

**GENERAL MANAGEMENT:
Treasury Employees Feel Safer With Greater
Awareness Of Safety, Physical Security,
Evacuation, And Continuity Of Operations
Planning Procedures**

OIG-CA-03-020

April 2, 2003



Office of Inspector General

The Department of the Treasury

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Abbreviations

Acting CIO	Acting Deputy Assistant Secretary for Information Systems and Chief Information Officer
ATF	Bureau of Alcohol, Tobacco and Firearms
BEP	Bureau of Engraving and Printing
BPD	Bureau of the Public Debt
COOP	Continuity of Operation Planning
Customs	U.S. Customs Service
DO	Departmental Offices
FinCEN	Financial Crimes Enforcement Network
FLETC	Federal Law Enforcement Training Center
FMS	Financial Management Service
GAO	U.S. General Accounting Office
IRS	Internal Revenue Service
JAMES	Joint Audit Management Enterprise System
Mint	U.S. Mint
OCC	Office of the Comptroller of the Currency
OIG	Office of Inspector General
OTS	Office of Thrift Supervision
TIGTA	Treasury Inspector General for Tax Administration
Secret Service	U.S. Secret Service

*The Department of the Treasury
Office of Inspector General*

April 2, 2003

Teresa Mullett Ressel
Acting Assistant Secretary for Management
and Chief Financial Officer

We administered an online survey over a 3-week period from May 10 through May 31, 2002, to Department of the Treasury (Treasury) employees, except the Internal Revenue Service (IRS) and Treasury Inspector General for Tax Administration (TIGTA), working in the Washington, D.C., metropolitan area. The objective of this survey was to collect information on employee perceptions of safety, physical security, evacuation procedures, and continuity of operation planning (COOP), as well as to gain insight into employees' sense of personal safety while working in Treasury buildings.

We administered the survey to approximately 13,220 Treasury employees working in the Washington, D.C., metropolitan area and received 3,283 responses,¹ which is a 24.8 percent response rate. The matters we discuss in this report are based on those responses. We provide a more detailed description of our review approach in Appendix 1.

Overall, we believe that Treasury employees feel safer with greater awareness of safety, physical security, evacuation, and COOP procedures. However, the data from our survey revealed that Treasury employee perceptions varied in these areas. Accordingly, we are recommending that your office (1) provide any necessary guidance to the bureaus in formulating and conducting educational campaigns to improve employee knowledge in these matters and

¹ The responses are large enough to constitute a statistically valid sample with 95 percent confidence.

(2) periodically conduct similar surveys to gauge the success in increasing employee safety and security awareness.

Your office's written comments to a draft of this report, provided by the Acting Deputy Assistant Secretary for Information Systems and Chief Information Officer (Acting CIO) and included as Appendix 4, concurred with the recommendations. The comments, however, did not delineate what specific action had been taken or planned in response to the recommendations, or provide target dates for corrective action as required by Treasury Directive (TD) 40-01, *Responsibilities of and to the Inspector General*. Accordingly, the Department will need to develop this information. The Acting CIO also commented that the Office of Security and Continuity Planning was only responsible for areas covered by 13 out of our 50 survey questions, and that the remaining areas surveyed were under cognizance of other Departmental Offices authorities. Further, The Acting CIO stated that the small volume of responses to the survey, in comparison to the total Treasury population, provided insufficient data for a thorough analysis. With respect to this latter comment, we believe the response rate was sufficient for our analysis to be statistically valid.

We are providing separate reports to the Treasury bureaus and offices summarizing and analyzing the responses of our survey as they pertain to those bureaus and offices.

Background

Treasury is organized into two major components: (1) Departmental Offices and (2) Bureaus. Departmental Offices is responsible for formulating policy and department-wide management as a whole, while the bureaus carry out specific departmental functions. To accomplish this, the Department at the time of our survey over 145,000 employees located throughout all 50 states, the District of Columbia, and several foreign countries.²

² Pursuant to the Homeland Security Act of 2002, certain Treasury law enforcement activities and bureaus were divested to the Departments of Justice and Homeland Security in 2003. Specifically,

In March 2002, we issued a report (OIG-CA-02-002) on emergency evacuation procedures for Main Treasury and the Treasury Annex. In that report, we discussed three findings on emergency evacuation procedures. These findings highlighted deficiencies in the comprehensiveness of the current emergency evacuation procedures, a need for additional employee training on emergency evacuation procedures, and an unclear line of authority concerning which office is responsible for finalizing and implementing the emergency evacuation procedures.

In light of those findings, we made three recommendations regarding: (1) the testing, approval, and distribution emergency response procedures, (2) provision of mandatory emergency response training for all building personnel, and (3) clarification on the lines of authority over the development and implementation of emergency response procedures that meet minimum General Service Administration standards.

We consider these issues very important, and within the past year several media reports and congressional testimony shed light into how serious others are about building security and evacuation, as well as fears of being located in the District of Columbia. Following the events of September 11th, some Federal agencies began adjusting their emergency evacuation plans. Coinciding with this, the U.S. General Accounting Office (GAO) sent out agents to deliberately test security at Federal buildings. In congressional testimony in April 2002, GAO detailed how agents were able to enter several Federal buildings without proper authority while carrying briefcases or packages in the process of bypassing magnetometers and X-ray machines. Agents also moved about the buildings unchallenged by anyone working in the buildings. Finally, a May 2002 Washington Post poll found that Washington, D.C., residents felt less secure living in the district compared to people

the enforcement activities of the Bureau of Alcohol, Tobacco and Firearms transferred to Justice while its trade and revenue operations remained in Treasury as the newly created Alcohol and Tobacco Tax and Trade Bureau. The U.S. Customs Service, U.S. Secret Service, and Federal Law Enforcement Training Center transferred to Homeland Security.

living in other regions of the country. Specifically, the poll found that 27 percent of Washington, D.C., residents felt “very safe” from terrorism compared to 57 percent in other cities. These recent reports highlighted the salience of issues we addressed in our previous work, as well as what we found in the results from our survey.

Summary of Survey Results

Overall, we believe that Treasury employees working in the Washington, D.C., metropolitan area feel safer with greater awareness of safety, physical security, evacuation, and COOP procedures. Appendix 2 of this report provides a detailed narrative of the survey results and our analysis. The raw responses to the survey instrument are provided in Appendix 3.

The data from our survey revealed that Treasury employees vary in their perceptions of safety, physical security, evacuation procedures, and COOP issues. For instance, some employees appeared to know about the availability of first aid kits near their workspaces, while many did not. In the same way, some employees were well aware of their role and the roles of others in building evacuation plans, while others were completely unaware about these roles.

By itself, employee variation in perception and awareness of these safety and security issues may not mean much, but when framed in the context of employee confidence in the viability of building exit pathways during an emergency evacuation, or employee perceptions of personal safety while working in Treasury buildings, the survey results bear more significant meanings. We observed noteworthy links between the responses of several related pair questions when we closely examined them.³

³ We used cross-tabular analysis techniques for estimating the statistical significance of relationships between two survey questions of interest.

First, we observed that employees became more confident in the exit routes as viable pathways of leaving the buildings during an emergency evacuation when employees were aware of multiple exit routes. Second, employees became more confident in the exit routes as viable pathways when they perceived the exit signs as clearly marked.

Third, employees became more confident in their coworkers' roles when they were more knowledgeable about building evacuation roles themselves. This indicated that faith that employees placed in their coworkers' knowledge about evacuation roles during an emergency situation was associated with their own knowledge of building evacuation roles.

Fourth, employee perception of personal safety was generally higher when employees were: (1) more confident that building security procedures kept unauthorized individuals from entering Treasury buildings, (2) more confident in the viability of building exit pathways, (3) more knowledgeable about building evacuation roles, and (4) more confident that their coworkers were knowledgeable about building evacuation roles.

A critical question we asked in our survey addressed how safe employees generally felt when coming to work at Treasury buildings. In large measure the majority of employees reported feeling either "very safe" or "somewhat safe." We compared personal safety with three questions related to building security features and building evacuation roles noting the following relationships. About 74.3 percent of employees who were "very confident" in building security procedures reported feeling "very safe" while working day-to-day in their respective Treasury buildings. Also, employee perceptions of personal safety and knowledge of building evacuation roles were positively associated. Specifically, when employees reported better knowledge of building evacuation roles (both their own role and the roles of others), they perceived themselves as generally safer while working in Treasury buildings. Additionally, employees who were more confident in their coworkers' knowledge of building evacuation roles expressed

feeling safer while working in Treasury buildings. Overall, employee perceptions of personal safety depend upon confidence in building security procedures and knowledge of evacuation roles.

Aside from the findings discussed above there were a few additional findings worth noting:

- Treasury employees by-and-large possessed very little knowledge about COOP. Just over half of the respondents (53.2 percent) were aware that their office had a COOP. (See Question 1, Table 4 in Appendix 3.) However, when it comes to specific dimensions to the COOP, employees in general did not know. (See Questions 2 through 8, Table 4 in Appendix 3.)
- Almost a third of respondents (30.6 percent) did not know whether a first aid kit available for employees was located near their workspace, and 23.2 percent of the respondents said they did not have ready access to first aid kits. (See Question 13, Table 1 in Appendix 3.)
- Although 29.6 percent of respondents listed no potential workplace hazard and/or emergency situation, the others (70.4 percent) cited concerns. The concerns most frequently cited were: (1) building security procedures and evacuation (35.2 percent), and (2) terrorist activity and other emergency situations (25.2 percent). (See Question 10, Table 2 in Appendix 3.)

As a final observation, this report about our survey results should be read with the understanding that it provides a snapshot about Treasury employee perceptions at a point in time, that being in May 2002. Since then, additional actions may have taken by management to improve employee awareness of the areas surveyed, and it would not be unreasonable to state that recent events in Iraq and other parts of the world have further heightened employee awareness of possible threats to their workplaces generally. Also, significantly more information on safety and emergency preparedness issues are now readily available to all

Federal employees. Recent examples include the Homeland Security Advisory System and the manager and employee Emergency Preparedness Guides now available through the Office of Personnel Management website at <http://www.opm.gov/>. While somewhat speculative, we would expect that a similar survey conducted today would find a greater awareness by Treasury employees in all areas of workplace safety.

Recommendations

The Assistant Secretary for Management and Chief Financial Officer should:

1. Provide guidance as necessary to the bureaus in formulating and conducting educational campaigns to improve employee knowledge of safety, physical security, evacuation procedures, and COOP.
2. Periodically conduct surveys similar to ours to gauge the success in increasing employee safety and security awareness.

We will record the above recommendations in Treasury's Joint Audit Management Enterprise System (JAMES).

Management Response

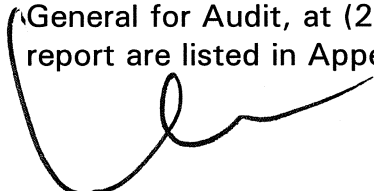
The management response to our draft report was provided by the Acting CIO. In his written comments, the Acting CIO concurred with the recommendations.

OIG Comment

The response did not fully or clearly delineate what specific action had been taken or planned, or provide target dates for incomplete corrective action as required by TD 40-01. Accordingly, this information will need to be developed and entered into JAMES.

* * * * *

We greatly appreciate the courtesies and cooperation provided to our staff during the review. If you wish to discuss this report, you may contact me or Robert A. Taylor, Deputy Assistant Inspector General for Audit, at (202) 927-5400. Major contributors to this report are listed in Appendix 5.



Marla A. Freedman
Assistant Inspector General for Audit

The objective of this survey was to collect information on employee perceptions of safety, physical security, evacuation procedures, and COOP, as well as to gain insight into employee perceptions regarding their sense of personal safety while working in Treasury buildings in the Washington, D.C., metropolitan area.

We constructed a 50-item questionnaire addressing a variety of issues related to safety, physical security, evacuation procedures, and COOP. We administered the survey to all Treasury employees working in the Washington, D.C., metropolitan area, exclusive of those employees working for IRS and TIGTA.

To administer the survey via e-mail, we contacted the bureau liaisons and explained the purpose and magnitude of the survey work because the Department did not have a centralized global listing of all Treasury employees e-mail addresses. We requested each bureau to supply us with a list of e-mail addresses for all government employees working in the Washington, D.C., metropolitan area, but only those employees who are regularly employed by the Federal government and whose employment is not the result of a government contract.

Six bureaus/offices – Bureau of Alcohol, Tobacco and Firearms (ATF), U.S. Customs Service (Customs), Federal Law Enforcement Training Center (FLETC), OIG, Office of Thrift Supervision (OTS), and U.S. Secret Service (Secret Service) – supplied us a spreadsheet listing the employee e-mail addresses, while seven bureaus/offices – Department Offices (DO), Bureau of Engraving and Printing (BEP), Bureau of the Public Debt (BPD), Financial Crimes Enforcement Network (FinCEN), Financial Management Service (FMS), Office of the Comptroller of the Currency (OCC), and U.S. Mint (Mint) – opted for us to send them a link so they could distribute the survey to their own employees.

We administered our survey between May 10 and May 31, 2002 to approximately 13,220 Treasury employees working in the

Washington, D.C., metropolitan area, and received 3,283 responses to our survey.

Table 1a shows the response rates for each bureau. The bureaus listed in italics are those who supplied us with employee e-mail addresses. The second column has the population estimates for Washington, D.C., metropolitan area employees as provided to us by each bureau, the third column has the total number of responses we received from employees who replied to the questions asking which bureau one currently works for, and the fourth column has the response rate based on dividing column three by column two.

The table shows that response rates are consistently higher among those bureaus that supplied us with employee e-mail addresses. For these six bureaus the response rate ranges between a low of 27.6 percent (Secret Service) and a high of 66.7 percent (FLETC). The range is a little misleading, as the number of FLETC employees eligible for participating in the survey was only 12, while Secret Service has 2,276 eligible employees. Despite this, the cumulative response rate for these six bureaus is 33.2 percent, which is consistent with findings from previous studies of response rates from online surveys.⁴ This stands in contrast to the range and cumulative response rate for the seven bureaus where we supplied a link that they could distribute to their own employees. In this case, the response rate ranges between a low of 7.5 percent (OCC) and a high of 27.6 percent (FinCEN), with a cumulative response rate of 14.0 percent.

⁴ Sheehan, K. (2001). "E-mail Survey Response Rates: A Review" *Journal of Computer Mediated Communication*, 6 (2). [Online] Available: <http://www.ascusc.org/jcmc/vol6/issue2/sheehan.html>

Table 1a. Survey Response Rate for Each Bureau or Office

<u>Bureau</u>	<u>Population</u>	<u># Response</u>	<u>Response Rate</u>
<i>ATF</i>	1,450	561	38.7%
BEP	1,900	218	11.5%
BPD	105	19	18.1%
<i>Customs</i>	2,401	741	30.9%
DO	1,673	324	19.4%
FinCEN	217	60	27.6%
<i>FLETC*</i>	12	8	66.7%
FMS	1,429	125	8.7%
Mint	575	61	10.6%
OCC	760	57	7.5%
<i>OIG</i>	162	94	58.0%
<i>OTS</i>	260	143	55.0%
<i>Secret Service</i>	2,276	629	27.6%
Not Indicated on Response		243	7.4%
Total	13,220	3,283*	24.8%*

Note: The percentages were rounded to the nearest tenth. We received a total of 3,283 responses, providing an overall response rate to 24.8 percent and yielding a statistically valid sample at a 95 percent confidence level.

*At the time of our survey FLETC had 28 employees located in the Washington, D.C., metropolitan area, but only the email addresses of 12 employees were provided.

Table 1b shows the proportion each bureau contributes to the entire Treasury population. For representation purposes we compare the proportions of our response rates against those reported by Office of Personnel Management's (OPM's) December 2001 workforce statistics. We find an absolute average difference of 4.1 percent between our response rates and OPM's workforce proportions with a median percent difference of 3.1 percent. Differences in the proportions reflect a pattern that appears linked to the same response rate patterns mentioned earlier. We

mentioned that the cumulative response rate was higher among bureaus that supplied us with employee e-mails than those where we supplied bureaus a link. This manifests itself with higher proportional representation of those bureaus in our responses with the exception of the Secret Service. Despite these differences in bureau proportional representation between our responses and those found in the OPM workforce statistics, the overall differences are not too large to suspect the resulting data is biased enough to warrant the use of sample weights.

Table 1b. Bureau Composition: Our Respondents vs. OPM Workforce Estimates

Bureau	Our Respondents %	OPM %	Difference
ATF	18.5%	10.9%	7.6%
BEP	7.2%	14.6%	7.4%
BPD	0.6%	0.9%	0.3%
Customs	24.4%	13.0%	11.4%
DO	10.7%	11.8%	1.1%
FinCEN	2.0%	N/A	N/A
FLETC	0.3%	0.1%	0.2%
FMS	4.1%	10.8%	6.7%
Mint	2.0%	4.4%	2.4%
OCC	1.9%	5.4%	3.5%
OIG	3.1%	1.1%	2.0%
OTS	4.7%	2.1%	2.6%
Secret Service	20.7%	24.9%	4.2%

Note: The percentages were rounded to the nearest tenth. OPM does not include FinCEN in its reporting of Treasury workforce statistics (N/A = Not Applicable). Before FinCEN became a bureau, its employees were categorized under DO, then the DO percent would increase from 10.7 percent to 12.7 percent, but would not reduce the absolute difference.

To further understand how representative our responses were to the Treasury population working in the Washington, D.C., metropolitan area we included some questions that allow us to compare against OPM workforce statistics. Table 1c compares the

length of federal service of our respondents against those reported by OPM for December 2001. We find very little difference in the proportional representation for the 10 categories with an average difference of 1.9 percent and a 1.7 percent median difference. This gave us confidence that our responses did not differ too much from the Treasury population based on length of Federal service. We also compared our responses against OPM estimates for employment type and appointment.

Table 1c. Demographic Comparison: Length of Service of Our Respondents vs. OPM Workforce Estimates

<u>Length of Service</u>	<u>Our Respondents %</u>	<u>OPM %</u>	<u>Difference</u>
Less than 1 year	3.8%	5.5%	1.7%
Between 1-2 years	3.9%	7.9%	4.0%
Between 3-4 years	5.3%	4.3%	1.0%
Between 5-9 years	9.5%	10.8%	1.3%
Between 10-14 years	19.3%	21.6%	2.3%
Between 15-19 years	17.2%	15.1%	2.1%
Between 20-24 years	14.6%	12.4%	2.2%
Between 25-29 years	12.6%	11.4%	1.2%
Between 30-34 years	9.5%	8.4%	1.1%
More than 35 years	4.3%	2.6%	1.7%

Note: The percentages are rounded to the nearest tenth. The difference percent is an absolute figure, with the average difference of 1.9 percent and a median difference of 1.7 percent between our respondents and OPM estimates for December 2001.

Table 1d shows only a 1.2 percent difference with regard to the representation of full and part-time workers. We did find a little more difference on the employment appointment representation. Our respondents had slightly more Permanent Civil Service (5.5 percent) and slightly less Non-Permanent Excepted Service (7.3 percent) than was reported by OPM. Overall, however, the average difference between our response proportions and those by OPM is 2.2 percent while the median difference was 0.7 percent. Taken together, we felt that even with our 24.8 percent overall response

rate, the data collected from our survey did a better than fair job representing the entire Treasury population working in the Washington, D.C., metropolitan area.

Table 1d. Demographic Comparison: Employment Schedule, Our Respondents vs. OPM Workforce Estimates

<u>Full or Part-time</u>	<u>Our Respondents %</u>	<u>OPM %</u>	<u>Difference</u>
Full-time	98.4%	97.2%	1.2%
Part-time	1.6%	2.8%	1.2%
<u>Appointment Type</u>	<u>Our Respondents %</u>	<u>OPM %</u>	<u>Difference</u>
Permanent, CS	89.6%	84.1%	5.5%
Non-Permanent, CS	1.2%	0.5%	0.7%
Permanent, ES	5.2%	5.6%	0.4%
Non-Permanent, ES	0.6%	7.9%	7.3%
Permanent, SES	1.8%	1.8%	0.0%
Non-Permanent, SES	0.1%	0.1%	0.0%
Other	1.4%	0.0%	1.4%

Note: The percentages are rounded to the nearest tenth. The difference percent is an absolute difference, with an average difference of 2.2 percent and a median difference of 0.7 percent for employment appointment characteristics between our respondents and OPM estimates for December 2001.

We performed our evaluation in accordance with the President's Council on Integrity and Efficiency *Quality Standards for Inspections*.

Survey Results and Analysis

Noteworthy Employee Variation in Perceptions of Building Security and Personal Safety Issues

The survey responses showed that Treasury employees were different in their perceptions of safety, physical security, evacuation procedures, and COOP issues. For instance, some employees appeared to know about the availability of first aid kits near their workspaces, while many did not. In the same way, some employees were well aware of their role and the role of others in building evacuation plans, while others were completely unaware of these roles.

By itself, employee variation in perception and awareness of these safety and security issues may not mean much, but when framed in the context of employee confidence in the viability of building exit pathways during an emergency evacuation, or employee perceptions of personal safety while working in Treasury buildings, our results become notably meaningful. We divided up the discussion of our results into subsections, which addressed specific dimensions of safety and security issues.

First, we discussed employee knowledge of general safety issues, such as whether employee confidence in the viability of building exit pathways was associated with employee awareness of multiple exit routes. Second, we discussed employee concerns over building security and property theft/damage while working at Treasury buildings. Here, we discussed the association between employee feelings of personal safety and employee confidence that building security procedures kept unauthorized individuals from entering Treasury buildings. Third, we discussed employee knowledge of building evacuation procedures. Fourth, we discussed employee knowledge of COOP. Finally, we discussed factors affecting employee perceptions of personal safety while working in Treasury buildings. Specifically, we drew attention to relationships between perceptions of personal safety and issues

like employee confidence in the viability of building exit pathways, employee knowledge about building evacuation roles, and employee confidence in coworker knowledge about building evacuation roles.

Employee Knowledge of General Safety Issues

We asked 13 questions that addressed some aspect of general safety, such as knowledge and confidence of building exit routes, awareness of fire alarms and extinguishers, and employee concerns over office cleanliness. The results of response for these 13 questions are in Table 1 of Appendix 3. Four of those questions addressed issues surrounding employee knowledge of building exit routes. We found that a clear majority of the respondents were aware of multiple building exit pathways to the exclusion of elevators, with 87.1 percent of employees indicating awareness of two or more exit pathways.

Most respondents felt at least “somewhat confident” that the building exit pathways (excluding elevators) would be viable routes to leaving their building in the case of an actual emergency. Among the respondents, 40.1 percent of them were “very confident” in the viability of the exit pathways, while 43.6 percent of them expressed some reservation in feeling “somewhat confident.” Another 15.8 percent were “not very confident” in the viability of the pathways during an emergency evacuation. Finally, 94.5 percent of the respondents perceived the exit signs as at least “somewhat clear,” including just over two-thirds perceiving the signs as “very clear.”

Often survey researchers look to uncover patterns in how respondents answer one question with how they answer another question of related interest. For instance, our survey asked Treasury employees: (1) how many building exit pathways is one aware of, and (2) how confident is one that the building exit pathways would be viable routes of exit during an emergency evacuation. Independently we already knew that the respondents

varied in the number of building exit pathways they were aware of, and likewise, we also knew how much Treasury employees varied in the level of confidence they expressed in the viability of building exit pathways during an emergency evacuation.

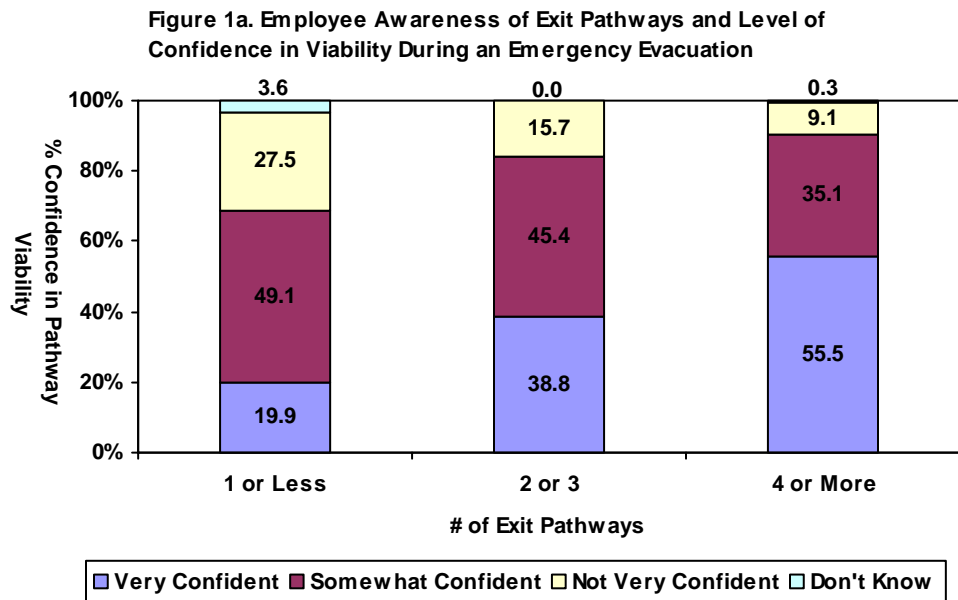
However, what we did not know was whether Treasury employees' confidence in the building exit pathways varied in a systematic way according to the number of exit pathways employees were aware of. Thus, it was plausible for us to ask, "Are Treasury employees typically more confident in the viability of building exit pathways when they possess knowledge of multiple pathways?"

Cross-tabular analysis is a statistical procedure that allows us to answer such a question. The cross-tabular procedure displays the simultaneous outcomes (cell) for the two questions of interest. In doing so, we knew, for example, the number of building exit pathways respondents were aware of, and how confident they were in the viability of the exit pathways during an emergency evacuation. With this information, we compared the percentages across cells within a column, or more specifically we compared the percentages of those respondents who were very confident in the viability of the exit pathways based on the number of exit pathways they were aware of.

We applied a chi-square statistical test to determine whether what we observed in the data was statistically different from what would be expected under a condition of no relationship. In the case of no relationship, or statistical independence, we would expect the column percentages within each category to equal one another and thus equal the row marginal for all respondents. Our results indicated that there was a statistical relationship between the number of exit pathways respondents were aware of, and the level

of confidence they expressed regarding the viability of the exit pathways during an emergency evacuation.⁵

Figure 1a displays results from a cross-tabular analysis between the numbers of exit pathways respondents were aware of, and the confidence they expressed in the viability of those exit pathways during an emergency evacuation. We found that respondents were generally more confident in the viability of building exits when they were aware of multiple exit pathways.



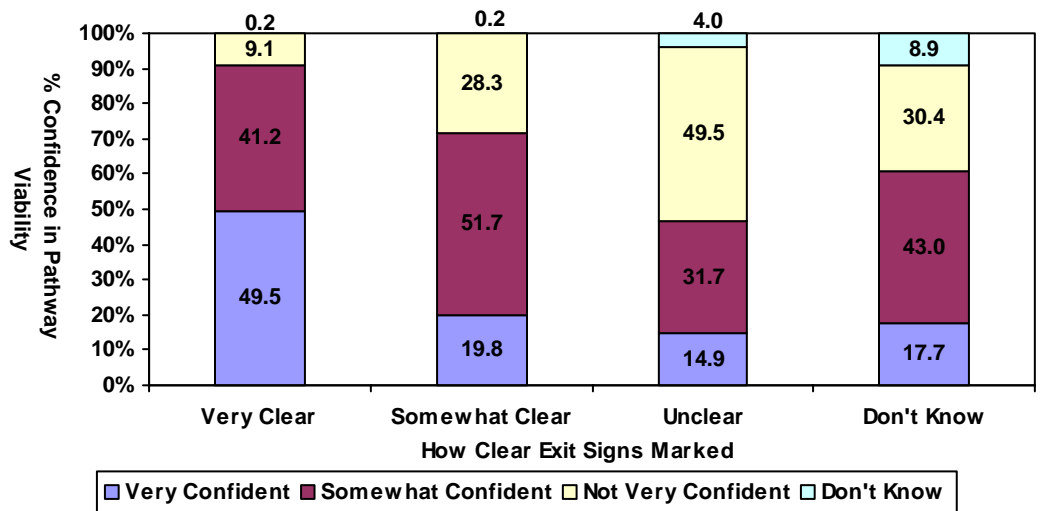
Beginning with those who were aware of one or fewer building exits, 19.9 percent of them were “very confident” in the viability of those routes during an emergency evacuation. Among the respondents, who were aware of two or three building exits, confidence was higher as 38.8 percent of them were “very confident” in the exit routes; moreover, 55.5 percent of respondents who were aware of four or more building exits were

⁵ In this report we discuss results from several cross-tabular analyses. In each case, the analysis was statistically significant.

“very confident” in the viability of those routes during an emergency evacuation.

We applied cross-tabular analysis to examine a relationship between how clearly respondents perceived building exit signs and their confidence in the viability of exit pathways. Figure 1b presents those results. We found that confidence in the viability of building exit pathways during an emergency evacuation was generally higher among those who perceived the building exit signs as more clear. Approximately 49.5 percent of the respondents, who perceived the exit signs as clearly marked, were “very confident” in the viability of the building exit routes, whereas this was true for only 19.8 percent and 14.9 percent of respondents who perceived the exit signs as “somewhat clear” and “unclear,” respectively.

Figure 1b. Employee Perceptions of Exit Signs and Level of Confidence in Viability of Exit Pathways



We asked six questions about fire alarm issues. (See Questions 5, 6, 7, 8, 9, and 10, Table 1 in Appendix 3). Here, we found that 49.2 percent of respondents knew the precise locations of the closest fire alarms and fire extinguishers in their buildings. (See

Question 5, Table 1 in Appendix 3.) Furthermore, we found 69.8 percent of them considered the smoke detectors and fire alarms were at least “somewhat visible,” with 39.0 percent of them considering them “very visible.” (See Question 6, Table 1 in Appendix 3.)

Despite this knowledge, a majority (85.7 percent) of the respondents did not know how often fire extinguishers were checked for potential malfunctioning. (See Question 7, Table 1 in Appendix 3.) On a similar front, very little continuity exists among respondents’ recollection of the number of fire drills having occurred at their respective buildings within the past year. Approximately 19.0 percent of the respondents simply did not recall, but other estimates ranged from zero fire drills (10.7 percent) to more than two (16.2 percent) in the past year. (See Question 8, Table 1 in Appendix 3.)

Finally, we asked three questions about office cleanliness and safety. On the positive side, 89.5 percent of respondents reported that their office hallways were not cluttered with miscellaneous office items and supplies. (See Question 11, Table 1 in Appendix 3.) Approximately three-quarters indicated no awareness of the presence of cleaning supplies and/or other hazardous materials in proximity to their workspaces. (See Question 12, Table 1 in Appendix 3.) However, only 46.2 percent of respondents were aware of a first aid kit near their workspace, while over 30.6 percent were not aware of any first aid kit, or 23.2 percent did not have ready access to first aid kit. (See Question 13, Table 1 in Appendix 3.)

Employee Concerns Over Building Security and Property Theft/Damage

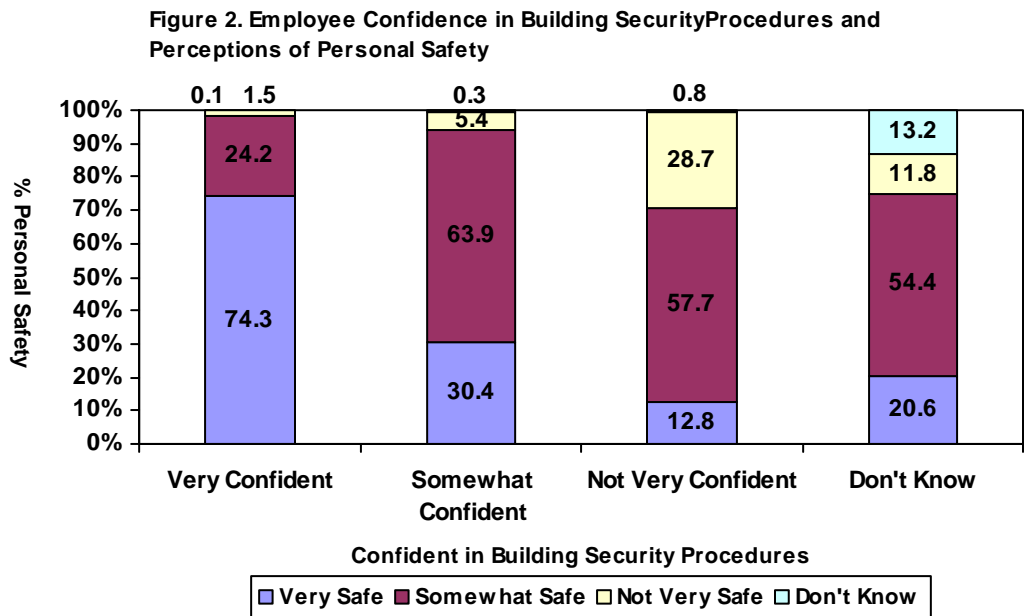
Table 2 in Appendix 3 presents frequencies for 10 questions related to building security and entrance procedures. Most of the respondents (73.2 percent) did not recall observing any unknown and unescorted individuals wandering around their workspaces

within the past year, yet 20.8 percent did. Approximately 79.2 percent of the respondents believed that building security personnel followed established building entrance procedures for controlling the entrance. However, this did not translate into complete confidence regarding the effectiveness of the entrance procedures from keeping unauthorized individuals from entering Treasury buildings.

Specifically, we found that 38.3 percent of respondents were “very confident,” 39.3 percent “somewhat confident,” and 20.3 percent “not very confident.” Similarly we found that respondents varied in their perceptions of personal safety while working in Treasury buildings. Here, 43.4 percent of respondents felt “very safe,” 47.2 percent “somewhat safe,” and 8.8 percent “not very safe.”

We decided to explore the variation in employee confidence with building security procedures and perceptions of personal safety by using cross-tabular analysis. We presented the results in Figure 2. We found evidence suggesting that employee perceptions of personal safety while working in Treasury buildings were higher when employees expressed more confidence in the effectiveness of the building security procedures.

Among the respondents, who were “very confident” in the effectiveness of the building security procedures, 74.3 percent of them reported feeling “very safe” while working in Treasury buildings. This perception of personal safety dropped to 30.4 percent among the respondents who were only “somewhat confident” in the building security procedures. Further, only 12.8 percent of the respondents, who were “not very confident” in the building security procedures, felt “very safe” while working in Treasury buildings.



Continuing with our interest in building security features, we asked Treasury employees to list what potential workplace hazards concerned the most. We received a wide range of responses, which we collapsed into 10 relatively distinct categories. (See Question 10, Table 2 in Appendix 3.) Some of these categories were either directly or indirectly related to our building security questions. These 10 categories were: (1) cluttered office area, (2) timeliness of building evacuation, (3) general issues related to building evacuation, (4) building security procedures, (5) terrorist activity, (6) proximity to White House, (7) general emergency situations such as fire, (8) workplace violence committed by fellow coworkers or disgruntled employees, (9) other concerns (e.g., smell of perfume, dirty water cooler filters, etc.), and (10) no present/current concerns.

Although 29.6 percent of respondents did not express any immediate workplace hazard concerns, 26.3 percent of them expressed concern related to evacuating Treasury buildings during an emergency. Of this group, 15.2 percent were concerned with

timeliness of building evacuations and 11.1 percent having building evacuation concerns other than timeliness (e.g., people panicking, overcrowded stairwells). Three other frequently listed concerns were not too far from those related to evacuating Treasury buildings.

First, we found that 13.7 percent of respondents specifically mentioned terrorist activity impacting Treasury buildings. Second, 11.5 percent of respondents listed concern over other types of general emergency situations, such as building fires, integrity of building structure, the presence of toxic fumes, and indoor air quality to name a few. Finally, 8.9 percent of respondents expressed reservation/concern regarding the effectiveness of building entrance procedures and/or the basic competence of security personnel controlling entrance to Treasury buildings.

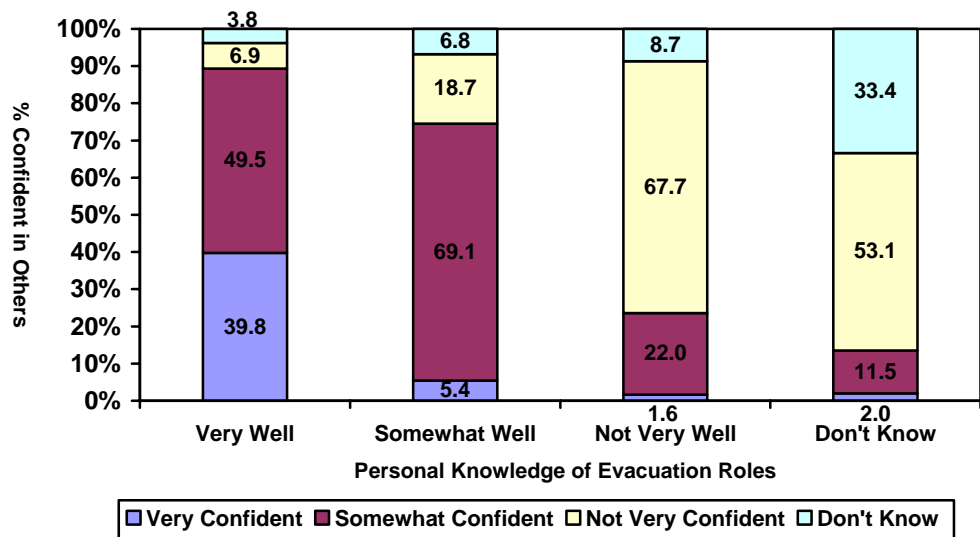
Employee Knowledge of Building Evacuation Procedures

We asked nine questions concerning employee knowledge of evacuation roles during an emergency evacuation, and the results are provided in Table 3 of Appendix 3. First, respondents varied in their personal knowledge of evacuation roles, with 32.0 percent reporting that they knew their roles and the roles of others “very well,” 38.8 percent “somewhat well,” 14.3 percent “not very well,” and 14.9 percent “don’t know roles.”

Respondents also varied in the level of confidence they had in their coworkers knowledge of building evacuation roles, with 15.4 percent feeling “very confident,” 47.5 percent “somewhat confident,” 27.0 percent “not very confident,” and 10.1 percent not knowing how confident they felt. When it came to specific features of building evacuation plans, we found that respondents were not overly knowledgeable. For instance, 70.5 percent of respondents did not know who was responsible for helping individuals who might need special assistance during an emergency evacuation, while 54.8 percent did not know who were their floor wardens for emergencies.

We performed additional analysis of employee variation with respect to building evacuation roles. Specifically, we wanted to understand the patterns for the following associations: (1) personal knowledge of evacuation roles and confidence in coworker knowledge of evacuation roles, and (2) the percentage of employees with both a contact person and an official meeting place following an emergency evacuation. Figure 3a displays the results from our cross-tabular analysis of the association between personal knowledge respondents had of emergency evacuation roles and the confidence they had in their coworkers' knowledge of those same roles. We found that employee confidence in coworker knowledge of building evacuation roles was lower among employees who were less sure themselves about the roles.

Figure 3a. Employee Knowledge of Evacuation Roles and Confidence in Coworker Knowledge of Evacuation Roles

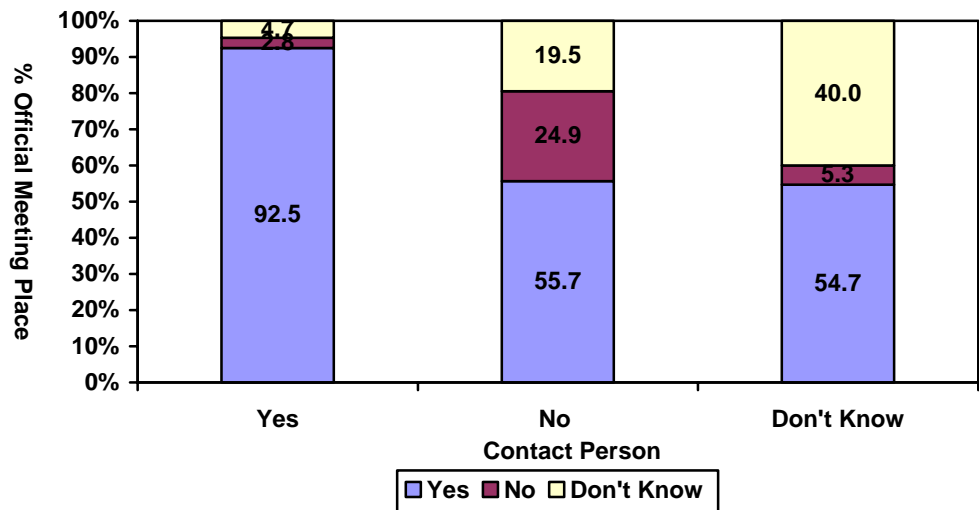


Beginning with the respondents who reported knowing the evacuation roles "very well," 39.8 percent of them felt "very confident" in their coworkers' knowledge of evacuation roles, while

49.5 percent of them were only "somewhat confident." Among those who knew the evacuation roles "somewhat well," 69.1 percent of them felt "somewhat confident" in their coworkers, although 18.7 percent were "not very confident." However, among those who did not know the evacuation roles very well, 67.7 percent of them were "not very confident" in their coworkers knowledge of evacuation roles.

Figure 3b displays results from our cross-tabular analysis of the relationship between whether employees had a contact person to touch base with following an emergency evacuation and whether employees were aware of an official meeting place following an emergency evacuation. We found that 92.5 percent of respondents who had someone to touch base with also knew about an official meeting place. Among the respondents, who did not have someone to touch base with, 55.7 percent of them did know about an official meeting place.

Figure 3b. Employees with a Contact Person Following an Emergency Evacuation and Having an Official Meeting Place



Employee Knowledge of COOP

We asked eight questions related to employee knowledge of COOP. The frequencies for these eight questions appear in Table 4 of Appendix 3. We found that respondents by-and-large possessed very little knowledge about COOP. Approximately 53.2 percent of the respondents were aware that their office has a COOP, but when it comes to specific dimensions to the COOP, respondents overwhelmingly did not know. For example, 80.3 percent did not know how often their COOP was tested and updated; 72.4 percent did not know how many of their coworkers have seen the COOP; and 76.3 percent did not know whether their emergency preparedness officials participated in training exercises related to COOP.

In light of finding so many respondents not knowing a lot about COOP, we recoded the data to count the number of COOP questions each respondent responded with a "don't know." From this we found (see Question 9, Table 4 in Appendix 3) that 32.8 percent of respondents indicated "don't know" on all eight COOP questions. Furthermore, 23.5 percent did not know about six or seven questions, 20.6 percent did not know between three and five questions, 9.4 percent did not know did not know about one or two questions, while 13.7 percent knew something about all eight questions. All told, these figures indicated that 56.3 percent of the employees, who responded to our survey, did not know anything with regard to at least six of the eight COOP questions we asked.

Factors Affecting Employee Perceptions of Personal Safety

Since employee satisfaction is a department-wide strategic goal, and employee safety is an implied dimension underlying the goal, we decided to examine some factors that might be associated with employee perceptions of personal safety while working in Treasury buildings. We performed a series of cross-tabular analyses focusing on factors such as employee confidence in building exit pathway

viability, personal knowledge of emergency evacuation procedures, and confidence employees had in their coworkers knowledge of emergency evacuation procedures.

Figure 4a displays results of the association between employee confidence in the viability of building exit pathways and employee perceptions of personal safety. We found among the respondents who were “very confident” in the exit pathways, 65.5 percent felt “very safe” working in Treasury buildings. This perception of personal safety declined when respondents were less confident in the viability of the building exits, as 32.3 percent of “somewhat confident” respondents felt “very safe,” and 19.0 percent of those who were “not very confident” felt “very safe.”

Figure 4a. Employee Confidence in Viability of Exit Pathways and Perceptions of Personal Safety

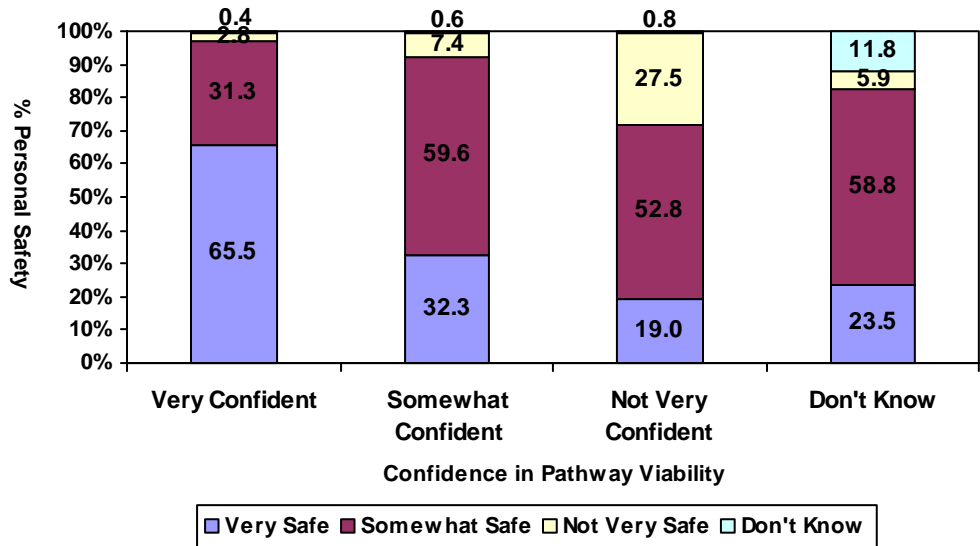
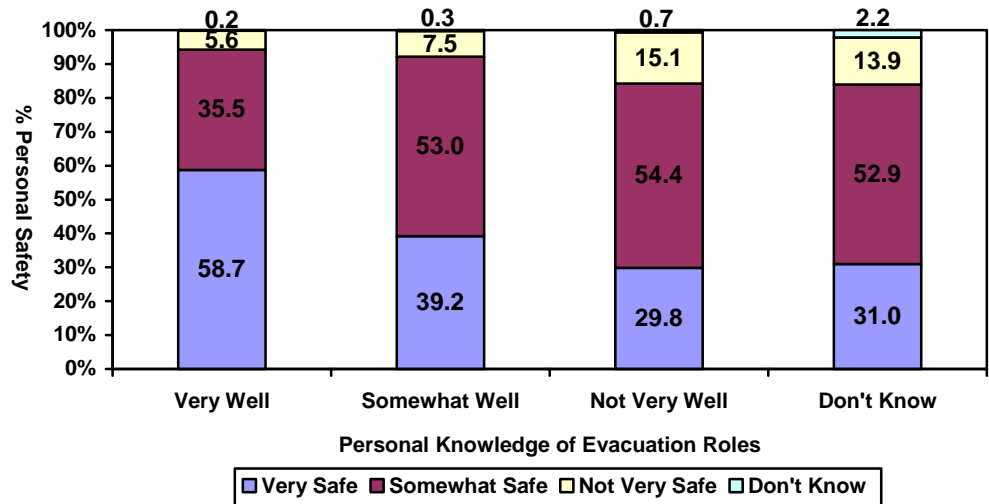


Figure 4b displays the relationship between employee knowledge of building evacuation roles and employee perceptions of personal safety. We found that employee perceptions of personal safety were stronger when employees were more knowledgeable of their

own roles as well as the roles of others in building evacuation plans. Approximately 58.7 percent of respondents, who reported knowing the evacuation roles “very well,” indicated feeling “very safe” while working in Treasury buildings. This level of personal safety declined to 39.2 percent among those who reported knowing the evacuation roles “somewhat well,” and 29.8 percent among those who reported not knowing the evacuation roles very well at all.

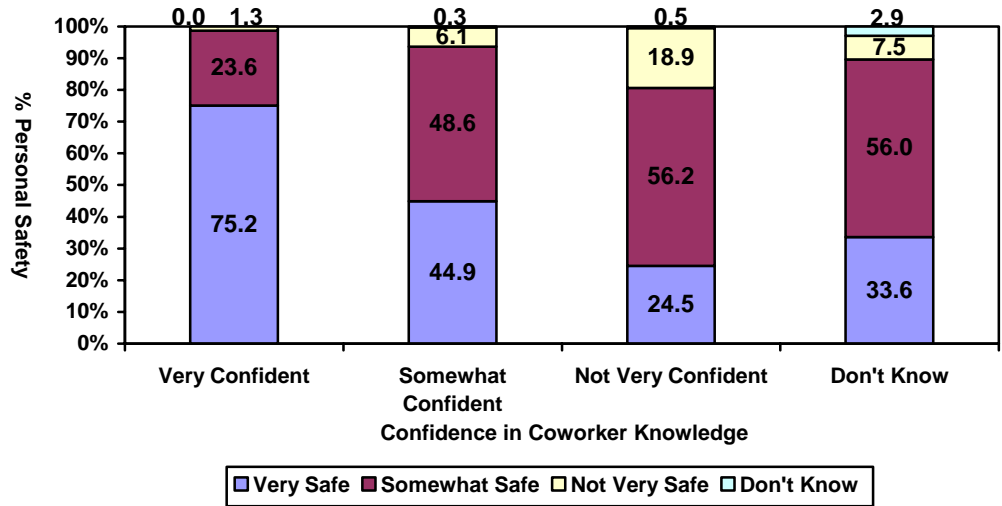
Figure 4b. Employee Knowledge of Evacuation Roles and Perceptions of Personal Safety



We found a similar pattern between employee confidence in coworker knowledge of evacuation roles and perceptions of personal safety. (See Figure 4c.) Approximately 75.2 percent of respondents, who were “very confident” in their coworkers’ knowledge of building evacuation roles, felt “very safe” working in Treasury buildings. Likewise, among those who were less confident in their coworkers, more of them felt less secure working in Treasury buildings. Among the respondents, who were “somewhat confident” in their coworkers, 44.9 percent of them felt “very safe” working in Treasury buildings, while among those who were

“not very confident” in their coworkers, only 24.5 percent felt “very safe.”

Figure 4c. Employee Confidence in Coworker Knowledge of Evacuation Roles and Perceptions of Personal Safety



Appendix 3
Selected Survey Questions and Survey Results

The following 41 questions were taken directly from the original 50-question survey distributed to the Treasury employees working in the Washington, D.C., metropolitan area. For the purposes of this report, we grouped the questions by topic and omitted seven questions pertaining to employee demographics and two questions relating to specific working conditions. The four tables below are grouped by topic and display questions as they appeared in the original survey. The tables provide the total number of responses numerically and in percentages for each question.

Table 1. Survey Response to Employee Knowledge of General Safety Issues (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>%Total</u>
1) Excluding elevators, are you aware of more than 1 exit pathway for leaving building during an emergency?		
Yes	3062	93.3%
No	196	6.0%
Don't know	24	0.7%
2) Excluding elevators, how many exit pathways are you aware of?		
0	24	0.7%
1	399	12.2%
2 or 3	2133	65.0%
4 or 5	531	16.2%
6 or more	195	5.9%
3) Excluding elevators, how confident are you that all exit pathways would be viable routes to leave the building in the case of an actual emergency?		
Very confident	1315	40.1%
Somewhat confident	1431	43.6%
Not very confident	517	15.8%
Don't know	18	0.5%
4) How clear are the exit signs in your building marked?		
Very clear	2261	68.9%
Somewhat clear	841	25.6%
Unclear	101	3.1%
Don't know	79	2.4%
5) Do you know the exact location of the nearest fire alarms and fire extinguishers?		
Yes	1615	49.2%
No	1205	36.7%
Not sure	462	14.1%

Appendix 3
Selected Survey Questions and Survey Results

Table 1. Survey Response to Employee Knowledge of General Safety Issues (rounded to nearest tenth)			
<u>Question</u>		<u>Responses</u>	<u>%Total</u>
6) How visible are the smoke detectors and fire alarms located in the building common areas (e.g., hallways, stairwells)?	Very visible	1280	39.0%
	Somewhat visible	1011	30.8%
	Not very visible	300	9.2%
	Don't know	690	21.0%
7) How often are the fire extinguishers in your building inspected for potential malfunctioning?	Every 6 months	111	3.4%
	At least 1x per year	341	10.4%
	Every 2 years	13	0.4%
	Every 3-5 years	4	0.1%
	Don't know	2813	85.7%
8) How many fire drills were conducted at your building within the past year?	0	350	10.7%
	1	1088	33.1%
	2	691	21.0%
	More than 2	530	16.2%
	Don't know	624	19.0%
9) Is there a public address system for announcing emergencies?	Yes	2468	75.3%
	No	306	9.3%
	Don't know	505	15.4%
10) Does the public address system work properly?	Yes	1911	77.6%
	No	201	8.2%
	Don't know	349	14.2%
11) Are the hallways surrounding your workspace cluttered with miscellaneous office items and supplies (e.g., file boxes) that could impede your ability to exit the building in case of an emergency?	Yes	316	9.8%
	No	2903	89.5%
	Don't know	24	0.7%

Appendix 3
 Selected Survey Questions and Survey Results

Table 1. Survey Response to Employee Knowledge of General Safety Issues (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>%Total</u>
12) Are you aware of cleaning supplies and/or other hazardous materials located near your workspace?		
Yes	542	16.7%
No	2434	75.0%
Don't know	268	8.3%
13) Is there a first aid kit available for employees located near your workspace?		
Yes	1499	46.2%
No	754	23.2%
Don't know	991	30.6%

Appendix 3
Selected Survey Questions and Survey Results

Table 2. Survey Response to Employee Concerns Over Building Security and Property Theft/Damage (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>% Total</u>
1) In the past year have you noticed any unknown and unescorted individuals wandering around your workplace?		
Yes	662	20.8%
No	2326	73.2%
Don't know	191	6.0%
2) To your knowledge, do security personnel follow published procedures for controlling the entrance of building visitors?		
Yes	2518	79.2%
No	237	7.4%
Don't know	425	13.4%
3) How confident are you that building entrance procedures keep unapproved visitors from entering?		
Very confident	1216	38.3%
Somewhat confident	1248	39.3%
Not very confident	647	20.3%
Don't know	68	2.1%
4) In general day-to-day terms, how safe do you feel in your work environment?		
Very safe	1380	43.4%
Somewhat safe	1501	47.2%
Not very safe	279	8.8%
Don't know	20	0.6%
5) Is your workspace secured after normal work hours?		
Yes	2578	81.1%
No	202	6.4%
Don't know	399	12.5%
6) Within the past year, how many intrusions or security breaches have occurred at your building?		
0	510	16.0%
1 or 2	146	4.6%
Between 3 and 5	37	1.2%
6 or more	20	0.6%
Don't know	2468	77.6%

Appendix 3
Selected Survey Questions and Survey Results

Table 2. Survey Response to Employee Concerns Over Building Security and Property Theft/Damage (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>% Total</u>
7) Have you ever had any property (office or personal) stolen from your workspace?		
Yes	450	14.2%
No	2609	82.0%
Don't know	120	3.8%
8) After noticing that property was either damaged or stolen, did you report the incident?		
Yes	284	60.4%
No	186	39.6%
9) How satisfied were you with the action taken in response to your report of damaged or stolen property?		
Very satisfied	54	18.2%
Somewhat satisfied	90	30.4%
Not very satisfied	84	28.4%
No action taken	68	23.0%
10) What potential workplace hazards and/or emergency situations concern you the most?		
Cluttered office area	81	2.5%
Bldg Evacuation: Timeliness	499	15.2%
Bldg Evacuation: General	365	11.1%
Bldg Security Procedures	291	8.9%
Terrorist Activity	450	13.7%
Proximity to White House	46	1.4%
Emergency Situations	376	11.5%
Workplace Violence	28	0.8%
Other	176	5.3%
No Present Concerns	971	29.6%

Appendix 3
Selected Survey Questions and Survey Results

Table 3. Survey Response to Employee Knowledge of Building Evacuation Procedures (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>% Total</u>
1) How well do you know your role in addition to the role of others in the emergency evacuation plans for your building?		
Very well	972	32.0%
Somewhat well	1180	38.8%
Not very well	436	14.3%
Don't know roles	452	14.9%
2) How confident are you that others in your building know their respective roles in the case of an actual emergency evacuation?		
Very confident	467	15.4%
Somewhat confident	1444	47.5%
Not very confident	822	27.0%
Don't know	307	10.1%
3) Do you know who is responsible for people that require special assistance in leaving the building during an emergency evacuation?		
Yes	896	29.5%
No	1714	56.4%
Don't know	430	14.1%
4) Do you know the persons who have been designated as evacuation floor wardens for your floor?		
Yes	1372	45.2%
No	1330	43.8%
Don't know	336	11.0%
5) To your knowledge, do the floor wardens possess flashlights and hardhats?		
Yes	612	20.1%
No	560	18.4%
Don't know	1868	61.5%
6) Do you have a contact person to touch base with following an emergency evacuation?		
Yes	1806	59.4%
No	663	21.8%
Don't know	571	18.8%

Appendix 3
 Selected Survey Questions and Survey Results

Table 3. Survey Response to Employee Knowledge of Building Evacuation Procedures (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>% Total</u>
7) Is there an official meeting place for employees to meet immediately following an emergency evacuation?		
Yes	2354	77.4%
No	245	8.1%
Don't know	442	14.5%
8) Have you participated in evacuation testing and/or training within the past year?		
Yes	2026	66.6%
No	944	31.1%
Don't know	70	2.3%
9) When did you participate in evacuation testing and/or training while working at the building where you are presently located?		
Within past 1 year	1933	63.7%
Within past 1-2 years	316	10.4%
Within past 3-5 years	57	1.9%
More than 5 years ago	18	0.6%
Never in present bldg	712	23.4%

Appendix 3
Selected Survey Questions and Survey Results

Table 4. Survey Response to Employee Knowledge of Continuity of Operation Planning (rounded to nearest tenth)

<u>Questions</u>	<u>Responses</u>	<u>% Total</u>
1) Does your office have a continuity of operations procedures (COOP) in place?		
Yes	1617	53.2%
No	117	3.9%
Don't know	1304	42.9%
2) Does the COOP identify all mission-essential functions and the people required to implement them?		
Yes	1245	41.0%
No	96	3.2%
Don't know	1693	55.8%
3) How often are COOPs tested and updated, if necessary?		
Annually	504	16.6%
Every 2 years	20	0.6%
Every 3-5 years	11	0.4%
More than 5 years ago	64	2.1%
Don't know	2437	80.3%
4) Are the individuals designated as emergency preparedness officials cleared for access to classified materials and designated sites?		
Yes	632	20.8%
No	41	1.4%
Don't know	2363	77.8%
5) Are the individuals designated as emergency preparedness officials available via alert notification and recall procedures?		
Yes	758	25.0%
No	28	0.9%
Don't know	2252	74.1%
6) What percentage of your immediate office coworkers has seen the COOP?		
Less than 25%	256	8.4%
Between 25-50%	53	1.8%
Between 50-75%	76	2.5%
Between 75-100%	453	14.9%
Don't know	2200	72.4%

Appendix 3
 Selected Survey Questions and Survey Results

Table 4. Survey Response to Employee Knowledge of Continuity of Operation Planning (rounded to nearest tenth)

<u>Question</u>	<u>Responses</u>	<u>%Total</u>
7) Are the individuals designated as emergency preparedness officials briefed on all aspects related to relocating and operating office duties from designated areas?		
Yes	605	19.9%
No	91	3.0%
Don't know	2343	77.1%
8) Are the individuals designated as emergency preparedness officials directed to participate in training exercises?		
Yes	634	20.8%
No	87	2.9%
Don't know	2318	76.3%
9) Cumulative number of "Don't know" responses to COOP questions		
None of the 8	451	13.7%
Either 1 or 2	307	9.4%
Between 3 and 5	676	20.6%
Either 6 or 7	771	23.5%
All 8	1078	32.8%



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220

JAN 28 2003

MEMORANDUM FOR MARLA A. FREEDMAN
ASSISTANT INSPECTOR GENERAL FOR AUDIT

THRU: Mike Parker *Mike Parker*
Acting Deputy Assistant Secretary for Information Systems
and Chief Information Officer

FROM: Patrick J. Geary *PJG 1/27/03*
Director, Office of Security and Continuity Planning

SUBJECT: Comments on Draft OIG Report – General Management
Treasury Employees Vary in Knowledge of Building
Security and Personal Safety Issues

The Office of Security and Continuity Planning (OSCP) concurs with OIG's two recommendations on page 7 of their report. There is a greater need for employee training and high merit in periodically evaluating the effectiveness of such training to instill greater awareness.

We need to point out only 13 out of 50 questions in the OIG survey are relevant to program areas OSCP is responsible for managing. The remaining 37 are under cognizance of other DO authorities within Management. In addition, the small volume of responses relied on by OIG, in comparison to the total Treasury population, provided insufficient data for a thorough analysis.

We would encourage the OIG to work with us to improve the quality of their questionnaire in any future attempt to glean value from employee-related surveys on program areas we handle. This would improve the quality of the tool since many of the questions were not pertinent to security and COOP programs. Despite the methodology used to arrive at their recommendations we do support their suggestions for stronger emphasis on training and assessing results.

Office of Inspector General

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Director, Office of Safety, Health and Environment
Chief Management and Administrative Programs Officer
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Alcohol and Tobacco Tax and Trade Bureau
Bureau of Engraving and Printing
Bureau of Public Debt
Financial Crimes Enforcement Network
Financial Management Service
U.S. Mint
Office of the Comptroller of the Currency
Office of Thrift Supervision

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OIG Budget Examiner