit Card Numbers	**Agency's Utilization of Enforcement Authorities.** Our report's recommendations will improve enforcement regulations and procedures.
17	Federal Deposit Insurance Corporation	• FDIC's Succession Planning Efforts • Information Technology Application Services Contracts • Safeguards Over Personal Employee Information • EEO Discrimination Complaints Process	**Assessments Process and Calculation of the Reserve Ratio.** This was a complex review assessing FDIC's calculation and reporting of FDIC's reserve ratio—the ratio of deposit insurance funds to insured deposits. Our evaluation revealed corporate governance and transparency issues, and received media and congressional attention. **Industrial Loan Company (ILC) Deposit Insurance Application Process.** This was a comprehensive evaluation of FDIC's process for approving applications for establishing industrial banks, which allow commercial companies to mix banking and commerce (otherwise largely prohibited for most banks) and to escape regulation at the holding company level. The ILC issue was heightened when Wal-Mart and Home Depot attempted to obtain ILC charters. Among other things, the report raised questions about FDIC's ability to control ILCs' business plans once they receive deposit insurance. The evaluation team briefed Hill staffers who were preparing for hearings on the issue. FDIC also instituted a moratorium on ILC applications and cited concerns raised by GAO and OIG among the reasons for the moratorium. **FDIC's Contract Administration.** This broad review of FDIC's administration of contracts highlighted problems with FDIC's contract management system and reported a large backlog of contracts awaiting closeout. We made recommendations pertaining to acquisition workforce planning, acquisition procedures, contract file documentation and oversight planning documents, the contract management system, and contract closeouts.
18	Federal Labor Relations Authority	• FISMA • FLRA Policy and Instructions • PII	**Update, Creation of New OIG Instructions.** We issued two new IG instructions (record management, contracting) and updated all other OIG instructions (which were created in 1998-1999). **Federal Labor Relations Authority Instructions.** 54 were cancelled in 2003 and never replaced. FLRA management is now beginning to update or create new policy. **Inspector General Authority and Independence.** Oversight of IG office has decreased.
19	Legal Services Corporation	• Evaluation of Legal Services Mapping • Review of LSC Workplace Safety	N/A

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	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
20	National Aeronautics and Space Administration	• Marshall Space Flight Center's Approach to Establishing Product Data Management and Mechanical Computer-Aided Design Software Tools as Standard Center-Wide • Effective Inspection Program Key to Improving Laboratory Safety at Glenn Research Center • Federal Information Security Management Act: Fiscal Year 2007 Report from the Office of Inspector General	**Marshall Space Flight Center's Approach to Establishing Product Data Management and Mechanical Computer-Aided Design Software Tools as Standard Center-Wide.** We evaluated compliance with NASA guidance and mitigation of risks associated with establishing standard Center-wide Product Data Management and Mechanical Computer Aided-Design Software tools. **Improving Laboratory Safety at Glenn Research Center.** Improved laboratory inspection program to reduce the risk of injury to personnel and damage to assets and facilities resulting from laboratory operations. **Federal Information Security Management Act: Fiscal Year 2007 Report from the Office of Inspector General.** Identified areas for improving NASA's overall IT security posture.
21	National Endowment for the Humanities	• Salary and wage review compliance with OMB circular A-122	FISMA Reviews
22	National Science Foundation	• 2006 Government in the Sunshine Act - Audit Report • Audit of Interest in NSF Providing More Research Results • Audit of NSF's Law Enforcement Program in the Antarctic • Survey of Large Facilities Project Management and Oversight	**Increased Public Access to NSF-Funded Research Results.** Audit work resulted in greater public access to NSF-funded research results and furthered the public's knowledge and understanding of scientific research.
23	Peace Corps	• Evaluation, PC/Guinea • Evaluation, PC/South Africa • Effective Programs Study • Evaluation PC/Botswana	**Effective Programs Study.** Established best practices for volunteer effectiveness **PC/Botswana.** Identified mental health vulnerability of volunteers serving HIV/AIDS victims. **PC/South Africa.** Documented ongoing weaknesses and problems beginning in 1999.

APPENDIX B: Examples of Recent I&E Reports and Other Notable Accomplishments

	Department/Agency	Recent Report Titles/Subjects	Other Results/Accomplishments
24	Treasury Inspector General for Tax Administration	• The IRS Building Flood Emergency Response • Effects of Mismatched Social Security Numbers on Tax Administration • The Accuracy and Reliability of the Tax Gap	**2006 IRS Headquarters Building Flood.** This review responded to a congressional request with a short turnaround time. We worked with GAO and other audit units to review all aspects of the flood and avoid duplication of effort. As part of our fieldwork, we conducted an online survey. **Mismatched Social Security Numbers.** We demonstrated how IRS could use mismatched wage and income information documents to identify people who had not filed tax returns. **Tax Gap.** We analyzed the quantification of the $345 billion tax gap and determined that there are accuracy and reliability questions concerning the methods used to calculate the gap.

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