



# Office of Inspector General 2013 Work Plan

---

Presented to the  
Legal Services Corporation  
Board of Directors  
January 26, 2013



## OIG Role

Provide objective and useful analysis to decision-makers:

- Enhance oversight and management
- Increase accountability, responsibility, and transparency in LSC and grant recipient operations.



## FY 2012 Highlights

- Made **26** Audit recommendations to LSC Management and Grantees
- Referred **31** IPA findings to LSC Management
- Questioned costs **(\$1,526,531)**
- Completed first year of Grantee Audit Quality Reviews **(39)**
- Closed **13** Criminal and **13** Compliance Investigations
- OIG cases resulted in **3** Convictions/**4** Sentencing Actions
- OIG cases generated **\$201,405** in Court-ordered Investigative Recoveries
- Initiated Regulatory Vulnerability Assessment Program **(6)**
- Conducted **28** Fraud Awareness Briefings/**2** Nation-wide webinars





## Planning Process

- Mandated work (routine and new initiatives)
- Continuous risk assessments (LSC/Grantee operations)
- Remain flexible
  - Stakeholder requests (Congressional, Board or Management)
  - GAO reviews
  - New information, including the OIG Hotline
- Government-wide management challenges
  - Stewardship, program accountability & effectiveness/compliance/IT and human capital



## 2013 Considerations

- LSC Strategic Plan 2012-2016 (Adopted 10/30/12)
  - Review LSC's Strategic Goals/Initiatives/Accountabilities
- Create OIG's Strategic Plan for 2013-2017
  - Mission
  - Stakeholders & Environment
  - Major Management Challenges
  - Goals
  - Strategies





## *Executive Functions*

- Submit Semiannual Reports to Congress
- Keep agency head informed
- Respond timely and completely to Congressional requests and meet with Congressional staff when necessary
- Consult, by request, on topics of interest to LSC Board or Management
- Conduct strategic & annual work planning
- Manage OIG Human Resources
  - Retain highly qualified staff
  - Ensure meeting professional training requirements



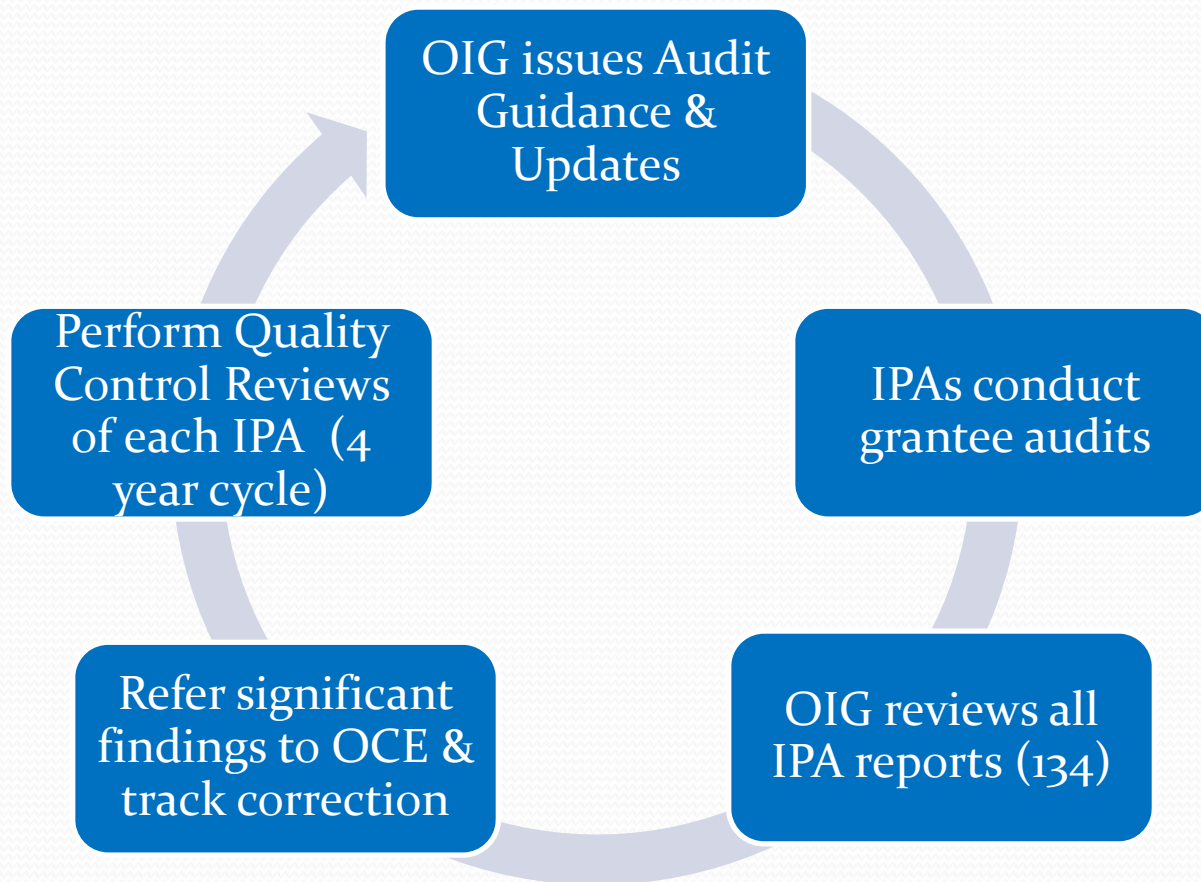
## *Audit Functions*

- Direct LSC audit program
- Perform audits of LSC/grantee operations
  - Financial / Compliance/ Performance
- Oversee grantee audit process, including quality reviews
- Monitor open recommendations resolution
- Contract/oversee annual LSC financial audit
- Conduct and receive peer reviews (reviewed Securities and Exchange Commission OIG in August 2012)





# Oversee Annual Grantee Audit Process







## *Investigation Functions*

- Investigate instances of fraud, waste, abuse and mismanagement; report results to appropriate authorities
  - Receive, process and investigate complaints or information
  - Operate the national reporting HOTLINE
  - Refer evidence of crimes to prosecutors
- Fraud Prevention Measures
  - Investigations
  - Awareness Briefings
  - Vulnerability Assessments
  - Alerts
- Compliance
  - Regulatory Vulnerability Assessments
  - Investigations



## *Legal Functions*

- OIG General Counsel
- Review and comment on legislation, regulations and policies
- Review subpoenas for legal sufficiency and enforceability
- Suspend or debar IPAs from auditing LSC grantees as needed
- Review and coordinate FOIA requests





## *Management & Evaluation Functions*

- OIG administration
  - Planning, budgeting, procurement and office operations
- Information management systems
  - Build and maintain Intranet (OIG Connect)
  - Investigative case management
  - Records/Document management
- Operations planning and analytical support





# Comments or Questions