



Office of Inspector General 2012 Work Plan

Presented to the
Legal Services Corporation
Board of Directors
January 21, 2012



OIG Role

Provide objective and useful analysis to decision-makers:

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



FY 2011 Highlights

- **67** – Recommendations for improvements to LSC Management/Grantees
- **59** – Referrals of IPA findings to LSC Management for follow-up
- **\$1,178,836** – Questioned costs
- **\$2,296,781** – Court ordered Investigative Recoveries
- **3** – Sentencing actions.



Planning Process

- Mandated work (routine and new initiatives)
- Remain flexible
 - Stakeholder requests (Congressional, Board or Management)
 - GAO reviews
 - New information (OIG HOTLINE)
- Continuous Risk Assessments (LSC/Grantees operations)
- Government-wide Management Challenges
 - Stewardship, program accountability & effectiveness/compliance/IT and human capital.



2012 Considerations

- **2012 Appropriation (Conference Language)**


“...encourage the Inspector General ... to ensure that funds are not being used in contravention of the restrictions on engaging in political activities or any of the other restrictions....”

- **FOTF Report Encourages**

- Additional coordination among OIG, Management & Board
- Advisor/Assessor’s role in grants’ management improvement initiatives
- Expand audit knowledge to Grantees, Management and IPAs.





Executive Functions

- Submit Semiannual Reports to Congress
- Keep agency head informed
- Consult, by request, on topics of interest to Congress, LSC Board or Management
- Conduct strategic & annual work planning
 - 5 - year Strategic Plan 
- Manage OIG Human Resources
 - Retain highly qualified staff
 - Ensure meeting professional training requirements.

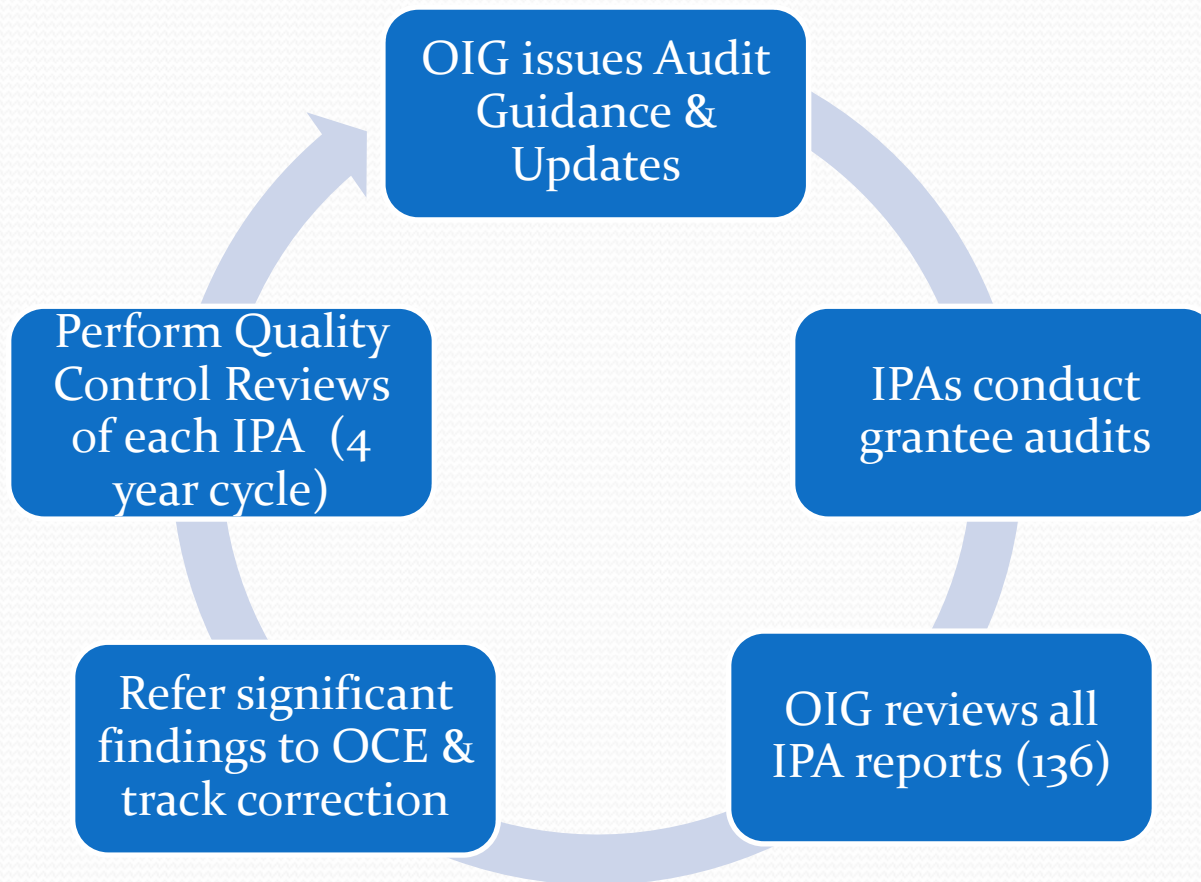


Audit Functions

- Direct LSC Audit Program
- Perform audits of LSC/grantee operations
 - Financial / Compliance/ Performance
 - Grantee internal control audits
 - TIG grantee audits
 - LSC - IT security review 
- Monitor open recommendations resolution
- Contract/oversee annual LSC financial statements audit
- Conduct and receive peer reviews
 - Conducting Security and Exchange Commissions Peer Review 
- Oversee Grantee Audit Process.



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 Preventative Measures
 - Awareness Briefings
 - Vulnerability Assessments
 - Alerts

- Compliance
 - Regulatory Vulnerability Assessments 
 - Investigations.




Legal Functions

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



Management & Evaluation Functions

- **OIG Administration**
 - Planning, budgeting, procurement
 - Human and office operations
 - Information systems
 - Audit work paper system 
 - Intranet
- Data collection and statistical analysis
- Identify grant-making/grantee best practices and lessons learned.



Comments or Questions