



# Office of Inspector General

Equal Employment Opportunity Commission



## Semiannual Report to Congress

April 1, 2019 – September 30, 2019

**Milton A. Mayo, Jr.**  
**Inspector General**

## **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.

---

## **Contents**

Message from the Inspector General .....	2
Executive Summary .....	3
Introduction .....	4
The Audit and Evaluation Program .....	6
Completed Audits and Evaluations	
New and Ongoing Audits, Evaluations, and Related Activities	
Proposed Audits, Evaluations, and Related Activities	
Audit Follow-up	
The Investigation Program .....	14
Investigative Inquiries	
Ongoing Investigative Activities	
Appendices .....	16
Appendix I.	Final OIG Audit and Evaluation Reports
Appendix II.	Investigative Statistical Report
Appendix III.	A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated
Appendix IV.	A Detailed Description of Any Instance of Whistleblower Retaliation
Appendix V.	A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office
Appendix VI.	Detailed Descriptions of the Particular Circumstance
Appendix VII.	Index of Reporting Requirements
Appendix VIII.	Single Audit Act Reports
Appendix IX.	Peer Review Reporting

---

## Message from the Inspector General

I am submitting this Semiannual Report on the operations of the Office of Inspector General. This report covers the six-month period April 1, 2019, through September 30, 2019.

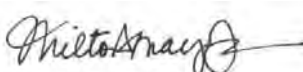
During the reporting period, we continued to actively assess the Agency's financial management through our review of its FY 2019 financial statements, by conducting a performance audit of the Agency's commercial charge card program, and through a review of its compliance with the Improper Payments Elimination and Recovery Act, as amended (IPERA). The audit of the commercial credit card program and the review of the Agency's compliance with the IPERA reveal no significant weaknesses in either area. The results of the annual financial statement audit will be issued November 2019.

As we look ahead to the FY 2020, we will finalize our work on the hearings and appeals activities and issue the report we planned for the fourth quarter FY 2019 before the end of the first quarter of FY 2020. Moreover, we will seek opportunities to assess the Agency's efforts in mission-critical data system modernization, data analytics capabilities, and strategic performance management. We will also explore the Agency's use of social media as a tool to fulfill its mission to "Prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace."

We welcome Chair Janet Dhillon and her leadership team to the Agency. We would also like to welcome General Counsel Sharon Fast Gustafson and our new Legal Counsel Ketan D. Bhirud.

We acknowledge former Acting Chair Victoria Lipnic for her stewardship of the Agency for nearly two and one-half years, and for the cooperation she and her staff provided to our office during her tenure.

Finally, we appreciate the cooperation that Chair Dhillon and her team have provided us as we pursue our oversight role. We pledge to continue our efforts to pursue our mission of preventing waste, fraud, and abuse, and to promote economy, efficiency, and effectiveness in the programs and operations of the EEOC.



Milton A. Mayo Jr.  
Inspector General

---

## Executive Summary

This semiannual report summarizes the OIG's activities and accomplishments for the period April 1, 2019, through September 30, 2019.

During the reporting period the OIG issued a memorandum on the EEOC's compliance with the Improper Payments Information Act of 2002, as amended by the Improper Payments Elimination and Recovery Act of 2012 (IPERA). The OIG issued a performance audit of the FY 2017 and FY 2018 EEOC Commercial Charge Card Program.

Among the OIG's new and ongoing audits, evaluations, and related activities the OIG initiated an evaluation of the EEOC's ability to effectively and efficiently administer Agency procurement contracts. Additionally, the OIG continued work on projects which were initiated during prior reporting periods, including work performed by:

- the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to perform the FY 2019 financial statement audit of the EEOC.
- the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to perform the FY 2019 Digital Accountability and Transparency Act of 2014 (DATA Act) Performance Audit.
- the public accounting firm Brown and Company CPAs, PLLC (Brown & Company), to perform the FY 2019 independent evaluation of the Agency's compliance with provisions of the Federal Information Security Modernization Act (FISMA).
- the Center for Organizational Excellence, Inc. (COE), continues to complete its work on the draft report for the program evaluation of the EEOC's federal hearings and appeals activities. The OIG plans to issue the draft and final reports during the first quarter of FY 2020.

In FY 2020, the OIG also plans to evaluate EEOC's social media activities.

During the reporting period the OIG received 467 investigative contacts. The OIG's ongoing investigative activities include the investigation and review of allegations in the following areas: ethics violations, conflicts of interest, misuse of position, mismanagement, false statements, falsification of government records, unauthorized disclosure of confidential information, and alleged procurement irregularities.

---

## **Introduction**

### **The Equal Employment Opportunity Commission**

The Equal Employment Opportunity Commission (EEOC) is the Federal agency 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 composed of five presidentially appointed members, which include a Chair, a Vice-Chair, and three Commissioners. The Chair is responsible for the administration and implementation of policy and the Commission's financial management and organizational development. The Vice-Chair and the Commissioners equally participate in developing and approving EEOC policies, issuing charges of discrimination where appropriate, and authorizing the filing of lawsuits. Also, the President appoints a General Counsel to support the Commission and provide direction, coordination, and supervision to the EEOC's litigation program.

During the reporting period, the United States Senate confirmed several individuals to serve in crucial Agency senior management positions. On May 8, 2019, the Honorable Janet Dhillon was sworn-in to serve as the 16th Chair of the EEOC. Also, during the reporting period, Commissioner Charlotte Burrows was re-confirmed by the Senate to serve a second term as a Commissioner of the EEOC. With the confirmation of Chair Dhillon and the reconfirmation of Commissioner Burrows, the Commission regained the appropriate number of Commissioners to complete a quorum. On August 8, 2019, Sharon Fast Gustafson was sworn in to serve as the Agency's new General Counsel.

The EEOC has two vacant Commissioner positions.

### **Highlights of The Inspector General Act of 1978, As Amended**

The Inspector General (IG) Act of 1978, as amended, establishes the responsibilities and duties of an Inspector General. In brief, the IG Act grants the OIG the authority to:

- Determine which audits, evaluations, investigations, inspections, and reviews are necessary and issue reports recommending corrective actions without improper interference from agency heads;
- Receive full access to all records and materials available to the agency;
- Issue administrative subpoenas to nonfederal entities exercise law enforcement authority
- Receive employee and other complaints;
- Refer criminal and civil matters to the United States Attorney General;
- Hire employees, experts, and consultants and procure necessary equipment and services; and
- Obtain assistance from other agencies, including federal, state, and local governments.

---

## **The EEOC Office of Inspector General**

The U.S. Congress established the Office of Inspector General (OIG) at EEOC through the 1988 amendments to the Inspector General Act of 1978. These amendments expanded the authority of designated Federal entities to create independent and objective OIGs. Under the direction of the Inspector General (IG), the OIG meets this statutory responsibility by conducting and supervising audits, evaluations, and investigations relating to the Agency's programs and operations.

The IG provides overall direction, coordination, and leadership to the OIG. The IG is the principal advisor to the Chair regarding all audit, evaluation, and investigative matters relating to the prevention, identification, and elimination of fraud, waste, and abuse in any EEOC program or operation. The IG strives to ensure the effectiveness and efficiency of Agency programs and operations and recommends the proper boundaries of audit and investigative jurisdiction between the OIG and other EEOC organizations. The IG also develops a separate and independent annual budget for the OIG, responds directly to inquiries from the public, the U. S. Congress, the news media, and prepares press releases, statements, and other information about the OIG's activities.

The Deputy Inspector General (DIG) serves as the IG's alter ego and participates fully in policy development and execution. The DIG is the second-line supervisor for the OIG's audit and evaluation program activities; and has primary supervisory responsibility for the investigations and information technology program.

The Counsel to the Inspector General is the sole legal advisor for the OIG, providing day-to-day supervision 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 Audits (AIGA) has oversight of the audit and evaluation program.

The OIG's non-supervisory staff includes: a chief technology officer, a senior and staff evaluator, a staff auditor, two criminal investigators, a confidential support assistant, and an administrative specialist. The OIG recently hired a new criminal investigator. Our staff auditor position remains vacant.



## **The Audit and Evaluation Program**

*The Audit and Evaluation Program supports the OIG's strategic goal of improving the economy, efficiency, and effectiveness of EEOC programs, operations, and activities.*

### **COMPLETED AUDITS, EVALUATIONS, and RELATED ACTIVITIES**

#### **U.S. Equal Employment Opportunity Commission's Compliance with Improper Payments Requirements for Fiscal Year 2018 (OIG Report No. 2019-001-AOIG)**

On May 23, 2019, the OIG issued a memorandum concerning the Agency's compliance with the Improper Payments Information Act of 2002, as amended by the Improper Payments Elimination and Recovery Improvement Act of 2012. The OIG review determined that the Agency satisfied each of the applicable requirements and is therefore in compliance for FY 2018.

#### **Performance Audit of the EEOC Commercial Charge Card Program (OIG Report No. 2018-007-AOIG)**

On May 31, 2019, the OIG issued a performance audit report concerning the FY 2017 and FY 2018 EEOC Commercial Charge Card Program. The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to perform the performance audit. HRK recommended that the Agency's Office of the Chief Financial Officer (OCFO) enhance documentation, monitoring, and enforcement of its controls over the closure of charge card accounts.

### **NEW and ONGOING AUDITS, EVALUATIONS, and RELATED ACTIVITIES**

#### **Evaluation of Federal Hearings and Appeals Activities (OIG Report No. 2018-05-EOIG)**

The Center for Organizational Excellence, Inc. (COE), continues its work on a program evaluation of the EEOC's federal hearings and appeals activities to identify opportunities for improving program effectiveness and efficiency. We previously reported that the draft and final reports for this project would issue during the 4th quarter of FY 2019. However, the cessation of work during the FY 2019 shutdown of the Federal government delayed the project and the impact of which resulted in the reports not issuing. The OIG now plans to issue the draft and final reports during the first quarter of FY 2020.

#### **Evaluation of EEOC's Contracts Administration (OIG Report Number 2019-001-EOIG)**

The OIG initiated an evaluation of Agency contracting activities. The purpose of this evaluation is to determine whether EEOC is efficiently managing agency contracts.

The OIG plans to issue draft and final reports in the first quarter of FY 2020.



---

### **Audit of the EEOC's Financial Statements (OIG Report No. 2019-002-AOIG)**

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to perform the FY 2019 financial Statements Audit of the EEOC as required by the Accountability of Tax Dollars Act of 2002.

The OIG plans to issue HRK's audit opinion no later than November 19, 2019.

### **Audit of the EEOC's Compliance with the Digital Accountability and Transparency Act of 2014 (OIG Report No. 2019-003-AOIG)**

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. (HRK) to perform a performance audit regarding the Agency's compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act).

The OIG will issue HRK's final report no later than November 8, 2019.

### **Independent Evaluation of the EEOC's Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (OIG Report No. 2019-004-AOIG)**

The OIG has contracted with the public accounting firm of Brown and Company CPAs, PLLC (Brown & Company), to perform the FY 2019 Independent Evaluation of the Agency's Compliance with Provisions of the Federal Information Security Modernization Act (FISMA). Also, in compliance with the Department of Homeland Security (DHS) requirement, Brown & Company will prepare the OIG's Cyberscope metrics evaluation.

OIG will issue Brown & Company's final report in November 2019.

## **PROPOSED AUDITS, EVALUATIONS, and RELATED ACTIVITIES**

### **Evaluation of EEOC's Social Media Activities**

The OIG has deferred its plans to commence work on this program evaluation until the third quarter of FY 2020. Some of the objectives of the evaluation include:

- Describing EEOC's social media activities, including policies, strategies, and tactics;
- Determining the efficiency and effectiveness of EEOC's social media performance measurements; and
- Identifying areas of improvement in the management of EEOC's social media activities.

---

## Audit Follow-Up

Audit follow-up is an integral part of good management and is a shared responsibility of agency management officials and auditors. Corrective action taken by management to resolve findings and recommendations is essential to improving the effectiveness and efficiency of an agency's operations.

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 report during this reporting period. The report contained two recommendations.

### Reports Issued During This Reporting Period

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>	<b>Findings and Recommendations</b>
2019	2018-007-AOIG	Performance Audit of the EEOC Commercial Charge Card Program	5/31/2019	Yes

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. OIG staff met with Agency follow-up officials in September 2019. The OIG is reporting a total of **eight** reviews with **twenty** open recommendations for this reporting period. The following table shows those recommendations for which corrective actions have not been completed.

## Recommendations for Which Corrective Actions Have Not Been Completed

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2019	2018-007-AOIG	Performance Audit of the EEOC Commercial Charge Card Program	5/31/19
<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 confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the CCPM and appropriate disciplinary actions for non-compliance.</li> </ul>			

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2019	2018-004-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)	3/11/19
<ul style="list-style-type: none"> <li>• The Office of Information (OIT) has not employed an automated mechanism that ensures full-encryption of sensitive data and Personally Identifiable Information (PII) on mobile devices.</li> <li>• The Office Chief Human Capital Officer (OCHCO) and OIT need to conduct a baseline assessment of the EEOC's cybersecurity workforce.</li> <li>• The OIT needs to analyze and resolve internal vulnerabilities.</li> </ul>			

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2018	2017-02-EOIG	Evaluation of the EEOC's Data Analytics Activities Final Report	12/18/17

- Consider new approaches, such as web-enabled and cloud-based solutions, to support expanding IT infrastructure needs of both the analytics team as well as analytical product users.
- Invest in modern reporting and visualization tools that allow for automated, customizable, visualization-enhanced reporting that effectively leverage a data warehouse.
- Establish a data warehouse to address data retention, versioning, and reporting needs.
- Invest in the generation of new metrics that quantify opportunity costs and corresponding benefits of data collection and data assurance.

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2017	2017-07-AOIG	Independent Evaluation of the U.S. Equal Employment Opportunity Commission's Compliance with Provisions of the Federal Information Security Modernization Act of 2014	12/18/17

- EEOC should implement an automated solution that provides a centralized, enterprise-wide view of risk across the agency.
- EEOC should develop a Trusted Internet Connection (TIC) program that meets OMB requirements to improve the agency's security posture.
- EEOC should conduct an e-authentication risk assessment for its digital systems and has not fully implemented multifactor authentication for logical and remote access for privileged and non-privileged users. (Repeat finding since FY 2008)

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2017	2017-06-AOIG	Performance Audit of the Compliance with the Financial and Award Data Submissions for the Second Quarter of Fiscal Year 2017	11/15/17

- EEOC’s Senior Accountability Officer (SAO), or their designee, should create a quarterly assurance package that includes all the necessary elements in the OMB guidance.
- EEOC should perform additional reconciliations over Files C and D1 to determine the root cause of their differences, whether it is the known issue or a potential control issue with the data being submitted from the Contract Lifecycle Management (CLM) module.

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2016	2016-08-EOIG	Independent Evaluation of the U.S. Equal Employment Opportunity Commission’s Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (FISMA)	1/4/17

- EEOC OIT should review and analyze critical, high, and medium vulnerabilities. These vulnerabilities should be resolved to avoid compromise of EEOC’s systems; or the agency should document acceptance of the risk or reclassification of the risk.

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2014	2014-08-EOIG	Independent Evaluation of U. S. Equal Employment Opportunity Commission Compliance with Provisions of the Federal Information Security Management Act of 2002	12/16/14

- Implementation of background checks for student interns to ensure that international visas are current.
- Development of policies and procedures to properly manage physical security access cards.

---

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Title</b>	<b>Date Issued</b>
2014	2013-08-PSA	Performance Audit of the Agency's Personnel Security Program	9/15/14

- Develop and implement policies and procedures to address the safeguarding, transfer, storage, or disposal of classified information. The policy should include the requirements for Memorandum of Understanding between agencies.
- 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.
- 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.

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 that were issued before the reporting period began for which no management decision has been 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
2019	-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 467 investigative contacts from April 1, 2019, and September 30, 2019, resulting in the following:

### Investigative Contacts

Investigative Contacts Received April 1, 2019 – September 30, 2019	
Allegations	Number
Charge Processing	164
Other Statutes	81
Title VII	34
Mismanagement	40
Ethics Violations	15
Backgrounds	6
Theft	8
Threats	17
FOIA Request	2
Fraud	28
Other Criminal Allegations	72
<b>Total</b>	<b>467</b>



---

## **OIG HOTLINE**

The OIG Hotline exists to enable EEOC employees, EEOC contractors, and the public to have direct and confidential contact with the OIG. Hotline complaints are evaluated on specific criteria, including the merits of the allegation, the availability of evidence, and the priorities, commitments, and resources of the OIG. Hotline complaints may be closed based on a preliminary inquiry into the allegations which finds the allegations to be factually unsubstantiated, lacking information to proceed, or pending resolution.

Some complaints we receive are outside the jurisdiction of the OIG and/or the EEOC. The OIG frequently receives complaints/inquiries which are misdirected and should be routed to other: EEOC offices, federal agencies, or law enforcement entities. Reviewing and, where appropriate, responding to these reports and allegations when aggregated can entail a significant amount of staff time and effort, even though they are not valid hotline complaints. In these instances, the OIG personnel strive to provide excellent customer service and provide the complainant with the appropriate contact information to the entity that may address his/her needs. The complaint/inquiry may be redirected and sent to the appropriate office or agency directly from the OIG.

## **ONGOING INVESTIGATIVE ACTIVITY**

Ongoing OIG investigation includes the following:

- Misuse of a government-issued computer by an EEOC employee to establish an internet web site to demean, belittle and harass a former partner;
- Conflict of interest by an employee who operates a private software company and engaged in a contract negotiation with the Agency;
- Misuse of position by employees involved in obtaining information on individuals through Agency database access, in violation of Agency internet policy and procedures and alleged Privacy Act violations;
- Misuse of the Agency seal by a private company;
- Misuse of an Agency email address by a charging party who has used the email address in contacts with state and federal agencies and private businesses;
- Unauthorized disclosure of confidential information; and
- Alleged procurement irregularities.

---

## Appendices

### Appendix I.

#### Final OIG Audit and Evaluation Reports

<b>Report Title</b>	<b>Date Issued</b>	<b>Questioned Costs</b>	<b>Funds Put to Better Use</b>	<b>Unsupported Costs</b>
Performance Audit of the EEOC Commercial Charge Card Program	5/31/2019	-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

<b>Facts and circumstances of the investigation</b>	<b>(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</b>
N/A	N/A

**Appendix IV.**

**A Detailed Description of Any Instance of Whistleblower Retaliation.**

<b>Information about the official found to have engaged in retaliation</b>	<b>Consequences the establishment imposed to hold that official accountable</b>
N/A	N/A

---

**Appendix V.**

**A Detailed Description of Any Attempt by the Establishment to Interfere With the Independence of the Office.**

Issue	Description
With budget constraints designed to limit the capabilities of the Office	N/A
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	N/A

**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	N/A
Investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public	N/A

## Appendix VII.

### 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	8
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	8
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	17
Section 5(a)(5)	Summary of Instances Where Information Was Refused	N/A
Section 5(a)(6)	List of Audit Reports	8
Section 5(a)(7)	Summary of Significant Reports	6
Section 5(a)(8)	Questioned and Unsupported Costs	16
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	16
Section 5(a)(10)	<p>Summary of each audit report, inspection reports, and evaluation reports 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 concerning the desired timetable for achieving a management decision on each such report;</p>	13

	<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	N/A
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General Disagreed	N/A
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>	17
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>	18

	(ii) if the Department of Justice declined the referral, the date of the declination.	
Section 5(a)(20)	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.	18
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.	19
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.	19



---

## **Appendix VIII.**

### **Single Audit Act Reports**

During the reporting period, the OIG received no audit reports issued by public accounting firms concerning Fair Employment Practice Agencies that have work-sharing agreements with EEOC.

## **Appendix IX.**

### **Peer Review Reporting**

Inspectors General are required to include their peer review results as an appendix in semiannual reports to Congress in accordance with Section 989C of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Public Law 111-203).

#### **External Peer Review of the Federal Maritime Commission, Office of Inspector General for the Period Ending September 30, 2018 (OIG Report No. 2019-001-SOIG)**

On May 23, 2109, the OIG completed a peer review of the Federal Maritime Commission (FMC), Office of Inspector General (OIG). Generally Accepted Government Auditing Standards require audit organizations to receive a peer review once every three years. FMC-OIG received a rating of pass.

#### **Peer Review of the OIG Audit Function**

On September 19, 2017, the National Endowment for the Arts (NEA), Office of Inspector General (OIG) conducted a modified peer review of the OIG's audit function system of quality control. The OIG received a modified opinion that the audit function policies and procedures were current and consistent with applicable professional standards. The peer review report did not include any recommendations.



# Office of Inspector General

Equal Employment Opportunity Commission



## Contact Us

The Office of Inspector General is at the forefront of the Nation's efforts to fight waste, fraud and abuse in EEOC programs and operations . If your question refers to programs that are not part of EEOC you can find contacts for all Federal agencies on the USA.gov website's [Index of U.S. Departments and Agencies](#).



To Hotline by telephone:  
Toll-free 1-800-849-4230



For general inquiries, please visit:  
[HTTPS://OIG.EEOC.GOV/CONTACT](https://oig.eeoc.gov/contact)

To electronically report fraud, waste, abuse, and potential wrong-doing please visit:  
[HTTPS://OIG.EEOC.GOV/HOTLINE](https://oig.eeoc.gov/hotline)



For written inquiries, please send mail to:  
Equal Employment Opportunity Commission  
Office of Inspector General  
PO Box 77067  
Washington, DC 20013-7067

**Your identity when contacting the OIG is fully protected and confidential**