



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

OFFICE OF INSPECTOR GENERAL

SEMIANNUAL REPORT TO THE U.S. CONGRESS

October 1, 2021 – March 31, 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

ACRONYMS

AJ /SAJ	Administrative Judge/Supervisory Administrative Judge
CFO	Chief Financial Officer
COR	Contracting Officer Representative
CSD	Central Services Division
DATA Act	Data Accountability and Transparency Act
DPTA	Digital Process Transformation and Automation
CIGIE	Council of the Inspectors General on Integrity and Efficiency
EEOC	Equal Employment Opportunity Commission
FISMA	Federal Information Security Modernization Act
FMFIA	Federal Managers' Financial Integrity Act
FSA	Financial Statement Audit
GAO	Government Accountability Office
IG	Inspector General
IPA	Independent Public Accountant
IPERA	Improper Payments Elimination and Recovery Act
OCFO	Office of Chief Financial Officer
OCHCO	Office of Chief Human Capital Officer
OCLA	Office of Communications and Legislative Affairs
OEDA	Office of Enterprise Data and Analytics
OFO	Office of Federal Operations
OFFP	Office of Field Programs
OIG	Office of Inspector General
OIT	Office of Information Technology
OMB	Office of Management and Budget

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Message from the Inspector General

During this reporting period the U.S. Equal Employment Opportunity Commission (EEOC), its Office of Inspector General, and the American people in general, continued to endure the impact of the COVID-19 Pandemic. As a nation it appears we may have finally begun to turn the corner on this dreaded virus. As I have noted in previous semiannual reports, I am proud of our office's ability to maintain the highest state of mission readiness while enduring the pressures associated with this pandemic. We remain committed to providing independent, fair and 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. Finally, as the Federal government and the EEOC, in particular, executes re-entry plans designed to safely return our valued federal workforce to the workplace, we are committed to monitor this process and to provide feedback which may be helpful in aiding in this transition.

In August 2021, I went on extended medical leave. During my absence Joyce T. Willoughby, Esq., commendably served as the Acting Inspector General. I wish to convey my thanks to her for providing the kind of stellar leadership to our team which ensured that the team remained committed to providing the highest quality oversight as envisioned by the U.S. Congress and as embodied in the Inspector General Act of 1978, as amended.

We continue to convey our appreciation to Chair Charlotte Burrows, her leadership team, and to 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 the type of oversight initiatives which deter waste, fraud, and abuse, while promoting efficiency and economy in the operations and programs of the EEOC.

Respectfully Submitted,


Milton A. Mayo, Jr.

Inspector General



EXECUTIVE SUMMARY

This semiannual report summarizes the OIG's activities and accomplishments for October 1, 2021, through March 31, 2022.

The OIG issued three audit reports, one management letter, and one written advisory. The Office of Inspector General received 14 calls on the OIG Hotline, 1,040 emails, and ten written inquiries for 1064 investigative contacts between October 01, 2021, and March 31, 2022.

The OIG's completed, ongoing and planned activities include the following:

Completed Audit Activities

- A management letter identifying internal control deficiencies.
- A performance audit report on EEOC's compliance with the Federal Information Security Modernization Act of 2014.
- An audit report on EEOC's financial statements.
- An audit on the EEOC's compliance with the Digital Accountability and Transparency Act of 2014.
- A written advisory to the Chair validating the Agency's compliance with the Federal Managers' Financial Integrity Act of 1982 (FMFIA).

Ongoing Audit Activities

- The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to perform the following:
 - FY 2022 financial statement audit.
 - FY 2022 Digital Accountability and Transparency Act of 2014 performance audit.
 - FY 2022 audit of the Agency's compliance with the Federal Information Security Modernization Act of FY 2014.
- The OIG is reviewing the Agency's compliance with the Payment Integrity Information Act of 2019.

Ongoing Evaluation Activities

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

Planned Peer Review

- The OIG will be conducting a peer review of the Commodity Futures Trading Commission (CFTC), Office of Inspector General's audit program.



Completed Investigation Activities

- The OIG closed an allegation of misuse of government time/equipment/position.
- The OIG closed an allegation of conflict of interest.

Ongoing Investigations

- An investigation of an allegation of misuse of position by an EEOC employee.
- Two investigations of alleged misconduct and misuse of position by EEOC officials.
- An investigation into the alleged unauthorized disclosures of complainants' information through an agency data application.
- An investigation into harassing emails/texts sent by a charging party to various EEOC officials.
- An investigation into a charging party's allegations that s/he experienced racial discrimination during an intake interview conversation with an EEOC employee.
- An investigation of an allegation an EEOC employee engaged in unauthorized outside employment of and misuse of official position.



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, gender identity, and sexual orientation), national origin, age (40 or older), disability or genetic information.

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's mission 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 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, auditors(2), evaluators(2), investigators(2), investigative support staff (vacant), 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 and the U. S. Department of Justice. Since January 2010, the Counsel to the Inspector General has served as the Acting Deputy Inspector General.



The Assistant Inspector General for Audit has oversight of the audit program, and the Supervisory Evaluator has oversight of the evaluation program.

During the reporting period, the OIG hired a new staff auditor and received authorization to recruit for a new General Schedule 2210, grade 9/11 information technology specialist position. The new information technology specialist position replaces the OIG's vacant confidential support assistant position.

Also, during the reporting period, the OIG began to finalize its three-year operations plan. The operations plan describes the projects the OIG plans to conduct in FYs 2022-2024. In developing its multi-year operations plan, the OIG relies on, among other criteria, legislatively mandated reviews, OIG's determination of EEOC's management challenges, Agency management input, our assessment of the Agency's enterprise risk, emerging trends, best practices, and Congressional inquiries and requests for OIG's reviews, to determine and prioritize the OIG's audit, evaluation, and special projects to be included in its operations plan.



The Audit Program

This program supports the OIG's mission of improving the economy, efficiency, and effectiveness of EEOC programs, operations, and activities.

COMPLETED AUDIT ACTIVITY

Management Letter Report for FY 2021 Financial Statement Audit (OIG Report 2021-005-AOIG)

On January 19, 2022, the OIG issued a management letter prepared by the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK), that identified internal control deficiencies over the Agency's undelivered orders.

Harper, Rains, Knight & Company determined that EEOC's balance in undelivered orders as of September 30, 2021, as calculated by EEOC personnel, included amounts that should have been de-obligated and not included in the year-end amount. This misstatement was caused by EEOC not consistently applying review procedures to the undelivered orders balance. EEOC should ensure the existing undelivered orders policy is followed and documentation of the process is reviewed by the Chief Financial Officer or their designee on a quarterly basis.

Audit Report on the U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act for the FY 2021 (OIG Report 2021-004-AOIG)

On March 15, 2022, the OIG issued an audit report on the EEOC's compliance with the Federal Information Security Modernization Act of 2014 for FY 2021. The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to perform the audit of EEOC's information security program and practices.

Harper, Rains, Knight & Company, P.A. found that EEOC established and maintained an effective information security program and practices consistent with applicable guidance. Harper, Rains, Knight & Company, P.A. also identified areas of potential improvement in the form of findings and recommendations.

Audit Report of the U.S. Equal Employment Opportunity Commission's FY 2021 Financial Statements (OIG Report 2021-003-AOIG)

On November 12, 2021, the OIG issued an audit of the EEOC's financial statements for FY 2021. The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to perform the audit of the Agency's financial statements.

Harper, Rains, Knight & Company, P.A. reported that the EEOC's financial statements present fairly, in all material respects, EEOC's financial position as of September 30, 2021, and 2020, and its net cost of operations, changes in net position, and budgetary resources for the fiscal years then ended, in accordance with accounting principles generally accepted in the United States of America.



Audit of the U.S. Equal Employment Opportunity Commission's Compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act) Submission Requirements for the Third Quarter of FY 2020 (2021-002-AOIG)

On November 8, 2021, the OIG issued a performance audit report on of the U.S. Equal Employment Opportunity Commission's compliance with the Digital Accountability and Transparency Act of 2014. The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to perform the performance audit.

Harper, Rains, Knight & Company, P.A. found that EEOC's FY 2020 third quarter submission was substantially complete, accurate, and timely; and that the data is considered of excellent quality.

U.S. Equal Employment Opportunity Commission FY 2021 Compliance with the Federal Managers' Financial Integrity Act (2022-002-SOIG)

EEOC Order 195.001, Management Accountability and Controls, requires the OIG to submit a written advisory to the head of the Agency describing whether the EEOC's management controls review was conducted following applicable laws and guidance. On November 9, 2021, the OIG issued a written advisory to the Chair on whether EEOC's management controls review was conducted in accordance with applicable laws and guidance. The OIG concluded that the Agency's management controls review process was conducted in accordance with applicable guidance.

ONGOING AUDIT ACTIVITIES

Audit of the U.S. Equal Employment Opportunity Commission's FY 2022 Financial Statements

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to complete the performance audit and render an opinion of the EEOC's FY 2022 financial statements. During the first quarter of FY 2023, the OIG plans to issue a performance audit regarding the FY 2022 financial statements audit of the EEOC as required by the Accountability of Tax Dollars Act of 2002.

Performance Audit Report on the U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act for FY 2022

During the fourth quarter of FY 2022, the OIG plans to issue its cyberscope security metrics review as required by the Office of Management and Budget. Also, during the first quarter of FY 2023, the OIG will issue its final performance audit report regarding the Agency's compliance with the Federal Information Security Modernization Act for FY 2022.

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to complete the performance audit and Inspector General's cyberscope security metrics review.



Review of the U.S. Equal Employment Opportunity Commission’s Compliance with Payment Integrity Information Act of 2019

During the third quarter of FY 2022, the OIG plans to issue a memorandum on the Agency’s compliance with the Payment Integrity Information Act of 2019 for FY 2021.

PLANNED AUDIT ACTIVITIES

Work conducted by the Offices of Inspectors General and other Federal audit organizations provides essential accountability and transparency over government programs. To help auditors fulfill their oversight roles and comply with statutory requirements, professional standards, and established policies and procedures, a peer review of an OIG audit organization is required by generally accepted government auditing standards and the Council of the Inspectors General on Integrity and Efficiency. These peer reviews are conducted triennially.

The OIG will be conducting an external audit peer review of the Commodity Futures Trading Commission (CFTC), Office of Inspector General, during the third quarter of FY 2022.



The Evaluation Program

The Evaluation Program supports the missions of EEOC and OIG by executing ambitious, high-value evaluations and special assessments. OIG evaluations analyze the management, effectiveness, and efficiency of programs with the greatest effect on mission accomplishment.

ONGOING EVALUATION ACTIVITIES

EEOC Digital Process Transformation and Automation (DPTA)

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 will examine selected EEOC customer service management activities as they apply to private sector potential charging parties, charging parties, and respondents who interact with staff at EEOC headquarters and use the public portal.

The OIG plans to issue its final report during the third quarter of FY 2022.



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 three audit reports and one management letter.

Fiscal Year	Report Number	Report Title	Date Issued	Recommendations
2022	2021-002-AOIG	Compliance with the Federal Performance Audit of the U.S. Equal Employment Opportunity Commission's Compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act)	11/8/2021	Yes
2022	2021-003-AOIG	Audit of the Equal Employment Opportunity Commission's FY 2021 Financial Statements	11/12/2021	No
2022	2021-005-AOIG	Management Letter Report for FY 2021 Financial Statement Audit	1/19/2022	Yes
2022	2021-004-AOIG	Federal Information Security Modernization Act of 2014 (FISMA) FY 2021 Performance Audit	3/15/2022	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 **ten** audit and evaluation reports with **thirty** 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
2021	2020-001-EOIG	Evaluation of EEOC's Social Media Program	7/26/2021
<ol style="list-style-type: none"> 1. Hire people with specialized expertise to manage the social media program and its assets, specifically a dedicated social media manager and part-time (or contract) graphic designer and multimedia specialist. 2. Simplify the EEOC social media architecture by consolidating many of the existing social media channels and limiting creation of new channels. 3. Implement a consistent content approval process run by OCLA. 4. Implement an ongoing training series for all staff involved in the EEOC social media program. 5. Use paid media to support improved reach and engagement. 6. Complete revisions to the social media handbook and provide to all staff managing social media channels. 7. Begin quarterly reporting on social media outcomes, using an online dashboard to ease data collection 			



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"> 1. For purchase cards, EEOC management should create a control where management reviews, on a sample basis, the purchase card account closure documentation to ensure it adheres to the EEOC Purchase Card Audit Finding Update Memo, sent August 21, 2019, that states, "Effective immediately, the AOs and DRMs must maintain documentation on all account closures electronically or in hard copy. The documentation must include the following: name of the AO or DRM who has received the employee's charge card; date the card has been turned in; date the card has been physically destroyed; and date that account closure has been confirmed by Citibank. "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 confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the CCPM and appropriate disciplinary actions for noncompliance. 2. We recommend EEOC ensure that emailed policy memos are promptly updated in the appropriate EEOC Directives Transmittal Order. 3. 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. 4. 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. (Repeat Finding) 			



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) FY 2019 Performance Audit.	3/24/2021

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. **(Repeat Finding)**

Fiscal Year	Report Number	Report Name	Date Issued
2020	2020-002-AOIG	FY 2020 Financial Statement Audit	11/12/2020

1. We recommend EEOC management create a control where management reviews, on a sample basis, at least quarterly, the approved PP&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.
2. We recommend EEOC ensures the existing policy in place is followed and documentation of the process is reviewed by the CFO or their designee on a quarterly basis. **(Repeat Finding)**



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
<p>1. OCFO should review and update the Contract File Content Checklist to reflect current documents maintained in the file.</p> <p>2. ASD should review and update the COR Appointment Letter as needed and specifically address the maintenance of electronic contract files.</p> <p>3. OCFO should revise EEOC Order 360.001 as needed to assist CORs in performing their duties. Include implementation guidance for contract administration activities, such as submitting contract modifications.</p>			

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
<p>1. The Office of the Chief Financial Officer should enhance the documentation, monitoring, and enforcement of its controls over the closure of charge card accounts.</p>			



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"> 1. Standardize on-boarding activities and training programs required for new AJs and other staff working at the District and Field offices, so that the Federal hearings experience is consistent for both complainants and agencies across offices. 2. Ensure future process changes are implemented according to change management best practices noted by GAO. 3. 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). 4. 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. 5. 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. 6. Assign a target amount of days for intake so that management can determine if changes implemented impact the efficiency of the process. 			



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"> 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) 2. The EEOC OIT should fully implement multifactor authentication for logical and remote access enterprise-wide. (Repeat finding) 			

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"> 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. 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. 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. 			



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 14 calls on the OIG Hotline, 1,040 emails, and ten written inquiries for a total of 1064 investigative contacts through from October 1, 2021 - March 31, 2022:

Investigative Contacts Received October 1, 2021 – March 31, 2022	
Allegations	Number
Charge Processing	315
Other Statutes	165
Title VII	35
Mismanagement	137
Ethics Violations	92
Backgrounds	15
Theft	112
Threats	7
Fraud	115
Other Criminal Allegations	71
Total	1064



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 outside of its jurisdiction.

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.

COMPLETED INVESTIGATIONS

Misuse of Government Time/Equipment/Position

The OIG received a complaint from an office director that pornographic material may have been discovered on an employee's EEOC laptop. The material was discovered during the Agency's Windows 10 operating system migration. The laptop was transferred to OIG for examination, revealing hundreds of personal image files. Although some of the images included the employee or others partially clothed, none of the photos were pornographic. During the investigation, the employee resigned from the EEOC. The matter has been closed.

Conflict of Interest-Financial

The OIG received a complaint alleging that an enforcement manager participated in an EEOC charge in which he had a financial interest, thus creating a conflict of interest under 18 U.S.C. § 208. OIG investigators conducted interviews, reviewed relevant records and analyzed financial accounts and data to determine whether a violation of 18 U.S.C. § 208, had occurred. The OIG investigators determined that the evidence did not support the existence of a conflict of interest. Accordingly, the matter was closed.



ONGOING INVESTIGATIVE ACTIVITY

The OIG has ongoing investigations in several field offices involving the following:

- An investigation regarding an allegation of misuse of position by an EEOC employee allegedly working outside of EEOC without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.
- An investigation into the alleged unauthorized disclosure of complainants' information through an EEOC data application.
- An investigation into harassing emails/texts sent by a charging party to various EEOC officials.
- An investigation into a charging party's allegations that s/he experienced racial discrimination during an intake interview conversation with an EEOC employee.
- An investigation regarding an allegation that an EEOC employee is engaged in unauthorized outside employment.



Appendices

Appendix I.

Final Evaluation Reports

Report Title	Date Issued	Questioned Costs	Funds Put to Better Use	Unsupported Costs
Audit of the U.S. Equal Employment Opportunity Commission's Compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act) Submission Requirements for the Third Quarter of FY 2020	11/8/2021	-0-	-0-	-0-
Audit Report of the U.S. Equal Employment Opportunity Commission's FY 2021 Financial Statements	11/12/2021	-0-	-0-	-0-
Management Letter Report for FY 2021 Financial Statement Audit	1/19/2022	-0-	-0-	-0-
Audit Report on the U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act for the FY 2021	3/15/22	-0-	-0-	-0-



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

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



Appendix IV.

A Detailed Description of Any Instance of Whistleblower Retaliation.

Information about the official was found to have engaged in retaliation.	Consequences the establishment imposed to hold that official accountable.
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.

Issue	Description
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	12-17
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	23
Section 5(a)(5)	Summary of Instances Where Information Was Refused	24
Section 5(a)(6)	List of Reports	11
Section 5(a)(7)	Summary of Significant Reports	7-8
Section 5(a)(8)	Questioned and Unsupported Costs	22
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	22
Section 5(a)(10)	Summary of each audit report, inspection, evaluation report(s) issued before the commencement of the reporting period: (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 concerning the desired timetable for achieving a management decision on each such report;	18



	<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	25
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General is in disagreement	25
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>	23
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>	23
Section 5(a)(20)	A detailed description of any instance of whistleblower retaliation, including information about the official found to have engaged in	24



	retaliation and what, if any, consequences the establishment imposed to hold that official accountable.	
Section 5(a)(21)	A detailed description of any attempt by the establishment to interfere with the independence of the Office, including: (A) with budget constraints designed to limit the capabilities of the Office; and (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.	24
Section 5(a)(22)	Detailed descriptions of the particular circumstances of each: (A) inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public; and (B) investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public.	24



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 and 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 have an external peer review conducted regarding its system of quality controls.

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.



Contact Us

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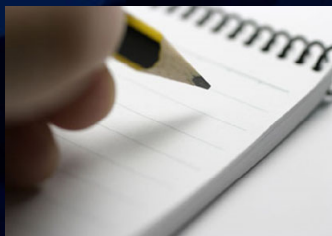
Toll-free Number:

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Fax Number

202-221-7781



For written inquiries, please send mail to:

Office of Inspector General

Equal Employment Opportunity Commission

131 M. St. Suite 6NE23M

Washington, DC 20507



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

OFFICE OF INSPECTOR GENERAL

Your identity when contacting the OIG is fully protected and confidential