

OFFICE OF THE INSPECTOR GENERAL



SEMIANNUAL REPORT TO THE CONGRESS

October 1, 2021 –
March 31, 2022



Smithsonian Institution Building
(The Castle)

Table 1. Semiannual reporting requirements of the *Inspector General Act*, as amended

Public Law Section	Reporting Requirement	Page
Section 4(a)(2)	Review of legislation and regulations	15
Section 5(a)(1)	Significant problems, abuses, and deficiencies	None
Section 5(a)(2)	Significant recommendations for corrective action	None
Section 5(a)(3)	Reports with corrective action not completed	10
Section 5(a)(4)	Matters referred to prosecutive authorities	14
Section 5(a)(5)	Information or assistance refused	None
Section 5(a)(6)	List of reports issued with dollar value of questioned costs and recommendations that funds be put to better use	None
Section 5(a)(7)	Summaries of significant reports	6
Section 5(a)(8)	Audit, inspection, and evaluation reports—questioned costs	None
Section 5(a)(9)	Audit, inspection, and evaluation reports—funds to be put to better use	None
Section 5(a)(10)(A)	Audit, inspection, and evaluation reports issued before the commencement of the reporting period with no management decision	None
Section 5(a)(10)(B)	Audit, inspection, and evaluation reports issued before the commencement of the reporting period with no management comment within 60 days	None
Section 5(a)(10)(C)	Audit, inspection, and evaluation reports issued before the commencement of the reporting period with unimplemented recommendations	10
Section 5(a)(11)	Significant revised management decisions	None
Section 5(a)(12)	Significant management decisions with which the Office of the Inspector General (OIG) disagreed	None
Section 5(a)(13)	Information described under section 804(b) of the Federal Financial Management Improvement Act of 1996	None
Section 5(a)(14–16)	Peer reviews	11,13
Section 5(a)(17–18)	Investigative tables	14
Section 5(a)(19)	Reports on investigations with substantiated allegations involving senior employees	12
Section 5(a)(20)	Whistleblower retaliation	None
Section 5(a)(21)	Attempts to interfere with OIG independence	None
Section 5(a)(22)(A)	Inspections, evaluations, and audits that were closed and not disclosed to the public	None
Section 5(a)(22)(B)	Investigations involving senior employees that were closed and not disclosed to the public	None

Source: OIG assessment as of March 31, 2022.

Table of Contents

Table of Contents.....	ii
Message from the Inspector General	1
Smithsonian Institution Profile	3
Office of the Inspector General Profile	4
Audits	4
Counsel	4
Investigations	4
Operations.....	4
Vision	5
Mission	5
Authority	5
Core Values.....	5
Audits.....	6
Summary of Issued Audit Reports	6
Work in Progress	8
Other Audit Activities	8
Investigations.....	12
Highlights of Investigative Actions	12
Other Investigative Activities.....	13
Other OIG Activities	15

Tables

Table 1. Semiannual reporting requirements of the <i>Inspector General Act</i> , as amended	i
Table 2. Summary of audit recommendation activity during the semiannual reporting period ending March 31, 2022.....	9
Table 3. Reports from previous periods with unimplemented recommendations	10
Table 4. Statistical summary of the Office of the Inspector General's investigative results during the semiannual reporting period ending March 31, 2022	14

Abbreviations

CIGIE	Council of the Inspectors General on Integrity and Efficiency
COVID-19	Coronavirus Disease 2019
GAO	U. S. Government Accountability Office
KPMG	KPMG LLP
NMAAHC	National Museum of African American History and Culture
OHR	Office of Human Resources
OIG	Office of the Inspector General
SD	Smithsonian Directive
Smithsonian	Smithsonian Institution
Williams Adley	Williams, Adley & Company—DC, LLP

Message from the Inspector General

On behalf of the Office of the Inspector General (OIG), I am pleased to submit this semiannual report to the Congress. This report highlights the accomplishments achieved through our audit and investigative activities for the 6-month period ending March 31, 2022.

During this period, our office issued four audit reports with two recommendations and conducted work on five ongoing audits. In one audit report, we made two recommendations to ensure that the Smithsonian has a continuous inventory system to support decisions regarding collections use, growth, storage, and security; and we made two recommendations to strengthen management's monitoring of compliance with inventory requirements for collections. OIG also reported on an assessment of the Smithsonian Institution's (Smithsonian) capabilities to prevent, detect, and respond to information security incidents. In addition, OIG closed three recommendations. Nine recommendations were unimplemented as of March 31, 2022. These unimplemented recommendations are aimed at improving the Smithsonian's programs and operations, such as by ensuring: (1) that all employees and others who have computer system access receive background investigations before gaining access to Smithsonian networks, and (2) that a fair and consistent process exists for hiring Trust employees when the federal process is not used. For more details on our audit work, see the Audits section of this report.

Our investigative activities continued to focus on and hold accountable those individuals whose actions harm the Smithsonian's programs and operations. During the reporting period, OIG received 29 new complaints, closed 21 complaints, converted 6 complaints to investigations, and completed 1 investigation. That investigation determined that a senior employee violated the Smithsonian's standards of conduct by showing preferential treatment to a company when attempting to acquire their services. OIG also resolved a complaint that determined that the Smithsonian improperly relied on the Antideficiency Act's emergency exception during a lapse in appropriations. More details can be found in the Investigations section of this report.

Since March 2020, Smithsonian operations have been significantly impacted by the global pandemic caused by coronavirus disease 2019 (COVID-19). During this period, the Smithsonian announced the gradual return of its museums to regular operating hours after operating on modified schedules for the past two years due to COVID-19. OIG has been monitoring and assessing the risks of COVID-19 to the Smithsonian's programs and operations.

Our office will continue to conduct audits and investigations that help the Smithsonian Board of Regents and management meet their stewardship and fiduciary responsibilities, support congressional oversight, and provide information to the public.



Cathy L. Helm
Inspector General

Quilted and Appliquéd Textile Portrait of Harriet Tubman.

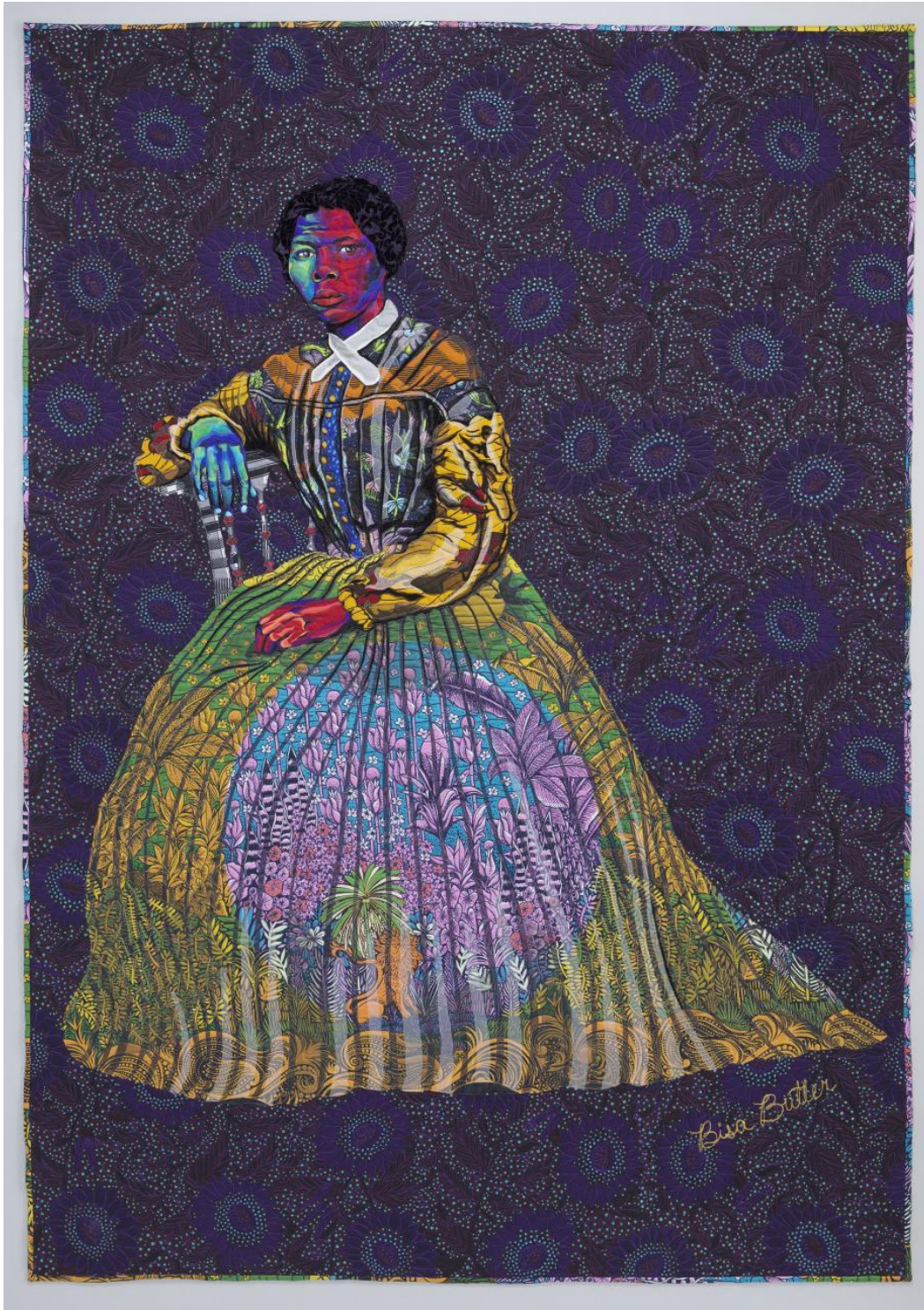


Image Credit: Collection of the Smithsonian National Museum of African American History and Culture, purchased through the American Women's History Initiative Acquisitions Pool, administered by the Smithsonian American Women's History Initiative. © Bisa Butler

Smithsonian Institution Profile

In 1846, Congress created the Smithsonian Institution (Smithsonian) as a U.S. trust instrumentality to carry out the provisions of the will of James Smithson, an English scientist who left his estate to the United States to found “an establishment for the increase and diffusion of knowledge.”¹

Today, the Smithsonian consists of 21 museums, galleries, and gardens; the National Zoological Park; 14 education and research centers; and other facilities around the world. The majority of Smithsonian locations are in Washington, D.C., but the Smithsonian works in a wide variety of disciplines in more than 140 countries. In 2020, the Congress established two new museums: the National Museum of the American Latino and the Smithsonian American Women’s History Museum. The Smithsonian is in the early planning stages for both.

In fiscal year 2021, there were more than 3.2 million in-person visits to the Smithsonian museums and the zoo. In addition, the Smithsonian’s public websites logged 206 million visits. The Smithsonian employs approximately 6,000 staff (including about 3,700 federal employees).

The Smithsonian is the steward of an extensive collection. The total number of objects and specimens in the collections is estimated at 155.5 million, of which 146 million are scientific specimens at the National Museum of Natural History. The collections form the basis of world-renowned research, exhibitions, and public programs in the arts, culture, history, and the sciences. Only a small portion of the Smithsonian’s collections is on display in the museums at any given time. The Smithsonian made more than 6.8 million collection images, audio, videos, and blog posts available online for personal, non-commercial, and educational use. Through Smithsonian Open Access, almost 4 million digital items have been released into the public domain.

A major portion of the Smithsonian’s operations is funded by federal appropriations. In addition to federal appropriations, the Smithsonian receives private gifts and revenue from grants and contracts, and earns income from investments and its various business activities. Business activities include Smithsonian magazines and books; television programs, an online store; licensed products; travel programs; and museum theaters, shops, and food services.

Dress that Rosa Parks was making shortly before she was arrested for not giving up her seat on a segregated bus.



Image courtesy of the Smithsonian National Museum of African American History and Culture.

¹ A trust instrumentality is a government agency or corporation that acts independently in carrying out work for the public good.

Office of the Inspector General Profile

The Office of the Inspector General (OIG) is headed by the Inspector General, who is appointed by, reports to, and is under the general supervision of the Board of Regents. OIG is located in Washington, D.C. As of March 31, OIG consisted of 17 staff: the Inspector General, Assistant Inspector General for Audits, Assistant Inspector General for Investigations, Assistant Inspector General for Operations, Counsel to the Inspector General, 7 auditors, 4 investigators, and an administrative officer.

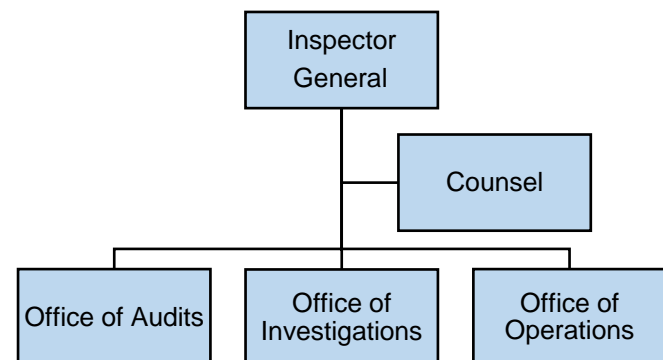
The OIG's organizational structure is described below.

Audits

The Office of Audits conducts audits of the Smithsonian's existing and proposed programs and operations to help improve their efficiency and effectiveness. To guide its work, the office develops a risk-based annual audit plan. The Office of Audits also actively monitors the external audits of the Smithsonian's financial statements.

Counsel

The Counsel to the Inspector General provides independent legal advice to the Inspector General and OIG staff.



Investigations

The Office of Investigations pursues allegations of waste, fraud, abuse, and gross mismanagement; misconduct by employees, contractors, or others who affect the Smithsonian; and criminal violations of law that have an impact on the Smithsonian's programs and operations. It refers matters to federal, state, and local prosecutors for action whenever the Inspector General has reasonable grounds to believe there has been a violation of criminal law. The Office of Investigations also presents any administrative misconduct to management for possible disciplinary action.

Operations

The Office of Operations provides technical and administrative support. It is responsible for OIG administrative matters, such as budgeting, procurement, human resources, information technology, and measuring organizational performance.

OIG's vision, mission, authority, and core values are described below.²

Vision

OIG's vision is to provide the highest quality oversight through timely action, independent and objective reporting, and an overall commitment to excellence.

Mission

OIG's mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian's programs and operations through independent, objective audits and investigations and to keep stakeholders fully and currently informed.

Authority

The *Inspector General Act of 1978*, as amended in 1988 (P.L. 100-504), established the Smithsonian OIG. The act requires OIG to perform the following functions:

- Conduct audits and investigations relating to the Smithsonian's programs and operations.
- Promote economy, efficiency, and effectiveness within the Smithsonian.
- Review and make recommendations regarding existing and proposed programs and operations.
- Prevent and detect waste, fraud, and abuse in the Smithsonian's programs and operations.
- Report expeditiously to the Attorney General whenever the Inspector General has reasonable grounds to believe there has been a violation of criminal law.
- Keep the Board of Regents and Congress fully and currently informed of serious problems in the Smithsonian's programs and operations.

Core Values

Consistent with its mission and responsibilities, OIG's efforts are guided by four core values: accountability, excellence, integrity, and teamwork. These core values reflect the most important qualities needed for success and are reflected in all of the work done by OIG.

Accountability. A commitment to promoting accountability in the Smithsonian and taking personal accountability for actions and decisions within OIG.

Excellence. A commitment to providing timely, relevant, and high-quality products and services.

Integrity. A commitment to operating under the highest ethical principles by conducting our work in an honest, objective, and independent manner.

Teamwork. A commitment to working together to collectively achieve OIG's mission through respectful and professional interactions among ourselves and others.

² The OIG vision, mission, goal and objectives, and core values are part of the *OIG Strategic Plan for Fiscal Years 2019–2023*, available on the OIG website at <https://www.si.edu/oig/About>.

Audits

Audit work focuses on improving the efficiency and effectiveness of the Smithsonian's programs and operations. During this semiannual period, OIG issued four reports, conducted work on five ongoing audits, and closed three recommendations.

Summary of Issued Audit Reports

Below are summaries of the four audit reports issued during this reporting period, along with links to the audit reports.

[Information Security: Smithsonian Needs to Further Improve \(OIG-A-22-01, October 28, 2021\)](#)

OIG issued a report that assessed the Smithsonian's capabilities to prevent, detect, and respond to information security incidents. After an interim briefing on the results of the audit, the Office of the Chief Information Officer took appropriate actions. As a result, OIG did not make a recommendation in this report.

[Independent Auditor's Report on the Smithsonian's Fiscal Year 2021 Financial Statements \(OIG-A-22-02, January 26, 2022\)](#)

An independent public accounting firm, KPMG LLP (KPMG), issued a report on the statement of the Smithsonian's financial position as of September 30, 2021, and the related statements of financial activity and cash flows. KPMG expressed an unmodified opinion concluding that the financial statements were presented fairly, in all material respects, in accordance with the applicable financial reporting standards. An OIG auditor served as the Contracting Officer's Technical Representative to monitor this audit.

[Collections Management: Oversight and Monitoring Needed to Ensure That Collecting Units Have an Effective Inventory Process \(OIG-A-22-03, February 25, 2022\)](#)

The Smithsonian is the steward of a collection of more than 155 million objects. The Board of Regents has the ultimate oversight authority and responsibility for the collections, but each unit director has primary operations authority. Smithsonian policy says that effective collections management requires a continuous inventory system to support decisions regarding collections use, growth, storage, and security. In addition to facilitating research, documentation, and storage, an ongoing inventory system is an essential security device to deter and detect theft of collection items.

For decades, collecting units have been required to conduct cyclical inventories – planned inventories of collections items conducted according to a predetermined schedule. OIG audits and other Smithsonian reports have found problems with museums not conducting cyclical inventories.

This audit assessed the extent to which 19 collecting units had developed and implemented cyclical inventory plans in accordance with Smithsonian requirements, as of August 2020. OIG found that 4 did not have any inventory plan, and none of the remaining 15 had fully met the requirement to have a plan that contained 8 requirements for information and procedures, as of August 2020. For example, the inventory plan for the Smithsonian's largest collecting unit, the National Museum of Natural History, does not establish schedules for conducting cyclical inventories of the 146 million objects in its collections, as required.

For the 15 collecting units with a plan, OIG found that only 3 conducted all of the cyclical inventories in accordance with their unit's schedule. Seven units completed 25 to 81 percent of their required inventories, and five units did not complete any cyclical inventories. The most common reason cited for not conducting the required cyclical inventories was the lack of staff resources. Collecting units are allowed to adjust their inventory plans to accommodate changes, but not to abandon them. Failure to conduct inventories at the frequency specified in an inventory plan increases the risk that objects could be missing or stolen and that such losses remain undetected.

Finally, OIG found that senior management did not know the extent to which collecting units were not in compliance with the requirements for inventory plans and cyclical inventories because they are not effectively overseeing and monitoring the units to ensure compliance with these requirements to protect the national collections. In addition, the National Collections Program Director has not effectively implemented monitoring activities to assess the collecting units' compliance with inventory plan requirements. Also, none of the 19 directors ensured that their unit had an inventory plan that complied with requirements for information and procedures, and that inventories were conducted in accordance with plan schedules. In a decentralized organization, information from units on their compliance is vital for the Smithsonian to achieve its objective to have a continuous inventory system.

OIG made two recommendations to establish and implement ongoing monitoring activities and procedures for annual reports on compliance with cyclical inventory plan requirements. Management concurred with both recommendations.

[Audit of Federal Awards Performed in Accordance with Title 2 U.S. Code of Federal Regulations Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards \(OIG-A-22-04, March 23, 2022\)](#)

This is the second and final report of the fiscal year 2021 financial statement audits of the Smithsonian performed by KPMG. KPMG expressed two unmodified opinions in this report. First, KPMG opined that the Smithsonian complied, in all material respects, with the compliance requirements of the Smithsonian's two major federal programs, research and development and the U.S. Postal Museum. Second, KPMG opined that the Smithsonian's expenditures of federal awards were fairly stated in all material respects in relation to the financial statements as a whole.

This year's single audit focused on two major federal programs: the research and development

cluster (\$107.3million) and the U.S. Postal Museum (\$3.3 million). The top two federal agency sponsors of the research and development program were the National Aeronautics and Space Administration (\$92.3 million) and the National Science Foundation (\$10.5 million).

Work in Progress

At the end of the period, OIG had five audits in progress, as described below.

Purchase Card Program

OIG auditors are assessing to what extent the Smithsonian has effective controls over the purchase card program.

Evaluation of the Smithsonian's Information Security Program, Fiscal Year 2022

An OIG auditor is monitoring Castro & Company, LLC in conducting an audit to evaluate the Smithsonian's information security program for fiscal year 2022.

Assessment of Detection and Response Capabilities for Information Security Incidents

OIG auditors are evaluating the Smithsonian's capabilities to prevent, detect, and respond to information security incidents.

Privacy Program

An OIG auditor is monitoring Castro & Company, LLC in conducting an audit to evaluate the Smithsonian's Privacy program.

Sole Source Purchase Orders

OIG auditors are assessing the extent to which Smithsonian controls over sole-source purchase orders are effective in ensuring compliance with Smithsonian procurement policies and procedures.

Other Audit Activities

Status of Recommendations

Smithsonian management made progress implementing the recommendations from audit reports that we issued in prior semiannual reporting periods. As a result, OIG closed three recommendations during the past six months. Table 2 provides summary statistics for OIG recommendations during this semiannual reporting period, as of March 31, 2022.

Table 2. Summary of audit recommendation activity during the semiannual reporting period ending March 31, 2022

Status of Recommendations	Number of Recommendations
Open at the beginning of the period	10
Issued during the period	2
<i>Subtotal</i>	12
Closed during the period	3
Open at the end of the period	9

Source: OIG assessment as of March 31, 2022.

Table 3 on the following page summarizes the audit reports from previous periods that have seven unimplemented recommendations and their target completion, as of March 31, 2022. None of these recommendations involve cost savings.

Table 3. Reports from previous periods with unimplemented recommendations, as of March 31, 2022

Report Summary	Unimplemented Recommendations
<p><i>Personnel Security: Actions Needed to Strengthen the Background Investigation Process</i> (OIG-A-18-09, September 20, 2018)</p> <p>The audit objective was to determine to what extent the Smithsonian ensures that required background investigations are conducted promptly on employees and certain affiliated individuals.</p> <p>OIG made nine recommendations to improve the background investigation process, and one remains unimplemented.</p>	<p>The Chief Operating Officer and Under Secretary for Finance and Administration should identify all employees and affiliated individuals who have computer system access but have not received background investigations and ensure that they receive background investigations.</p> <p>Target completion date: June 30, 2022</p>
<p><i>Fiscal Year 2018 Independent Evaluation of the Smithsonian Institution's Information Security Program</i> (OIG-A-19-07, September 23, 2019)</p> <p>OIG contracted with Williams Adley to conduct this audit, which evaluated the effectiveness of the Smithsonian's information security program in fiscal year 2018.</p> <p>Williams Adley made nine recommendations to enhance information security. Management concurred with all nine recommendations, and two remain unimplemented.</p>	<p>The Office of Protective Service system owner should review and update its signed agreements with all contractor systems, in accordance with IT-930-02, Security Controls Manual Version 4.2.</p> <p>The Chief Information Officer should assess current network operations and determine the best tool to prevent the intentional or unintentional exfiltration of personally identifiable information.</p> <p>Target completion date: December 31, 2022.</p>
<p><i>Collections Management: The National Museum of African American History and Culture Needs to Enhance Inventory Controls Over Its Collections</i> (OIG-A-20-05, June 30, 2020)</p> <p>This audit assessed the extent to which the National Museum of African American History and Culture (NMAAHC) had an inventory process and plan and had accurate and complete data in eight selected fields in its collection records.</p> <p>OIG made two recommendations to improve inventory controls at NMAAHC and a third recommendation to establish a timeframe for when new museums should have an inventory plan. Management concurred with all three recommendations, and one remains unimplemented.</p>	<p>The National Collections Program Director should revise Smithsonian Directive (SD) 600 to include a timeframe for when new collecting units are required to have an inventory process and plan.</p> <p>Target completion date: June 30, 2022</p>
<p><i>Human Resource Management: Smithsonian Needs to Strengthen Its Procedures for Hiring Trust Employees When Not Using the Federal Process</i> (OIG-A-21-01, October 9, 2020).</p> <p>This audit examined to what extent the Office of Human Resources (OHR) and the units comply with Smithsonian policies and procedures for hiring employees funded by the</p>	<p>The Acting Director of OHR should do the following: (1) update Trust hiring policies and procedures; (2) establish a system that collects and tracks applicant's race, national origin, sex, and disability status; and (3) develop and implement procedures to monitor OHR and the units' compliance with policies and procedures.</p>

Report Summary	Unimplemented Recommendations
<p>Smithsonian Trust, not federal appropriations.</p> <p>To help ensure a fair and consistent process for hiring Trust employees when not using the federal process, OIG made three recommendations: Management concurred with all three recommendations, and all three remain unimplemented.</p>	<p>Target completion date: January 31, 2024</p>

Source: OIG assessment as of March 31, 2022.

Audit Peer Review

Government Auditing Standards require audit organizations to (1) establish and maintain a system of quality control designed to provide the audit organization with reasonable assurance that the organization and its personnel comply with professional standards and applicable legal and regulatory requirements, and (2) undergo external peer reviews by independent reviewers every three years. On September 22, 2020, the Federal Housing Finance Agency Office of Inspector General completed the most recent peer review, which is posted on our website. The Smithsonian OIG received the highest peer review rating of “pass.” As a result, our office has reasonable assurance that its audits complied with professional standards in all material respects. We remain committed to maintaining an effective system of quality controls and improving our operations.

Investigations

At the start of the reporting period, OIG had 9 open complaints and 14 ongoing investigations. During the reporting period, OIG received 29 new complaints, closed 21 complaints, converted 6 complaints to investigations, and completed 1 investigation. At the end of the reporting period, there were 11 open complaints and 19 ongoing investigations.

Highlights of Investigative Actions

Violation of Smithsonian Standards of Conduct by Senior Employee

OIG determined that a senior employee violated SD 103, *Smithsonian Institution Standards of Conduct*, by showing preferential treatment to a company when attempting to acquire their services — first on a sole-source basis and then as a competitive acquisition. The company was newly created by colleagues from the senior employee's former employment. The senior employee communicated with the company during the acquisition process, including receiving a copy of the contract proposal directly from the company. The senior employee was warned beforehand by another Smithsonian employee that, to avoid any conflict of interest, they could not see this proposal. The senior employee also sent an email to promote the abilities of one of the company's owners to their direct subordinate and fellow Technical Review Board Member one week before a competitive request for quotes was sent out.

Under a settlement agreement between the Smithsonian and the senior employee, the senior employee was placed on paid administrative leave with benefits on March 11, 2022, and agreed to resign from the Smithsonian no later than June 11, 2022. The senior employee will remain on paid administrative leave with benefits until then, unless they resign or transfer to another federal position earlier.

Smithsonian Improperly Relied on Antideficiency Act's Emergency Exception During Lapse in Appropriations But Avoided a Violation

OIG investigated a complaint that the Smithsonian allowed a federal employee to travel to a conference on animal care and nutrition during a lapse in appropriations in January 2019. The Antideficiency Act bars agencies from incurring obligations in advance of appropriations, and prohibits the acceptance of voluntary services, except in certain circumstances. The Antideficiency Act includes an emergency exception that allows agencies to accept voluntary services in emergencies that imminently threaten the safety of human life or the protection of government property.

OIG requested a formal opinion from the U.S. Government Accountability Office (GAO) about whether this employee's travel violated the Act. GAO concluded that the Smithsonian improperly relied on the Antideficiency Act's emergency exception when it incurred an obligation for the employee's salary and did not record the obligation against funds available at the time of the travel. The Smithsonian did not show there was an emergency necessitating the obligation and did not explain how the employee's participation in the conference avoided imminent harm

to human life and property. GAO stated that the Smithsonian could correct the issue if it adjusted its accounts to obligate funds that were available at the time the Smithsonian incurred the obligation. The Smithsonian had sufficient funds that were available at the time of the obligation and adjusted the accounts accordingly; therefore, the Smithsonian did not have to report an Antideficiency Act violation.

Other Investigative Activities

Investigative Peer Review

The Office of Investigations complies with guidelines established by the U.S. Attorney General. On February 27, 2015, the Government Publishing Office OIG completed a peer review of the Smithsonian OIG investigative program based on the *Quality Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General*. The Smithsonian received the highest peer review rating.

The Smithsonian's National Zoo and Conservation Biology Institute Celebrated National Panda Day on March 16, 2022.



Image Credit: Jessie Cohen/Smithsonian National Zoo and Conservation Biology Institute.

Table 4 contains a statistical summary of OIG's investigative results during the semiannual reporting period.

Table 4. Statistical summary of the Office of the Inspector General's investigative results during the semiannual reporting period ending March 31, 2022

Investigative Activity or Result	Number or Amount
Caseload	
Cases pending at beginning of reporting period	14
Cases opened during the reporting period	6
<i>Subtotal</i>	20
Cases closed during the reporting period	1
Investigative reports issued	1
Cases carried forward	19
Referrals for prosecution	
Referrals to the Department of Justice	1
Referrals to state and local prosecuting authorities	0
Indictments and criminal information from current period referrals	0
Indictments and criminal information from prior period referrals	0
Successful prosecutions	
Convictions	0
Fines	0
Probation	0
Confinement	0
Monetary restitutions	0
Forfeiture of assets and seized evidence	0
Administrative actions	
Terminations	0
Resignations	1
Reprimands or admonishments	0
Suspensions	0
Monetary loss prevented	0
Value of items recovered	0

Source: OIG investigative activity statistics as of March 31, 2022.

Other OIG Activities

Legislative and Regulatory Review

In accordance with the *Inspector General Act of 1978*, as amended, OIG monitored and reviewed legislative and regulatory proposals for their impact on the Smithsonian's programs and operations. Additionally, the Counsel to the Inspector General monitored congressional bills and issues relating to the inspector general community. OIG also reviewed draft Smithsonian policies for their impact on OIG operations.

Other Activities

OIG remained actively involved with the Council of the Inspectors General on Integrity and Efficiency (CIGIE), a statutory council of federal inspectors general that promotes collaboration on issues of integrity, economy, and efficiency that transcend individual agencies. The Inspector General serves as the Vice-Chair of the CIGIE Audit Committee and as the Chair of the Small/Unique OIG Group, a group of inspectors general that meets quarterly to exchange ideas and practices. In addition, the Inspector General is a member of three other CIGIE committees (Budget, Investigations, and Legislation) and the Diversity, Equity, and Inclusion Working Group. The OIG Counsel co-leads the Smaller OIG Counsel Working Group. OIG staff also serve on the Council of Counsels to Inspectors General, the Federal Audit Executive Council, the Federal Audit Executive Council Financial Statement Audit Committee, the steering committee for the OIG Freedom of Information Act Working Group, and the Shared Services Working Group.

In addition, the Inspector General is a member of the Comptroller General's Advisory Council on Government Auditing Standards, and OIG staff participated in the Association of Certified Fraud Examiners, the Federal Bar Association, the Institute of Internal Auditors, and ISACA.³

³ ISACA is an international professional association focused on IT governance.

OFFICE OF THE INSPECTOR GENERAL



OIG's Mission

Our mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian Institution's programs and operations through independent and objective audits and investigations and to keep stakeholders fully and currently informed.

Reporting Fraud, Waste, and Abuse to OIG Hotline

OIG investigates allegations of waste, fraud, abuse, gross mismanagement, employee and contractor misconduct, and criminal and civil violations of law that have an impact on Smithsonian Institution programs and operations.

If requested, anonymity is assured to the extent permitted by law. Although you may remain anonymous, we encourage you to provide us with your contact information. The ability to gather additional information from you may be the key to effectively pursuing your allegation.

To report fraud and other serious problems, abuses, and deficiencies, you can do one of the following:

Send an email to: oighotline@oig.si.edu.

Visit OIG's website: <https://oig.si.edu>.

Write to:

Office of the Inspector General

Smithsonian Institution

P.O. Box 37012, MRC 524

Washington, D.C. 20013-7012.

Obtaining Copies of Reports

To obtain copies of Smithsonian Institution OIG reports, go to OIG's website: <https://oig.si.edu> or the Council of the Inspectors General on Integrity and Efficiency's website: <https://oversight.gov>.