

## SEMIANNUAL REPORT TO THE U.S. CONGRESS



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION



OFFICE OF INSPECTOR GENERAL



APRIL 1, 2022 – SEPTEMBER 30, 2022





## **OIG VISION**

Effective, efficient and accountable oversight of Agency programs, operations, and personnel

## **OIG MISSION**

To detect and prevent waste, fraud, and abuse and promote economy, efficiency, and effectiveness in the programs and operations of the Equal Employment Opportunity Commission

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## MESSAGE FROM THE ACTING INSPECTOR GENERAL

I am pleased to present the Equal Employment Opportunity Commission (EEOC), Office of Inspector General (OIG) Semiannual Report to Congress for the reporting period April 1, 2022, through September 30, 2022, in accordance with the Inspector General Act of 1978 (IG Act), as amended.

On July 1, 2022, Milton A. Mayo, Jr. retired from federal service after 11 years as the EEOC Inspector General and 31 years of service to the Inspector General (IG) community. IG Mayo made significant contributions to the IG community not only through his leadership of the EEOC Office of Inspector General, but also through his leadership and service in the Council of Inspectors General on Integrity and Efficiency (CIGIE) and the Association of Inspectors General (AIG). In our office, IG Mayo transformed the OIG into a model workplace that proactively protects the EEOC from fraud, waste, abuse, and mismanagement and is innovative in conducting programmatic and operational oversight. Those of us who were fortunate enough to work with him will miss his leadership, counsel and mentorship.

On July 3, 2022, I was appointed Acting Inspector General for the EEOC. As Acting Inspector General, I am proud of our staff's ability to maintain high mission effectiveness and efficiency while continuing to overcome the challenges associated with this pandemic. We remain committed to providing independent, fair, professional oversight of EEOC operations, programs, and personnel. In doing so, we resolve to seek and sustain the highest level of integrity in our organization to fulfill our mission and provide value in the public interest.

We continue to convey our appreciation to Chair Charlotte Burrows, her leadership team, and the committed employees of the Agency for their cooperation with us as we pursue our work. We look forward to continuing our efforts to provide oversight initiatives that deter waste, fraud, and abuse while promoting efficiency and economy in the operations and programs of the EEOC.

Respectfully Submitted,



Joyce T. Willoughby, Esq  
Acting Inspector General



## EXECUTIVE SUMMARY

This semiannual report summarizes the OIG's activities and accomplishments for April 1, 2022, through September 30, 2022. The OIG issued one inspection and one information security metrics review. The Office of Inspector General received 1,256 investigative contacts between April 1, 2022, and September 30, 2022. The OIG's completed, on-going and planned activities include the following:

### Completed Audit Activities

- A report regarding compliance with the Payment Integrity Information Act (PIIA) of 2019
- A review regarding the Federal Information Security Modernization Act (FISMA) core reporting metrics

### On-going Audit Activities

- An audit report on EEOC's compliance with the Federal Information Security Modernization Act of 2014.
- An audit report on EEOC's financial statements.
- A written advisory to the Chair validating the Agency's compliance with the Federal Managers' Financial Integrity Act of 1982 (FMFIA).

### Other Audit Activities

- A peer review of Commodity Futures Trading Commission (CFTC), Office of Inspector General.

### On-going Evaluation Activities

- An evaluation of EEOC's digital process transformation and automation.
- An evaluation of EEOC's management of private sector customer service.
- An evaluation of EEOC's Customer Service Portals.

### On-going Investigative Activity

The OIG has on-going investigations in several field offices involving the following:

- An investigative inquiry was received alleging that certain EEOC officials were showing bias against other EEOC employees based on political affiliation.
- An investigation of alleged misuse of position by an EEOC employee, working outside of EEOC without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.



## INTRODUCTION

### The Equal Employment Opportunity Commission

The Equal Employment Opportunity Commission (EEOC) is responsible for enforcing federal laws that make it illegal to discriminate against a job applicant or an employee because of the person's race, color, religion, sex (including pregnancy, transgender status, and sexual orientation), national origin, age (40 or older), disability or genetic information. Most employers with at least 15 employees are covered by EEOC laws (20 employees in age discrimination cases). Most labor unions and employment agencies are also covered. The laws apply to all types of work situations, including hiring, firing, promotions, harassment, training, wages, and benefits.

The EEOC is a bipartisan commission comprised of five presidentially appointed members, including the Chair, Vice-Chair, and three Commissioners. The Chair is responsible for administering and implementing policy and the Commission's financial management and organizational development. The Vice-Chair and the Commissioners participate equally in the development and approval of Commission policies, issue charges of discrimination where appropriate, and authorize the filing of lawsuits. In addition to the Commissioners, the President of the United States appoints a General Counsel to support the Commission and provide direction, coordination, and supervision to the EEOC's litigation program.

### The EEOC Office of Inspector General

The U.S. Congress established an Office of Inspector General at the EEOC through the 1988 amendment of the Inspector General Act of 1978. The OIG supports the Agency by carrying out its legislative mandate to independently and objectively conduct and supervise audits, evaluations, and investigations intended to prevent and detect fraud, waste, and abuse; and to promote economy, effectiveness, and efficiency in EEOC programs and operations.

The OIG also reviews pending legislation and regulations and keeps the EEOC's Chair and the U.S. Congress informed about Agency issues, recommends corrective action(s), and monitors the EEOC's progress in implementing such actions.

The OIG is under the leadership of the Inspector General, who provides overall direction, coordination, and supervision of the office. As a designated federal entity, the Chair of the EEOC appoints the Inspector General, who acts under the general supervision of the Chair. During the reporting period, the OIG staff positions include a deputy inspector general, a counsel to the inspector general, a chief technology officer, an information technology specialist, auditors (2), evaluators (2), investigators (2), and an administrative assistant.

The Deputy Inspector General serves as the Inspector General's alter ego and participates fully in policy development and execution. The Deputy Inspector General is the second-line supervisor for the OIG's evaluation program and has primary supervisory responsibility for the investigation and information technology programs.



The Counsel to the Inspector General is the official legal advisor to the Inspector General, providing day-to-day oversight of the OIG's investigative work and is the primary liaison with Agency legal components, the U. S. Department of Justice, and law enforcement entities. Since January 2010, the Counsel to the Inspector General has served as the Acting Deputy Inspector General.

The Assistant Inspector General for Audit oversees the audit program, and the Supervisory Evaluator oversees the evaluation program.

During the reporting period, the Inspector General, Milton A. Mayo Jr., retired from federal service. The Acting Deputy Inspector General, Joyce T. Willoughby, was appointed by the EEOC Chair, Charlotte Burrows, to serve as the Acting Inspector General.

Also, during the reporting period, the OIG hired a new General Schedule (GS) 2210, grade 9/11, information technology specialist who will be under the supervision of the CTO in managing all aspects of Agency innovation, information technology, information security, and information management. The new information technology specialist position replaces the OIG's vacant confidential support assistant position.

Finally, during the reporting period, the OIG began a review of its internal functions and operations to determine how to serve its internal and external stakeholders better. The OIG has created a new program the Information Technology and Innovation Program (ITIP). The ITIP is responsible for assisting the Inspector General in developing a center for excellence focusing on innovation management and business process integration. The OIG innovation program assists in accessing the standardized practices throughout EEOC, based on a systematic, holistic approach to identify and organize innovative practices and strategies that assist in EEOC mission attainment. The program looks to assist the Agency in leveraging its innovation management, as well as develop and improve EEOC's creative culture where breakthrough ideas are generated on a continuing basis which will effect: 1) leadership, 2) strategic direction, 3) process and risk management framework, 4) resourcing, 5) communication, and 6) externally focused stakeholder studies, audits, and evaluations.





## THE AUDIT AND EVALUATION PROGRAMS

*The Audit Program supports the missions of EEOC and OIG by conducting reviews that improve the Agency's compliance regarding EEOC programs, operations, and activities. The Evaluation program supports the missions of EEOC and OIG by executing ambitious, high-value evaluations and special assessments.*

### Completed Audit Activities

#### **FY 2021 Annual Report on the U.S. Equal Employment Opportunity Commission's Compliance with the Payment Integrity Information Act (PIIA) of 2019**

On July 11, 2022, the OIG issued its review of the EEOC's compliance with the Payment Integrity Information Act of 2019 for FY 2021. The OIG found that EEOC was not compliant with PIIA for FY 2021 and recommended that the Office of Chief Financial Officer: 1) annually conduct an improper payment review in accordance with PIIA and follow the guidance outlined in the Office of Management and Budget Circular A-136; 2) complete the annual data call; and 3) report the OIG's finding of non-compliance with the FY 2021 PIIA requirements, as outlined in OMB Memorandum M-21-19.

#### **Issuance of Inspector General (IG) Federal Information Security Modernization Act (FISMA) FY 2022 Reporting Metrics for the Equal Employment Opportunity Commission**

On July 29, 2022, Harper, Rains, Knight & Company, P.A. completed OIG's FY 2022 IG FISMA reporting metrics. The FY 2022 Core IG Metrics were chosen based on alignment with Executive Order (EO) 14028, "Improving the Nation's Cybersecurity," as well as recent OMB guidance to agencies in furtherance of the modernization of federal cybersecurity. Harper, Rains, Knight & Company, P.A. found that the Agency's security controls were consistently implemented.

### On-going Audit Activities

#### **Audit of the EEOC's FY 2021 Financial Statements**

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to audit the EEOC's financial statements for FY 2021, as required by the Accountability of Tax Dollars Act of 2002. Harper, Rains, Knight & Company, P.A. will examine the Agency's financial statements and accompanying disclosures. The OIG will transmit the final report no later than November 15, 2022.

#### **Audit of the EEOC's Compliance with Provisions of the Federal Information Security Modernization Act (FISMA) of 2014**

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to audit the Agency's compliance with the Federal Information Security Modernization Act of 2014 for FY 2022. FISMA requires each agency IG, or an independent external auditor, conduct an annual independent evaluation to determine the effectiveness of its respective agency's information security program and practices. The OIG will transmit the final report no later than the first quarter of FY 2023.



## **EEOC's Compliance with the Federal Managers' Financial Integrity Act of 1982 for FY 2022**

The OIG is reviewing the Agency's compliance with the Federal Managers' Financial Integrity Act of 1982 for FY 2022. The OIG will issue an independent report describing whether the Agency's management control review was conducted in accordance with applicable laws and OMB guidance. The OIG will issue its independent report no later than November 15, 2022.

### [Other Audit Activities](#)

#### **Peer Review Commodity Futures Trading Commission (CFTC), Office of Inspector General**

The OIG is conducting a peer review of the Commodity Futures Trading Commission, Office of Inspector General audit function. The Generally Accepted Government Auditing Standards (GAGAS) require audit organizations that conduct engagements in accordance with GAGAS establish and maintain a system of quality control and obtain an external peer review at least once every three years. The OIG plans to issue the results of the CFTC peer review during the first quarter of FY 2023.

### [On-going Evaluation Activities](#)

#### **EEOC Digital Process Transformation and Automation**

The OIG contracted with the company KAI Partners, Inc. to evaluate EEOC's digital process transformation and automation capabilities. The evaluation aims to provide EEOC leadership and stakeholders with data, analysis, and recommendations to improve the effectiveness and efficiency of key EEOC digital process transformation and automation activities. The OIG plans to issue its final report during the first quarter of FY 2023.

#### **Evaluation of EEOC's Management of Private Sector Customer Service**

The OIG is currently evaluating EEOC's management of private-sector customer service. This evaluation aims to assess the Agency's strategy and efforts to achieve customer service efficiency and measure customer satisfaction. The evaluation examines selected EEOC customer service management activities as they apply to private sector potential charging parties and respondents who interact with staff at EEOC headquarters. The OIG plans to issue its final report during the first quarter of FY 2023.

#### **Evaluation of EEOC's Customer Service Portals**

The OIG contracted with the company KAI Partners, Inc. to assess key performance aspects of the EEOC's four major outward-facing customer service portals that assist EEOC in accomplishing mission-critical activities: (1) Digital Charge - Respondent Portal, (2) Public Portal - Federal Sector, (3) The Federal Sector EEO Portal, and (4) the Online Charge Status. The evaluation will assess how the portals assist EEOC's external stakeholders. The OIG plans to issue its final report during the fourth quarter of FY 2023.



## AUDIT AND EVALUATION FOLLOW-UP

*Audit and Evaluation Follow-up is an integral part of effective management and is a shared responsibility of agency management officials, auditors, and evaluators. Corrective action taken by management to resolve findings and recommendations is essential to improving agency operations, effectiveness and efficiency.*

### Audit and Evaluation Reports Issued During This Reporting Period

Section 5(a)(1) of the Inspector General Act of 1978, as amended, requires that semiannual reports include a summary description of significant problems, abuses, and deficiencies relating to the agency's administration of programs and operations disclosed by the OIG during the reporting period. The OIG issued one review.

Fiscal Year	Report Number	Report Title	Date Issued	Recommendations
2022	2022-01-IOIG	FY 2021 Annual Report on the U.S. Equal Employment Opportunity Commission's Compliance with the Payment Integrity Information Act (PIIA) of 2019	7/11/2022	Yes

### Recommendations for Which Corrective Actions Have Not Been Completed

As required by Section 5(a)(3) of the Inspector General Act of 1978, as amended, semiannual reports shall provide an identification of each significant recommendation described in previous semiannual reports for which corrective action has not been completed. The OIG reports **eleven** audit and evaluation reports with **thirty-three** open recommendations for this reporting period. The following table shows those recommendations for which corrective actions have not been completed.



Fiscal Year	Report Number	Report Name	Date Issued
2022	2021-004-AOIG	Performance Audit Report U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA)	3/15/2022
<ol style="list-style-type: none"> <li>1. We recommend that EEOC defines, communicates, and implements an organization-wide SCRM strategy to guide supply chain analyses, provide communication channels with internal/external partners and stakeholders, and assist in building consensus regarding the appropriate resources for SCRM.</li> <li>2. We recommend that EEOC plans and prepares to meet the goals of the TIC initiative, consistent with OMB M-19-26. The agency should define and customize, as appropriate, a set of policies, procedures, and processes to implement TIC 3.0, including updating its network and system boundary policies, in accordance with OMB M-19-26. This includes, as appropriate, incorporation of TIC security capabilities catalog, TIC use cases, and TIC overlays.</li> <li>3. We recommend that EEOC implement strong authentication mechanisms for privileged and non-privileged users in accordance with Federal guidance, to meet the required use of PIV or an Identity Assurance Level (IAL)3/Authenticator Assurance Level (AAL) 3 credential of the agency's networks, including remote access sessions, in accordance with Federal targets. The agency should continue developing their plans for organization-wide use of strong authentication mechanisms for non-privileged users and require multifactor authentication to network access for all user accounts.</li> <li>4. We recommend that EEOC review and remediate the medium level severity vulnerabilities identified during external penetration testing by: (1) Modifying network firewalls to no longer allow external access to specific services. (2) Reviewing the NTP server's configuration to ensure that this functionality is not abused. (3) Considering restricting or disabling NTP mode 6 query capabilities.</li> <li>5. We recommend that EEOC review and remediate the medium level severity vulnerabilities identified during external penetration testing by: (1) Disabling IKE Aggressive Mode. (2) Refraining from the use of pre-shared authentication keys.(3) Implementing multi-factor authentication for all VPN access.</li> <li>6. We recommend that EEOC review and remediate the informational vulnerabilities identified during external penetration testing by: (1) Ensuring that passwords meet complexity requirements. (2) Requiring 2-Factor Authentication mechanisms for all externally accessible systems. (3) Recommending that employees not use their work email addresses for personal accounts. (4) Recommending that employees avoid using previously breached passwords.</li> </ol>			

7. We recommend that EEOC review and remediate the level 4 severity vulnerabilities identified during internal vulnerability scanning to avoid compromises to agency systems. (1) To remediate vulnerabilities and prevent further exploitation, the agency should implement risk mitigation procedures such as: performing system updates, operating systems with administrative rights, downloading patches, uninstalling unprotected applications, etc.(2) Where risk acceptance is required for vulnerabilities based on EEOC's network operations and risk assessments, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities.
8. We recommend that EEOC review and remediate the level 5 severity vulnerabilities identified during internal vulnerability scanning to avoid compromises to agency systems.(1)To remediate vulnerabilities and prevent further exploitation, the agency should implement risk mitigation procedures such as: applying vendor-released security fixes, disabling certain user access rights, upgrading to the latest supported version, and removing vulnerable/obsolete hardware from its network. (2) These vulnerabilities should be added and tracked on PAOM(s).(3) Where risk acceptance is required for vulnerabilities based on EEOC's network operations and risk assessments, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities.

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-001-EOIG	Evaluation of EEOC’s Social Media Program	7/26/2021

1. Simplify the EEOC social media architecture by consolidating many of the existing social media channels and limiting creation of new channels.
2. Implement a consistent content approval process run by OCLA.
3. Implement an on-going training series for all staff involved in the EEOC social media program.
4. Use paid media to support improved reach and engagement.
5. Complete revisions to the social media handbook and provide to all staff managing social media channels.

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-004-AOIG	Performance Audit of the EEOC Commercial Charge Card Program	3/24/2021
<ol style="list-style-type: none"> <li>1. We recommend EEOC ensure that emailed policy memos are promptly updated in the appropriate EEOC Directives Transmittal Order.</li> <li>2. For purchase cards, EEOC management should create a control where management reviews, on a sample basis, purchase cards transactions to ensure all obligating documents and purchase orders are in conformity with EEOC Directives Transmittal Order 360.003, Commercial Purchase Charge Card Program Practical User's Guide. For travel cards, EEOC management should create a control where management reviews, on a sample basis, travel card transactions to ensure all travel authorization or vouchers and receipts are in conformity with EEOC Directives Transmittal Order 345.001, Travel and Transportation Administrative Policies and Procedures Manual.</li> <li>3. We recommend EEOC management update its policies and procedures to include all required safeguards and internal controls to be compliant with the Government Charge Card Abuse Prevention Act of 2012. In addition, EEOC should create a monitoring control to review the policy when changes or updates are made to federal law or Office of Management and Budget or General Services Administration guidance.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-003-AOIG	U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA)	3/24/2021
<ol style="list-style-type: none"> <li>1. We recommend EEOC's Office of Information Technology (OIT) review and remediate critical-risk and high-risk vulnerabilities in accordance with EEOC OIT's assessment of risk. Where risk acceptance is required for vulnerabilities based on EEOC's network operation, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities (<b>Repeat Finding</b>).</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-002-AOIG	Management Letter - FY 2020 Financial Statement Audit	11/12/2020
<p>1. We recommend EEOC management create a control where management reviews, on a sample basis, at least quarterly, the approved PP&amp;E disposals/retirements for conformity to EEOC SOP for OIT Excess Property that states, “When equipment is disposed of, an SF 120, SF 122, or SF 120 copy using GSAXcess, is approved by the EEOC Approving Official, CSD Backup or Property manager, evidenced by their signature and date.” EEOC management should follow-up with Approving Official(s), CSD Backup or Property management who have been found to not adhere to requirements of the SOPs for OIT Excess Property and require them to obtain additional training, to include certifying they have read the Approving Officials responsibilities, as it relates to the aforementioned control. <b>(Repeat Finding)</b></p>			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-002-AOIG	FY 2019 Financial Statements Audit	11/19/2019
<p>1. EEOC should ensure the existing policy in place is followed and documentation of the process is reviewed by the CFO or their designee on a quarterly basis.</p>			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-001-AOIG	Evaluation of EEOC's Contract Administration Activities	11/19/2019
<ol style="list-style-type: none"> <li>1. OCFO should review and update the Contract File Content Checklist to reflect current documents maintained in the file.</li> <li>2. ASD should review and update the COR Appointment Letter as needed and specifically address the maintenance of electronic files.</li> <li>3. OCFO should revise EEOC Order 360.001 as needed to assist in performing their duties. Include implementation guidance for contract administrative activities such as submitting contract modifications.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2019	2018-007-AOIG	FY 2017 and FY 2018 Performance Audit of the U.S. Equal Employment Opportunity Commission Commercial Charge Card Program	5/31/2019
<ol style="list-style-type: none"> <li>1. We recommend that the Office of the Chief Financial Officer of the U.S. Equal Employment Opportunity Commission enhance the documentation, monitoring, and enforcement of its controls over the closure of charge card accounts. <ul style="list-style-type: none"> <li>• For purchase cards, the Administrative Officer (AO) or District Resources Manager (DRM) should maintain documentation of all account closures electronically or in hard copy. Documentation should include evidence of the name of the AO or DRM who received the employee's charge card, the date the card was turned in, the date the card was physically destroyed, and the date that account closure was confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the Agency/Organization Program Coordinator (A/OPC) and/or Agency Alternative/Organization Program Coordinator (AA/OPC) and appropriate disciplinary actions for non-compliance.</li> <li>• For travel cards, the Charge Card Program Manager (CCPM) should maintain documentation of all account closures electronically or in hard copy. Documentation should include evidence of the name of the immediate supervisor and/or servicing personnel officer who received the employee's charge card, the date the card was turned in, the date the card was cut in half, and the date that account closure was</li> </ul> </li> </ol>			





confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the CCPM and appropriate disciplinary actions for non-compliance.  
**(Repeat Finding)**

Fiscal Year	Report Number	Report Name	Date Issued
2020	2018-001-EOIG	Evaluation of EEOC's Federal Hearings and Appeals Processes	3/27/2020
<ol style="list-style-type: none"> <li>1. Ensure future process changes are implemented according to change management best practices noted by GAO.</li> <li>2. The Office of Information Technology (OIT), in partnership with OFP and OFO, should re-evaluate IMS requirements, and requirements for the framework of its successor system, to determine what additional reporting functionalities are needed in order to analyze data about staff and office productivity. A Voice of the Customer exercise or a user requirement meeting could serve as starting point to gather current requirements from IMS main users (OFP and OFO) and to determine what other current systems need to be integrated to make them function in alignment with IMS (Power BI, Complainant Portal).</li> <li>3. OIT developers should meet directly with software users, such as OFO attorneys and supervisory attorneys and OFP AJs and Supervisory AJs (SAJ) to determine additional requirements.</li> <li>4. OFO and OFP, in partnership with OIT, should consider development of an IMS training guide or document that is consistently updated and reviewed following upgrades, enhancements or modifications of the software. This guide should include all necessary codes for every action item in the process and should be available for all product users. This guide should ensure that product users track all mandated steps in IMS. Given that each office's staff has their own needs within IMS: One guide should be made for OFP legal techs, AJs, and SAJs. A separate guide should be available for OFO CCD staff, attorneys and supervisory attorneys.</li> <li>5. Assign a target amount of days for intake so that management can determine if changes implemented impact the efficiency of the process.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2018	2017-007-AOIG	Independent Evaluation of the U.S. Equal Employment Opportunity Commission's Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (FISMA)	12/18/2017
<ol style="list-style-type: none"> <li>1. The EEOC should develop and implement a Trusted Internet Connection (TIC) program in accordance with Office of Management and Budget (OMB) requirements to assist in protecting the agency's network from cyber threats. (Repeat finding)</li> <li>2. The EEOC OIT should fully implement multifactor authentication for logical and remote access enterprise-wide. (Repeat finding)</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2014	2013-008-PSA	Performance Audit of the Agency's Personnel Security Program	9/15/14
<ol style="list-style-type: none"> <li>1. Immediately correct any known weaknesses. If EEOC determines not to correct a noted weakness, EEOC should document this analysis and their acceptance of the associated risk.</li> <li>2. Implement a formalized training program for individuals who use classified information as a part of their duties. If an external agency is to assume the responsibility of training these individuals, this agreement should be documented in an MOU.</li> <li>3. Develop and implement policies and procedures to address the safeguarding, transfer, storage, or disposal of classified information. The policy should include the requirements for Memorandums of Understanding between agencies.</li> </ol>			

Audit and Evaluation Reports Which no Management Decision has been Made by the End of the Reporting Period

As required by Section 5(a)(10) of the Inspector General Act of 1978, as amended, semiannual reports must include a summary of each audit report issued before the start of the reporting period for which no management decision has been made by the end of the reporting period.

The OIG has no audit or evaluation reports issued before the reporting period began, for which no management decision was made.

Fiscal Year	Number of Reports with Unimplemented Recommendations (such as report title, report number, hyperlink to report, etc.)	Number of Unimplemented Recommendations	Dollar Value of Aggregate Potential Cost Savings	For which no establishment comment was returned within 60 days of providing the report to the establishment
2022	0	0	0	N/A

## THE INVESTIGATION PROGRAM

*The Investigation Program supports the OIG's strategic goal to focus limited investigative resources on issues that represent the greatest risk and offer the maximum opportunity to detect and prevent fraud, waste, and abuse in EEOC programs and operations.*

The Office of Inspector General received 1,256 investigative contacts between April 1, 2022, and September 30, 2022, resulting in the following:

Investigative Inquiries Received April 1, 2022, through September 30, 2022	
Allegations	Number
Charge Processing	423
Other Statutes	265
Title VII	17
Mismanagement	51
Ethics Violations	179
Theft	112
Threats	15
Fraud	123
Other Criminal Allegations	71
<b>Total</b>	<b>1,256</b>

## OIG Hotline

The Office of Inspector General Hotline is a clearinghouse for receiving and handling allegations regarding fraud, waste, abuse, mismanagement, or misconduct affecting Equal Employment Opportunity Commission (EEOC) programs and operations. Examples of allegations that should be reported to the OIG Hotline include misuse, embezzlement, or theft of government property or funds; contract or procurement fraud; contractor misconduct; employee misconduct, such as misuse of official position; bribes or unauthorized acceptance of gifts; conflicts of interest and other ethical violations.

Some complaints received by the OIG are outside its jurisdiction. The OIG frequently receives reports and allegations of misdirected complaints/inquiries belonging to other EEOC offices, federal agencies, law enforcement agencies, or other state or local government entities. Reviewing and responding to these reports and allegations can entail significant staff time and effort. In these instances, OIG personnel strive to provide excellent customer service and offer the complainant the appropriate contact information to the entity that may address their needs. The complaint/inquiry may be redirected and sent directly from the OIG to the appropriate office or agency.

## On-going Investigative Activity

The OIG has on-going investigations in several field offices involving the following:

- An investigative inquiry was received alleging that certain EEOC officials were showing bias against other EEOC employees based on political affiliation.
- An investigation of alleged misuse of position by an EEOC employee, working outside of EEOC without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.



## APPENDICIES

### Appendix I. Final Audit/Evaluation/Inspections Reports

Report Title	Date Issued	Questioned Costs	Funds Put to Better Use	Unsupported Costs
N/A	N/A	N/A	N/A	N/A

### Appendix II. Investigative Statistical Report

Report Title	Number
Total number of investigative reports	-0-
Total number of persons referred to the Department of Justice for criminal prosecution during the reporting period	-0-
Total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period	-0-
Total number of indictments and criminal information during the reporting period that resulted from any prior referral to prosecuting authorities	-0-

Appendix III. A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated.

Report Name: N/A                      Report Number: N/A                      Date Issued    N/A

<b>Facts and circumstances of the investigation</b>	<b>(B) the status and disposition of the matter, including-</b> <b>(i) if the matter was referred to the Department of Justice, the date of the referral; and</b> <b>(ii) if the Department of Justice declined the referral, the date of the declination</b>
No	N/A

Appendix IV. A Detailed Description of Any Instance of Whistleblower Retaliation.

<b>Information about the official was found to have engaged in retaliation.</b>	<b>Consequences the establishment imposed to hold that official accountable.</b>
No	N/A

Appendix V. A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office of Inspector General.

<b>Issue</b>	<b>Description</b>
With budget constraints designed to limit the capabilities of the Office	No
Incidents where the establishment has resisted or objected to oversight activities of the Office or restricted or significantly delayed access to information, including the justification of the establishment for such action	No

Appendix VI. Detailed Descriptions of the Particular Circumstances.

Issue	Description
Inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public	No
Investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public	No

Appendix VII. Significant Management Decisions

Issue	Description
Significant Management Decisions That Were Revised During the Reporting Period	N/A
Significant Management Decisions with which the Office of Inspector General is in disagreement	N/A



Appendix VIII. Index of Reporting Requirements

Inspector General Act Citation	Reporting Requirements	Page
Section 4(a)(2)	Review of Legislation and Regulations	N/A
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(3)	Significant Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	10-16
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	20
Section 5(a)(5)	Summary of Instances Where Information Was Refused	21
Section 5(a)(6)	List of Reports	9
Section 5(a)(7)	Summary of Significant Reports	7
Section 5(a)(8)	Questioned and Unsupported Costs	20
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	20
Section 5(a)(10)	<p>Summary of each audit report, inspection, evaluation report(s) issued before the commencement of the reporting period:</p> <p>(A) for which no management decision has been made by the end of the reporting period (including the date and title of each such report), an explanation of the reasons such management decision has not been made, and a statement</p>	17

	<p>concerning the desired timetable for achieving a management decision on each such report;</p> <p>(B) for which no establishment comment was returned within 60 days of providing the report to the establishment; and</p> <p>(C) for which there are any outstanding unimplemented recommendations, including the aggregate potential cost savings of those recommendations.</p>	
Section 5(a)(11)	Significant Management Decisions That Were Revised During the Reporting Period	22
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General is in disagreement	22
Section 5(a)(17)	<p>Statistical tables showing:</p> <p>(A) the total number of investigative reports issued during the reporting period;</p> <p>(B) the total number of persons referred to the Department of Justice for criminal prosecution during the reporting period;</p> <p>(C) the total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period; and</p> <p>(D) the total number of indictments and criminal information during the reporting period that resulted from any prior referral to prosecuting authorities.</p>	20

Section 5(a)(19)	<p>A report on each investigation conducted by the Office involving a senior Government employee where allegations of misconduct were substantiated, including a detailed description of:</p> <p>(A) the facts and circumstances of the investigation; and</p> <p>(B) the status and disposition of the matter, including:</p> <p>(i) if the matter was referred to the Department of Justice, the date of the referral; and</p> <p>(ii) if the Department of Justice declined the referral, the date of the declination.</p>	21
Section 5(a)(20)	<p>A detailed description of any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation and what, if any, consequences the establishment imposed to hold that official accountable.</p>	21
Section 5(a)(21)	<p>A detailed description of any attempt by the establishment to interfere with the independence of the Office, including:</p> <p>(A) with budget constraints designed to limit the capabilities of the Office; and</p> <p>(B) incidents where the establishment has resisted or objected to oversight activities of the Office or restricted or significantly delayed access to information, including the justification of the establishment for such action.</p>	21
Section 5(a)(22)	<p>Detailed descriptions of the particular circumstances of each:</p> <p>(A) inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public; and</p> <p>(B) investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public.</p>	22

## Appendix IX. Single Audit Act Reporting

The Single Audit Act, as amended, establishes requirements for audits of states, local governments, Indian tribes, institutions of higher education (public or private nonprofit colleges and universities), and nonprofit organizations that expend a certain amount in federal awards during its fiscal year.

Independent auditors perform single audits that encompass both financial and compliance components. The Compliance Supplement is based on the requirements of the 1996 Single Audit Act Amendments and 2 CFR part 200, subpart F, which provide for the issuance of a compliance supplement to assist auditors in performing the required audits.

The OIG received no audit reports issued by independent auditors concerning Fair Employment Practice Agencies with work-sharing agreements with the EEOC during the reporting period.

## Appendix X. Peer Review Reporting

As required by both the Government Auditing Standards and the Quality Standards for Inspection and Evaluation, OIG's Audit and Evaluation programs must conduct an external peer review regarding its quality control system.

On September 8, 2020, the Appalachian Regional Commission, Office of Inspector General, issued its peer review report on the OIG Audit program to determine if established policies and procedures were current and consistent with applicable professional standards. The peer review team determined that the OIG audit section's established policies and procedures for the audit function at March 31, 2020, were current and consistent with applicable professional standards as stated and conforming with Generally Accepted Government Auditing Standards (Yellow Book).

On December 3, 2020, the Export-Import Bank of the United States, Office of Inspector General, issued its modified peer review report on the OIG Evaluation program. The Review Team determined that EEOC OIG's internal policies and procedures, as presented, generally met the seven Blue Book standards addressed in the modified external peer review.



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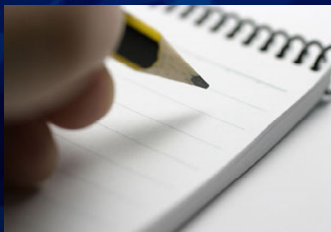


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