

GAO

Office of Inspector General

May 2009

SEMIANNUAL
REPORT

October 1, 2008 —
March 31, 2009





GAO

Accountability * Integrity * Reliability

Office of the Inspector General
United States Government Accountability Office

OIG

Memorandum

Date: May 8, 2009

To: Acting Comptroller General – Gene L. Dodaro

From: Inspector General – Frances Garcia

Subject: Semiannual Report – October 1, 2008, through March 31, 2009

In accordance with Section 5 of the Government Accountability Office Act of 2008 (GAO Act), I am submitting my semiannual report for the first half of fiscal year 2009 for your comments and its transmission to the Congress.

During this period, the Office of the Inspector General (OIG) undertook a number of actions to implement requirements in the GAO Act and selected provisions in the Inspector General Reform Act of 2008. These actions included drafting a new GAO order and policies and procedures, to emphasize the statutory role and responsibilities of the OIG; establishing a page on GAO's Web site to make the OIG's products readily available to the Congress and the public; hiring an attorney to provide independent legal advice and counsel; and actively participating in the newly established Council of Inspectors General on Integrity and Efficiency.

In addition, we issued one report with recommendations—our fiscal year 2008 evaluation of GAO's voluntary compliance with the information security program and practices required by the Federal Information Security Management Act of 2002. (See attachment for a summary of this report and GAO actions to address its recommendations.) Further, we monitored the agency's efforts to assess and report on internal controls consistent with guidance provided by the Office of Management and Budget in its Circular No. A-123, *Management's Responsibility for Internal Control*, and initiated an audit risk assessment of GAO to aid in our development of risk-based audit work plans. Our ongoing work included reviews of GAO performance measures for three areas—human capital management, product timeliness, and GAO testimonies.

Regarding our efforts to identify potential fraud, waste, or abuse within GAO, we received 28 inquiries and allegations this reporting period through our hotline and other sources. Twelve concerned matters related to other federal agencies, so they were closed with a referral to GAO's FraudNet—a mechanism that anyone may use to report allegations of fraud, waste, abuse, or mismanagement of federal funds—or the appropriate agency Office of Inspector General. Four were closed due to insufficient factual information that would warrant further investigation; three others were closed with a referral to the appropriate GAO office because they involved personnel

and security matters. Regarding the other nine cases, we completed action on four, including one where an employee resigned as a result of the investigation. At the end of the reporting period, five cases remained open.

Finally, in response to recommendations made in a prior report, *Diversity at GAO: Sustained Attention Needed to Build on Gains in SES and Managers* (GAO-08-1098, Sept. 10, 2008), GAO has incorporated diversity goals in Senior Executive Service performance appraisals and established procedures to better ensure the completeness and accuracy of its publicly reported discrimination data. In addition, the agency has drafted an order to establish a requirement for an annual Workforce Diversity Plan and to revise its discrimination complaint process to clarify responsibilities and procedures when a complaint involves staff within GAO's Office of Opportunity and Inclusiveness. GAO expects the revised order to be published for agencywide comment soon and made final shortly thereafter. In addition, the agency has implemented and strengthened internal controls for tracking, reviewing, and reporting complaint data.

Attachment

cc: Ms. Harper, Chief Administrative Officer
Mr. Gordon, Acting General Counsel

Summary of OIG Reports and GAO Actions

Reports Issued October 1, 2008 - March 31, 2009

*Independent Evaluation of GAO's Information Security Program and Practices—
Fiscal Year 2008, [GAO/OIG-09-1](#) (Oct. 2, 2008).*

Findings:

In this report, the OIG concludes that GAO has generally established an information security program consistent with the requirements of the Federal Information Security Management Act of 2002 (FISMA) and guidance issued by the Office of Management and Budget and the National Institute of Standards and Technology, but that GAO has not fully implemented several information security and privacy-related requirements.

Recommendations and GAO Actions:

The report includes six recommendations to improve GAO's information security practices and its Privacy Program. GAO management concurred with each of the recommendations and in response has conducted an assessment of the agency's systems and applications to update its systems inventory, established a process for incorporating specific security language as appropriate in information technology acquisitions, begun identifying additional content for its information security awareness training, and continued negotiations with other agency service providers to help GAO better monitor the remediation of security weaknesses identified for providers' systems. In addition, GAO has drafted privacy policy, developed a Privacy Impact Assessment process and template, and plans to conduct assessments during fiscal year 2009 for 20 major systems that contain personally identifiable information. (998268)

(998279)