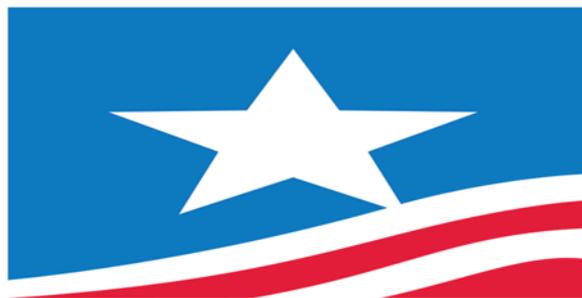


# U.S. Equal Employment Opportunity Commission



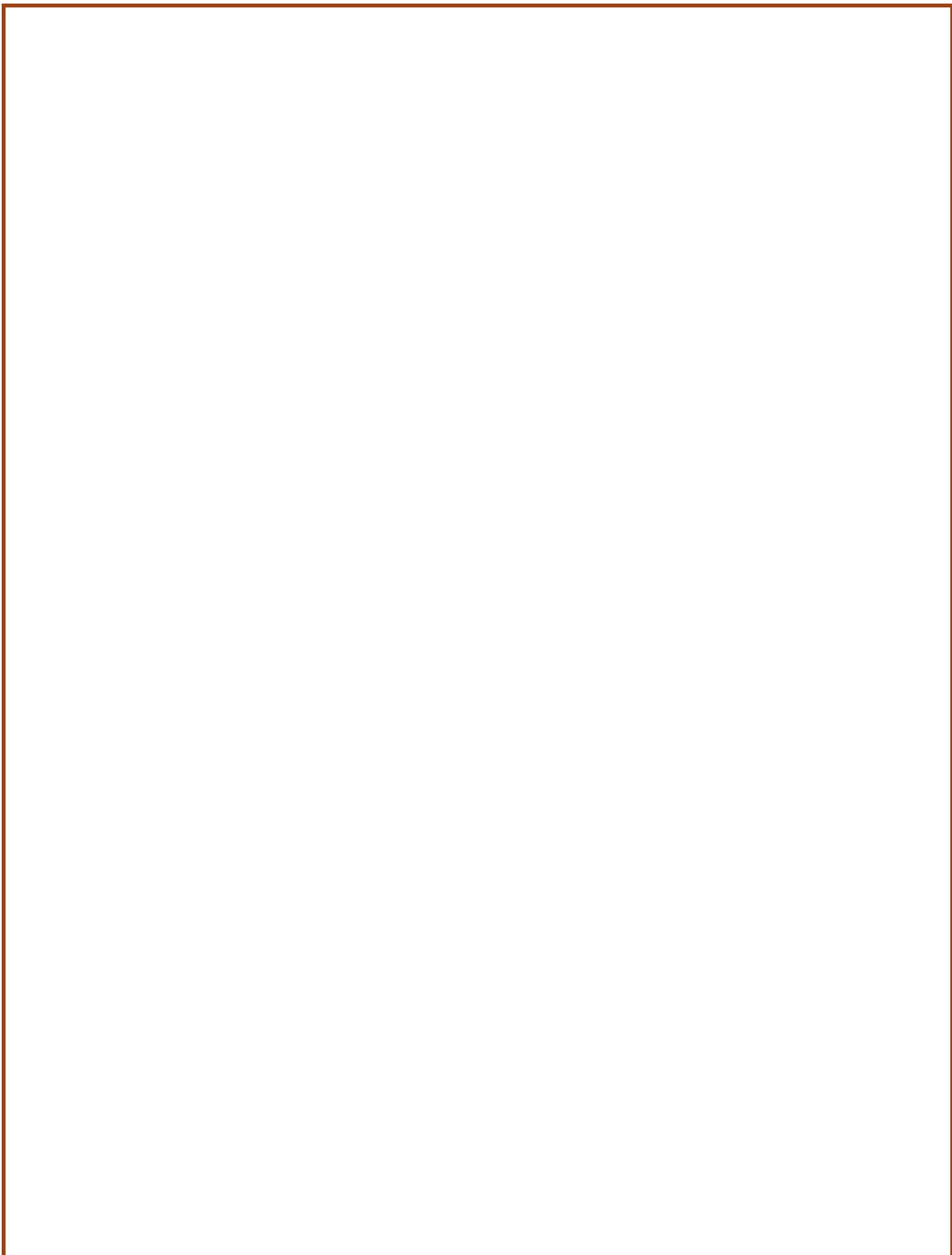
Office of Inspector General

Semiannual Report to the U.S. Congress

October 1, 2017 – March 31, 2018

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.

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## Message from the Inspector General

As the Council of the Inspectors General on Integrity and Efficiency (CIGIE) celebrates the 40th anniversary of the enactment of the *Inspector General Act of 1978 [5 U.S.C, App.]*, we remain committed to the tenets and ideals of the *Act* as we vigorously pursue our mission objectives 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 (EEOC). We continue to seek both proven and innovative ways to assist the EEOC in achieving sustainable improvements in the efficiency and effectiveness of its operations, through a balanced approach of effectuating our legislatively mandated role of independent oversight and through a strategic collaboration with EEOC leadership.

For example, during the reporting period, the Agency's Chief Information Officer (CIO) noted that the results of our annual Federal Information Management Security Act (FISMA) evaluation and information security related oversight contributed to the Agency leadership granting the CIO authority to hire a Chief Information Security Officer (CISO). Over several reporting periods, our auditors found that the lack of a CISO remained a significant challenge to the Agency's ability to effectively manage risks in protecting its enterprise-wide information security programs.

Through our Cooperative Audit Resolution Oversight Initiative (CAROI) the Chief Human Capital Officer (CHCO) and the Inspector General signed a memorandum of understanding representing a blueprint for how the Office of the Chief Human Capital Officer (OCHCO) and the Office of Inspector General (OIG) will work collaboratively as the OCHCO seeks to resolve selected recommendations from the January 17, 2018, U.S. Office of Personnel Management (OPM) evaluation report *Human Capital Management Evaluation, Equal Employment Opportunity Commission*. The OPM evaluation assessed EEOC's strategic management of human capital, the efficiency and effectiveness of its human resource programs, and compliance with Merit System principles, laws, and regulations.

Consistent with the principles of CAROI and the OIG's requirement for independence, its role will be confined to providing technical guidance in informing the OCHCO's understanding of audit follow-up procedures, but not to direct or otherwise substantively influence the Agency's responses to the recommendations. This represents noteworthy progress in the EEOC's efforts to address and resolve significant recommendations contained in OPM audit reports. In previous years, EEOC management had deemed OPM recommendations unsuitable for the Agency's formal audit follow-up provisions.

Finally, we thank the EEOC's leadership and staff for their cooperation and acknowledgement of our contributions designed to improve their opportunities for success in realizing their vision of *Justice and Equality in the Workplace*, and achieving their mission to *Stop and Remedy Unlawful Employment Discrimination*. In particular, we acknowledge Acting Chair Victoria Lipnic for citing the OIG's contributions to the EEOC and for the leadership of the Chief Operating Officer (COO) and the Deputy COO for their ensuring our unfettered access to the Agency's personnel and resources.

Respectfully submitted,



Milton A. Mayo Jr.  
Inspector General

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## **Executive Summary**

This semiannual report summarizes the activities and accomplishments of the Office of Inspector General (OIG) for the reporting period October 1, 2017, through March 31, 2018.

During this reporting period, the OIG issued four final audit and evaluation reports. The OIG received 339 investigative inquiries, including 108 charge processing issues; 106 complaints related to Title VII of the Civil Rights Act of 1964, as amended; and 10 investigative allegations.

The OIG's completed audit and evaluation work, ongoing and newly initiated projects, and ongoing investigative work includes the following:

### Completed Audit/Evaluation Work

- The OIG contractors Harper, Rains, Knight & Company, P.A. (HRK) audited the financial statements of the EEOC for FY 2017 and issued an unmodified opinion;
- The OIG contractors HRK audited the compliance of Fiscal Year 2017 second quarter financial and award data submissions;
- The OIG issued its annual report to the Acting Chair validating the Agency's compliance with the Federal Managers' Financial Integrity Act (FMFIA). It was concluded that the Agency's internal control process was conducted in accordance with FMFIA and applicable Office of Management and Budget (OMB) regulations; and
- The OIG contractors, Brown & Company CPAs and Management Consultants, PLLC (Brown & Company) conducted an independent evaluation of EEOC's information security program for FY 2017. Brown & Company found that EEOC generally has a sound information security program and demonstrated operating effectiveness.

### Ongoing and Newly Initiated Projects

- The OIG contracted with the public accounting firm of HRK to perform the FY 2018 EEOC Financial Statement Audit. Work is currently ongoing;
- The OIG requested information from EEOC management to assist in identifying and reporting erroneous or improper payments for FY 2017;
- The OIG Evaluation of EEOC's Use of Data Analytics;
- The OIG Evaluation of EEOC's Interagency Agreements;
- The OIG maintains ongoing investigations in several field offices addressing potential concerns such as ethics violations, conflicts of interest, misuse of position, mismanagement, false statements, and falsification of government records.

The OIG welcomed a new Assistant Inspector General for Audit (AIGA). The new AIGA will supervise the audit and evaluation staff.

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## **Introduction**

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

The Equal Employment Opportunity Commission (EEOC) is the Federal agency responsible for enforcement of Title VII of the Civil Rights Act of 1964, as amended; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; Sections 501 and 505 of the Rehabilitation Act of 1973 (in the Federal sector only); Title I of the Americans with Disabilities Act of 1990 and the Americans with Disabilities Act Amendments Act of 2008; Sections 102 and 103 of the Civil Rights Act of 1991; the Lilly Ledbetter Fair Pay Act of 2009; and the Genetic Information Nondiscrimination Act of 2008 (P.L. 110-233 Stat. 881), also referred to as GINA. These statutes prohibit employment discrimination based on race, sex, color, religion, national origin, age, disability, or genetic information.

The EEOC is also responsible for carrying out Executive Order 12067, which promotes coordination and minimizes conflict and duplication among Federal agencies that administer statutes or regulations involving employment discrimination.

The EEOC is a bipartisan commission composed of five presidentially appointed members; a Chair, a Vice Chair, and three Commissioners. The Chair is responsible for the administration and implementation of policy and for the Commission's financial management and organizational development. The Vice Chair and the Commissioners participate equally in developing and approving EEOC policies, issuing charges of discrimination where appropriate, and authorizing the filing of lawsuits. In addition, the President appoints a General Counsel, who is responsible for conducting litigation under the laws enforced by the Commission. Currently, the Agency has an Acting Chair and one vacant Commissioner position. President Donald J. Trump has nominated a new Chair and Commissioner. These nominations were pending Congressional confirmation at the close of this reporting period.

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

The U.S. Congress established the Office of Inspector General 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 Agency programs and operations. The OIG provides leadership, coordination, and recommendations concerning policies for activities designed to promote economy, efficiency, and effectiveness in administering programs and operations.

The Inspector General Reform Act of 2008 (Public Law No.110-409) strengthened the independence of IGs, increased their resources and held them more accountable for their performance. The OIG is under the supervision of the IG, an independent EEOC official subject to general supervision by the Chair. The IG shall not be prevented or prohibited by the Chair or any other EEOC official from initiating, carrying out, and/or completing any audit, investigation, evaluation, or other inquiry or from issuing any report. The Inspector General Empowerment Act of 2016 (Public Law No. 114-317) further strengthened the independence of the IG.

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The Empowerment Act enhances the IG’s ability to fight waste, fraud, abuse, and misconduct, to protect whistleblowers who share information with an IG, increases government transparency, and bolsters the public’s confidence in the independence of IGs. The Empowerment Act also ensures the IG has “timely access to all records, reports, audits, reviews, documents, papers, recommendations, or other materials” that are related to the oversight of their respective 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 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, Congress, or the news media, and prepares press releases, statements, and other information about the OIG’s activities.

The CIG is the sole legal advisor in the OIG, providing day-to-day oversight of the OIG’s investigative work, and is the primary liaison with Agency legal components and the Department of Justice. Since January 2010, the Counsel to the Inspector General (CIG) has served and continues to serve as the Acting Deputy Inspector General, the alter-ego to the IG.

The Assistant Inspector General for Audits (AIGA) provides direction, supervision, management, and leadership to the audit and evaluation staff. The AIGA also develops and implement standards and operating procedures for planning, performing, and reporting the work of the audit and evaluations division.

Additionally, the OIG staff includes a chief technology officer, a senior evaluator, an auditor, two criminal investigators, a confidential support assistant, and an administrative specialist. The confidential support assistant position is vacant.

The OIG is pleased to submit this Semiannual Report to Congress, summarizing the activities of the EEOC OIG for the 6-month period that ended March 31, 2018. Section 5 of the Inspector General Act of 1978, as amended, requires the Agency Head to transmit this Semiannual Report to the appropriate committees or subcommittees of the U.S. Congress within 30 days of its receipt.



## **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 Projects**

#### **Audit of the EEOC's Fiscal Year 2017 Financial Statements (OIG Report No. 2017-01-AOIG)**

On November 15, 2017, we issued our Fiscal Year (FY) 2017 Financial Statements Audit of the EEOC. The independent public accounting firm HRK audited the financial statements of the EEOC for FY 2017 and issued an unmodified opinion. HRK reported that the EEOC's FY 2017 financial statements and notes were fairly presented in all material aspects and in accordance with generally accepted accounting principles. HRK noted no instances of noncompliance or other matters that were required to be reported under Government Auditing Standards or the Office of Management and Budget (OMB) Bulletin 17-03, Audit Requirements for Federal Financial Statements.

#### **Agency Compliance with the Federal Managers' Financial Integrity Act (OIG Report No. 2017-05-AOIG)**

On November 14, 2017, we issued our annual report to the EEOC Chair, validating the Agency's compliance with the Federal Managers' Financial Integrity Act (FMFIA). OMB Circular A-123, Management's Responsibility for Internal Control, as implemented by EEOC Order 195.001, Management Accountability and Controls, requires the OIG to annually provide a written advisory to the head of the Agency indicating whether or not the Agency's management control evaluation process complied with the OMB guidelines.

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### **Audit of the Compliance with the Financial and Award Data Submissions for the Second Quarter of Fiscal Year 2017(DATA Act) (2017-06-AOIG)**

On November 15, 2017, we issued one of three reports to the Acting Chair, validating the Agency's compliance with the financial and award data submissions for the second quarter of FY 2017. EEOC's management is responsible for the compliance of the FY 2017 second quarter financial and award data submissions in accordance with the Digital Accountability and Transparency Act of 2014 (DATA Act) and submission standards developed by the U.S. Department of Treasury (Treasury) and OMB. HRK determined EEOC properly designed and implemented internal controls over financial and award data to ensure it managed and reported financial and award data in accordance with the DATA Act. Also, HRK determined EEOC successfully implemented and used the Government-wide financial data standards established by OMB and Treasury. Agency senior management concurred with all findings and recommendations.

### **Independent Evaluation of the U.S. Equal Employment Opportunity Commission's Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (FISMA) (OIG Report No. 2017-07-AOIG)**

On December 18, 2017, the OIG issued its Independent Evaluation of EEOC's Compliance with Provisions of the 2014 FISMA. For FY 2018, the OIG contracted with Brown & Company CPAs and Management Consultants, PLLC (Brown & Company) to conduct the independent evaluation.

Brown & Company found that EEOC generally had sound information security controls for its Information Security Program and has implemented security controls in all seven U.S. Department of Homeland Security (DHS) Inspector General (IG) FISMA Reporting Metrics. Based on the audit work, the report concluded that the EEOC's Information Security Program is generally compliant with the FISMA legislation and applicable OMB guidance and that the security controls tested demonstrated operating effectiveness.

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## **New and Ongoing Audit and Evaluation Projects**

### **FY 2018 Audit of the Consolidated EEOC Financial Statements**

The OIG engaged the public accounting firm of HRK to perform the FY 2018 Financial Statement Audit of the EEOC, as required by the Accountability of Tax Dollars Act of 2002. The audit opinion will be included in the Agency's 2018 Performance and Accountability Report (PAR) which is due in November 2018.

### **Compliance with the Improper Payments Elimination and Recovery Improvement Act (IPERIA) of 2012**

The OIG is conducting a review of the Agency's erroneous and improper payments, in accordance with the Improper Payment Information Act (IPIA) of 2002, as amended by the IPERIA, and the Improper Payments Elimination and Recovery Act (IPERA) of 2010. This year, the IPERA requires the OIG to determine and report, by May 15, 2018, whether the Agency is compliant with the IPIA.

### **Evaluation of Data Analytics**

Elder Research, Inc., is conducting an evaluation assessing the Agency's data analytics environment. The evaluation seeks to identify opportunities for improvements and best practices. Data analytics includes inspecting, cleansing, transforming, and modeling data with the goal of discovering useful information, suggesting conclusions, and supporting decision-making. The primary purpose of the evaluation is to assess EEOC's knowledge of data analytics strategies and capabilities, to include mission critical enforcement activities (litigation, investigation, conciliation, mediation, federal appellate), outreach, and education.

To obtain stakeholder feedback and improve product quality, the contractor presented key findings to Agency stakeholders on March 29<sup>th</sup>. The meeting was held prior to issuing the draft report. Issuance of the draft and final reports are planned for the third quarter of FY 2018.

### **Evaluation of Interagency and Other Special Agreements**

The OIG is conducting an evaluation of the Agency's interagency and other special agreements. These agreements include memoranda of understanding, memoranda of agreement, joint project documents, and work-sharing arrangements with the Fair Employment Practices Agencies. OIG's work will not include contracts, grants, or cooperative agreements. The purpose of the evaluation is to provide the EEOC leadership and stakeholders with data and, perhaps, recommendations that may increase its efficiency in managing these agreements. Fieldwork is ongoing. Issuance of the draft and final reports is planned for the fourth quarter of FY 2018.

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## 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 Agency 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. Four reports were issued during this reporting period (October 1, 2017–March 31, 2018). Two of those reports contained findings.

### Reports Issued During This Reporting Period

Fiscal Year	Report Number	Report Title	Date Issued
2018	2017-01-AOIG	FY 2017 Financial Statement Audits of the EEOC	11/15/2017
2018	2017-05-AOIG	Agency Compliance with the Federal Managers' Financial Integrity Act	11/14/2017
2018	2017-06-AOIG	Performance Audit of the Compliance with the Financial and Award Data Submissions for the Second Quarter of Fiscal Year 2017	11/15/2017
2018	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	12/18/2017

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 March 2018. The OIG is reporting a total of nine reviews with a total of 23 open recommendations for this reporting period. The following table shows those recommendations for which corrective actions have not been completed.

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## Cooperative Audit Resolution Oversight Initiative (CAROI)

In FY 2012, the OIG piloted the Cooperative Audit Resolution Oversight Initiative (CAROI) to improve resolution of recommendations contained in OIG reports that require audit follow-up. During the reporting period, one recommendation was closed using CAROI.

<b>Audit, Evaluation, or Review Name</b>	<b>Number of Recommendations Closed</b>
Oversight of Federal Agency Reporting Management Directive 715 (MD-715) and Related Topics	1

## Recommendations for Which Corrective Actions Have Not Been Completed

Fiscal Year	Report Number	Report Title	Date Issued
2017	2017-07-AOIG	<b>Independent Evaluation of the U.S. Equal Employment Opportunity Commission’s Compliance with Provisions of the Federal Information Security Modernization Act of 2014</b>	12/18/17
		<ul style="list-style-type: none"> <li>• EEOC should implement an automated solution that provides a centralized, enterprise-wide view of risk across the agency.</li> <li>• EEOC should develop a Trusted Internet Connection (TIC) program that meets OMB requirements to improve the agency’s security posture.</li> <li>• 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.</li> <li>• EEOC should clarify and separate the duties between the Chief Information Security Officer (CISO) and Deputy Chief Information Officer (DCIO) positions.</li> </ul>	

Fiscal Year	Report Number	Report Title	Date Issued
2017	2017-06-AOIG	<b>Performance Audit of the Compliance with the Financial and Award Data Submissions for the Second Quarter of Fiscal Year 2017</b>	11/15/17
		<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>	

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

- EEOC Office of Information Technology (OIT) should implement multifactor authentication for logical and remote access for system users. Furthermore, we recommend EEOC use multifactor authentication where one of the factors is provided by a device separate from the computer gaining access. **(Repeat finding since 2008)**
- 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.

Fiscal Year	Report Number	Report Title	Date Issued
2016	2015-01-LIT	<b>An Exploratory Evaluation of EEOC’s Litigation Activities</b>	7/8/16

- Examine whether ORIP and Research and Analytic Services (RAS) should continue to be siloed in their efforts to provide expert statistical analysis and investigate the reported concerns about the timeliness and, in some cases, the substance of statistical analyses prepared during the investigative process.
- Investigate options for addressing the inefficiencies inherent in the rigid separation of ORIP and RAS statistical analytic services.
- Reexamine the EEOC’s performance measurements.
- Examine the EEOC’s exit-interview process and the findings from these interviews to better understand reasons for turnover.

Fiscal Year	Report Number	Report Title	Date Issued
2015	<b>2015-03-EOIG</b>	<b>Independent Evaluation of Agency Adherence to the Federal Information Security Modernization Act</b>	11/15/15

- EEOC should implement multifactor authentication for remote access. Furthermore, we recommend EEOC use multifactor authentication where one of the factors is provided by a device separate from the computer gaining access. **(Repeat finding since 2008)**

Fiscal Year	Report Number	Report Title	Date Issued
2015	<b>2014-03-OE</b>	<b>Evaluation of EEOC’s Outreach and Education Program</b>	5/8/15

- EEOC’s website should be updated as important events occur, perhaps in accordance with guidelines that EEOC’s Office of Communication and Legislative Affairs sets for itself.
- EEOC and its district and field offices should routinely conduct follow-up through surveys with partners, perhaps three months after events.
- EEOC should provide resources for the regular analysis of Office of Field Programs charges to provide evidence of outreach and education success—both for district and field offices and nationally.

Fiscal Year	Report Number	Report Title	Date Issued
2015	<b>2014-08-EOIG</b>	<b>FY 2014 Federal Information Security Management Act Report</b>	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.
- Development of Continuity of Operations plans for field offices.
- Improved control over physical access to the data center and technology storage room.

Fiscal Year	Report Number	Report Title	Date Issued
2014	<b>2013-05-FISMA</b>	<b>FY 2013 Federal Information Security Management Act Report</b>	12/10/13

- The OIG recommends that the EEOC OIT implement multifactor authentication for remote access. The OIG further recommends that the multifactor authentication use one factor provided by a device separate from the computer gaining access. **(Repeat finding since 2008)**

Fiscal Year	Report Number	Report Title	Date Issued
2013	<b>2012-09-REV</b>	<b>Review of Evaluations</b>	04/09/2013

- EEOC should document criteria for determining Category C charges.
- EEOC should investigate the merits of expanding the information it obtains related to employee hiring and terminations.

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
2017	0	0	0	N/A

During this report period, management decisions were implemented for all audits, evaluations, and review reports. We do not issue inspection reports.



## 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*

### Investigative Inquiries

<b>Investigative Inquires Received October 1, 2017 – March 31, 2018</b>	
<b>Allegations</b>	<b>Number</b>
Charge Processing	108
Other Statutes	101
Title VII	106
Mismanagement	5
Ethics Violations	1
Backgrounds	2
Theft	1
Threats	0
FOIA Request	0
Fraud	3
Other Criminal Allegations	10
Congressional Inquiries	2
<b>Total</b>	<b>339</b>

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## **Completed Investigative Activities:**

During the semiannual period, we did not issue any final investigative reports.

## **ONGOING INVESTIGATIVE ACTIVITY**

The OIG has ongoing investigations in several field offices involving ethics violations, conflicts of interest, fraud, mismanagement, falsification of government records, impersonation of a Federal official, misuse of travel and purchase cards, theft of government property, misuse of computers, and threats against the Agency.

- The investigation of allegations that an employee misused their EEOC-issued computer to establish an internet web site that appeared to demean, belittle and harass a former significant other; and committed possible violations of cyber-bullying.
- The ongoing investigation of a conflict of interest by an employee who operates a software company and engaged in contract negotiations with the Agency.
- The investigation of misuse of position by several employees engaged in obtaining information on individuals through Agency database access, in violation of Agency internet policy and procedures, and possibly the Privacy Act.
- The OIG assisted the Federal Protective Service with the investigation of an employee who placed a camera under a desk to capture video of an individual's private space.
- The OIG assisted the Federal Protective Service with the investigation of the theft of three computers from an Agency field office.
- An investigation into possible misuse of the Agency seal by a private company.
- The investigation of alleged false statements made by a current EEOC employee who provided testimony before the Merit System Protection Board against a former EEOC employee.
- An investigation of the misuse of an Agency email address by a charging party who has used the address in contacts with state and federal entities.

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## Appendices

### Appendix I. Final OIG Audit and Evaluation Reports

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

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
N/A	N/A

**Appendix IV.**

**A detailed description of any instance of whistleblower retaliation**

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

<p>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>	<p>N/A</p>
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## Appendix VI.

### Detailed descriptions of the particular circumstances

Issue	Description
<p>Inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public</p>	<p>N/A</p>
<p>Investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public</p>	<p>N/A</p>

## Appendix VII.

### Index of Reporting Requirements

Inspector General Act Citation	Reporting Requirements	Page
<p>Section 4(a)(2)</p>	<p>Review of Legislation and Regulations</p>	<p>N/A</p>
<p>Section 5(a)(1)</p>	<p>Significant Problems, Abuses, and Deficiencies</p>	<p>10</p>
<p>Section 5(a)(2)</p>	<p>Recommendations with Respect to Significant Problems, Abuses, and Deficiencies</p>	<p>N/A</p>

Section 5(a)(3)	Significant Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	10
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	N/A
Section 5(a)(5)	Summary of Instances Where Information Was Refused	N/A
Section 5(a)(6)	List of Audit Reports	10
Section 5(a)(7)	Summary of Significant Reports	7-8
Section 5(a)(8)	Questioned and Unsupported Costs	N/A
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	19
Section 5(a)(10)	<p>Summary of each audit report, inspection reports, and evaluation reports 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;</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>	16
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>	19
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>	20
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.	20

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>	20
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>	21

## **Appendix VIII.**

### **Single Audit Act Reports**

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

## **Appendix IX.**

### **Peer Review Reporting**

Office of 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).

The OIG peer review can be found: [WWW.OIG.EEOC.GOV](http://WWW.OIG.EEOC.GOV).



## EEOC-OIG The Hotline

The EEOC Hotline Program was established for Agency employees, other Government employees, contractors, and the general public to report fraud, waste, abuse, or wrongdoing by phone, website form, or by U.S. mail.

## What Should you Report

You should report any concern you may have over a situation in which EEOC is the potential victim of fraudulent acts by employees, contractors, or others. It includes any violations of laws, rules, regulations, gross mismanagement, gross waste or misappropriation of funds, and abuses of authority.

## OIG Hotline Contact Information



**To contact our OIG Hotline please call:  
Toll-free 1-800-849-4230**



**For general information inquiries please visit our Contact webpage:  
[HTTPS://OIG.EEOC.GOV/CONTACT](https://oig.eeoc.gov/contact)**

**To submit report fraud/waste/ abuse please visit our  
Hotline webpage:  
[HTTPS://OIG.EEOC.GOV/HOTLINE](https://oig.eeoc.gov/hotline)**



**Write:  
Equal Employment Opportunity Commission  
Office of Inspector General  
PO Box 77067  
Washington, DC 20013-7067**

**Identities of Writers, E-mailers, and Callers are always Fully Protected**