



U.S. Department of Justice | Office of the Inspector General



# SEMIANNUAL REPORT TO CONGRESS

October 1, 2020–March 31, 2021

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The Office of the Inspector General (OIG) audits, evaluations, inspections, special review reports, investigations press releases, and ongoing work are available at [oig.justice.gov](http://oig.justice.gov).

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## MESSAGE FROM THE INSPECTOR GENERAL



It is my pleasure to submit this Semiannual Report on the operations of the Office of the Inspector General (OIG), which covers the period from October 1, 2020, to March 31, 2021. Despite transitioning to a maximum telework posture just over a year ago due to the COVID-19 pandemic, the OIG maintained the quantity and quality of oversight work expected of us during this period. In fact, the OIG completed more audit reports this semiannual period than during the same timeframe last year. This exceptional effort is a testament to the commitment of OIG staff to our important mission.

In March 2020, the OIG promptly shifted a significant portion of its oversight toward assessing the DOJ's response to the COVID-19 pandemic. Since that time, we have focused on areas that we determined were the most immediate challenges to DOJ operations, including preventing the spread of the virus among federal inmates and detainees in Federal Bureau of Prisons (BOP) and U.S. Marshals Service (USMS) custody, operating immigration courts in a manner that minimizes the risk to participants, and ensuring robust oversight of \$850 million in pandemic-related U.S. Coronavirus Aid, Relief, and Economic Security (CARES) Act grant funding disbursed by the DOJ to fund state, local, and tribal efforts to combat COVID-19. Accordingly, this reporting period we have issued several reports in these areas, including 10 reports on remote inspections of BOP-managed and contract facilities to assess the steps the facilities took to prepare for, prevent, and manage COVID-19 transmission within facilities; a review of the USMS's response to the COVID-19 pandemic; and a second interim report examining the Office of Justice Programs' administration of CARES Act funding. In addition, we conducted and publicly released a [survey](#) of DOJ law enforcement personnel on the effects and impact of COVID-19 on law enforcement investigative operations. In the coming months, we will release a capstone report of BOP-wide conclusions and recommendations resulting from our remote inspections of BOP facilities, as well as a report regarding DOJ oversight of CARES Act funding. We are also conducting two surveys in 2021 – a second survey of BOP staff employed at federal prisons and a new survey of BOP inmates.

Within the past 6 months, we have completed and released numerous reports, not related to COVID-19, pertaining to DOJ and its law enforcement components, including reviews of DOJ's planning and implementation of its Zero Tolerance Policy and its coordination with the Departments of Homeland Security and Health and Human Services, and the Federal Bureau of Investigation's (FBI) strategy and efforts to disrupt illegal Dark Web activities. Additionally, the OIG issued management advisory memoranda identifying concerns with DOJ's compliance with whistleblower rights and protections for contractors, the BOP's overtime hours and costs in FY 2019, and an insider threat risk at DOJ and the Drug Enforcement Administration.

Further, the OIG's Investigations Division closed 116 criminal or administrative misconduct cases, and its work resulted in 29 convictions or pleas and 76 terminations, administrative disciplinary actions, and resignations. The quality of the investigations described in this report demonstrates the importance of effective, fair, and independent investigative oversight conducted by our Office.

As always, the OIG remains committed to its mission to detect and deter waste, fraud, abuse, and misconduct related to DOJ programs, and to promote economy and efficiency in those programs—as is exemplified in our work over the past 6 months. As usual, the Semiannual Report reflects the exceptional work of OIG personnel.

A handwritten signature in black ink, appearing to read "Michael E. Horowitz". The signature is fluid and cursive, with a large, stylized initial "M".

Michael E. Horowitz  
Inspector General  
April 30, 2021

# HIGHLIGHTS

## Statistical Highlights

The following summaries highlight some of the OIG's audits, evaluations, inspections, special reviews, and investigations, which are discussed further in this report. As the highlights illustrate, the OIG continues to conduct wide-ranging oversight of Department of Justice (DOJ or Department) programs and operations.

### OIG-wide

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**50**

Total Number of OIG Reports Issued<sup>1</sup>



**148**

Total Number of Recommendations in OIG Reports (including dollar-related recommendations)<sup>2</sup>

### Audit Division

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**37**

Reports Issued<sup>3</sup>

**\$957,623**

Questioned Costs<sup>4</sup>

**120**

Recommendations for Management Improvements



**22**  
Single Audit Act Transmittal Reports Issued

**\$561,461**  
Questioned Costs

**50**  
Recommendations for Management Improvements

### Investigations Division

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**5,525**  
Allegations Received by the Investigations Division<sup>5</sup>



**106/116**  
Investigations Opened/Closed



**32**  
Arrests



**34/29**  
Indictments & Informations/Convictions & Pleas



**76**  
Administrative Actions



**\$10,967,661.74**  
Monetary Recoveries<sup>6</sup>

## Audits, Evaluations, Inspections, and Special Reviews Highlights

Examples of OIG audits, evaluations, inspections, and special reviews completed during this semiannual reporting period are:

- [Review of the U. S. Marshals Service's Response to the Coronavirus Disease 2019 Pandemic.](#) The OIG found that (1) the U.S. Marshals Service's (USMS) detention facility oversight plan does not ensure all active facilities will be assessed for implementation of the latest Centers for Disease Control and Prevention (CDC) guidance, (2) USMS does not provide the same scrutiny of facilities operated by the USMS's state and local government partners as USMS contract facilities, and (3) transporting prisoners without first testing for coronavirus disease 2019 (COVID-19) may lead to further infections. The OIG made six recommendations to the USMS, and the USMS agreed with all of them.
- [DOJ's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination with the Departments of Homeland Security and Health and Human Services.](#) The OIG found that DOJ's focus on increasing illegal entry immigration prosecutions at the Southwest border came at the expense of careful and appropriate consideration of the impact of family unit prosecutions and child separations. The increase in immigration prosecutions under the zero tolerance policy (ZTP) also created significant operational, resource, and management challenges for the USMS, the Southwest border U.S. Attorney's Offices, the Department of Health and Human Services, and the courts. Although DOJ officials were aware of challenges prior to issuing the ZTP, they did not attempt to address them until after the policy was issued. The OIG made three recommendations to assist DOJ and the USMS in implementing future policies.

The OIG released a [video message](#) to accompany this report.

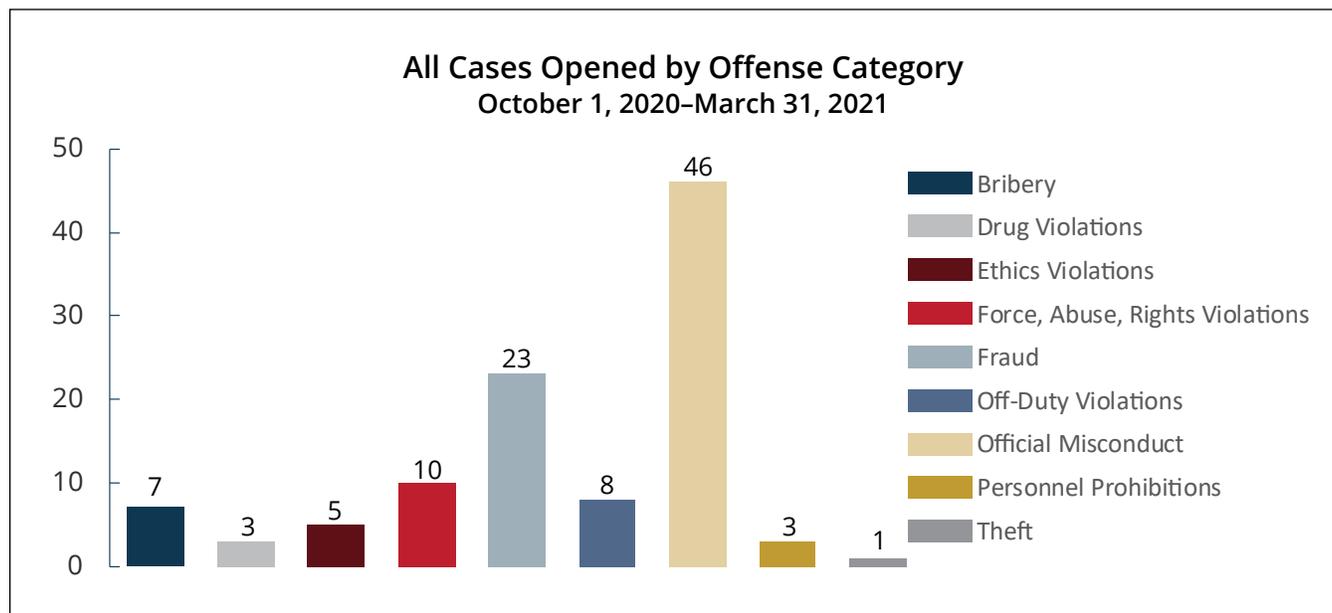
- [Audit of the Federal Bureau of Investigation's Strategy and Efforts to Disrupt Illegal Dark Web Activities.](#) The OIG found that the Federal Bureau of Investigation (FBI) does not maintain a bureau-wide dark web strategy. Specifically: (1) four primary FBI operational units were executing individual dark web strategies, (2) one FBI unit was responsible for the development and deployment of technology-based investigative solutions on the dark web, and (3) two FBI components provided operational support via separate Virtual Currency Teams. The OIG made 5 recommendations to the FBI, and the FBI concurred with all of them.

The OIG released a [video message](#) to accompany this report.

- **Remote Inspections of Federal Bureau of Prisons Facilities.** As part of its response to the COVID-19 pandemic, the OIG released 10 inspection reports of Federal Bureau of Prisons (BOP)-managed institutions and Residential Reentry Centers (RRC). The inspections sought to determine whether the facilities received and complied with CDC guidelines, as well as DOJ and BOP policy, related to the pandemic. Each inspection is described in more detail below.

## Investigative Highlights

As shown in the statistics at the beginning of this section and in the chart below, the OIG investigates many allegations of misconduct involving DOJ employees or contractors and grantees who receive DOJ funds.



Source: Investigations Data Management System

The following are examples of such investigations:

- [Findings of Misconduct by an FBI Assistant Special Agent in Charge for Engaging in Unwanted Physical Sexual Contact with Three FBI Employees, Making Offensive Sexual Comments to FBI Employees, and Consuming Alcohol and Providing Alcohol to Subordinates and Visitors in a Federal Building While on Duty.](#) On December 7, 2020, the OIG completed its report of investigation for an investigation initiated after receiving information from the FBI alleging that an Assistant Special Agent in Charge (ASAC) engaged in unwanted physical sexual contact with another FBI employee at an after-hours FBI social function. The investigation was presented for prosecution on February 11, 2019, and declined on April 12, 2019. The OIG has completed its investigation and provided its report to the FBI for appropriate action.
- [Findings of Misconduct by an FBI Assistant Special Agent in Charge for Asking a Supervisory Special Agent to Convey Knowingly Inaccurate Information to Their Chain of Command.](#) On February 8, 2021, the OIG completed its report of investigation for an investigation into allegations that an FBI ASAC may have engaged in misconduct when the ASAC requested a Supervisory Special Agent relay knowingly false information to the chain of command concerning collection of evidence in an administrative investigation. The investigation was not presented for prosecution. The OIG has concluded its investigation and provided its report to the FBI for appropriate action.

- [Finding of Misconduct by a Federal Bureau of Prisons Senior Executive for Lack of Candor.](#) On December 23, 2020, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the OIG reporting hotline alleging multiple instances of misconduct by a then Warden at a U.S. Penitentiary of the BOP. During the course of the investigation, the OIG found indications that the Senior Executive lacked candor during interviews with the OIG related to the initial misconduct allegations. The investigation was presented for prosecution on August 6, 2020, and declined on September 3, 2020. The OIG has completed its investigation and provided its report to the BOP for appropriate action.
- [Findings of Misconduct by a Drug Enforcement Administration \(DEA\) ASAC for Violating the Anti-Nepotism Statute and DEA Personal Conflict of Interest Policy.](#) On February 26, 2021, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the DEA alleging misconduct by a DEA ASAC in connection with an employment examination. The investigation was presented for prosecution on November 14, 2019, and declined on September 1, 2020. The OIG has completed its investigation and provided its report to the DEA for appropriate action.
- [Findings of Misconduct by an Assistant United States Attorney for Sexually Inappropriate Comments to Multiple Individuals, Inappropriate Touching of an Intern's Breast, and Lack of Candor to the OIG.](#) On November 5, 2020, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the Executive Office for United States Attorneys (EOUSA) alleging that an Assistant United States Attorney (AUSA) may have physically and verbally sexually harassed an Intern in the United States Attorney's Office, including deliberately running his arm across the Intern's breast without her consent. During the investigation, the OIG found indications that the AUSA also made sexually suggestive comments to three other individuals, including another AUSA, an FBI Forensic Analyst, and a United States Postal Inspection Service (USPIS) Postal Inspector. The investigation was presented for federal prosecution on July 1, 2019, and declined on February 10, 2020, and was presented for state prosecution on August 24, 2020 and declined that same day. The OIG has completed its investigation and is providing this report to the EOUSA and DOJ's Office of Professional Responsibility for appropriate action.

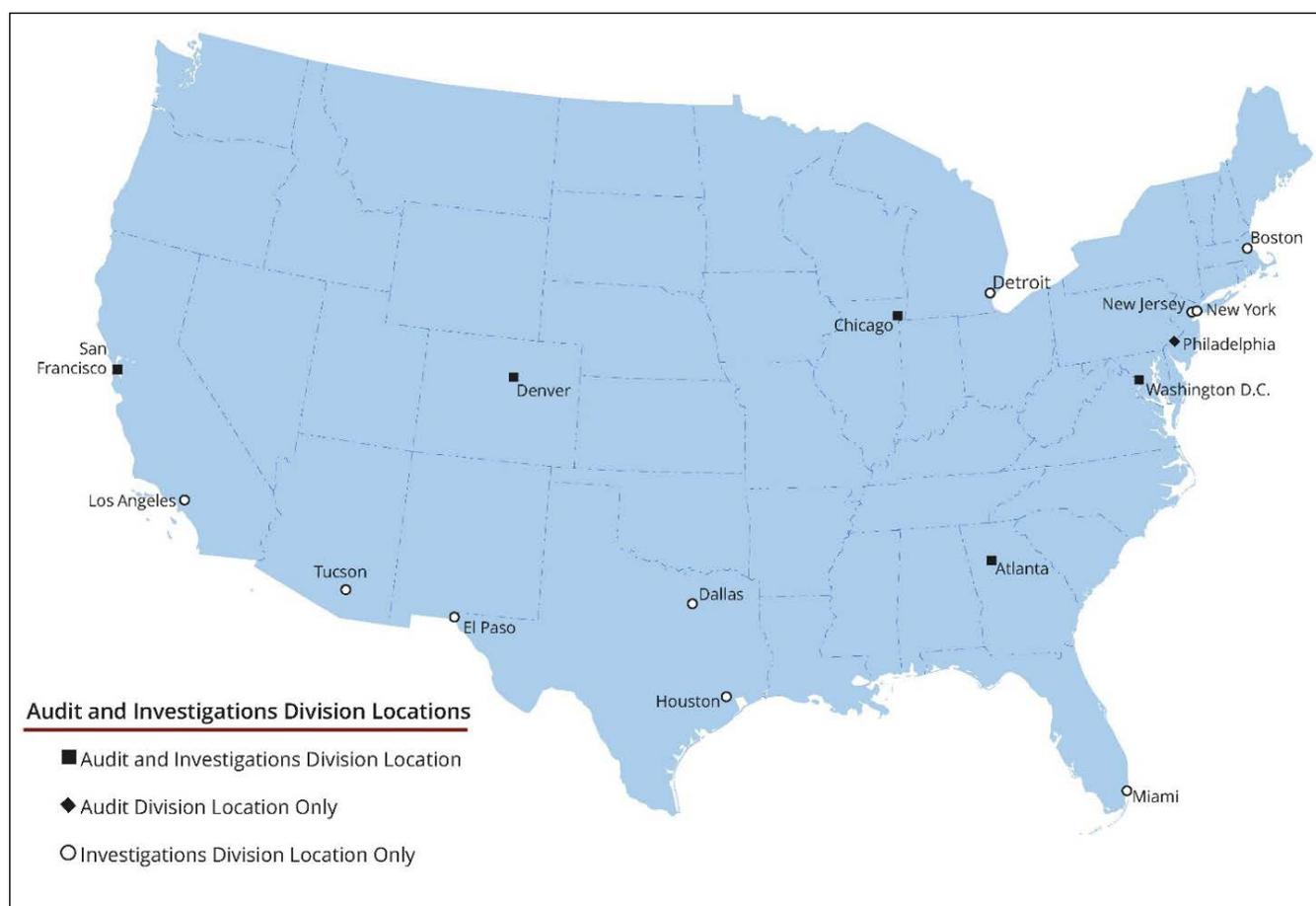
## OIG PROFILE

The OIG is a statutorily created, independent entity whose mission is to detect and deter waste, fraud, abuse, and misconduct involving DOJ programs and personnel and promote economy and efficiency in DOJ operations. The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of DOJ employees in their numerous and diverse activities. The OIG also audits and inspects DOJ programs and assists management in promoting integrity, economy, efficiency, and effectiveness. The OIG has jurisdiction to review the programs and personnel of the FBI; Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF); BOP; DEA; U.S. Attorney's Offices (USAO); USMS; and all other organizations within DOJ, as well as DOJ's contractors and grant recipients.

The OIG consists of the Immediate Office of the Inspector General and the following divisions and office:

- **Audit Division** is responsible for independent audits of DOJ programs, computer systems, and financial statements. The Audit Division has regional offices in the Atlanta, Chicago, Denver, Philadelphia, San Francisco, and Washington, D.C., areas. Its Financial Statement Audit Office and Computer Security and Information Technology Audit Office are located in Washington, D.C., along with Audit Headquarters. Audit Headquarters consists of the immediate office of the Assistant Inspector General for Audit, Office of Operations, Office of Policy and Planning, and Office of Data Analytics.
- **Investigations Division** is responsible for investigating allegations of bribery, fraud, abuse, civil rights violations, and violations of other criminal laws and administrative procedures governing DOJ employees, contractors, and grantees. The Investigations Division has field offices in Chicago, Dallas, Denver, Los Angeles, Miami, New York, and Washington, D.C. The Investigations Division has smaller, area offices in Atlanta, Boston, Detroit, El Paso, Houston, New Jersey, San Francisco, and Tucson. The Fraud Detection Office and the Cyber Investigations Office are co-located with the Washington Field Office. The Cyber Investigations Office also includes personnel in the Dallas and Los Angeles Field Offices. Investigations Headquarters in Washington, D.C. consists of the immediate office of the Assistant Inspector General for Investigations and the following branches: Operations I, Operations II, Investigative Support, and Administrative Support.

The map on the following page shows the locations of the Audit and Investigations Divisions.



Source: OIG

- **Evaluation and Inspections Division** conducts program and management reviews that involve on-site inspection, statistical analysis, interviews, and other techniques to review DOJ programs and activities and makes recommendations for improvement.
- **Oversight and Review Division** blends the skills of Attorneys, Investigators, Program Analysts, and Paralegals to conduct special reviews and investigations of sensitive allegations involving DOJ employees and operations.
- **Management and Planning Division** provides the Inspector General with advice on administrative and fiscal policy and assists OIG components by providing services in the areas of planning, budget, finance, quality assurance, personnel, training, communications, procurement, facilities, telecommunications, security, and general mission support.
- **Information Technology Division** executes the OIG's IT strategic vision and goals by directing technology and business process integration, network administration, implementation of computer hardware and software, cybersecurity, applications development, programming services, policy formulation, and other mission-support activities.

- **Office of General Counsel** provides legal advice to OIG management and staff. It also drafts memoranda on issues of law; prepares administrative subpoenas; represents the OIG in personnel, contractual, and legal matters; and responds to Freedom of Information Act requests.

The OIG has a nationwide workforce of more than 500 Special Agents, Auditors, Inspectors, Attorneys, and support staff. For Fiscal Year (FY) 2021, the OIG direct appropriation is \$110.565 million, and the OIG anticipates earning an additional \$18.8 million in reimbursements.

As required by Section 5 of the Inspector General Act of 1978 (IG Act), as amended, this Semiannual Report to Congress reviews the accomplishments of the OIG for the 6-month period of October 1, 2020, through March 31, 2021.

Additional information about the OIG and full-text versions of many of its reports are available at [oig.justice.gov](https://oig.justice.gov).

# PANDEMIC RESPONSE OVERSIGHT

Beginning in early March 2020, the OIG promptly shifted a significant portion of its oversight efforts toward assessing DOJ's response to the COVID-19 pandemic. Through its initial assessment, and the subsequent passage of the Coronavirus Aid, Relief, and Economic Security (CARES) Act on March 27, 2020, the OIG determined that the most immediate challenges to DOJ operations involved preventing the spread of the virus among federal inmates and detainees; safely operating immigration courts; and ensuring robust oversight of \$850 million in pandemic-related grant funding being disbursed to state, local, and tribal organizations. To demonstrate DOJ's use of CARES Act funding, the OIG released an interactive [timeline](#) that includes key milestones and significant events that have occurred since the onset of the pandemic. Since that time, these efforts have been expanded to include areas such as the impact of COVID-19 on DOJ law enforcement and other day to day operations.

Our completed pandemic-related work for this reporting period is listed below, along with our ongoing work. More information about the OIG's Pandemic Response Oversight activities is available [here](#).

## Reports Issued

### [Review of the USMS's Response to the COVID-19 Pandemic](#)

The OIG found that (1) the USMS's detention facility oversight plan is inconsistent and does not ensure that all active facilities will be assessed for implementation of the latest CDC guidance, (2) USMS does not provide the same scrutiny of facilities operated by the USMS's state and local government partners under Intergovernmental Agreements (IGA) as USMS contract facilities, and (3) the USMS practice of transporting prisoners without first testing to confirm that they are COVID-19 free may lead to further infections. The OIG made six recommendations to the USMS, and the USMS agreed with all of them.

### [Interim Report II—Review of the Office of Justice Programs' Administration of CARES Act Funding](#)

The OIG found that, as of August 22, 2020, the Office of Justice Programs (OJP) had awarded 99.7 percent of the \$850 million received under the CARES Act, and that most recipient spending reviewed appeared allowable under the terms and conditions of the grant award. However, the OIG identified: (1) two instances in which policies and procedures for high risk grant recipients were not adhered to, either by the recipient or by OJP, (2) one instance in which lobbying fees were paid to a not-for-profit entity, and (3) recipient spending during the first full reporting period (ending June 30, 2020) represented only 9 percent of the total amount available but that spending appeared to increase significantly as of early September. The OIG did not make any recommendations to OJP.

## **[Survey on the Effects of COVID-19 on ATF, DEA, FBI, USAO, and USMS Investigative Operations](#)**

The OIG released an interactive dashboard with survey results on the effects of COVID-19 on the investigative operations at DOJ. Results include: (1) more than 64 percent of respondents noted that COVID-19 had affected their ability to work cases, (2) 25 percent of respondents did not agree that their agency provided adequate personal protective equipment (PPE), (3) 62 percent of respondents reported always or often wearing a mask, but more than half noted federal/state partners never or only sometimes wear masks, (4) a majority of respondents reported that they took appropriate precautions while interacting with the public during the COVID-19 pandemic, and (5) the majority of respondents indicated that protocols were in place to notify them of a positive test for individuals they had either recently worked with or taken into custody.

## **[Interactive Dashboards Relating to COVID-19 in Federal Bureau of Prisons Facilities](#)**

The OIG released a collection of interactive dashboards with data on COVID-19 case trends, testing trends, and deaths due to COVID-19 in BOP-managed correctional facilities. The dashboards include information on: active and recovered COVID-19 cases and deaths over time for inmates and staff in the aggregate across all BOP-managed correctional facilities, the same data by facility for all BOP-managed facilities, and COVID-19 testing trends in BOP facilities. The dashboards present publicly available data obtained by the OIG from the BOP and the Johns Hopkins University's Center for Systems Science and Engineering.

The OIG released a [video message](#) to accompany this product.

## **[Federal COVID-19 Testing Report: Data Insights from Six Federal Health Care Programs](#)**

The Pandemic Response Accountability Committee (PRAC) was established by the CARES Act as a committee of CIGIE. The PRAC released a multi-agency report presenting data and insights on COVID-19 testing across the federal government, which included a DOJ segment presenting data relating to testing of BOP inmates. The OIG coordinated with the BOP on the collection of data and descriptions for the compilation of this report. The OIG found that the mechanism and setting of a test dictated the availability of data and that the cost and turnaround time for tests varied depending on how and where the test was administered. Ninety-eight percent of the more than 150,000 reported tests for inmates were for individuals in BOP-operated prisons. According to available records for February through August 2020, 38 percent of inmates in BOP-operated prisons were tested, compared to 8 percent of inmates in privately operated contract prisons and 4 percent of inmates in contracted RRCs. Unlike other federal health programs discussed, the BOP did not experience a late summer 2020 decline in tests administered. The OIG found that BOP per-test costs for commercial laboratory tests were lower than those reported for some of the other programs discussed in the report.

## **[Remote Inspections of BOP Facilities](#)**

The OIG completed its 15 reports on remote inspections of 16 facilities housing BOP inmates initiated in April 2020 in response to the COVID-19 pandemic. The OIG issued the first 5 reports during the prior semiannual reporting period and the remaining 10 reports during this reporting period. The inspections sought to determine whether selected BOP facilities were complying with guidance related to the pandemic, including CDC guidelines, DOJ policy and guidance, and

BOP policy. The OIG conducted the inspections through telephonic interviews, review of BOP documents and complaints, analysis of data from the respective facilities, and the results of surveys issued to over 40,000 staff working at facilities housing BOP inmates. The OIG conducted these inspections remotely because of CDC guidelines and DOJ policy on social distancing. The following summaries describe the 10 reports on remote inspections of BOP-managed institutions and RRCs issued during this reporting period:

### **BOP-Managed Institutions:**

- **[Federal Correctional Complex \(FCC\) Butner.](#)** Due to the open layout of several of FCC Butner's facilities, social distancing was a major challenge. The OIG also found that FCC Butner was not able to quarantine all inmates meeting requirements for quarantine due to a shortage of space. Additionally, although FCC Butner took steps to limit staff movement among the facilities, it was not able to fully restrict staff movement at three of its five facilities. We also found that staff were not changing N95 respirators when moving between units that had COVID-19 positive inmates and those that had COVID-19 negative inmates, which may have increased the risk of cross-contamination.
- **[FCC Coleman.](#)** At the onset of the pandemic, FCC Coleman had only 80 percent of its authorized medical staff. When an inmate tested positive, the resulting 14-day quarantine significantly added to the medical staff's workload. Prior to April 2020 BOP and DOJ policies on face coverings, FCC Coleman management denied staff the option to wear personally acquired face coverings. Additionally, the OIG's survey of FCC Coleman staff and Hotline complaints from inmates indicated that staff and inmates perceived deficiencies in the availability of hand washing items. Finally, FCC Coleman reviewed 919 inmates for home confinement placement and transferred 193 inmates to home confinement or an RRC.
- **[Federal Correctional Institution \(FCI\) Milan.](#)** In early April 2020, staff escorted at least one, and possibly more, symptomatic inmates to the local hospital without wearing appropriate PPE. The lack of appropriate PPE potentially increased those staff members' risk of contracting COVID-19 and potentially contributed to the spread of COVID-19 at Milan. FCI Milan promptly complied with the CDC's April 3, 2020 guidance that face coverings be worn in public settings, however, COVID-19 was already spreading throughout the institution by that time. By early May, 75 percent of FCI Milan's medical staff had COVID-19. According to a Milan official, the depletion of medical staff was the most significant challenge to FCI Milan's COVID-19 response.
- **[FCCs Oakdale and Pollock.](#)** FCC Oakdale experienced an early large-scale spread of COVID-19 within facilities with open layouts. At FCC Pollock, which did not experience as significant an outbreak early in the pandemic, most inmates are housed in two-man cells. Oakdale failed to promptly implement January 2020 inmate screening guidance and February 2020 staff screening guidance, and, by the time Oakdale expanded screening to all staff, COVID-19 had already entered the institution. Oakdale did not fully limit inmate movement until after it identified its first COVID-19 positive inmate on March 21, 2020. Pollock limited inmate movement beginning in early March. In mid- to late March, some Oakdale staff did not have proper PPE when in close contact with infected or potentially infected inmates. In mid-May, after nearly 100 asymptomatic inmates tested positive, Oakdale failed to comply with isolation, quarantine, and PPE guidance. Some COVID-19

positive inmates were left in their housing units for up to 6 days without being isolated. Staff were not advised that they would be interacting with COVID-19 positive inmates and were not furnished proper PPE prior to the inmates' isolation. Numerous staff absences at Oakdale resulted in some staff being mandated to work 16-hour shifts, and, in some instances, staff volunteered to work as much as 40 continuous hours.

- **[FCI Terminal Island](#)**. FCI Terminal Island experienced challenges separating COVID-19 negative and positive inmates, enforcing social distancing in open dormitories, quarantining inmates before expanding housing, and meeting BOP standards in one alternative housing area. Additionally, five inmates who died after contracting COVID-19 were not tested until arriving at the hospital and, in one instance, staff did not comply with BOP policy on notifying seriously ill inmates' families. Finally, our staff survey indicated that obtaining adequate staff and inmate PPE were challenges.



**Open Unit at FCC Terminal Island**

Source: BOP, with OIG Enhancement

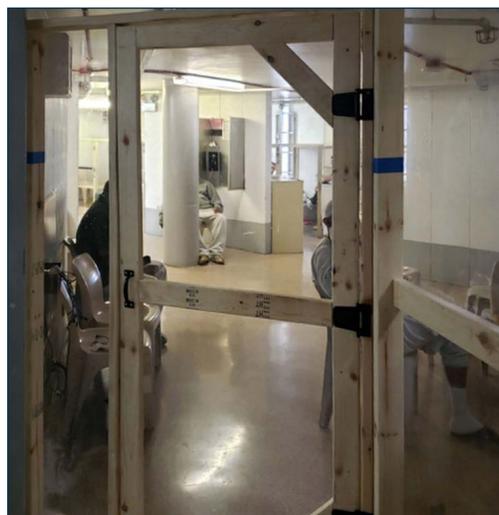
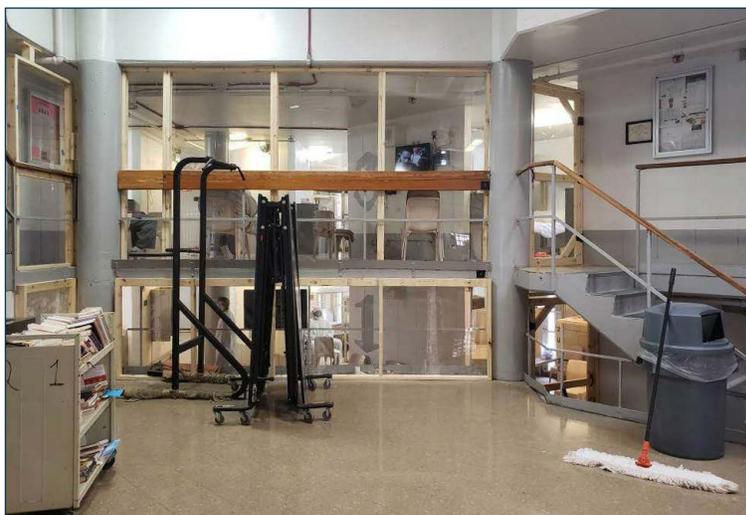
- **[Federal Medical Center \(FMC\) Fort Worth](#)**. The OIG found that the rapid growth of the outbreak at FMC Fort Worth during April and May 2020 necessitated a number of inmate transfers to local hospitals for treatment, straining institution staffing resources. Creating adequate social distancing in the institution's open layout housing units was also a challenge. Steps that FMC Fort Worth officials took to address this included establishing temporary housing units in tents and in the gymnasium and modifying existing units. Finally, we found that the availability of rapid testing allowed the institution to medically isolate a large number of COVID-19 positive inmates.



### Converted Gymnasium at FMC Fort Worth

Source: BOP, with OIG Enhancement

- [Metropolitan Correctional Complex \(MCC\) Chicago.](#)** In April 2020, MCC Chicago experienced its first outbreak of COVID-19. Factors that created challenges for controlling transmission of COVID-19 at MCC Chicago included being in an area with a high level of community transmission, having a constant introduction of new inmates due to being a detention center housing many arrestees and pretrial detainees, having a high-rise architecture that includes open dormitory units, and not receiving enough rapid test kits to mass test inmates before COVID-19 started circulating throughout the institution. Nonetheless, MCC Chicago complied with BOP guidance for social distancing and medical isolation and quarantine. In addition, staff constructed floor-to-ceiling plexiglass containment walls to separate the open dormitory units from the surrounding housing units and to create sub-sections within the open units to separate groups of inmates, as shown below.



### Barriers Constructed for Social Distancing at MCC Chicago

Source: BOP, with OIG Enhancement

- **[Metropolitan Detention Center \(MDC\) Brooklyn.](#)** MDC Brooklyn followed BOP directives for testing symptomatic inmates. Lack of universal testing due to limited testing supplies partially accounted for a low overall number of reported cases. Additionally, self-contained, tiered housing units with closed cells on separate floors mitigated cross-contamination. A shortage of medical staff hindered screening inmates and staff, and MDC Brooklyn struggled to meet the medical needs of non-COVID-19 inmates. Although MDC Brooklyn complied with BOP directives on face coverings, in April and May 2020 some medical providers did not have sufficient PPE to evaluate and treat symptomatic inmates. MDC Brooklyn staff survey respondents were far more likely than BOP-wide respondents to report an immediate need for PPE, staff, or cleaning supplies.

### **Residential Reentry Centers:**

- **[Brooklyn House RRC.](#)** Brooklyn House suspended most forms of inmate movement, implemented social distancing, and reduced in-house populations. However, we found that, in the absence of BOP requirements on the use of PPE in general RRC settings, Brooklyn House did not enforce universal use of PPE, such as masks and gloves, for staff and inmates until late April 2020. The RRC implemented screening requirements for both inmates and staff in March 2020 but took a week to implement BOP screening directives and did not uniformly apply screening to all inmates in its custody. Consistent with all RRC inspection work conducted by the OIG, we found that access to COVID-19 tests was limited by the capacity of the surrounding community and that systemic factors potentially heightened the risk of COVID-19 spread.
- **[Toler House RRC.](#)** Toler House suspended most forms of inmate movement, implemented social distancing, and reduced in-house populations. Officials generally adhered to BOP policies and CDC guidelines; however, the GEO Group, which managed the RRC, did not implement mandatory screening for all staff until a week after the BOP told RRCs to do so. In addition, the facility's reliance on inmates to self-report symptoms to staff did not align with BOP guidance that called for daily screening of residents and Toler House did not distribute face masks to all of its residents until nearly 3 weeks after the CDC recommended their widespread use.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Review of OJP's Administration of CARES Act Funding

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Capstone Review of Findings From Remote Inspections of Facilities Housing Federal Bureau of Prisons Inmates during the COVID-19 Pandemic

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Surveys of BOP Federal Prison Staff and Inmates

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Limited-Scope Review of the Executive Office for Immigration Review's (EOIR) Response to the COVID-19 Pandemic

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Review Examining BOP's Use of Home Confinement as a Response to the COVID-19 Pandemic

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## MULTICOMPONENT

While many of the OIG's activities are specific to a particular component of DOJ, other work covers more than one component and, in some instances, extends to DOJ contractors and grant recipients. The following describes OIG audits, evaluations, inspections, special reviews, and investigations that involve more than one DOJ component.

### Reports Issued

#### [DOJ's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination with the Departments of Homeland Security and Health and Human Services](#)

The OIG found that DOJ's focus on increasing illegal entry immigration prosecutions at the Southwest border came at the expense of careful and appropriate consideration of the impact of family unit prosecutions and child separations. The increase in immigration prosecutions under the zero tolerance policy (ZTP) also created significant operational, resource, and management challenges for the USMS, the Southwest border U.S. Attorney's Offices, the Department of Health and Human Services, and the courts. Although DOJ officials were aware of challenges prior to issuing the ZTP, they did not attempt to address them until after the policy was issued. Three recommendations were made to assist DOJ and the USMS in implementing future policies. DOJ and the USMS concurred with the recommendations.

The OIG released a [video message](#) to accompany this report.

### Federal Information Security Modernization Act Audits

The Federal Information Security Modernization Act (FISMA) requires the Inspector General for each agency to perform an annual independent evaluation of the agency's information security programs and practices. The evaluation includes testing the effectiveness of information security policies, procedures, and practices of a representative subset of agency systems. The OIG submitted the FISMA results for FY 2020 for DOJ to the Office of Management and Budget (OMB) and the metrics report for the National Security Systems within the FBI to the Intelligence Community Inspector General, which in turn forwarded the National Security Systems metrics to OMB by November 2, 2020.

For FY 2020, the OIG issued separate public summaries and non-public reports for its reviews of the ATF's information security program and Confidential Informant Master Registry and Reporting System; Civil Rights Division's (CRT) information security program and CRT Justice Consolidated Office Network System; FBI's information security program, Uniform Crime Reporting System, and Graph Analysis Mapping Application System; National Security Division's information security program and Foreign Agents Registration Act System; and USMS's information security program and Business Process Management Platform System.

The OIG is finalizing its FY 2020 reviews of the information security programs at the Court Services and Offender Supervision Agency (CSOSA) and Justice Management Division (JMD), as well as a CSOSA system and JMD's DOJ Identity Services System.

### **Single Audit Act Reports**

The Single Audit Act of 1984, as amended, promotes sound financial management of federal financial assistance provided to state, local, and tribal governments, colleges, universities, and nonprofit organizations. Under 2 C.F.R. 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, such entities that expend \$750,000 or more in federal funds in 1 year must have a "single audit" performed annually covering all federal funds expended that year. These audits are conducted by non-federal auditors, such as independent public accounting firms and state auditors. The OIG performs quality reviews of these audit reports when they pertain to DOJ funds and to determine whether they contain audit findings related to DOJ funds. The OIG's oversight of non-federal audit activity informs federal managers about the soundness of the management of federal programs and identifies any significant areas of internal control weakness, noncompliance, and questioned costs for resolution or follow-up. As a result of the OIG's review of the single audits during this semiannual period, the OIG transmitted to OJP 22 single audit reports covering expenditures totaling nearly \$119 million in 166 grants and other agreements. To address these deficiencies, the auditors recommended 50 management improvements and questioned costs totaling more than \$561,000. The OIG also monitors these audits through the resolution and closure process.

### **Audits of DOJ and Select Components' Annual Financial Statements FY 2020**

The OIG issued five audit reports on the FY 2020 annual financial statements for DOJ, Assets Forfeiture Fund and Seized Asset Deposit Fund (AFF/SADF), BOP, FBI, and Federal Prison Industries, Inc. (FPI). Under the direction of the OIG, KPMG performed the audits, which resulted in unmodified opinions. For the DOJ, AFF/SADF, BOP, and FBI, no material weaknesses in internal control over financial reporting were identified. KPMG identified one material weakness in the FPI's internal controls, noting that improvements are needed in the revenue presentation controls. The OIG made one recommendation to the FPI, who agreed with the recommendation. No instances of noncompliance or other matters were identified in the audits and KPMG's tests disclosed no instances in which financial management systems did not substantially comply with the Federal Financial Management Improvement Act of 1996.

### **[Review of the Accounting of Drug Control Funds and Related Performance, FY 2020](#)**

The OIG issued a review of DOJ's National Drug Control Program budget formulation, detailed accounting of all funds expended for National Drug Control Program activities for FY 2020, and the results of performance measures that show the outcomes associated with those expenditures. The report contains the results from 8 DOJ components of the reported \$9.04 billion of drug control obligations and 27 related performance measures. The OIG reported that it is not aware of any material modifications that should be made to management's assertions.

### **[Civil Rights and Civil Liberties](#)**

Section 1001 of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (Patriot Act) directs the OIG to receive and review complaints of civil rights and civil liberty violations by DOJ employees, to publicize how people

can contact the OIG to file a complaint, and to send a semiannual report to Congress discussing the OIG's implementation of these responsibilities. In March 2021, the OIG released its most recent report, which summarized the OIG's Section 1001 activities from July 1 through December 31, 2020. The report described the number of complaints the OIG received under this section, the status of investigations conducted by the OIG and DOJ components in response to those complaints, and an estimate of the OIG's expenses for conducting these activities.

### Reports with Outstanding Unimplemented Recommendations

The OIG periodically publishes a list of recommendations from the OIG's reports that the OIG had not closed as of a particular date, because it had not determined that DOJ had fully implemented them. The list omits information that DOJ determined to be limited official use or classified, and therefore unsuitable for public release. This list includes the status and descriptions of these recommendations and the titles of and hyperlinks to the relevant reports.

The most recent list is accurate as of March 31, 2021, and is available on the OIG's [website](#). The recommendations in this report are associated with about \$108 million in questioned costs and approximately \$3 million in funds that the OIG recommends could be used more efficiently if repurposed by the agency. Although DOJ may have taken steps to implement the recommendations listed in this report, including by partially remedying the questioned costs associated with a recommendation, a recommendation is not considered closed until it has been fully implemented.

## Investigations

The following information about OIG investigations of allegations against senior governmental employees in several components in which the OIG determined the allegations were unsubstantiated is provided pursuant to the IG Act, Section 5(a)(22)(B). The OIG closed these investigations without public disclosure during the reporting period:

- The OIG closed three investigations of alleged misconduct by senior government employees that were ultimately unsubstantiated. These investigations included allegations of misuse of position, job performance failure, contract fraud, and sexual abuse.

## Management Advisory Memorandum

**[Notification of Concerns Regarding the Department's Compliance with Laws, Regulations, and Policies Regarding Whistleblower Rights and Protections for Contract Workers Supporting Department Programs.](#)** The Management Advisory Memorandum (MAM) arises out of concerns identified in OIG investigations and audits of various contracts administered by multiple DOJ components. Specifically, several OIG audits and investigations noted that contracting officers neither included mandatory contract clauses regarding whistleblower rights and reprisal protections nor verified whether contractors informed their workers of such content as required. We also identified a contractor that required its workers to sign non-disclosure agreements that did not mention protected disclosures of wrongdoing. The breadth and pervasiveness of the findings warrant DOJ's sustained attention, particularly in light of the important role that whistleblowers play in ensuring that taxpayer dollars are spent wisely. The OIG made two recommendations, and DOJ did not state whether it agreed with them. However, DOJ described the actions it has taken and will implement in response to our concerns.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Review Examining the Role and Activity of DOJ and its Components in Preparing for and Responding to the Events at the U.S. Capitol on January 6, 2021

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Review Examining DOJ's and its Law Enforcement Components' Roles and Responsibilities in Responding to Protest Activity and Civil Unrest in Washington, D.C., and Portland, Oregon

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Audit of DOJ's Cyber Supply Chain Risk Management Efforts

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Audit of DOJ Policy on Body Worn Cameras

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Audit of DOJ Contracts Awarded to Adaptive Digital Systems, Inc., for Covert Equipment

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Review of the Institutional Hearing and Removal Program

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Review of DOJ's Violent Crime Initiatives

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Examination of DOJ's FY 2020 Compliance with the Payment Integrity Information Act of 2019

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Audit of DOJ's FY 2021 Compliance with the Digital Accountability and Transparency Act

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FY 2020 – Annual Information Technology Security Evaluation Pursuant to the Federal Information Security Modernization Act

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Audits of DOJ and Select Components Annual Financial Statements Fiscal Year 2021

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# FEDERAL BUREAU OF INVESTIGATION

## Report Issued

### [Audit of the Federal Bureau of Investigation's Strategy and Efforts to Disrupt Illegal Dark Web Activities](#)

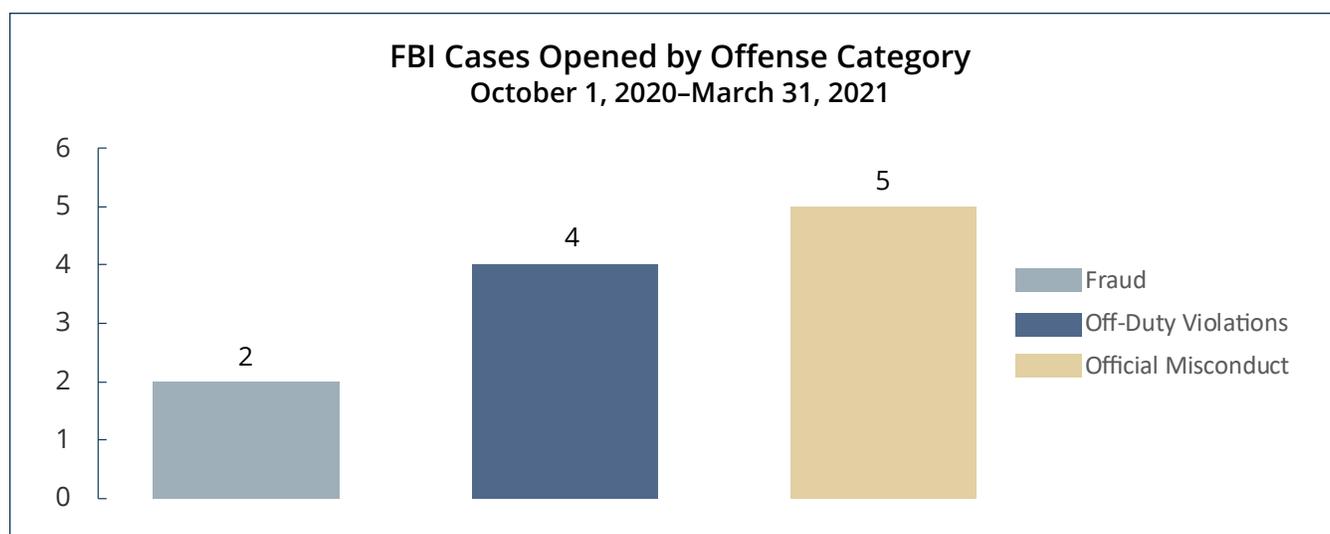
The OIG found that the FBI does not maintain a bureau-wide dark web strategy and instead relies on its operational units to execute individual dark web investigative, tool development, and acquisition strategies. Specifically, the OIG found that: (1) four primary FBI operational units were executing individual dark web strategies containing varying degrees of comprehensiveness, (2) from approximately 2012 through 2017, one FBI unit was largely responsible for the development and deployment of technology-based investigative solutions on the dark web, and (3) two FBI components provided operational support, including for dark web investigations, via separate Virtual Currency Teams. The OIG made 5 recommendations to the FBI, and the FBI concurred with all 5 recommendations.

The OIG released a [video message](#) to accompany this report.

## Investigations

During this reporting period, the OIG received 492 complaints involving the FBI. The most common allegations made against FBI employees were Official Misconduct; and Waste, Mismanagement. Most of the complaints received during this period were considered management issues and were provided to FBI management for its review and appropriate action.

The OIG opened 11 investigations and referred 24 allegations to the FBI's Inspection Division (INSD) for action or investigation with a requirement that the INSD report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 90 open criminal or administrative investigations of alleged misconduct related to FBI employees. The criminal investigations involved allegations of Official Misconduct; and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the FBI that the OIG conducted during this reporting period:

- [FBI Training and Civic Liaison Specialist Pleaded Nolo Contendere and Sentenced for Trespass.](#)** On January 7, 2021, an FBI Training and Civic Liaison Specialist assigned to the Las Vegas Field Office pleaded Nolo Contendere to one count of misdemeanor trespass and was ordered to stay out of trouble and pay \$1,195.50 in restitution. According to the criminal Complaint, between November 5, 2015, and January 8, 2017, the Specialist unlawfully obtained \$650 or more from the Las Vegas FBI Recreation Association (FBIRA) by using her position as treasurer of the FBIRA and control of the FBIRA's bank account debit card and/or monies. The investigation was conducted by the OIG's Los Angeles Field Office.
- [Findings of Misconduct by an FBI Assistant Special Agent in Charge for Engaging in Unwanted Physical Sexual Contact with Three FBI Employees, Making Offensive Sexual Comments to FBI Employees, and Consuming Alcohol and Providing Alcohol to Subordinates and Visitors in a Federal Building While on Duty.](#)** On December 7, 2020, the OIG completed its report of investigation for an investigation initiated after receiving information from the FBI alleging that an Assistant Special Agent in Charge (ASAC) engaged in unwanted physical sexual contact with another FBI employee at an after-hours FBI social function. The investigation was presented for prosecution on February 11, 2019, and declined on April 12, 2019. The OIG has completed its investigation and provided its report to the FBI for appropriate action.\*<sup>1</sup>
- [Findings of Misconduct by an FBI Assistant Special Agent in Charge for Asking a Supervisory Special Agent to Convey Knowingly Inaccurate Information to Their Chain of Command.](#)** On February 8, 2021, the OIG completed its report of investigation for an investigation into allegations that an FBI ASAC may have engaged in misconduct when

\*1 An asterisk (“\*”) indicates that the investigative summary is responsive to IG Act § 5(a)(19).

the ASAC requested a Supervisory Special Agent relay knowingly false information to the chain of command concerning collection of evidence in an administrative investigation. The investigation was not presented for prosecution. The OIG has concluded its investigation and provided its report to the FBI for appropriate action.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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FBI's Adjudication of Misconduct Investigations

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Review of Gender Equity in the FBI's Training and Selection Processes for New Special Agents and Intelligence Analysts at the FBI Academy

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Audit of the FBI's Execution of the Woods Procedures for Applications Filed with the FISC Relating to U.S. Persons

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Audit of the FBI's Office of General Counsel's Roles and Responsibilities

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Audit of Selected Aspects of the FBI's National Instant Criminal Background Check System

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Audit of the FBI's National Security Undercover Operations

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Audit of the FBI's Efforts to Notify Child Exploitation Victims

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Audit of the FBI's Purchase Order Awarded to Idemia National Security Solutions, LLC

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Review of the DOJ's and FBI's Planning for a Future FBI Headquarters Facility

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# FEDERAL BUREAU OF PRISONS

## Report Issued

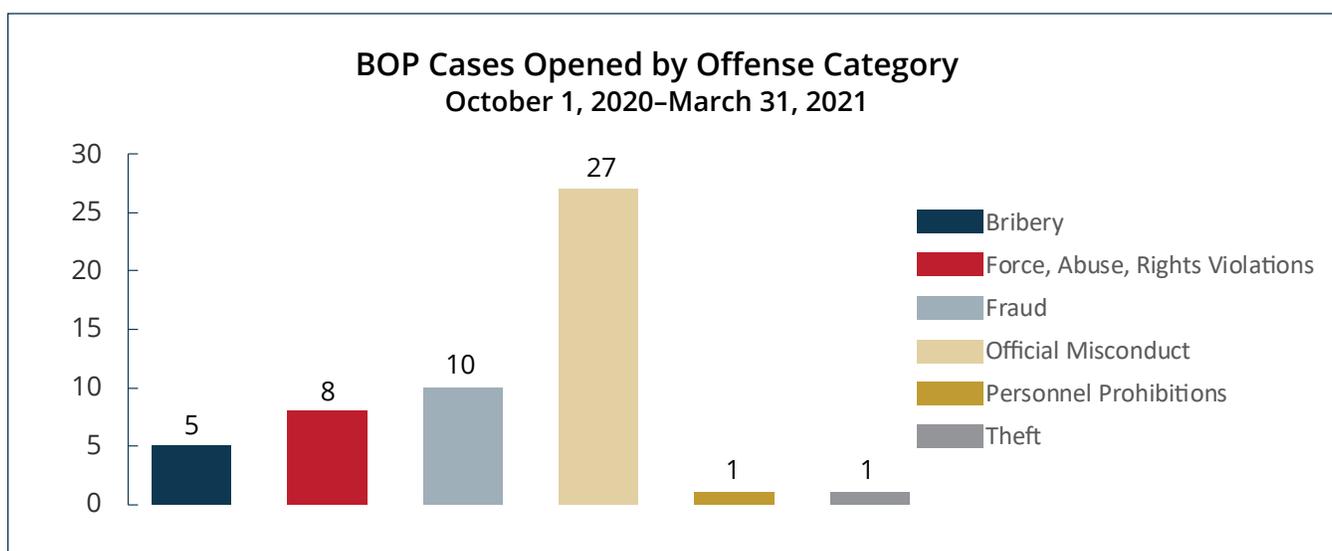
### [Examination of Federal Bureau of Prisons' Purchase Card Transactions](#)

The OIG released a report on the Examination of BOP's Purchase Card Transactions for the 9 months ended December 31, 2019, which resulted in an unmodified opinion. The OIG reported a significant deficiency, noting that improvements are needed on controls over BOP's purchase card transactions. The OIG made four recommendations to the BOP, which agreed with the recommendations.

## Investigations

During this reporting period, the OIG received 4,219 complaints involving the BOP. The most common allegations made against BOP employees included Official Misconduct; and Force, Abuse, Rights Violations. The majority of complaints dealt with non-criminal issues that the OIG referred to the BOP's Office of Internal Affairs (OIA) for its review.

The OIG opened 52 investigations and referred 15 allegations to the BOP's OIA for action or investigation with a requirement that BOP OIA report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 292 open cases of alleged misconduct against BOP employees. The criminal investigations covered a wide range of allegations, including Official Misconduct; Force, Abuse, Rights Violations and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the BOP that the OIG conducted during this reporting period:

- [Finding of Misconduct by a Federal Bureau of Prisons Senior Executive for Lack of Candor.](#)** On December 23, 2020, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the OIG reporting hotline alleging multiple instances of misconduct by a then Warden at a U.S. Penitentiary of the BOP. During the course of the investigation, the OIG found indications that the Senior Executive lacked candor during interviews with the OIG related to the initial misconduct allegations. The investigation was presented for prosecution on August 6, 2020, and declined on September 3, 2020. The OIG has completed its investigation and provided its report to the BOP for appropriate action.\*
- [BOP Correctional Officer Sentenced for Bribery, Provision of Contraband in Prison, and Conspiracy.](#)** On November 19, 2020, a BOP Correctional Officer (CO) assigned to the Federal Correctional Institution Miami was sentenced to 70 months of imprisonment for conspiracy to defraud the United States and commit bribery, bribery of a public official, conspiracy to provide or possess contraband in prison, and possession or provision of contraband in prison. The CO pleaded guilty to a fourteen 14-count Indictment, which stated that from December 2018, through September 2019, he introduced contraband into the BOP facility in exchange for money. The investigation was conducted by the OIG's Miami Field Office, the FBI, and the USPIS.
- [BOP Correctional Officer Sentenced for Bribery of a Public Official.](#)** On January 11, 2021, a BOP CO assigned to the Federal Detention Center in Honolulu, Hawaii was sentenced to six months of imprisonment and ordered to pay a \$7,000 fine for one count of accepting a bribe as a public official. According to the factual statement in support of the guilty plea, from April 2018 through May 2018, the CO provided contraband to an inmate and received \$3,500 from an associate of the inmate in return. The investigation was conducted by the OIG's San Diego Domicile Office and the FBI, with forensic assistance provided by the OIG's Cyber Investigations Office.
- [Former BOP Recycling Technician Sentenced for Theft of Public Money.](#)** On February 18, 2021, a former BOP Recycling Technician assigned to FCI Big Spring in Texas, was sentenced to three years of probation and ordered to pay \$11,043.39 in restitution for one count of theft of public money. According to the factual statement in support of the guilty plea, from May 2018, through December 16, 2019, the Technician did knowingly embezzle, steal, purloin, and without authority convert to his own use and the use of another, recyclable materials and equipment totaling over \$11,000 in value. The investigation was conducted by the OIG's El Paso Area Office.
- [Former BOP Correctional Officer Sentenced for Bribery.](#)** On March 4, 2021, a former BOP CO previously assigned to FCI Texarkana in Texas was sentenced to 46 months of imprisonment and three years of supervised release, as well as ordered to forfeit \$17,200, for one count of conspiracy to commit bribery. According to the plea agreement, between August 2019 and January 2020, the CO conspired with an inmate and others to accept cash bribes in exchange for smuggling contraband into the facility. The investigation was conducted by the OIG's Dallas Field Office and USPIS, with assistance from the OIG's Cyber Investigations Office.

## Management Advisory Memorandum

[Analysis of the Federal Bureau of Prisons' Fiscal Year 2019 Overtime Hours and Costs.](#) The OIG released a MAM to the Director of the BOP analyzing the BOP's overtime hours and costs for FY 2019. In FY 2019, BOP employees worked 6.71 million overtime hours, at a cost of \$300.9 million. Most employees who used overtime charged between 80 and 520 overtime hours, but 14 percent of BOP employees who claimed overtime hours accounted for 50 percent of total overtime hours. The OIG also found that Correctional Officers incurred 69 percent of overtime costs, indicating that staffing concerns are particularly acute for Correctional Officer positions. This memorandum contained no recommendations to BOP.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Review of BOP Inmate Deaths in Custody

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Review of BOP's Efforts to Address Inmate Sexual Harassment and Sexual Assault Against BOP Staff

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Review of the BOP's Policy Development Process

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Audit of the BOP's Management and Oversight of its Religious Services Program

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Audit of the BOP's Contracts Awarded to the University of Massachusetts Medical School

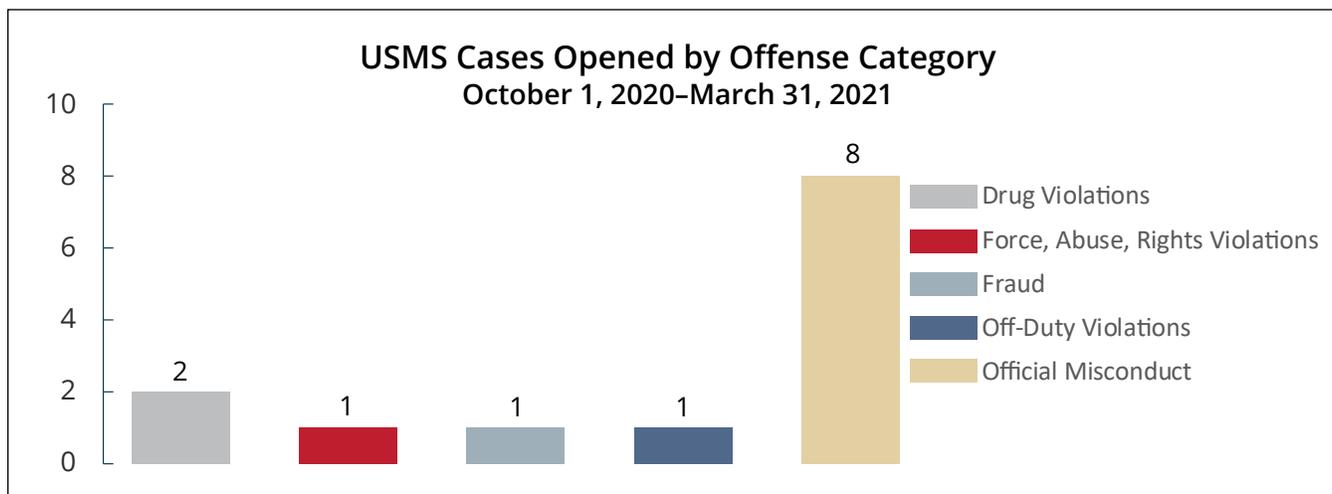
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## U.S. MARSHALS SERVICE

### Investigations

During this reporting period, the OIG received 162 complaints involving the USMS. The most common allegations made against USMS employees were Official Misconduct; and Force, Abuse, Rights Violations. The majority of the complaints were considered management issues and were provided to the USMS's OIA for its review and appropriate action.

The OIG opened 13 investigations and referred 16 allegations to the USMS's OIA for its review with a requirement that OIA report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 51 open cases of alleged misconduct against USMS employees. The most common allegations were Official Misconduct; and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the USMS that the OIG conducted during this reporting period:

- [Former USMS Contract Correctional Officer Sentenced for Bribery.](#)** On December 10, 2020, a former USMS Contract Correctional Officer previously assigned to the East Hidalgo Detention Center in Texas was sentenced to twenty-four months of imprisonment for one count of bribery of public officials. According to the plea agreement, the Contract Correctional Officer pleaded guilty to a one-count Indictment, which stated that from October 2018 through August 8, 2019, the Contract Correctional Officer accepted monetary bribes in exchange for bringing in contraband and distributing it to inmates. The investigation is being conducted by the OIG's Houston Area Office, the USMS, and the FBI, with analyst assistance provided by the OIG's Dallas Field Office.

- **[Finding of Misconduct by an Acting Chief Deputy United States Marshal for Failing to Exercise Due Caution to Secure Sensitive Proprietary Information.](#)** On January 11, 2021, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the U.S. General Services Administration (GSA) alleging misconduct by a USMS Acting Chief Deputy Marshal in connection with a USMS contracting matter. The OIG conducted this investigation jointly with the GSA OIG. The investigation was presented for prosecution on June 3, 2019 and declined on September 10, 2019. The OIG has completed its investigation and provided its report to the USMS for appropriate action.\*

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Review of the USMS's Pharmaceutical Drug Costs for Detainees

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Review of the USMS's Tactical Training Officer Program

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Audit of the USMS's Awarding and Administration of Sole-Source Contracts

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Audit of the USMS's Judicial Security Activities

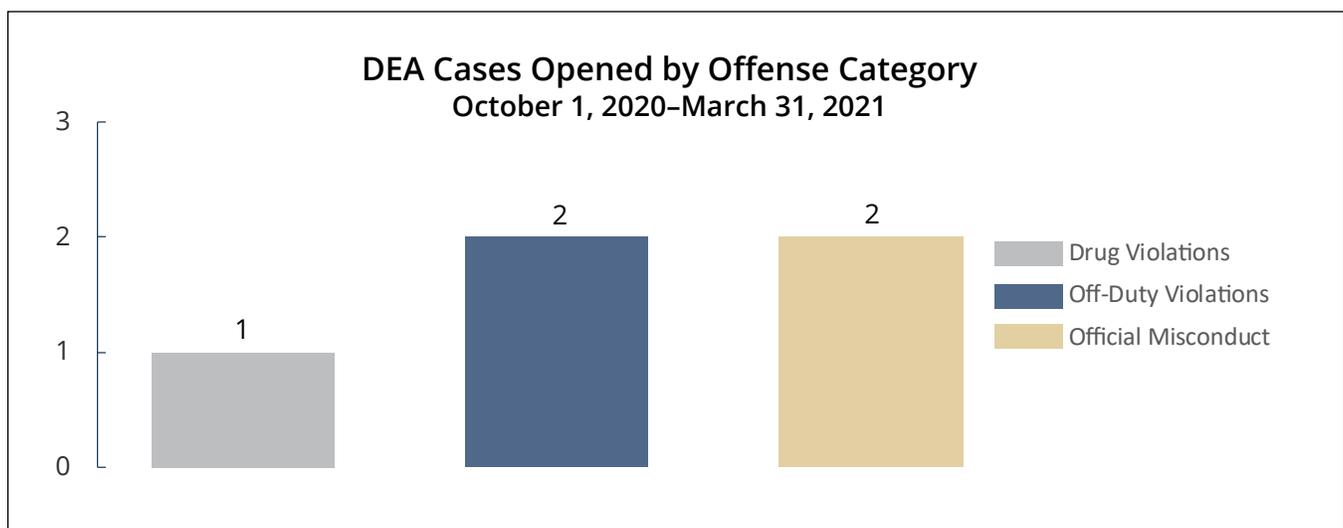
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# DRUG ENFORCEMENT ADMINISTRATION

## Investigations

During this reporting period, the OIG received 201 complaints involving the DEA. The most common allegations made against DEA employees were Official Misconduct; and Waste, Mismanagement. The majority of the complaints were considered management issues and were provided to the DEA for its review and appropriate action.

The OIG opened 5 cases and referred 13 allegations to the DEA's OPR for action or investigation with a requirement that OPR report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 49 open cases of alleged misconduct against DEA employees. The most common allegations were Official Misconduct.



Source: Investigations Data Management System

The following are examples of investigations involving the DEA that the OIG conducted during this reporting period:

- [Former DEA Official Sentenced for Wire Fraud.](#)** In the Semiannual Report to Congress April 1, 2020 – September 30, 2020, the OIG reported on a DEA Public Affairs Official pleading guilty to one count of wire fraud. On October 28, 2020, the Official was sentenced to 84 months of imprisonment, three years of supervised release, and ordered to pay \$4,481,876 in restitution. According to the factual statement in support of the guilty plea, from 2012 through 2016, the Official engaged in a fraud scheme that involved posing as an undercover CIA operative to defraud government contractors out of approximately \$4.5 million. The

investigation was conducted by the OIG's Washington Field Office; with forensic assistance provided by the OIG's Cyber Investigations Office, the FBI, the Defense Criminal Investigative Service, and other federal law enforcement agencies.

- **[Findings of Misconduct by a DEA ASAC for Violating the Anti-Nepotism Statute and DEA Personal Conflict of Interest Policy](#)**. On February 26, 2021, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the DEA alleging misconduct by a DEA ASAC in connection with an employment examination. The investigation was presented for prosecution on November 14, 2019, and declined on September 1, 2020. The OIG has completed its investigation and provided its report to the DEA for appropriate action.\*

## Management Advisory Memorandum

**[Notification of Insider Threat Risk at the Department of Justice and the Drug Enforcement Administration](#)**. The OIG released a MAM to the Acting Deputy Attorney General and the Acting Administrator of the DEA identifying an insider threat risk in connection with an investigation of a former DEA contract employee, who had access to DEA law enforcement sensitive information while also having suspected ties to individuals or entities involved in criminal activity. In this memorandum, the OIG made two recommendations to the DEA and one recommendation to DOJ to address the concerns identified. DOJ and DEA agreed with the recommendations.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of the DEA's Headquarters Oversight of Supported Foreign Law Enforcement Units

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Audit of the DEA's Support Contracts for its Laboratory Information Management System

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# BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES

## Investigations

During this reporting period, the OIG received 165 complaints involving ATF personnel. The most common allegations made against ATF employees were Official Misconduct; Waste, Mismanagement; and Off-Duty Violations. The majority of the complaints were considered management issues and were provided to ATF for its review and appropriate action.

The OIG referred 2 allegations to OPR for action or investigation with a requirement that OPR report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 14 open criminal or administrative investigations of alleged misconduct related to ATF employees. The investigations included Official Misconduct; and Off-Duty Violations.

The following is an example of an investigation involving the ATF that the OIG conducted during this reporting period:

- **[Non-DOJ Individual Sentenced for Selling Firearms Stolen from ATF Facility by a Contract Security Guard](#)**. On February 3, 2021, a non-DOJ individual was sentenced to forty months of imprisonment and ordered to forfeit \$41,961 and all weapons, weapon parts, and ammunition, for selling firearms stolen from an ATF facility by a Contract Security Guard. According to the Indictment, from August 2016 through March 2019, the individual purchased stolen firearms, firearm components, and ammunition from a former DHS Federal Protective Service Contract Security Guard assigned to the ATF facility, and then sold the firearms and components over the internet from his residence. The investigation was conducted by the OIG's Washington Field Office, ATF, and DHS OIG.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of ATF's Oversight of 3-D Firearm Printing Technology

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Review of ATF Headquarters Officials' Use of Government-Owned Vehicles for Home to Work Transportation

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Audit of ATF's Criminal Investigation Referrals and Revocation of Licenses for Federal Firearms Licensees

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# OFFICE OF JUSTICE PROGRAMS

## Reports Issued

### Audits of Grants to State and Local Entities

During this reporting period, the OIG released eight audits of external OJP grant recipients, as described by the following examples.

- [Audit of the Office of Justice Programs Cooperative Agreement Awarded to the Center for Children's Law and Policy, Inc., Washington, D.C.](#)** The OIG released a report on a grant totaling \$521,610 awarded to the Center for Children's Law and Policy, Inc. (CCLP), in Washington, D.C. OJP awarded this grant to CCLP to help address disproportionate minority contact and racial and ethnic disparities within the juvenile justice system. The OIG found that CCLP lacked policies and procedures on how to report accurate data needed to evaluate its program performance, such as the number of training events held. CCLP also did not have controls in place to identify whether contractors, consultants, and individuals it conducts business with had been suspended and/or debarred. The OIG identified \$46,206 in questioned costs, including \$28,463 in unallowable personnel charges, \$7,585 in unallowable travel expenses, and \$10,158 in unallowable consultant fees. The OIG made eight recommendations to OJP. CCLP subsequently implemented new internal policies and procedures, which addressed three of the eight recommendations.
- [Audit of the Office of Justice Programs Grant Awarded to Illuminate Colorado, Denver, Colorado.](#)** The OIG released a report on a grant totaling approximately \$750,000 awarded to Illuminate Colorado (Illuminate). OJP awarded this grant under the Enhancing Community Responses to the Opioid Crisis: Serving Our Youngest Crime Victims program. The purpose of the program is to address an urgent gap in crime victim services related to the opioid epidemic. The OIG found discrepancies with Illuminate's accounting system and lack of formalized policies and procedures related to payroll, subrecipients, drawdowns, and reporting information through the financial reports. The OIG also identified \$22,175 in unsupported questioned costs and \$3,519 in unallowable questioned costs. The OIG made 14 recommendations to OJP, and OJP agreed with all 14 recommendations.
- [Audit of the Office of Justice Programs Internet Crimes Against Children Task Force Cooperative Agreements Awarded to the Sedgwick County Sheriff's Department, Wichita, Kansas.](#)** The OIG released an audit of two grants totaling over \$1.26 million awarded to the Sedgwick County Sheriff's Department (SCSD). The OIG found that there were no indications that the SCSD did not adequately achieve the stated goals and objectives for the grants. However, the OIG found some inaccuracies in the SCSD's progress reports and found the SCSD did not comply with one special condition. The OIG identified \$7,105 in unallowable expenditures, including \$3,960 in unallowable indirect costs and \$2,313 in

unallowable overtime expenses. The OIG made nine recommendations to OJP. OJP and SCSD agreed with all nine recommendations.

- **[Audit of the Office of Justice Programs Bureau of Justice Assistance Grant Awarded to Carroll County, New Hampshire.](#)** The OIG released a report on a grant totaling \$200,000 to Carroll County. OJP awarded this grant in 2017 to aid Carroll County in the implementation and expansion of its program to help offenders transition from prisons or jails back into the community. The OIG found that Carroll County demonstrated adequate progress towards achieving the grant's stated goals and objectives. However, the OIG identified some grant-funded charges for travel that were not fully supported, and issues related to the tracking and reporting of Carroll County's local match requirement. The OIG made three recommendations to OJP, and OJP agreed with all three recommendations.

## Investigations

During this reporting period, the OIG received 22 complaints involving OJP. The most common allegation made against OJP employees, contractors, or grantees was Fraud.

During this reporting period, the OIG opened 3 investigations. At the close of the reporting period, the OIG had 30 open criminal or administrative investigations of alleged misconduct related to OJP employees, contractors, or grantees. The most common allegation was Fraud.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of the Bureau of Justice Assistance Comprehensive Opioid, Stimulant, and Substance Abuse Program

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Audit of the Bureau of Justice Assistance National Sexual Assault Kit Initiative Grant Program

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# CRIME VICTIMS FUND

The Crime Victims Fund (CVF) was established by the Victims of Crime Act of 1984 (VOCA) and serves as a major funding source for victim services throughout the country. The fund includes deposits from criminal fines, forfeited bail bonds, penalty fees, and special assessments collected by USAOs, U.S. Courts, and BOP. OJP's Office for Victims of Crime administers the CVF by sending states funding directly through the VOCA victim assistance and compensation formula grants and awarding discretionary grants to state and local public and private entities to support national-scope projects, training, and technical assistance that enhances the professional expertise of victim service providers. Since FY 2015, Congress substantially increased the amount of funding available from the CVF for these DOJ programs. From FY 2015 through 2020, DOJ awarded more than \$14 billion in funding for CVF programs.

The OIG's audits of victims of crime programs have resulted in hundreds of recommendations to improve recipients' administration of CVF-funded grants, enhance program performance, improve monitoring of thousands of subrecipients, and help ensure accountability for billions of CVF dollars. During this semiannual reporting period, the Audit Division issued four audits of state CVF VOCA grant recipients and at the end of the period had eight ongoing audits of state CVF VOCA grant programs. The OIG's state CVF VOCA grant audits issued this period are described below.

## Reports Issued

### Audits of CVF Grants to State Entities

During this reporting period, the OIG released four audits of state CVF-funded grant programs, as described below.

- [\*\*Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the California Victim Compensation Board, Sacramento, California.\*\*](#) The OIG released a report examining three victim compensation formula grants, totaling \$29,069,158, awarded to the California Victim Compensation Board (CalVCB). The OIG concluded that the CalVCB utilized and managed VOCA funding to enhance its victim compensation program. However, the CalVCB did not accurately complete its FY 2018 Crime Victim Compensation State Certification Form, did not maintain adequate documentation to support victim compensation payments, totaling \$75,689, and paid \$8,712 for unallowable victim compensation payments. The OIG made 11 recommendations to OJP, and OJP and the CalVCB agreed with all of them.
- [\*\*Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Colorado Division of Criminal Justice, Lakewood, Colorado.\*\*](#) The OIG released an audit of approximately \$125.3 million awarded to the Colorado Division of Criminal Justice (CDCJ). The OIG concluded that the CDCJ used victim assistance funds to enhance victim services

within the state of Colorado. However, the OIG identified issues with subrecipient accounting records, subrecipient support for expenditures and local match requirement, subrecipient in-kind volunteer logs, and subrecipient reported performance data. The OIG also identified a total of \$28,741 in unsupported subrecipient expenditures, \$5,749 in unsupported subrecipient cash match, \$207,727 in unsupported subrecipient in-kind match, and \$22,338 in unallowable subrecipient match. The OIG made 8 recommendations to OJP, and OJP agreed with all of them.

- **[Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Pennsylvania Commission on Crime and Delinquency, Harrisburg, Pennsylvania.](#)** The OIG released a report on two grants totaling over \$8.6 million awarded to the Pennsylvania Commission on Crime and Delinquency (PCCD). OJP awarded these grants between FY 2016 and 2017 to provide financial support through the payment of compensation benefits to crime victims throughout Pennsylvania. As of December 2020, PCCD drew down the entire amount of the two awards. The OIG identified several opportunities where PCCD could enhance policies and procedures for its State Certification Form and overall grant financial management. The OIG made four recommendations to OJP. Both OJP and PCCD agreed with all four recommendations.
- **[Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Ohio Attorney General, Columbus, Ohio.](#)** The OIG released an audit of three grants totaling over \$11.8 million awarded to the Ohio Attorney General (Ohio AG). The OIG concluded that the Ohio AG established an adequate program to compensate victims and survivors of criminal violence. However, the OIG identified areas for improvement in grant financial management and within Ohio AG policies, including the need to detail certain claimant payment scenarios, records retention requirements for delayed payments to minors, conflicts of interest, and the methodology for calculation of figures for the annual state certification form. The OIG also identified that the Ohio AG did not base its drawdowns on actual expenditures and therefore experienced excess cash on hand. The OIG made nine recommendations to OJP, and OJP agreed with all of them.

## OTHER DEPARTMENT COMPONENTS

### Office on Violence Against Women

#### Report Issued

##### Audit of OVW Grants

The Office on Violence Against Women (OVW) administers financial and technical assistance to communities across the country for the development of programs, policies, and practices aimed at ending domestic violence, dating violence, sexual assault, and stalking. The OVW recipients include state and local governments, universities, non-profit agencies, and for-profit agencies. During this reporting period, the OIG conducted one audit of an OVW grant recipient, as described below.

- [\*\*Audit of the Office on Violence Against Women Grants Awarded to the South Dakota Coalition Ending Domestic Violence and Sexual Assault, Pierre, South Dakota.\*\*](#) The OIG released a report on two grants totaling over \$930,000 awarded to the South Dakota Coalition Ending Domestic and Sexual Violence (SDCEDSV). OVW awarded these grants under the State Sexual Assault and Domestic Violence Coalitions Programs to provide training, technical assistance, and support to member domestic violence shelters. The OIG found that SDCEDSV did not adequately achieve three of the sampled goals for one of the grants and found discrepancies with SDCEDSV's internal controls, progress reports, and financial reports. The OIG identified \$168,481 in total questioned costs. The OIG made six recommendations to OVW, and OVW concurred.

### Criminal Division

#### Reports Issued

##### Audits of Equitable Sharing Program Activities

The DOJ Equitable Sharing Program allows state or local law enforcement agencies that directly participate in an investigation or prosecution resulting in a federal forfeiture to claim a portion of federally forfeited cash, property, and proceeds. During this reporting period, the OIG released two audits of Equitable Sharing Program participants, as described below.

- [\*\*Audit of the West Virginia State Police Department's Equitable Sharing Program Activities, South Charleston, West Virginia.\*\*](#) The OIG released a report examining the West Virginia State Police Department's (WVSP) Equitable Sharing Program Activities for FYs 2017 through 2019. The OIG found that the WVSP used equitable sharing funds in ways that did not comport with DOJ guidelines. Specifically, the WVSP used an internal imprest fund, or secondary cash account, to finance unallowable expenses. WVSP could not account for eight tasers purchased with equitable sharing funds. Lastly, WVSP loaned six tasers to a

non-participating agency. As a result, the OIG made seven recommendations to the DOJ's Criminal Division, including remedying \$363,152 in questioned costs, and the Criminal Division concurred with all of the recommendations.

- **[Audit of the South San Francisco Police Department's Equitable Sharing Program Activities, South San Francisco, California.](#)** The OIG released an audit report on the equitable sharing activities of the South San Francisco Police Department (SSFPD) Equitable Sharing Program Activities for FYs 2018 to 2019. The OIG found that the SSFPD: (1) did not submit accurate Equitable Sharing Annual Certification reports, submitted the reports late, and did not retain evidence of its reviews; (2) commingled DOJ and Department of Treasury Equitable Sharing Program funds; (3) did not have procedures in place to ensure that the City of South San Francisco Finance Department accurately and timely posted equitable sharing funds to the SSFPD's general ledger account; and (4) expended \$3,500 on unallowable items. The OIG made nine recommendations to the Criminal Division, and the Criminal Division agreed with all of them.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of the Criminal Division's Process for Incoming Mutual Legal Assistance Evidence Request

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Audit of the Money Laundering and Asset Recovery Section's Administration of the Equitable Sharing Program

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## Executive Office for Immigration Review

### Ongoing Work

The OIG's ongoing work is available [here](#).

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Inspection and Review of EOIR Immigration Hearings Conducted Via Video Teleconference

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## Executive Office for U.S. Attorneys Investigations

The following are examples of investigations that the OIG conducted during this reporting period:

- [Findings of Misconduct by an Assistant United States Attorney for Sexually Inappropriate Comments to Multiple Individuals, Inappropriate Touching of an Intern's Breast, and Lack of Candor to the OIG.](#) On November 5, 2020, the OIG completed its report of investigation for an investigation initiated upon the receipt of information from the EOUSA alleging that an AUSA may have physically and verbally sexually harassed an Intern in the USAO, including deliberately running his arm across the Intern's breast without her consent. During the investigation, the OIG found indications that the AUSA also made sexually suggestive comments to three other individuals, including another AUSA, an FBI Forensic Analyst, and a USPS Postal Inspector. The investigation was presented for federal prosecution on July 1, 2019 and declined on February 10, 2020, and was presented for state prosecution on August 24, 2020, and declined that same day. The OIG has completed its investigation and is providing this report to the EOUSA and DOJ's Office of Professional Responsibility for appropriate action.\*
- [Findings of Misconduct by an Assistant United States Attorney for Misuse of Government Property and Conduct Unbecoming to a Federal Employee.](#) On December 4, 2020, the OIG completed its report of investigation for an investigation initiated after receiving information from the EOUSA alleging that that an AUSA had a cache of digital video discs (DVD) containing pornographic videos and adult paraphernalia in the AUSA's office located within a USAO. During the course of the investigation, the AUSA resigned from federal service. The investigation was not presented for prosecution. The OIG has completed its investigation and provided its report to the EOUSA for its information and DOJ's Office of Professional Responsibility for appropriate action.\*
- [Former U.S. Attorney's Office Contractor Paralegal Sentenced for Misuse of a Government Computer.](#) On March 9, 2021, a former contractor paralegal assigned to the USAO for the Southern District of Iowa was sentenced to six months of imprisonment for one count of fraud and related activity in connection with computers. According to the factual statement in support of the guilty plea, on or about May 16, 2018, the paralegal utilized her government computer to access non-public information without authorization and took photographs of the information with her cell phone. The investigation is being conducted by the OIG's Chicago Field Office and the Cyber Investigations Office.

## Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of the EOUSA's Contracts Awarded to the Cherokee Nation 3S, LLC for Legal and Other Support Services

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## Justice Management Division Investigation

The following is an example of an investigation involving JMD that the OIG conducted during this reporting period:

- [Former JMD Contractor Sentenced for Accessing the Internet with Intent to View Child Pornography](#). In the Semiannual Report to Congress October 1, 2019 – March 31, 2020, the OIG reported on a former JMD Contractor who was charged and arrested for possession of child pornography. On February 2, 2021, the contractor was sentenced to 87 months of imprisonment followed by 20 years of supervised release, with the condition that he participate in a sex offense treatment program and have no unsupervised contact with minors, and ordered to pay a \$4,900 fine and a \$5,100 special assessment fee. According to the evidence presented at trial, from on or about April 13, 2018, through on or about May 28, 2019, the Contractor knowingly accessed a device connected to the Internet with the intent to view child pornography. The investigation was conducted by the OIG's Dallas Field Office, with substantial forensic assistance from the OIG's Cyber Investigations Office.

## Office of Community Oriented Policing Services Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of the Office of Community Oriented Policing Services Anti-Heroin Task Force Program

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## Tax Division Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of Certain Tax Division Contracts Awarded for Expert Witness Services

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## Environment and Natural Resources Division

### Ongoing Work

The OIG's ongoing work is available [here](#).

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Audit of the Superfund Activities in the Environment and Natural Resources Division for Fiscal Years 2019 and 2020

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# TOP MANAGEMENT AND PERFORMANCE CHALLENGES

The OIG has published a report on the top management and performance challenges facing DOJ annually since 1998. The report is based on the OIG's oversight work, research, and judgment. By statute, this report is required to be included in DOJ's annual Agency Financial Report.

This year's report identifies nine challenges that the OIG believes represent the most pressing concerns for DOJ. While the challenges are not rank-ordered, the OIG believes that strengthening public confidence in law enforcement, protecting civil liberties, and ensuring the proper use of sensitive investigative authorities are urgent challenges that will continue to garner significant attention, and will require appropriate and swift action from DOJ.

In addition, the OIG has identified one new challenge, the need to effectively plan for and respond to the global pandemic to ensure not only the safety of the public and DOJ employees, but also that of incarcerated persons.

## **Top Management and Performance Challenges for the Department of Justice–2020**

- Strengthening Public Confidence in Law Enforcement and Protecting Civil Liberties
- Use of Sensitive Investigative Authorities by Department Law Enforcement
- The Department's Contingency Planning and Response to a Global Pandemic
- Maintaining a Safe, Secure, and Humane Prison System
- Safeguarding National Security and Countering Domestic and International Terrorism
- Protecting the Nation and Department against Cyber-Related Threats and Emerging Technologies
- The Opioid Crisis, Violent Crime, and the Need for Strong Law Enforcement Coordination
- Ensuring Financial Accountability of Department Contracts and Grants
- Strategic Planning: The Department's Challenges to Achieve Performance-Based Management and to Enhance Human Capital

Detailed information about DOJ's management and performance challenges is available online [here](#).

## TESTIMONY/LEGISLATION AND REGULATIONS

### Congressional Testimony

During this reporting period, the Inspector General testified on three occasions:

“The Pandemic Response Accountability Committee’s Role in Combating Fraud in Pandemic Relief and Small Business Programs” before the U.S. House of Representatives Committee on Oversight and Reform, Select Subcommittee on the Coronavirus Crisis on [March 25, 2021](#).

“Management, Performance Challenges, and COVID Response at the Department of Justice” before the U.S. House of Representatives Committee on Appropriations, Subcommittee on Commerce, Justice and Science and Related Agencies on [March 24, 2021](#).

“Accountability and Lessons Learned from the Trump Administration’s Child Separation Policy” before the U.S. House of Representatives Committee on Oversight and Reform on [February 4, 2021](#).

### Legislation and Regulations

The IG Act directs the OIG to review proposed legislation and regulations relating to the programs and operations of DOJ. Although DOJ’s Office of Legislative Affairs reviews all proposed or enacted legislation that could affect DOJ’s activities, the OIG independently reviews proposed legislation that could affect its operations and legislation that relate to waste, fraud, or abuse in DOJ’s programs and operations. For example, during this period, the OIG reviewed legislation, including the Inspector General Access Act of 2021, Inspector General Protection Act, and Whistleblower Act of 2019.

## WHISTLEBLOWER PROTECTION COORDINATOR PROGRAM

Whistleblowers perform a critical role when they bring forward evidence of wrongdoing and they should never suffer reprisal for doing so. The OIG Whistleblower Protection Coordinator Program (the Whistleblower Program) works to ensure that whistleblowers are fully informed of their rights and protections from reprisal.

Consistent with this mandate, during the current reporting period, the OIG issued a MAM to the Deputy Assistant Attorney General and Senior Procurement Executive of JMD identifying concerns with DOJ's compliance with laws, regulations, and established internal policies regarding whistleblower rights and protections for contract workers supporting justice programs.

The need for this memorandum grew out of concerns identified in multiple investigations and audits of various contracts administered by multiple DOJ components. Several OIG audits and investigations noted that contracting officers neither included mandatory contract clauses regarding whistleblower rights and reprisal protections nor verified whether contractors informed their workers of such content as required. We also identified a contractor that required its workers to sign nondisclosure agreements (NDA) that did not mention protected disclosures of wrongdoing.

We believe the issues we identified regarding DOJ contractor whistleblower protections are systemic and should be handled comprehensively by DOJ leadership. Considering the critical role that whistleblowers play in helping our government to remain efficient and accountable, and to ensure appropriate stewardship of taxpayer dollars, we believe that DOJ should make a more concerted effort to address these issues.

Our memorandum made two recommendations to assist DOJ in addressing these issues. In its response to the memorandum, DOJ stated the actions it has taken and will implement in response to our concerns.

Additionally, OIG staff presented the findings and recommendations in our memorandum at a quarterly meeting of CIGIE's Whistleblower Protection Coordinator working group. A number of other OIGs have been experiencing similar issues with their agencies, and it is clear that non-compliance with whistleblower notification rules for employees of contractors is an issue that has come up across the federal government. A number of other OIGs already have, or intend to, issue similar memoranda or take similar steps to ensure that all employees, including contractor employees, know of their rights and protections when they blow the whistle.

## October 1, 2020-March 31, 2021

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Employee complaints received <sup>7</sup>	119
Employee complaints opened for investigation by the OIG	56
Employee complaints that were referred by the OIG to the components for investigation	42
Employee complaint cases closed by the OIG <sup>8</sup>	69

## STATISTICS

During this reporting period, the OIG's Audit Division issued 37 audit reports and other releases, which contained \$957,623 in questioned costs, and made 120 recommendations for management improvement.<sup>9</sup> Specifically, the Audit Division issued 19 internal audit reports of DOJ programs; 11 external audit reports of grants and other agreements funded at over \$202 million; and 7 other releases. The Audit Division also issued 22 Single Audit Act audits of programs funded at nearly \$119 million.

### Questioned Costs<sup>10</sup>

Reports	Number of Reports	Total Questioned Costs (including unsupported costs)	Unsupported Costs <sup>11</sup>
<b>Audits</b>			
No management decision made by beginning of period <sup>12</sup>	<b>0</b>	<b>\$0</b>	<b>\$0</b>
Issued during period	<b>14<sup>13</sup></b>	<b>\$1,519,084</b>	<b>\$784,871</b>
Needing management decision during period	<b>14</b>	<b>\$1,519,084</b>	<b>\$784,871</b>
Management decisions made during period:			
–Amount of disallowed costs <sup>14</sup>	<b>14</b>	<b>\$1,519,084</b>	<b>\$784,871</b>
–Amount of costs not disallowed	<b>0</b>	<b>\$0</b>	<b>\$0</b>
No management decision at end of period	<b>0</b>	<b>\$0</b>	<b>\$0</b>

**Significant Recommendations for Which Corrective Actions  
Have Not Been Completed**

Report Number and Date	Report Title	Rec. No.	Recommendation
<b>Audits</b>			
20-047 (March 2020)	Management Advisory Memorandum for the Director of the FBI Regarding the Execution of Woods Procedures for Applications Filed with the Foreign Intelligence Surveillance Court Relating to U.S. Persons	1	The OIG recommended that the FBI institute a requirement that it, in coordination with the National Security Division, systematically and regularly examine the results of past and future accuracy reviews to identify patterns or trends in identified errors so that the FBI can enhance training to improve agents' performance in completing the Woods Procedures, or improve policies to help ensure the accuracy of Foreign Intelligence Surveillance Act (FISA) applications.
		2	The OIG recommended that the FBI perform a physical inventory to ensure that Woods Files exist for every FISA application submitted to the Foreign Intelligence Surveillance Court in all pending investigations.

18-14 (August 2018)	Audit of the DOJ's Efforts to Address Patterns or Practices of Police Misconduct and Provide Technical Assistance on Accountability Reform to Police Departments	14	The OIG recommended that DOJ clarify the circumstances in which a component is responsible for designating an incident to be "high-profile" under the March 2016 guidance.
		15	The OIG recommended that DOJ develop procedures detailing the circumstances when notification and coordination with the relevant U.S. Attorney's Office is appropriate in jurisdictions where technical assistance will be provided by the OJP, COPS Office, or CRS.
GR-60-15-015 (September 2015)	Audit of OJP's Correctional Systems and Correctional Alternatives on Tribal Lands Program Grants Awarded to the Navajo Division of Public Safety, Window Rock, Arizona	9	The OIG recommended that OJP remedy \$32,034,623 in unallowable expenditures associated with excessive building sizes for Grant Numbers 2009-ST-B9-0089 and 2009-ST-B9-0100.

## Evaluations

21-028 (January 2021)	DOJ's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination with the Departments of Homeland Security and Health and Human Services	1	The OIG recommended that the Department, prior to issuing a significant policy affecting multiple Department of Justice components, other Executive Branch agencies, or the courts, coordinate directly with affected stakeholders to ensure effective implementation.
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20-027 (February 2020)	Review of the BOP's Pharmaceutical Drug Costs and Procurement	1	The OIG recommended that the Department, in consultation with the appropriate Department components and other federal stakeholders: formally assess the risks and benefits of seeking to obtain Big 4 pricing for pharmaceutical purchases, as well as the authority to cap reimbursement for outside medical care at the Medicare rate, for the Department and all of its components, and, if warranted by the assessments, develop a plan to obtain such pricing and/or authority, including timeframes and assignments of responsibility for pursuing the plan.
19-05 (October 2019)	Review of the DEA's Regulatory and Enforcement Efforts to Control the Diversion of Opioids	1	The OIG recommended that DEA develop a national prescription opioid enforcement strategy that encompasses the work of all DEA field divisions tasked with combating the diversion of controlled substances, and establish performance metrics to measure the strategy's progress.
19-03 (August 2019)	A Joint Review of Law Enforcement Cooperation on the Southwest Border between the FBI and Homeland Security Investigations	5	The OIG recommended that the FBI and HSI jointly develop a memorandum of understanding or similar written agreement governing FBI and Homeland Security Investigations operations on overlapping criminal investigative areas.
19-01 (December 2018)	Review of DOJ's Implementation of the Death in Custody Reporting Act of 2013	4	The OIG recommended that OJP conduct a study on data collected under the Death in Custody Reporting Act of 2013 as described in the statute and submit a report on the study to Congress as soon as practicable.

17-05 (July 2017)	Review of the BOP's Use of Restrictive Housing for Inmates with Mental Illness	1	The OIG recommended that the BOP establish in policy the circumstances that warrant the placement of inmates in single-cell confinement while maintaining institutional and inmate safety and security and ensuring appropriate, meaningful human contact and out-of-cell opportunities to mitigate mental health concerns.
16-05 (June 2016)	Review of the BOP's Contraband Interdiction Efforts	3	The OIG recommended that the BOP develop uniform guidelines and criteria for conducting random staff pat searches across all institutions that require a minimum frequency and duration for search events to ensure that appropriate numbers of staff on each shift are searched with appropriate frequency.
15-3 (January 2015)	Review of the DEA's Use of Cold Consent Encounters at Mass Transportation Facilities	1	The OIG recommended that DEA consider how to determine if cold consent encounters are being conducted in an impartial manner, including reinstating the collection of racial and other demographic data and how it could be used to make that assessment.

### Special Reviews

18-04 (June 2018)	A Review of Various Actions by the FBI and DOJ in Advance of the 2016 Election	1a	The OIG recommended that the Department consider developing practice guidance that would assist investigators and prosecutors in identifying the general risks with and alternatives to permitting a witness to attend a voluntary interview of another witness, in particular when the witness is serving as counsel for the other witness.
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18-04 (June 2018)	A Review of Various Actions by the FBI and DOJ in Advance of the 2016 Election	2	The OIG recommended that the Department consider making explicit that, except in situations where the law requires or permits disclosure, an investigating agency cannot publicly announce its recommended charging decision prior to consulting with the Attorney General, Deputy Attorney General, U.S. Attorney, or his or her designee, and cannot proceed without the approval of one of these officials.
18-04 (June 2018)	A Review of Various Actions by the FBI and DOJ in Advance of the 2016 Election	3a	The OIG recommended that the Department consider adopting a policy addressing the appropriateness of Department employees discussing the conduct of uncharged individuals in public statements.
18-04 (June 2018)	A Review of Various Actions by the FBI and DOJ in Advance of the 2016 Election	4	The OIG recommended that the Department consider providing guidance to agents and prosecutors concerning the taking of overt investigative steps, indictments, public announcements, or other actions that could impact an election.

## Audit Follow-up

### OMB Circular A-50

OMB Circular A-50, Audit Follow-up, requires audit reports to be resolved within 6 months of the audit report issuance date. The Audit Division monitors the status of open audit reports to track the audit resolution and closure process. As of March 31, 2021, the Audit Division was monitoring the resolution process of 156 open reports and closed 95 reports this reporting period.

## Evaluation and Inspections Workload and Accomplishments

The following chart summarizes the workload and accomplishments of the Evaluation and Inspections Division during the 6-month reporting period ending March 31, 2021.<sup>15</sup>

Workload and Accomplishments	Number of Evaluations, Inspections, and Reviews
Reviews active at beginning of period	<b>23</b>
Reviews cancelled	<b>0</b>
Reviews initiated	<b>1</b>
Final reports issued	<b>12</b>
Reviews active at end of reporting period	<b>12</b>

## Investigations Statistics

The following chart summarizes the workload and accomplishments of the Investigations Division during the 6-month period ending March 31, 2021.

Source of Allegations <sup>16</sup>	
Hotline (telephone, mail, and email)	<b>2,083</b>
Other sources	<b>3,442</b>
Total allegations received	<b>5,525</b>
Investigative Caseload	
Investigations opened this period	<b>106</b>
Investigations closed and reports of investigation issued this period <sup>17</sup>	<b>116</b>
Investigations in progress as of 3/31/21	<b>599</b>
Prosecutive Actions	
Criminal Indictments/Informations <sup>18</sup>	<b>34</b>
Arrests	<b>32</b>
Convictions/Pleas	<b>29</b>
Prosecutions referred to the Department of Justice <sup>19</sup>	<b>116</b>
Prosecutions referred to State and local <sup>20</sup>	<b>2</b>
Administrative Actions	
Terminations	<b>23</b>
Resignations	<b>24</b>
Disciplinary action	<b>29</b>
Monetary Results	
Fines/Restitutions/Recoveries/Assessments/Forfeitures	<b>\$10,617,661.74</b>
Civil Fines/Restitutions/Recoveries/Penalties/Damages/Forfeitures	<b>\$350,000</b>
Non-judicial Restitutions/Recoveries/Forfeitures/Revocations/Seizures	<b>\$0</b>

## Investigations Division Briefing Programs

OIG investigators conducted 11 Integrity Awareness Briefings for DOJ employees and other stakeholders throughout the country. These briefings are designed to educate employees and other stakeholders about the misuse of a public official's position for personal gain and to deter employees and other stakeholders from committing such offenses. The briefings reached 1,116 employees.

## OIG Hotline

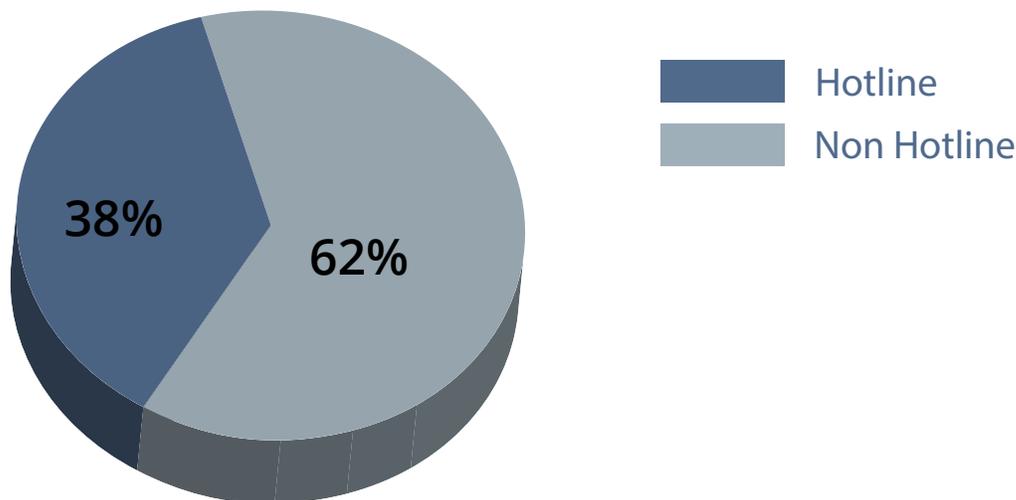
During FY 2021, the OIG received the majority of its Hotline complaints through its electronic complaint form located [here](#).

In addition, DOJ employees and citizens are able to file complaints by telephone, fax, and postal mail. The online access, fax, and postal mail all provide the ability to file a complaint in writing to the OIG.

From all Hotline sources during the first half of FY 2021, 2,083 new complaints related to DOJ operations or other federal agencies were entered into the OIG's complaint tracking system. Of the new complaints, 1,781 were forwarded to various DOJ components for their review and appropriate action; 150 were filed for information; 81 were forwarded to other federal agencies; and 4 were opened by the OIG for investigation.

### Complaint Sources

October 1, 2020–March 31, 2021



Source: Investigations Data Management System

Approximately, 5,041 additional Hotline email and phone contacts were processed and deemed non-jurisdictional and outside the purview of the federal government and therefore were not entered into the OIG's complaint tracking system.

# APPENDICES

## 1 | Acronyms and Abbreviations

<b>ATF</b>	Bureau of Alcohol, Tobacco, Firearms and Explosives
<b>AUSA</b>	Assistant United States Attorney
<b>BOP</b>	Federal Bureau of Prisons
<b>CARES</b>	Coronavirus Aid, Relief, and Economic Security Act
<b>CDC</b>	Centers for Disease Control and Prevention
<b>CIGIE</b>	Council of the Inspectors General on Integrity and Efficiency
<b>CO</b>	Correctional Officer
<b>COVID-19</b>	Coronavirus Disease 2019
<b>CVF</b>	Crime Victims Fund
<b>DEA</b>	Drug Enforcement Administration
<b>DOD</b>	U.S. Department of Defense
<b>DOJ or Department</b>	U.S. Department of Justice
<b>DOL</b>	U.S. Department of Labor
<b>EOIR</b>	Executive Office for Immigration Review
<b>EOUSA</b>	Executive Office for United States Attorneys
<b>FBI</b>	Federal Bureau of Investigation
<b>FCC</b>	Federal Correctional Complex
<b>FCI</b>	Federal Correctional Institution
<b>FISA</b>	Foreign Intelligence Surveillance Act of 1978
<b>FISMA</b>	Federal Information Security Management Act
<b>FMC</b>	Federal Medical Complex
<b>FY</b>	Fiscal Year
<b>HHS</b>	U.S. Department of Health and Human Services
<b>IG Act</b>	Inspector General Act of 1978
<b>INSD</b>	Inspection Division
<b>JMD</b>	Justice Management Division

<b>MAM</b>	Management Advisory Memorandum
<b>MCC</b>	Metropolitan Correctional Center
<b>MDC</b>	Metropolitan Detention Center
<b>OIA</b>	Office of Internal Affairs
<b>OIG</b>	Office of the Inspector General
<b>OJP</b>	Office of Justice Programs
<b>OMB</b>	Office of Management and Budget
<b>OPR</b>	Office of Professional Responsibility
<b>Patriot Act</b>	Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act
<b>PPE</b>	Personal Protective Equipment
<b>RRC</b>	Residential Reentry Center
<b>USAO</b>	U.S. Attorney's Office
<b>USMS</b>	U.S. Marshals Service
<b>VOCA</b>	Victims of Crime Act of 1984
<b>ZTP</b>	Zero Tolerance Policy

## 2 | Glossary of Terms

The following are definitions of specific terms as they are used in this report.

**Cooperative Agreement:** Term used to describe when the awarding agency expects to be substantially involved with the award's activities; often used interchangeably with "grant."

**Disallowed Cost:** The IG Act defines "disallowed cost" as a questioned cost that management, in a management decision, has sustained or agreed should not be charged to the government.

**Diversion:** When controlled substance transactions fall outside the congressionally mandated closed system of distribution, the activity constitutes diversion.

**External Audit Report:** The results of audits and related reviews of expenditures made under DOJ contracts, grants, and other agreements. External audits are conducted in accordance with the Comptroller General's Government Auditing Standards and related professional auditing standards.

**Funds Recommended to Be Put to Better Use:** Recommendation by the OIG that funds could be used more efficiently if management of an entity took actions to start and complete the recommendation, including: (1) reductions in outlays; (2) deobligation of funds from programs or operations; (3) withdrawal of interest subsidy costs on loans or loan guarantees, insurance, or bonds; (4) costs not incurred by implementing recommended improvements related to the operations of the entity, a contractor, or grantee; (5) avoidance of unnecessary expenditures noted in pre-award reviews of contract or grant agreements; or (6) any other savings that specifically are identified.

**Internal Audit Report:** The results of audits and related reviews of DOJ organizations, programs, functions, computer security and information technology, and financial statements. Internal audits are conducted in accordance with the Comptroller General's Government Auditing Standards and related professional auditing standards.

**Management Decision:** The IG Act defines "management decision" as the evaluation by the management of an establishment of the findings and recommendations included in an audit report and the issuance of a final decision by management concerning its response to such findings and recommendations, including actions concluded to be necessary.

**Questioned Cost:** A cost that is questioned by the OIG because of: (1) an alleged violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the expenditure of funds; (2) a finding that, at the time of the audit, such cost is not supported by adequate documentation; or (3) a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable.

**Single Audit Act Audits:** Single Audit Act audits are performed by public accountants or a federal, state or local government audit organization in accordance with generally accepted government auditing standards. They are intended to determine whether the financial statements and schedule of expenditures of federal awards are presented fairly, to test internal controls over

major programs, to determine whether the grant recipient is in compliance with requirements that may have a direct and material effect on each of its major programs, and to follow up on prior audit findings. These audits are required to be performed for organizations that expend \$750,000 or more in federal awards in accordance with the Single Audit Act of 1984, as amended, and 2 CFR part 200, subpart F, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

**Supervised Release:** Court-monitored supervision upon release from incarceration.

**Tactical Training Officer Program:** A USMS program under which select Deputy U.S. Marshals are certified as Tactical Training Officers to teach newly developed officer safety training in their own districts and throughout all of the USMS's 94 districts.

**Unsupported Cost:** A cost that is questioned by the OIG because the OIG found that, at the time of the audit, the cost was not supported by adequate documentation.

**Zero tolerance policy:** DOJ policy implemented in 2018 for immigration offenses involving illegal entry and attempted illegal entry into the United States.

## 3 | Audit Division Reports

### Internal Audit Reports

#### *Multicomponent*

Audit of the U.S. Department of Justice Annual Financial Statements Fiscal Year 2020

Review of the Accounting of Drug Control Funds and Related Performance Fiscal Year 2020

#### *Bureau of Alcohol, Tobacco, Firearms and Explosives*

Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Confidential Informant Master Registry and Reporting System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

#### *Federal Bureau of Prisons*

Audit of the Federal Bureau of Prisons Annual Financial Statements Fiscal Year 2020

Examination of Federal Bureau of Prisons' Purchase Card Transactions

#### *Federal Bureau of Investigation*

Audit of the Federal Bureau of Investigation Annual Financial Statements Fiscal Year 2020

Audit of the Federal Bureau of Investigation's Graph Analysis Mapping Application System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the Federal Bureau of Investigation's Uniform Crime Reporting System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the Federal Bureau of Investigation's Strategy and Efforts to Disrupt Illegal Dark Web Activities

#### *United States Marshals Service*

Audit of the United States Marshals Service's Business Process Management Platform System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the United States Marshals Service's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

#### *Other Department Components*

Audit of the Civil Rights Division's CRT Justice Consolidated Office Network System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the Civil Rights Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the Federal Prison Industries, Inc. Annual Financial Statements Fiscal Year 2020

Audit of the Assets Forfeiture Fund and Seized Asset Deposit Fund Annual Financial Statements Fiscal Year 2020

Audit of the National Security Division's Foreign Agents Registration Act System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

Audit of the National Security Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020

## **External Audit Reports**

### ***California***

Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the California Victim Compensation Board, Sacramento, California

Audit of the South San Francisco Police Department's Equitable Sharing Program Activities, South San Francisco, California

### ***Colorado***

Audit of the Office of Justice Programs Grant Awarded to Illuminate Colorado, Denver, Colorado

Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Colorado Division of Criminal Justice, Lakewood, Colorado

### ***District of Columbia***

Audit of the Office of Justice Programs Cooperative Agreement Awarded to the Center for Children's Law and Policy, Inc., Washington, D.C.

### ***Kansas***

Audit of the Office of Justice Programs Internet Crimes Against Children Task Force Cooperative Agreements Awarded to the Sedgwick County Sheriff's Department, Wichita, Kansas

### ***New Hampshire***

Audit of the Office of Justice Programs Bureau of Justice Assistance Grant Awarded to Carroll County, New Hampshire

### ***Ohio***

Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Ohio Attorney General's Office, Columbus, Ohio

### ***Pennsylvania***

Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Pennsylvania Commission on Crime and Delinquency, Harrisburg, Pennsylvania

### ***South Dakota***

Audit of the Office on Violence Against Women Grants Awarded to the South Dakota Coalition Ending Domestic and Sexual Violence, Pierre, South Dakota

### ***West Virginia***

Audit of the West Virginia State Police Department's Equitable Sharing Program Activities, South Charleston, West Virginia

## Single Audit Act Reports of Department Activities

Akiak Native Community, Akiak, Alaska FY 2019

County of Camden, Missouri FY 2018

County of Cumberland, Maine FY 2019

Empower 225, Baton Rouge, Louisiana FY 2019

Fathers and Families Support Center, St. Louis, Missouri FY 2019

Houston Forensic Science Center, Houston, Texas FY 2020

Keiki O Ka 'Aina Preschool, Inc., Honolulu, Hawaii FY 2019

Lawrence County, Missouri FY 2019

Los Coyotes Band of Cahuilla and Cupeño Indians, Warner Springs, California FY 2018

Maryland Network Against Domestic Violence, Inc., Lanham, Maryland FY 2019

National Legal Aid and Defender Association, Washington, D.C. FY 2019

National Sheriffs' Association and Subsidiaries, Alexandria, Virginia FY 2019

Police Foundation, Arlington, Virginia FY 2019

South Dakota Network Against Family Violence and Sexual Assault, Inc., Sioux Falls, South Dakota FY 2020

State of Illinois FY 2019

State of Michigan FY 2019

State of Vermont FY 2019

Washakie County, Wyoming FY 2020

White Buffalo Calf Woman Society, Inc., Mission, South Dakota FY 2016

White Buffalo Calf Woman Society, Inc., Mission, South Dakota FY 2017

White Buffalo Calf Woman Society, Inc., Mission, South Dakota FY 2018

Womenspace, Inc., Eugene, Oregon FY 2019

## **Other Audit Releases**

Department of Justice Timeline of CARES Act Spending and Office of the Inspector General Oversight

DOJ OIG Interactive Dashboards Relating to COVID-19 in Federal Bureau of Prisons Facilities

Interim Report II - Review of the Office of Justice Programs' Administration of CARES Act Funding

Management Advisory: Analysis of the Federal Bureau of Prisons' Fiscal Year 2019 Overtime Hours and Costs

Notification of Concerns Regarding the Department of Justice's Compliance with Laws, Regulations, and Policies Regarding Whistleblower Rights and Protections for Contract Workers Supporting Department of Justice Programs

Review of the United States Marshals Service's Response to the COVID-19 Pandemic

Survey on the Effects of COVID-19 on ATF, DEA, FBI, USAO, and USMS Investigative Operations

## 4 | Quantifiable Potential Monetary Benefits

Audit Report	Questioned Costs	Unsupported Costs	Funds to Be Put to Better Use
<b>Audits Performed by the DOJ OIG</b>			
Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the California Victim Compensation Board, Sacramento, California	\$79,429	\$75,689	\$0
Audit of the South San Francisco Police Department's Equitable Sharing Program Activities, South San Francisco, California	\$3,500	\$0	\$0
Audit of the Office of Justice Programs Grant Awarded to Illuminate Colorado, Denver, Colorado	\$25,195	\$22,175	\$0
Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Colorado Division of Criminal Justice, Lakewood, Colorado	\$264,555	\$242,217	\$0
Audit of the Office of Justice Programs Cooperative Agreement Awarded to the Center for Children's Law and Policy, Inc., Washington, D.C.	\$46,206	\$0	\$0
Audit of the Office of Justice Programs Internet Crimes Against Children Task Force Cooperative Agreements Awarded to the Sedgwick County Sheriff's Department, Wichita, Kansas	\$7,105	\$0	\$0
Audit of the Office on Violence Against Women Grants Awarded to the South Dakota Coalition Ending Domestic and Sexual Violence, Pierre, South Dakota	\$168,481	\$149,325	\$0
Audit of the West Virginia State Police Department's Equitable Sharing Program Activities, South Charleston, West Virginia	\$363,152	\$6,600	\$0
<b>Subtotal (Audits Performed by the DOJ OIG)</b>	<b>\$957,623</b>	<b>\$496,006</b>	<b>\$0</b>

**Audits Performed by State/Local Auditors and Independent Public Accounting Firms Under the Single Audit Act<sup>21</sup>**

Empower 225, Baton Rouge, Louisiana FY 2019	<b>\$21,831</b>	<b>\$20,911</b>	<b>\$0</b>
National Sheriffs' Association and Subsidiaries, Alexandria, Virginia FY 2019	<b>\$271,676</b>	<b>\$0</b>	<b>\$0</b>
White Buffalo Calf Woman Society, Inc., Mission, South Dakota FY 2016	<b>\$42,219</b>	<b>\$42,219</b>	<b>\$0</b>
White Buffalo Calf Woman Society, Inc., Mission, South Dakota FY 2017	<b>\$3,553</b>	<b>\$3,553</b>	<b>\$0</b>
White Buffalo Calf Woman Society, Inc., Mission, South Dakota FY 2018	<b>\$220,102</b>	<b>\$220,102</b>	<b>\$0</b>
Womenspace, Inc., Eugene, Oregon FY 2019	<b>\$2,080</b>	<b>\$2,080</b>	<b>\$0</b>
<b>Subtotal (Audits Performed by State/Local Auditors and Independent Public Accounting Firms Under the Single Audit Act)</b>	<b>\$561,461</b>	<b>\$288,865</b>	<b>\$0</b>
<b>Total</b>	<b>\$1,519,084</b>	<b>\$784,871</b>	<b>\$0</b>

## 5 | Evaluations, Inspections, and Special Reviews

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### Evaluation and Inspections Division Reports

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Remote Inspection of MDC Brooklyn

Remote Inspection of FCCs Oakdale and Pollock

Remote Inspection of Brooklyn House RRC

Remote Inspection of Toler House RRC

Remote Inspection of FMC Fort Worth

Remote Inspection of FCC Coleman

Remote Inspection of FCI Terminal Island

Remote Inspection of FCC Butner

Remote Inspection of FCI Milan

Remote Inspection of MCC Chicago

Federal COVID-19 Testing Report: Data Insights from Six Federal Health Care Programs

DOJ's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination with the Departments of Homeland Security and Health and Human Services

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### Oversight and Review Division Reports

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Nothing to report this period.

## 6 | Peer Reviews

### Peer Reviews Conducted by another OIG

#### *Audit Division*

The most recent peer review of the Audit Division was performed by the Department of Labor (DOL) OIG. In its report issued March 27, 2019, the DOJ OIG received a peer review rating of *pass* for its system of quality control in effect for the year ended September 30, 2018. The DOL OIG did not make any recommendations.

#### *Evaluation and Inspections Division*

The Evaluation and Inspections Division did not undergo a peer review this reporting period. The most recent peer review was performed by a team of staff from the Treasury Inspector General for Tax Administration (TIGTA), the Federal Deposit Insurance Corporation OIG, and the Board of Governors of the Federal Reserve System and Bureau of Consumer Financial Protection Bureau OIG. In the near future, the Evaluation and Inspections Division will undergo a peer review by the U.S. Postal Service Office of the Inspector General.

#### *Investigations Division*

The Investigations Division is undergoing a peer review performed by TIGTA this reporting period. However, due to the coronavirus pandemic, the report has not yet been issued and is anticipated to be released during the Fall 2021 semiannual reporting period. The most recent peer review was performed by the Department of Defense (DOD) OIG in February 2017. The DOD OIG found that the DOJ OIG is in compliance with the quality standards established by the CIGIE and the Attorney General Guidelines for Inspectors General with Statutory Law Enforcement Authority. In an accompanying letter of observation, the DOD OIG suggested: 1) that the DOJ OIG monitor field office implementation of policy issued during the review requiring placement of FBI case notification letters in the official case files and 2) that DOJ OIG develop a standard method for recording when management case reviews have been performed. The DOJ OIG agreed with these suggestions and implemented corrective action. There are no outstanding recommendations.

### Peer Reviews Conducted by the OIG

#### *Audit Division*

The DOJ OIG conducted a peer review of the Department of Interior OIG. The report was issued on August 3, 2020.

#### *Evaluation and Inspections Division*

The Evaluation and Inspections Division did not conduct any peer reviews during this reporting period.

#### *Investigations Division*

The Investigations Division did not conduct any peer reviews during this reporting period.

## 7 | Reporting Requirements

The IG Act specifies reporting requirements for semiannual reports. The requirements are listed below and indexed to the applicable pages.

IG Act References	Reporting Requirements	Page
Section 4(a)(2)	Review of Legislation and Regulations	<b>41</b>
Section 5(a)(1)	Description of Significant Problems, Abuses, and Deficiencies	<b>9-39</b>
Section 5(a)(2)	Description of Significant Recommendations for Corrective Actions	<b>9-39</b>
Section 5(a)(3)	Identification of Significant Recommendations for Which Corrective Actions Have Not Been Completed	<b>45-49</b>
Section 5(a)(4)	Summary of Matters Referred to Prosecutive Authorities	<b>20-24; 26-30; 32; 37-38; 51-52</b>
Section 5(a)(5)	Summary of Reports of Refusal to Provide Information or Assistance	<b>Nothing to Report</b>
Section 5(a)(6)	Listing of Audit, Inspection, and Evaluation Reports	<b>57-63</b>
Section 5(a)(7)	Summary of Significant Reports	<b>9-39</b>
Section 5(a)(8)	Statistical Tables of Total Numbers of Audit, Inspection, and Evaluation Reports and Total Value of Questioned Costs	<b>44<sup>22</sup></b>
Section 5(a)(9)	Statistical Tables of Total Numbers of Audit, Inspection, and Evaluation Reports and Total Value of Funds Recommended to Be Put to Better Use	<b>Nothing to Report</b>
Section 5(a)(10)	Prior OIG Reports Unresolved, Uncommented Upon, or Containing Unimplemented Recommendations	<b>18<sup>23</sup></b>
Section 5(a)(11)	Description and Explanation of the Reasons for Any Significant Revised Management Decision	<b>Nothing to Report</b>
Section 5(a)(12)	Information About Any Significant Management Decisions with Which the Inspector General Disagreed	<b>Nothing to Report</b>
Section 5(a)(13)	Information Described in FFMIA Section 804(b)	<b>Nothing to Report</b>
Section 5(a)(14)	Peer Reviews Conducted by Another OIG	<b>64</b>
Section 5(a)(15)	Outstanding Recommendations from Peer Reviews of the OIG	<b>64</b>
Section 5(a)(16)	Outstanding Recommendations from Peer Reviews Conducted by the OIG	<b>64</b>
Section 5(a)(17)	Statistical Table Pertaining to OIG Investigations	<b>51</b>

Section 5(a)(18)	Description of Metrics for OIG Investigative Table	<b>67-68</b>
Section 5(a)(19)	Reports Involving Substantiated Allegations Against Senior Government Employees	<b>Investigative Narratives marked with an asterisk (*) on pages 21, 24, 27, 29, 37</b>
Section 5(a)(20)	Instance of Whistleblower Retaliation	<b>Nothing to Report</b>
Section 5(a)(21)	Attempts to Interfere with OIG Independence	<b>Nothing to Report</b>
Section 5(a)(22)	Inspections, Evaluations, Audits, and Investigations of Senior Government Employees Undisclosed to the Public	<b>18<sup>24</sup></b>

## ENDNOTES

- 1 This figure includes OIG audits, reports, evaluations, inspections, special reviews, and management advisory memoranda issued during the reporting period. This figure does not include Single Audit Act reports, which are identified below. For this period, the figure also includes one report issued by the Pandemic Response Accountability Committee to which the OIG's Evaluation and Inspections Division contributed.
- 2 This figure includes all recommendations, including those for management improvements and dollar-related recommendations, which are recommendations for components to remedy questioned costs and funds to be put to better use.
- 3 This figure includes audit reports and other releases as shown in Appendix 3.
- 4 See glossary for definition of "Questioned Costs."
- 5 These figures represent allegations entered into the OIG's complaint tracking system. They do not include the approximately 5,041 additional Hotline, email, and phone contacts that were processed and deemed non-jurisdictional and outside the purview of the federal government.
- 6 Includes civil, criminal and non-judicial fines, restitutions, recoveries, assessments, penalties, and forfeitures.
- 7 Employee complaint is defined as an allegation received from whistleblowers, defined broadly as complaints received from employees and applicants with DOJ, or its contractors, subcontractors, or grantees, either received directly from the complainant by the OIG Hotline, the field offices, or others in the OIG, or from a DOJ component if the complaint otherwise qualifies and is opened as an investigation.
- 8 This number reflects cases closed during the reporting period regardless of when they were opened.
- 9 See glossary for definition of "Questioned Costs."
- 10 See glossary for definition of "Questioned Costs."
- 11 See glossary for definition of "Unsupported Cost."
- 12 Includes reports previously issued for which no management decision has been made. See glossary for definition of "Management Decision."
- 13 Of the audit reports issued during this period with questioned costs, six were Single Audit Act reports.
- 14 Includes instances in which management has taken action to resolve the issue and/or the matter is being closed because remedial action was taken. See glossary for definition of "Disallowed Cost."
- 15 The Evaluation and Inspections Division contributed to the joint Federal COVID-19 Testing Report, which was issued by the Pandemic Response Accountability Committee in January 2021.

16 These figures represent allegations entered into the OIG's complaint tracking system. They do not include the approximately 5,041 additional Hotline, email, and phone contacts that were processed and deemed non-jurisdictional and outside the purview of the federal government.

17 At the conclusion of an investigation, one or more type of report is prepared. The prepared report may be an abbreviated report of investigation or a full report of investigation. In addition, an investigative summary for public posting on the OIG public website may be prepared for investigations involving senior government employees. The number of reports issued represents one report for each investigation.

18 The number of indictments reported include both sealed and not sealed.

19 This number includes all criminal and civil referrals to the DOJ for a prosecutorial decision whether they were ultimately accepted or declined with the caveat that if an investigation was referred to more than one DOJ office for a prosecutorial decision, the referral to DOJ was only counted once. The number reported as referred represents referrals for both individuals and/or other legal entities.

20 The number reported as referred represents referrals for both individuals and or other legal entities.

21 These audits are reviewed by the OIG to assess the quality and the adequacy of the entity's management of federal funds. The OIG issues these audits to the responsible component and performs follow-up on the audit reports' findings and recommendations.

22 The OIG did not release any inspection or evaluation reports this period that identified questioned costs.

23 This information is provided pursuant to Section 5(a)(10)(C) of the Inspector General Act of 1978, as amended (IG Act), 5 U.S.C. App. 3 § 5(a)(10)(C). The OIG does not have any information to report pursuant to IG Act § 5(a)(10)(A)-(B) for this reporting period.

24 This information is provided pursuant to IG Act Section 5(a)(22)(B). The OIG does not have any information to report pursuant to IG Act § 5(a)(22)(A).

# REPORT WASTE, FRAUD, ABUSE, OR MISCONDUCT

To report allegations of waste, fraud, abuse, or misconduct regarding DOJ programs, employees, contractors, or grants, please go to the OIG website at [oig.justice.gov](https://oig.justice.gov) or call the OIG's Hotline at (800) 869-4499.

The OIG website has complaint forms that allow you to report the following to the OIG:

- General allegations of fraud, waste, and abuse in DOJ programs or by DOJ employees;
- Contract fraud, including mandatory disclosures required by contractors when they have credible evidence of violations of the civil False Claims Act or certain violations of criminal law;
- Grant fraud, including fraud, waste, or abuse related to DOJ's award of Recovery Act funds; and
- Violations of civil rights or civil liberties by DOJ employees.

To give information by mail or facsimile, please send to:

U.S. Department of Justice  
Office of the Inspector General  
Investigations Division  
ATTN: OIG Hotline  
950 Pennsylvania Ave., N.W.  
Washington, D.C., 20530  
Fax: (202) 616-9881

For further information on how to report a complaint to the OIG, please call (800) 869-4499.