



Recommendations Issued by the Office of the
Inspector General That Were Not Closed as of
December 31, 2022



23-024

JANUARY 2023



EXECUTIVE SUMMARY

Recommendations Issued by the Office of the Inspector General that were Not Closed as of December 31, 2022

The attached report contains information about recommendations from the Department of Justice (DOJ) Office of the Inspector General's (OIG) audits, evaluations, reviews, and other reports that the OIG had not closed as of December 31, 2022. To more accurately represent the number of recommendations that have not been closed and the reports in which the recommendations were made, such recommendations that DOJ determined contain information that is limited official use or classified will be indicated as follows: "[Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.]" DOJ may identify a recommendation as containing limited official use or classified information if it determines, for example, that its disclosure to unauthorized individuals could negatively impact law enforcement operations, sources, or methods; expose operational vulnerabilities; or harm national security.

The status of each recommendation is subject to change due to DOJ's ongoing efforts to implement them, and the OIG's independent review of information about those efforts. Specifically, a recommendation identified as not closed as of December 31, 2022, may now be closed as a result of actions taken after that date. 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. Please note that DOJ has provided updates for certain recommendations prior to the date of this report that are still under review by the OIG. In addition, the OIG sometimes issues recommendations with multiple subparts in order to better track their implementation. Therefore, the recommendations in the attached report list subparts as separate items. The report also includes recommendations to a non-DOJ federal agency that contracted with the OIG to audit its information technology systems pursuant to the Federal Information Security Modernization Act (FISMA). As a result, the non-DOJ federal agency is responsible for implementing its recommendations, which are included in the statistics described below.

The following categories are used to describe the status of the recommendations in the report:

Response Not Yet Due – DOJ's or the non-DOJ federal agency's initial response to the recommendation is not yet due.

Resolved – DOJ or the non-DOJ federal agency has agreed to implement the recommendation or has proposed actions that will address the recommendation.

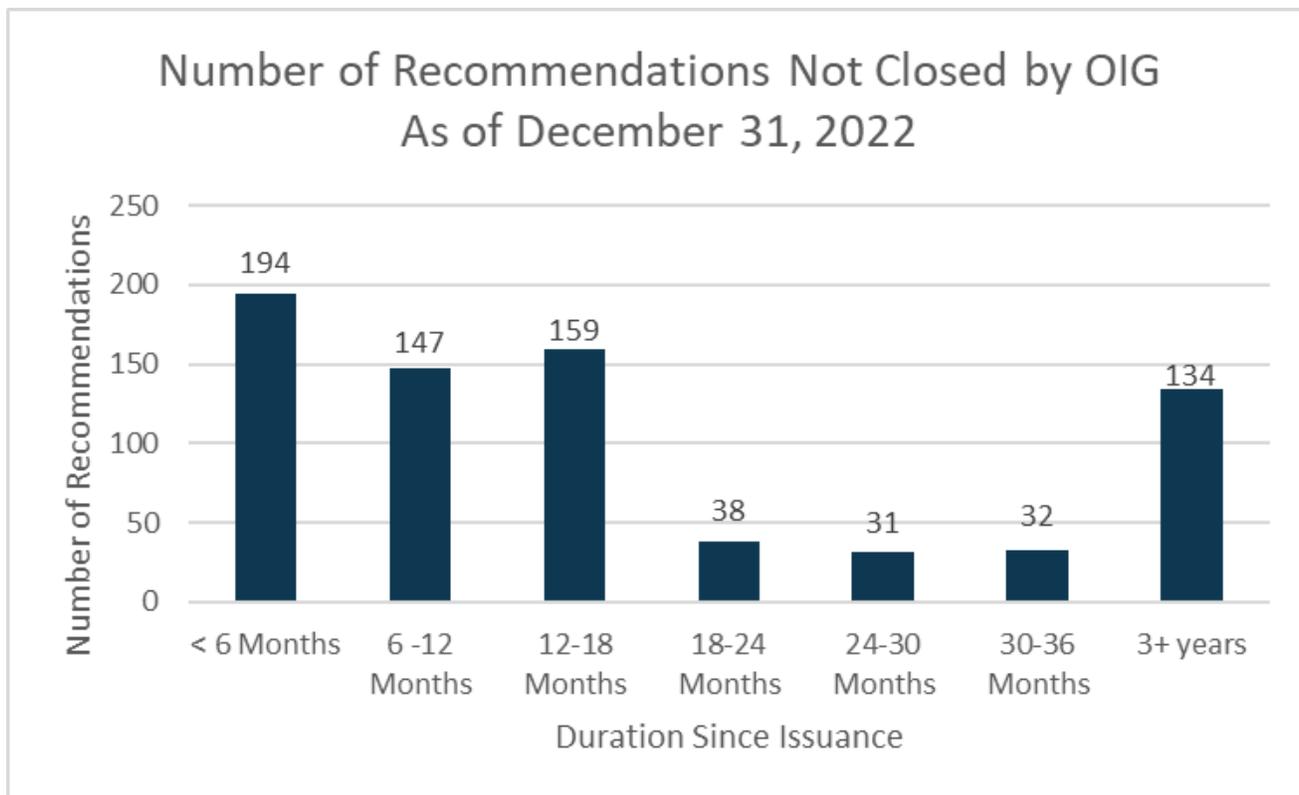
Unresolved – The initial deadline for DOJ's or the non-DOJ federal agency's response to the recommendation has passed, and it has not agreed to implement the recommendation or has not proposed actions that will

address the recommendation. The OIG may also convert a recommendation from “Resolved” to “Unresolved” if it determines that DOJ or the non-DOJ federal agency is not making sufficient progress towards implementation.

On Hold/Pending with OIG – The completion of the OIG’s assessment of the status of the recommendation is on hold or pending due to ongoing reviews or other factors.

As of December 31, 2022, the OIG had not closed 735 recommendations, which the OIG associated with the following statuses at that time: Resolved (659 recommendations), On Hold/Pending with OIG (74 recommendations), and Response Not Yet Due (1 recommendation).

The information in the following chart is derived from the attached report and includes recommendations that are in the categories described above as of December 31, 2022.



Source: DOJ OIG

The OIG’s assessment of the most significant recommendations that have not been closed is included in our Semiannual Reports, which are available at <https://oig.justice.gov/semiannual/>.

Acronyms and Abbreviations

Department of Justice Components

| | |
|--------|---|
| ALLDOJ | Department of Justice |
| ATF | Bureau of Alcohol, Tobacco, Firearms and Explosives |
| ATR | Antitrust Division |
| BOP | Federal Bureau of Prisons |
| COPS | Office of Community Oriented Policing Services |
| CRM | Criminal Division |
| CRT | Civil Rights Division |
| DEA | Drug Enforcement Administration |
| EOIR | Executive Office for Immigration Review |
| EOUSA | Executive Office for U.S. Attorneys |
| FBI | Federal Bureau of Investigation |
| FPI | Federal Prison Industries, Inc. |
| JMD | Justice Management Division |
| NSD | National Security Division |
| ODAG | Office of the Deputy Attorney General |
| OJP | Office of Justice Programs |
| OVW | Office on Violence Against Women |
| TAX | Tax Division |
| USMS | U.S. Marshals Service |
| USNCB | United States National Central Bureau |

Non-DOJ Federal Agency

| | |
|-------|--|
| CSOSA | Court Services and Offender Supervision Agency |
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Department of Justice Office of the Inspector General - Recommendations Not Closed

(As of December 31, 2022)

| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|---|--|-----------|-------------|------------------------|-----------------------|---|
| 1 | <u>Evaluation of the U.S. Marshals Service's Pharmaceutical Drug Costs and Procurement Process</u> | USMS | 12/20/2022 | 1 | Resolved | Conduct additional market research to test the existing assumption that combining Pharmacy Program and non-Pharmacy Program tasks into one contract is the most cost-effective method to provide quality healthcare to USMS detainees |
| 2 | <u>Evaluation of the U.S. Marshals Service's Pharmaceutical Drug Costs and Procurement Process</u> | USMS | 12/20/2022 | 2 | Resolved | Seek to incorporate into the National Managed Care Contract Pharmacy Program cost-reporting requirements that would allow the USMS to determine whether the prices it pays for drugs are comparable to the Federal Supply Schedule, to negotiate lower drug prices, and to assess whether alternative contract types and pricing schedules might reduce overall drug and drug delivery costs. |
| 3 | <u>Evaluation of the U.S. Marshals Service's Pharmaceutical Drug Costs and Procurement Process</u> | USMS | 12/20/2022 | 3 | Resolved | Consider implementing a process by which it could proactively advise on the procurement of high-priced drugs before such drugs are purchased by non-Pharmacy Program intergovernmental agreement facilities. |
| 4 | <u>Management Advisory Memorandum for the Director of the Federal Bureau of Investigation (FBI) Regarding Needed Improvements to the FBI's Response to Changing Operational Technologies</u> | FBI | 12/20/2022 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 5 | <u>Management Advisory Memorandum for the Director of the Federal Bureau of Investigation (FBI) Regarding Needed Improvements to the FBI's Response to Changing Operational Technologies</u> | FBI | 12/20/2022 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 6 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 1 | Resolved | (U) In consultation with relevant stakeholders including, but not limited to, representatives from NCOS and the operational divisions. review the organizational placement of NCOS, determine if the section needs to be moved to ensure optimal effectiveness of its operations, and document the results of the review and the basis for any decisions or recommendations. |

Questioned costs represent gross amounts, and consequently costs that were questioned for more than one reason may appear in multiple recommendations. Please refer to the schedule of dollar-related findings in the relevant report to identify net questioned costs.

Department of Justice Office of the Inspector General - Recommendations Not Closed

(As of December 31, 2022)

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|----|---|-----------|-------------|------------------------|-----------------------|--|
| 7 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 2 | Resolved | (U) Transfer to the Stagehand program the field division FSL already used by Stagehand or determine an alternative approach that gives Stagehand appropriate control over its staffing to ensure the operational effectiveness, continuity, and security of the Stagehand program. |
| 8 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 3 | Resolved | (U) Consider creating opportunities for UCEs to work full time in the UC program without carrying regular investigative caseload. |
| 9 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 4 | Resolved | (U) Survey UCEs to determine whether they intend to participate in future UCOs and track the current status of UCEs, including the date of their last UC activity. |
| 10 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 5 | Resolved | Formally assess the issue of technical tradecraft and determine whether new or revised policy concerning the training of operational security is needed for both current and future FBI employees who will be working in undercover or other covert capacities...(the rest of this recommendation is S/NF) |
| 11 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 6 | Resolved | (U) Implement procedures to ensure it adequately tracks its..... undercover activities and ensures the operational security of those activities. |
| 12 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 7 | Resolved | (U) Work with NSD and other Department stakeholders to develop an integrated system for tracking requests for AGEs and Otherwise Illegal Activity from initiation through final approval that can meet the FBI's and the Department's operational needs, provide visibility about the status of a given request. and identify specific and systemic delays in the AGE and Otherwise Illegal Activity approval process. |

Department of Justice Office of the Inspector General - Recommendations Not Closed

(As of December 31, 2022)

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|----|--|-----------|-------------|------------------------|-----------------------|---|
| 13 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 8 | Resolved | (U) Perform a complete and thorough assessment of the Safeguard Unit's mission and service requirements to ensure employees who should receive assessments get them in a timely and effective manner. |
| 14 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 9 | Resolved | (U) Establish reasonable and attainable qualifications for UCCs to better ensure UCCs have appropriate undercover experience, grade level, and adequate time to effectively conduct their undercover-related duties. Once the UCC qualifications are established, the FBI should update its policies and procedures to reflect the new requirements |
| 15 | <u>Audit of the Federal Bureau of Investigation's National Security Undercover Operations</u> | FBI | 12/19/2022 | 10 | Resolved | (U) Develop a comprehensive training plan for both UCEs and OCEs that includes certification, annual refresher training, and advanced training in specialty skills, managed by NCOS. |
| 16 | <u>Audit of the Amtrak Police Department's Equitable Sharing Program Activities, Washington, DC</u> | CRM | 12/12/2022 | 1 | Resolved | Work with APD to implement controls to ensure appropriate and correct reporting of DOJ equitable sharing expenditures in its Single Audit Reports. |
| 17 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 1 | Resolved | Collaborate with ELM to identify lessons learned and necessary improvements that can be shared with the organization assuming responsibility for the E-MDT program. |

Department of Justice Office of the Inspector General - Recommendations Not Closed

(As of December 31, 2022)

| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|----|--|-----------|-------------|------------------------|-----------------------|---|
| 18 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 2 | Resolved | Ensure ELM establishes and implements grant financial management policies and procedures to help ensure adequate administration of federal grant funds and that all relevant personnel are aware of these policies and procedures. In particular, these policies and procedures should cover, at a minimum: (1) accurately preparing the schedule of expenditures of federal awards in accordance with federal requirements, which is reviewed and approved by management; (2) providing adequate oversight of its accounting activities, including ensuring the accurate recording of expenses to budget categories by both its internal financial staff and external accountants; (3) adequately awarding, administering, and overseeing contracts; (4) drawing down federal funds that coincide with the DOJ Grants Financial Guide, including requirements for accurately and completely preparing drawdown amounts; and (5) preparing and submitting accurate federal financial reports. |
| 19 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 3 | Resolved | Remedy the \$55,794 in unallowable personnel and associated indirect costs charged to the grant. |
| 20 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 4 | Resolved | Ensure ELM reiterates to its staff the policy requiring that all personnel costs charged to federal grants be reviewed to confirm those charges are associated with work hours spent on allowable activities. |

Department of Justice Office of the Inspector General - Recommendations Not Closed

(As of December 31, 2022)

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| 21 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 5 | Resolved | Remedy the \$25,396 in unsupported contractor and associated indirect costs charged to the grant. |
| 22 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 6 | Resolved | Remedy the \$1,308 in unallowable contractor and associated indirect costs charged to the grant. |
| 23 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 7 | Resolved | Remedy the \$3,909 in unsupported rent and associated indirect costs charged to the grant. |
| 24 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 8 | Resolved | Ensure that ELM adheres to its existing rental policy to help ensure that rent payments do not exceed the established rent agreement. |
| 25 | <u>Audit of the Office of Justice Programs Transforming America's Response to Elder Abuse: Coordinated, Enhanced Multidisciplinary Teams for Older Victims of Abuse and Financial Exploitation Program Awarded to Elder Law of Michigan, Lansing, Michigan</u> | OJP | 12/07/2022 | 9 | Resolved | Ensure ELM examines its accounting records and confirm all grant expenses have been properly recorded to the correct budget category and, if necessary, revise its records. |
| 26 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 1 | Resolved | Maintain, review, and analyze data related to Suitability Notations, Trainee Review Boards, and trainee dismissals to identify and address potential equity concerns. |

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| 27 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 2 | Resolved | Develop criteria for the selection of the Section Spokesperson, ensure that the criteria address any risks of bias, and ensure that the criteria are adequately communicated to trainees. |
| 28 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 3 | Resolved | Collect and evaluate trainee feedback and use it to address concerns about inequitable treatment and inconsistency in instruction and evaluation. |
| 29 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 4 | Resolved | Increase transparency by clarifying to trainees the actions that cause a negative evaluation of a trainee's suitability, such as a Suitability Notation, Suitability Review, or Trainee Review Board. |
| 30 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 5 | Resolved | Evaluate the training that Basic Field Training Course instructors receive to determine whether it adequately addresses professionalism and bias, and adjust the training accordingly. |
| 31 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 6 | Resolved | Develop additional internal controls for tactical training—such as reviewing multiple instructors' evaluations or video recordings of an exercise to ensure consistency in trainee evaluations—to reduce the potential for bias. |
| 32 | <u>Evaluation of Gender Equity in the Federal Bureau of Investigation's Training Process for New Special Agents and Intelligence Analysts at the FBI Academy</u> | FBI | 12/06/2022 | 7 | Resolved | Evaluate, develop, and implement a recruitment plan with methods to increase the recruitment of women as certified tactical and defensive tactics instructors. |

Department of Justice Office of the Inspector General - Recommendations Not Closed

(As of December 31, 2022)

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|----|---|-----------|-------------|------------------------|-----------------------|--|
| 33 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Reaching Above Hopelessness and Brokenness (RAHAB) Ministries, Incorporated, Canton, Ohio</u> | OJP | 11/08/2022 | 1 | Resolved | Ensure RAHAB develops and implements policies and procedures to ensure appropriate financial management of federal awards. These policies and procedures should cover, at a minimum: (1) the retention of supporting documents for all award-related expenditures, including payroll, in accordance with DOJ requirements; (2) the purchase and distribution of gift cards, (3) the retention of proper documentation to support RAHAB's compliance with matching costs requirements, (4) properly completing drawdown requests, and (5) completing accurate Federal Financial Reports that are consistent with RAHAB's official accounting records. |
| 34 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Reaching Above Hopelessness and Brokenness (RAHAB) Ministries, Incorporated, Canton, Ohio</u> | OJP | 11/08/2022 | 2 | Resolved | Remedy the \$1,000 in unsupported training expenses. |
| 35 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Reaching Above Hopelessness and Brokenness (RAHAB) Ministries, Incorporated, Canton, Ohio</u> | OJP | 11/08/2022 | 3 | Resolved | Remedy the \$1,556 in unallowable costs associated with other direct costs and overdrawn award funds. |
| 36 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Reaching Above Hopelessness and Brokenness (RAHAB) Ministries, Incorporated, Canton, Ohio</u> | OJP | 11/08/2022 | 4 | Resolved | Ensure RAHAB records all costs, including payroll and indirect costs, on its general ledger when they are incurred. |
| 37 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Reaching Above Hopelessness and Brokenness (RAHAB) Ministries, Incorporated, Canton, Ohio</u> | OJP | 11/08/2022 | 5 | Resolved | Remedy the \$34,782 in unsupported matching costs. |
| 38 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Reaching Above Hopelessness and Brokenness (RAHAB) Ministries, Incorporated, Canton, Ohio</u> | OJP | 11/08/2022 | 6 | Resolved | Ensure that RAHAB's general ledger expense categories accurately represent the approved budget categories so that RAHAB can confirm it has not exceeded the approved budget amounts. |

Department of Justice Office of the Inspector General - Recommendations Not Closed

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|----|--|-----------|-------------|------------------------|-----------------------|--|
| 39 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | EOIR | 11/01/2022 | 1 | Resolved | Finalize, share with NTT DATA, and implement the Quality Assurance Surveillance Plan it is developing for the 2020 BPA and, in the continued development of its Quality Assurance Surveillance Plan, incorporate milestones aligned with the performance metrics to (a) assist EOIR with monitoring NTT DATA's and Thomson Reuters' progress toward meeting the ECMS goals and (b) readily identify and mitigate situations that can impact the timeliness and scope of work performed |
| 40 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | EOIR | 11/01/2022 | 2 | Resolved | Provide the April 2021 Department-wide government-contractor protocol training to its contracting officials and personnel who closely interact with contract workers to ensure that only government personnel with properly designated authority (e.g., CO, COR, Alternate COR) coordinate with contractors' project managers on instructions to contract workers. |
| 41 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | EOIR | 11/01/2022 | 3 | Resolved | Evaluate and update its policies and procedures to ensure that billings and payments for service contracts comply with the FAR, EOIR internal policies, and BPA terms, ensuring that: (a) contracting officials review appropriate supporting information to determine whether the contractors' billed amounts reflect reasonable, allocable, and allowable costs; and (b) contracting officials consistently communicate with the CO to ensure that contract workers comply with BPA terms and internal procedures on charges that may result in cost overruns. |
| 42 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 4 | Resolved | Provide guidance to acquisition planning team members, including EOIR OIT and contracting officials, on how to apply the best practices outlined in OMB's January 2021 memorandum on Procurement Administrative Lead Times for all procurement vehicles. Such guidance should incorporate an oversight framework by which JMD PSS and EOIR contracting officials adopt practices that will help them to monitor and reduce the time between the initial contract action solicitation and award dates. |

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|----|--|-----------|-------------|------------------------|-----------------------|--|
| 43 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 5 | Resolved | Complete the written assessment for inherently governmental functions (and closely associated functions) for the 2020 BPA and the related contracts (e.g., the contract for product owners and future related procurements) and update its template to include instructions on when contracting officials should perform the assessment. Such updates should address considerations during pre-award and appropriate reassessment after award. |
| 44 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 6 | Resolved | Evaluate and update its policies and procedures to ensure that its contracting officials create timely Quality Assurance Surveillance Plans and ensure that delegated personnel follow such plans in conjunction with the Statements of Work or Performance Work Statements for contracts that meet the FAR requirements. |
| 45 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 7 | Resolved | Implement policies and procedures to ensure that acquisition planning teams consider Performance-Based Acquisition strategies or document a rationale for not using those methods in its acquisition plans. |
| 46 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 8 | Resolved | Update its policies and procedures to include guidelines for succession planning to demonstrate the historical knowledge of BPA actions are preserved in a manner that facilitates effective, continuous administration and oversight in the event of responsible contracting officials' separation from the agency. |
| 47 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 9 | Resolved | Provide its contracting officials with training and guidance that ensures their understanding of how to adequately enter contract information into the Contractor Performance Assessment Reporting System and design and implement policies and procedures that ensure acquisition personnel adhere to the schedule for mandatory completion of contractor performance evaluations via the Contractor Performance Assessment Reporting System for contract vehicles that meet the requirement. |

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| 48 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | EOIR | 11/01/2022 | 10 | Resolved | Perform a price analysis prior to the beginning of each of the remaining project phases to provide more accurate cumulative total project costs and estimates for the full implementation, maintenance, and training cost of C-Track. |
| 49 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 10 | Resolved | Perform a price analysis prior to the beginning of each of the remaining project phases to provide more accurate cumulative total project costs and estimates for the full implementation, maintenance, and training cost of C-Track. |
| 50 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | EOIR | 11/01/2022 | 12 | Resolved | Request additional information from NTT DATA to facilitate greater transparency on the 2020 BPA calls for enhanced contract monitoring purposes. Related monitoring procedures should include: (a) maintenance of evidence demonstrating continuous monitoring of the labor distribution of all BPA calls with subcontractors and (b) Time and Materials invoices that detail which labor categories and subcontractors support each call to ensure that the government can readily identify and evaluate subcontract effort. |
| 51 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 12 | Resolved | Request additional information from NTT DATA to facilitate greater transparency on the 2020 BPA calls for enhanced contract monitoring purposes. Related monitoring procedures should include: (a) maintenance of evidence demonstrating continuous monitoring of the labor distribution of all BPA calls with subcontractors and (b) Time and Materials invoices that detail which labor categories and subcontractors support each call to ensure that the government can readily identify and evaluate subcontract effort. |
| 52 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | EOIR | 11/01/2022 | 13 | Resolved | Develop policies and procedures that detail how their shared monitoring processes incorporate JMD's remedial actions (e.g., the newly deployed Robotic Process Automation bot) that resulted in the MAM closure. |

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| 53 | <u>Audit of the Executive Office for Immigration Review's Electronic Case Management System Awards</u> | JMD | 11/01/2022 | 13 | Resolved | Develop policies and procedures that detail how their shared monitoring processes incorporate JMD's remedial actions (e.g., the newly deployed Robotic Process Automation bot) that resulted in the MAM closure. |
| 54 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 1 | Resolved | Implement a policy identifying criteria for the inclusion of a service within the Working Capital Fund (WCF); once the criteria are formalized, JMD should evaluate and ensure that the services currently included in the WCF are appropriate, meet the documented criteria, and are clearly presented to the WCF Board for discussion of any necessary changes. |
| 55 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 2 | Resolved | Review the Office of the Chief Information Officer's (OCIO) cost allocation methodology and update as necessary to ensure that component cost allocations are sensible, equitable, and commensurate with benefits of the services provided. |
| 56 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 3 | Resolved | Update its policy to include specific criteria for identifying "basic activities" appropriate to be included in a Rate Memo and reevaluate OCIO's Rate Memos to ensure that the selected services reflect a consistent approach and "basic activities." |
| 57 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 4 | Resolved | Evaluate its processes and implement internal controls to ensure that all responsibilities outlined in the WCF Board and CIO Council governing documents are fulfilled and decisions are appropriately documented. |
| 58 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 5 | Resolved | Implement a formal process for the CIO Council and WCF Board of Directors to coordinate to improve collaboration and information sharing about the financial and service provision aspects of implementing IT initiatives. |
| 59 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 6 | Resolved | Evaluate procedures for providing components with their expected charges to ensure that components have sufficient information to evaluate the use and associated costs for IT services, as well as enough time to provide feedback and obtain support for any discrepancies. |

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|----|--|-----------|-------------|------------------------|-----------------------|--|
| 60 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 7 | Resolved | Ensure that OCIO implements policies and internal controls to improve its process for facilitating timely and accurate Reimbursable Agreements (RA). |
| 61 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 8 | Resolved | Implement a procedure to ensure that the billing process is completed timely and that customers receive complete information on any changes or unanticipated charges. |
| 62 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 9 | Resolved | Ensure that OCIO updates its policies or develops guidance to: (1) ensure that all expenses, including those paid for with funding not received from customers, are tracked to the IT service(s) they support; and (2) develop a mechanism to provide DOJ components with total costs of WCF- related IT services. |
| 63 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 10 | Resolved | Evaluate processes to ensure that JMD and OCIO meet the intended requirements of the WCF Handbook, including the implementation of the annual WCF Customer Survey and the development of a comprehensive IT Service Catalog. |
| 64 | <u>Audit of the Justice Management Division's Administration of Shared Information Technology Costs through the Working Capital Fund</u> | JMD | 09/28/2022 | 11 | Resolved | Evaluate the administrative operations of OCIO, as well as the information and outcomes of the working groups to enhance the financial management structure and access to clear and complete WCF IT service information. |
| 65 | <u>Audit of the Roles and Responsibilities of the Federal Bureau of Investigation's Office of the General Counsel in National Security Matters</u> | FBI | 09/28/2022 | 1 | Resolved | Coordinate with NSD to ensure that it is receiving a final copy of each FBI Rule 13 notice filed with the FISC and develops and implements a method to track these notices and make their contents searchable. |
| 66 | <u>Audit of the Roles and Responsibilities of the Federal Bureau of Investigation's Office of the General Counsel in National Security Matters</u> | FBI | 09/28/2022 | 2 | Resolved | Coordinate with NSD to determine whether revisions to the current FISA use request template or training are necessary in order to enhance clarity and more effectively convey how the information would help the prosecution team achieve its goals and facilitate effective processing of FISA use requests. |

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| 67 | <u>Audit of the Roles and Responsibilities of the Federal Bureau of Investigation's Office of the General Counsel in National Security Matters</u> | FBI | 09/28/2022 | 3 | Resolved | Centrally track FISA use requests and consider whether all FISA use requests should be assigned to one NSCLB unit |
| 68 | <u>Audit of the Roles and Responsibilities of the Federal Bureau of Investigation's Office of the General Counsel in National Security Matters</u> | ODAG | 09/28/2022 | 4 | Resolved | Evaluate whether the Attorney General Guidelines and other existing criteria can be improved by clarifying responsibilities in areas of overlap and more clearly delineating lines of authority between NSCLB, as agency counsel, and NSD, as counsel representing the United States in national security-related proceedings. In instances where the ODAG identifies ambiguity on certain roles and responsibilities, it should clearly define and delegate the authority to the appropriate entity, especially in areas related to the roles, responsibilities, coordination, and communication pertaining to prosecutorial decision-making. |
| 69 | <u>Audit of the Roles and Responsibilities of the Federal Bureau of Investigation's Office of the General Counsel in National Security Matters</u> | ODAG | 09/28/2022 | 5 | Resolved | Examine the current distribution of roles and responsibilities for conducting NSRs. If the ODAG determines that an alternative oversight structure would be more effective, ensure all stakeholders receive training on their roles and responsibilities and that the outdated NSR standard operating procedures are updated accordingly. |
| 70 | <u>Evaluation of the Federal Bureau of Prisons' Policy Development Process</u> | BOP | 09/28/2022 | 1 | Resolved | Evaluate each policy development phase to improve timeliness and efficiencies. |
| 71 | <u>Evaluation of the Federal Bureau of Prisons' Policy Development Process</u> | BOP | 09/28/2022 | 2 | Resolved | Continue to explore ways to enhance policy negotiation capabilities under current labor contracts. |
| 72 | <u>Evaluation of the Federal Bureau of Prisons' Policy Development Process</u> | BOP | 09/28/2022 | 3 | Resolved | Establish comprehensive performance metrics to assess the effectiveness of its policy development and negotiation processes. |
| 73 | <u>Evaluation of the Federal Bureau of Prisons' Policy Development Process</u> | BOP | 09/28/2022 | 4 | Resolved | Designate one office to oversee the complete policy development and negotiation processes to ensure that the BOP's interests are monitored and synchronized across the agency. |

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| 74 | <u>Evaluation of the Federal Bureau of Prisons' Policy Development Process</u> | BOP | 09/28/2022 | 5 | Resolved | Enhance policy tracking requirements to consistently capture information for all policies, including BOP official time and costs associated with different policy development initiatives. |
| 75 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 1 | Resolved | Establish a working definition of geospatial data and communicate that criteria to Department components to ensure geospatial data assets are reported accurately in the Justice Data Catalog. |
| 76 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 2 | Resolved | Develop and enact a plan to identify all un-classified geospatial data assets within the Department. |
| 77 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 3 | Resolved | Develop and implement a quality assurance process to verify geospatial data assets are accurately identified as part of the Integrated Data Collection process. |
| 78 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 4 | Resolved | Ensure that all un-classified geospatial data assets adhere to FGDC-endorsed metadata standards. |
| 79 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 5 | Resolved | Develop and enact a plan to make all metadata for the Department's geospatial data assets that are approved for public release available on GeoPlatform. |
| 80 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 6 | Resolved | Develop and provide to all components specific guidance on how to identify declassified geospatial data and determine whether it can contribute to and become part of the National Spatial Data Infrastructure. |
| 81 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 7 | Resolved | Establish policy requiring Department components to search all reliable sources for existing geospatial data prior to submitting an IT acquisition request or expending funds for geospatial data collection. |
| 82 | <u>Audit of the Department of Justice's Compliance with the Geospatial Data Act of 2018 for Fiscal Years 2021 and 2022.</u> | JMD | 09/26/2022 | 8 | Resolved | Establish policy requiring IT acquisition requests for geospatial data products and services include a description of the data quality requirements prior to going through the IT acquisition review process. |

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| 83 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1a | Resolved | Create and implement guidance for a QASP or QASP equivalent to use as the basis to monitor performance under medical services contracts that contains: (1) measurable performance standards to ensure desirable contract requirement outcomes including those related to quality and timeliness of care; and (2) standards for maintaining documentation related to the ratings in the QASP. |
| 84 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1b | Resolved | Create and implement early and sustained collaboration between the BOP program offices, contracting offices, and the acquisition offices to ensure that: (1) the program offices' requirements are accurately reflected in the award SOWs; and (2) staff understand who is responsible for each part of the planning and when tasks should be completed. |
| 85 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1c | Resolved | Create and implement strategies to leverage inmate healthcare utilization data that the OIG recommended to collect in 2016, which would enable the BOP to determine the cost effectiveness of alternative medical services contract structures. |
| 86 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1d | Resolved | Disseminate and reinforce the Department-wide training requirement that all CORs have the appropriate level of FAC-COR certification prior to being designated COR responsibilities. |
| 87 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1e | Resolved | Create and implement guidance to ensure that: (1) staff that are delegated COR responsibilities have the proper experience and knowledge of the services they are overseeing and (2) staff understand who is responsible for performing the delegated contract administration tasks |
| 88 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1f | Resolved | Create and implement a uniform or universal billing review and approval process to: (1) ensure medical claims are properly supported and (2) improve timeliness of processing medical invoices. |

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| 89 | <u>Management Advisory Memorandum: Notification of Concerns Resulting from Multiple Office of the Inspector General Reviews Related to the Federal Bureau of Prisons Strategy for its Medical Services Contracts</u> | BOP | 09/26/2022 | 1g | Resolved | Create and implement a timeline for utilizing the medical claims adjudication vendor contract awarded in December 2019 to process and ensure healthcare claims are accurate and complete |
| 90 | <u>Audit of the Fort Wayne Police Department's Equitable Sharing Program Activities, Fort Wayne, Indiana</u> | CRM | 09/21/2022 | 1 | Resolved | Ensure that the Fort Wayne PD, in coordination with the city of Fort Wayne, establishes internal controls and procedures for all programmatic and financial processes that are required for adequately administering DOJ equitable sharing funds and activities. In particular, these internal controls and procedures should cover, at a minimum: (1) routinely checking the eShare Portal for disbursements and reconciling that information to transactions recorded in the official accounting system; (2) requiring the agency head, or designee, to document the authorization of all expenditures to be paid for with DOJ equitable sharing funds; (3) verifying and documenting that potential vendors are not suspended or debarred prior to spending DOJ equitable sharing funds; (4) ensuring that sale proceeds of property purchased, in whole or in part, with DOJ equitable sharing funds are properly documented and allocated to the Fort Wayne PD's DOJ equitable sharing account; and (5) ensuring the consistent, accurate, and timely completion of ESAC reports. |
| 91 | <u>Audit of the Fort Wayne Police Department's Equitable Sharing Program Activities, Fort Wayne, Indiana</u> | CRM | 09/21/2022 | 2 | Resolved | Ensure that the Fort Wayne PD develops an accounting mechanism that accurately allocates interest income earned on DOJ equitable sharing funds. |
| 92 | <u>Audit of the Fort Wayne Police Department's Equitable Sharing Program Activities, Fort Wayne, Indiana</u> | CRM | 09/21/2022 | 3 | Resolved | Ensure that appropriate Fort Wayne personnel have access to and are properly trained in accessing the eShare Portal. |
| 93 | <u>Audit of the Fort Wayne Police Department's Equitable Sharing Program Activities, Fort Wayne, Indiana</u> | CRM | 09/21/2022 | 4 | Resolved | Ensure that the Fort Wayne PD maintains accurate and readily available inventory and disposal records, including the designation of funding sources. |

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| 94 | <u>Audit of the Federal Bureau of Prisons' Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Residential Reentry Management Branch Inmates</u> | BOP | 09/21/2022 | 1 | Resolved | Enhance policies and procedures to ensure appropriate contract vehicles are used and that adequate acquisition planning and market research is conducted for RRMB medical services awards. This includes: (1) ensuring an adequate acquisition plan is used for each procurement when required; (2) conducting extensive market research that considers industry sources and pricing; and (3) properly documenting and evaluating price and/or cost to the government, to include an assessment of price reasonableness for each offeror; the quality of care received; and past performance of each offeror. |
| 95 | <u>Audit of the Federal Bureau of Prisons' Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Residential Reentry Management Branch Inmates</u> | BOP | 09/21/2022 | 2 | Resolved | Remedy the \$34,524 in unsupported medical services costs related to CPT code 96116 for neurological testing to include reviewing patient records to determine if the CPT code was applied appropriately. |
| 96 | <u>Audit of the Federal Bureau of Prisons' Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Residential Reentry Management Branch Inmates</u> | BOP | 09/21/2022 | 3 | Resolved | Reduce RRMB medical services expenses by implementing a strategy that considers: (1) incentivizing contractors to reduce medical claims by structuring awards in a way that eliminates premiums on healthcare costs; (2) structuring awards in a way that does not commit the BOP to reimburse contractors at Medicare rates when the provider bills are less than the Medicare rate; (3) whether the BOP should have a more central role in negotiating out-of-network costs; (4) how the BOP can minimize invoicing errors and improper use of CPT codes; and (5) cost saving mechanisms for pharmaceutical costs and interest costs resulting from |
| 97 | <u>Audit of the Federal Bureau of Prisons' Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Residential Reentry Management Branch Inmates</u> | BOP | 09/21/2022 | 4 | Resolved | Enhance policies and procedures to ensure that RRMB officials conduct adequate award administration and oversight of medical services awards. This includes developing a quality assurance surveillance plan in conjunction with the award terms and conditions and ensuring that key contracting duties are appropriately delegated and performed by qualified staff so that procurement objectives and deliverables are achieved. |

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| 98 | <u>Audit of the Federal Bureau of Prisons' Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Residential Reentry Management Branch Inmates</u> | BOP | 09/21/2022 | 5 | Resolved | Ensure that: (1) RRMB medical services contractors submit invoices for medical services within 90 days of patient care; and (2) the BOP's review and approval process for medical services visits are completed in a timely manner. This includes ensuring that the BOP and the contractor further scrutinize requests for approvals that occur after the patient has already been seen, including providing guidelines on documenting emergency services. |
| 99 | <u>Audit of the Federal Bureau of Prisons' Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Residential Reentry Management Branch Inmates</u> | BOP | 09/21/2022 | 6 | Resolved | Enhance policies and procedures that ensure that performance evaluations for RRMB medical services contractors are completed and entered into CPARS annually. |
| 100 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 1 | Resolved | Coordinate with FNCH to ensure that progress reports are accurate and fully supported. |
| 101 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 2 | Resolved | Coordinate with FNCH to ensure that FNCH adheres to all special conditions of the awards. |
| 102 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 3 | Resolved | Coordinate with FNCH to ensure it develops and implements financial policies and procedures that include specific language regarding matching costs and contract management related to awarding contracts, monitoring compliance with contract requirements, and reviewing contractor invoices. |
| 103 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 4 | Resolved | Coordinate with FNCH to ensure it uses distinctive funding codes for each award to ensure that the same expenditures are not charged to multiple awards and ensure it develops policies and procedures to ensure that costs are charged correctly based on the assigned funding. |

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| 104 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 5 | Resolved | Coordinate with FNCH to ensure it consistently documents supervisory review and validation of employee time, including requiring a Board of Directors member to review and validate the FNCH CEO's time. |
| 105 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 6 | Resolved | Coordinate with FNCH to remedy the \$82,023 in unsupported questioned costs related to \$8,792 in unsupported personnel costs, \$63,442 in unsupported contractor costs, \$3,100 in unsupported other direct costs, and \$6,689 in unsupported matching costs. |
| 106 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 7 | Resolved | Coordinate with FNCH to remedy the \$92,277 in unallowable questioned costs related to \$66,265 in unallowable personnel costs, \$18,740 in unallowable contractor costs, \$5,349 in unallowable other direct costs, and \$1,922 in unallowable matching costs. |
| 107 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 8 | Resolved | Coordinate with FNCH to ensure that contractors provide detailed invoices prior to payment for services rendered, sole source contracts valued at more than \$150,000 are approved prior to awarding them, and it adequately monitors its contractors to ensure contractor invoices include only allowable expenses. |
| 108 | <u>Audit of the Office of Justice Programs Grants Awarded to First Nations Community Healthsource, Inc., Albuquerque, New Mexico</u> | OJP | 09/21/2022 | 9 | Resolved | Coordinate with FNCH to develop policies and procedures that ensures information reported in FFRs is accurate and supported. |
| 109 | <u>Audit of the Management and Coordination of Pandemic-Related Fraud Allegations and Referrals Between the Criminal Division and Executive Office for U.S. Attorneys</u> | EOUSA | 09/20/2022 | 1 | Resolved | Implement a system to ensure regular and uniform communication for pandemic-related updates, to include informing USAO districts on information shared within national coordinating bodies. |
| 110 | <u>Audit of the Management and Coordination of Pandemic-Related Fraud Allegations and Referrals Between the Criminal Division and Executive Office for U.S. Attorneys</u> | EOUSA | 09/20/2022 | 2 | Resolved | Continue to enhance its USAO COVID Coordinator guidance by: (1) developing formal position descriptions for this function; and (2) implementing methods to identify and share best practices, updated guidance, and evolving challenges regarding COVID Coordinator duties across different USAO districts. |

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| 111 | <u>Audit of the Management and Coordination of Pandemic-Related Fraud Allegations and Referrals Between the Criminal Division and Executive Office for U.S. Attorneys</u> | EOUSA | 09/20/2022 | 3 | Resolved | Assess and implement methods that provide COVID Coordinators with access to pandemic-related activity occurring in their respective district, such as declined matters that are not otherwise reported. |
| 112 | <u>Audit of the Management and Coordination of Pandemic-Related Fraud Allegations and Referrals Between the Criminal Division and Executive Office for U.S. Attorneys</u> | EOUSA | 09/20/2022 | 4 | Resolved | (1) Assess the status of USAO compliance with pandemic-related case designation requirements and (2) provide USAOs training and best practices regarding the designation of pandemic-related fraud matters within the case management system. |
| 113 | <u>Audit of the Management and Coordination of Pandemic-Related Fraud Allegations and Referrals Between the Criminal Division and Executive Office for U.S. Attorneys</u> | CRM | 09/20/2022 | 5 | Resolved | Assess ways to coordinate and externally deconflict investigative efforts pertaining to PPP data analytics leads. |
| 114 | <u>Audit of the Management and Coordination of Pandemic-Related Fraud Allegations and Referrals Between the Criminal Division and Executive Office for U.S. Attorneys</u> | CRM | 09/20/2022 | 6 | Resolved | Work with EOUSA to implement methods to share pandemic fraud case information, particularly regarding PPP-related matters, for reference in possible overlap with USAO-led UI matters. |
| 115 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 1 | Resolved | Implement the necessary staffing changes recommended by the NDB Working Group. |
| 116 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 2 | Resolved | Implement the NDB Working Group recommendation to remove all items held for storage at the NDB facility that are unrelated to the NDB mission, including evidence from the ATF's Operation Fast and Furious firearms trafficking investigation. |
| 117 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 3 | Resolved | Revise the NDB SOP to require that all interior and exterior doors equipped with PIV card readers, and both roll-up doors, remain closed except when actively moving bulky items between the loading bay and processing areas of the facility. |
| 118 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 4 | Resolved | Ensure that all NDB employees comply with the NDB SOP related to proper facility access controls. |

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| 119 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 5 | Resolved | Require the NDB to change the combination of its temporary vaults and restrict access to designated vault custodians in accordance with the NDB SOP. |
| 120 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 6 | Resolved | Ensure that all firearms are stored inside an NDB vault while in NDB custody, in accordance with ATF policy. |
| 121 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 7 | Resolved | Prohibit Program Analysts, Seized Property Technicians, Records Examiner/Analysts, and all non-NDB personnel, from entering the secure areas of the facility while firearms are actively being processed, inventoried, and destroyed. |
| 122 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 8 | Resolved | Revise the NDB SOP to require movement of all evidence stored in the NDB vaults, including firearms held temporarily, to be tracked in a vault visitor's entry log in accordance with overarching ATF policy. |
| 123 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Firearm Disposal Practices</u> | ATF | 09/19/2022 | 10 | Resolved | Ensure that all interior and exterior cameras installed at the NDB facility are operational, assess the risk posed by blind spots and low video resolution, and make improvements to address those risks. |
| 124 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Maryland Governor's Office of Crime Prevention, Youth, and Victim Services to the Prince George's County Family Justice Center, Upper Marlboro, Maryland</u> | OJP | 09/07/2022 | 1 | Resolved | Ensure that the FJC implements written policies and procedures specific to VOCA subawards, to include a process for tracking, validating, and reporting program accomplishments. |
| 125 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Maryland Governor's Office of Crime Prevention, Youth, and Victim Services to the Prince George's County Family Justice Center, Upper Marlboro, Maryland</u> | OJP | 09/07/2022 | 2 | Resolved | Work with FJC and its County Fiscal Department to track cash matches in the County's accounting system. |
| 126 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Maryland Governor's Office of Crime Prevention, Youth, and Victim Services to the Prince George's County Family Justice Center, Upper Marlboro, Maryland</u> | OJP | 09/07/2022 | 3 | Resolved | Require that the FJC enhance its process by which it logs, values, and allocates remote volunteer time and services certified as in-kind match contribution to federal awards. |

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| 127 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Maryland Governor's Office of Crime Prevention, Youth, and Victim Services to the Prince George's County Family Justice Center, Upper Marlboro, Maryland</u> | OJP | 09/07/2022 | 4 | Resolved | Work with GOCCP to ensure that the FJC and other Maryland subrecipients receive notification of waiver requirements due to the COVID-19 pandemic. |
| 128 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 1 | Resolved | Assess its testing resources to plan for the appropriate evaluation of AlphaDetective source code and data sets after receipt of the prototype deliverable. |
| 129 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 2 | Resolved | Work with WVURC to ensure the effective testing of the AlphaDetective prototype and help guide its appropriate use. |
| 130 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 3 | Resolved | Work with WVURC to establish protocols to check and verify reported research team progress and accomplishments. |
| 131 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 4 | Resolved | Work with WVURC to implement procedures that: (1) require WVURC submit future award-related publications to NIJ prior to or simultaneous to their publication, and (2) future award-supported publications contain the required statements in the appropriate location of the document. |
| 132 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 5 | Resolved | Ensure that WVURC: (1) has its POC complete required financial and grant administration training and (2) provide signed and dated REII attestations that cover the scope of award-funded activity. |

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|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 133 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 6 | Resolved | Work with WVURC to strengthen its conflict-of-interest disclosure policies. |
| 134 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 7 | Resolved | Clarify the scope and nature of foreign activities and individuals that merit research grant recipient disclosure. |
| 135 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 8 | Resolved | Work with WVURC to ensure that financial management policies and procedures pertaining to the management of the grant under review include appropriate internal control mechanisms. |
| 136 | <u>Audit of the Office of Justice Programs National Institute of Justice Using Artificial Intelligence Technologies to Expose Darknet Opioid Traffickers Grant Awarded to the West Virginia University Research Corporation, Morgantown, West Virginia</u> | OJP | 09/06/2022 | 10 | Resolved | Remedy \$299,044 in unallowable questioned costs. |
| 137 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 1 | Resolved | Work with the OR DOJ to establish written procedures for the allocation of CVF subgrant funds to its subrecipients. |
| 138 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 2 | Resolved | Work with the OR DOJ to develop and implement policies and procedures governing access to its grant management system, ensuring access is limited to authorized individuals. |
| 139 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 3 | Resolved | Work with the OR DOJ to ensure a minimum of 10 percent of the total grant funds is allocated to each of the four priority victim categories as required by OJP. |
| 140 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 4 | Resolved | Work with the OR DOJ to remedy \$23,610 in unallowable questioned costs for subrecipient expenditures. |

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| 141 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 5 | Resolved | Work with the OR DOJ to remedy \$20,953 in unsupported questioned costs for subrecipient expenditures. |
| 142 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 6 | Resolved | Ensure that the OR DOJ update its procedures for drawing down federal funds to ensure the amount of federal cash on hand is the minimum needed for reimbursements or disbursements to be made immediately or within 10 days. |
| 143 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 7 | Resolved | Work with the OR DOJ to remedy \$8,660 in unsupported questioned cost match contributions. |
| 144 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 8 | Resolved | Work with the OR DOJ to ensure all outstanding subrecipient financial report verifications are completed as required by the OR DOJ. |
| 145 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 9 | Resolved | Work with the OR DOJ to ensure it has established a compliance team to adequately monitor sub recipients and ensure that subrecipients are adhering to the terms and conditions of the subawards. |
| 146 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 10 | Resolved | Work with the OR DOJ to develop and implement procedures to monitor its subrecipient audit findings, and when appropriate, issue management decisions for relevant findings reported in the subrecipient's single audit reports. |
| 147 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Oregon Department of Justice, Salem, Oregon</u> | OJP | 08/30/2022 | 11 | Resolved | Ensures the OR DOJ develops and implements policies and procedures to perform periodic verification of the performance metrics submitted to the OVC and completes all outstanding sub recipient monitoring visits. |

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| 148 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Hawaii Department of Public Safety, Crime Victim Compensation Commission, Honolulu, Hawaii</u> | OJP | 08/30/2022 | 1 | Resolved | Work with the CVCC to develop written procedures for completing the annual state certification forms to include controls to ensure that the amounts reported on its annual state certification forms are accurate and fully supported. |
| 149 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Hawaii Department of Public Safety, Crime Victim Compensation Commission, Honolulu, Hawaii</u> | OJP | 08/30/2022 | 2 | Resolved | Remedy the questioned costs of \$26,000 and \$19,000 over awarded in FY 2019 and 2020 respectively, as appropriate. |
| 150 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Hawaii Department of Public Safety, Crime Victim Compensation Commission, Honolulu, Hawaii</u> | OJP | 08/30/2022 | 3 | Resolved | Ensure that the CVCC retains documentation to support the information it reports on its performance reports. |
| 151 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Hawaii Department of Public Safety, Crime Victim Compensation Commission, Honolulu, Hawaii</u> | OJP | 08/30/2022 | 4 | Resolved | Ensure that the CVCC update and enhance its policies and procedures for requesting drawdowns in accordance with federal grant requirements. |
| 152 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the Hawaii Department of Public Safety, Crime Victim Compensation Commission, Honolulu, Hawaii</u> | OJP | 08/30/2022 | 5 | Resolved | Ensure that the CCVC develop, document, and implement policies and procedures for preparing FFRs in accordance with federal grant requirements. |
| 153 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the District of Columbia Superior Court, Washington, D.C.</u> | OJP | 08/17/2022 | 1 | Resolved | Work with DCSC to train all personnel involved in the annual certification form process how to correctly compile, review, and submit these forms. |
| 154 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the District of Columbia Superior Court, Washington, D.C.</u> | OJP | 08/17/2022 | 2 | Resolved | Work with DCSC to improve annual and quarterly performance report oversight by ensuring that the information collected undergoes appropriate levels of review prior to submission. |
| 155 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the District of Columbia Superior Court, Washington, D.C.</u> | OJP | 08/17/2022 | 3 | Resolved | Work with DCSC to implement a process for its programmatic and financial personnel to document the reconciliation of victim compensation payments from MIP to CAS system. |

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| 156 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Illinois Criminal Justice Information Authority to Beds Plus Care, La Grange, Illinois</u> | OJP | 07/25/2022 | 1 | Resolved | Ensure that Beds Plus Care establishes written policies and protocols specific to CVF-funded program operations and distributes these among the relevant personnel. |
| 157 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Illinois Criminal Justice Information Authority to Beds Plus Care, La Grange, Illinois</u> | OJP | 07/25/2022 | 2 | Resolved | Require Beds Plus Care to implement accounting practices that will help ensure the adequacy of its financial records and accurately account for federal awards funds. |
| 158 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Illinois Criminal Justice Information Authority to Beds Plus Care, La Grange, Illinois</u> | OJP | 07/25/2022 | 3 | Resolved | Remedy the \$25,270 in unallowable contractual costs. |
| 159 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 1 | Resolved | Develop and implement guidelines for grantees to update SAK inventories to ensure grantees are submitting accurate and complete SAK inventory certification forms. |
| 160 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 2 | Resolved | Enhance its efforts to increase participation of small agencies, such as tribal and rural agencies, in the SAK Initiative. |
| 161 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 3 | Resolved | Update its performance metrics to align with SAK Initiative reporting requirements to better capture small agencies, including rural and tribal agencies, participation in the SAK Initiative. |
| 162 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 4 | Resolved | Develop and implement a plan to ensure grantees are achieving the goals and objectives of the SAK Initiative's Purpose Area 3, particularly regarding the large number of lawfully owed convicted offender DNA samples identified but not yet collected. |

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| 163 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 5 | Resolved | Update its performance measures to ensure that the Violent Crime Apprehension Program (ViCAP) performance metrics being collected are an accurate indicator of ViCAP activities. |
| 164 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 6 | Resolved | Work with its TTA provider to develop and implement coordinator-specific trainings to ensure new and existing coordinators have access to trainings and understand the expectations and responsibilities of the positions. |
| 165 | <u>Audit of the Bureau of Justice Assistance's National Sexual Assault Kit Initiative</u> | OJP | 07/25/2022 | 7 | Resolved | Ensure its grant monitoring, including desk review and in-depth monitoring, accurately document grant-related information and activities; to include the identification of grantees that are struggling to expend grant funds in a timely manner. |
| 166 | <u>Audit of the Office of Justice Programs Bureau of Justice Assistance Fiscal Year 2018 Second Chance Act Comprehensive Community-Based Adult Reentry Program Grant to LOC Family Services LLC, Farmville, Virginia</u> | OJP | 07/18/2022 | 1 | Resolved | Remedy \$1,640 in unallowable salary costs. |
| 167 | <u>Audit of the Office of Justice Programs Bureau of Justice Assistance Fiscal Year 2018 Second Chance Act Comprehensive Community-Based Adult Reentry Program Grant to LOC Family Services LLC, Farmville, Virginia</u> | OJP | 07/18/2022 | 2 | Resolved | Work with LOC to implement a method to allocate costs among specific activities or cost objectives. |
| 168 | <u>Audit of the Office of Justice Programs Bureau of Justice Assistance Fiscal Year 2018 Second Chance Act Comprehensive Community-Based Adult Reentry Program Grant to LOC Family Services LLC, Farmville, Virginia</u> | OJP | 07/18/2022 | 3 | Resolved | Remedy the unsupported direct costs of \$17,326. |

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| 169 | <u>Audit of the Office of Justice Programs Bureau of Justice Assistance Fiscal Year 2018 Second Chance Act Comprehensive Community-Based Adult Reentry Program Grant to LOC Family Services LLC, Farmville, Virginia</u> | OJP | 07/18/2022 | 4 | Resolved | Require that LOC implement cash management procedures to ensure that federal cash-on-hand is kept at or near zero. |
| 170 | <u>Audit of the Office of Justice Programs Bureau of Justice Assistance Fiscal Year 2018 Second Chance Act Comprehensive Community-Based Adult Reentry Program Grant to LOC Family Services LLC, Farmville, Virginia</u> | OJP | 07/18/2022 | 5 | Resolved | Require that LOC develop procedures to guide its compilation and submission of accurate FFRs supported by accounting records. |
| 171 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Pennsylvania Commission on Crime and Delinquency to the Philadelphia Corporation for Aging, Philadelphia, Pennsylvania</u> | OJP | 07/18/2022 | 1 | Resolved | Ensure PCA establishes written protocols specific to Crime Victims Fund (CVF)-funded program operations and distribute these among the relevant personnel. |
| 172 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Pennsylvania Commission on Crime and Delinquency to the Philadelphia Corporation for Aging, Philadelphia, Pennsylvania</u> | OJP | 07/18/2022 | 2 | Resolved | Ensure PCA implements written policies and procedures to help ensure PCA's compliance with the Department of Justice (DOJ) Grants Financial Guide and federal award requirements, including expenditures, budget management, and the reporting of DOJ Federal expenditures in Single Audit Reports. |
| 173 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Pennsylvania Commission on Crime and Delinquency to the Philadelphia Corporation for Aging, Philadelphia, Pennsylvania</u> | OJP | 07/18/2022 | 3 | Resolved | Ensure PCA maintains adequate documentation to support personnel costs charged to the subaward. |
| 174 | <u>Audit of the Office of Justice Programs Victim Assistance Funds Subawarded by the Pennsylvania Commission on Crime and Delinquency to the Philadelphia Corporation for Aging, Philadelphia, Pennsylvania</u> | OJP | 07/18/2022 | 4 | Resolved | Remedy \$1,439 in unapproved employee bonuses charged to the subaward. |

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| 175 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 1 | Resolved | Coordinate with the BOP and FPI, EOUSA, JMD, NSD, and USMS, and other Department components that are subject to JMD's C-SCRM requirements and whose compliance statuses are unknown, to ensure they maintain or develop the procedures and controls necessary to comply with JMD's C-SCRM requirements; incorporate into its C-SCRM program steps to monitor and verify Department compliance with its guidance through periodic outreach, communication, and the establishment of internal controls; and enhance Department awareness of its C-SCRM program, such as through training. |
| 176 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 2 | Resolved | Ensure that its C-SCRM strategy consolidates the existing requirements, including for wireless communications platforms; is refreshed periodically to reflect the latest requirements, standards, and best practices; includes a periodic re-assessment of the Department systems that are most vulnerable or that would cause the greatest organizational impact if compromised; and includes processes that better promote transparency and communication of C-SCRM results to Department components. |
| 177 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 3 | Resolved | Update its C-SCRM risk assessment methodology to assess vulnerabilities, likelihood, and impact, in accordance with NIST 800-161, Revision 1 and CNSS Directive 505; and that its risk assessment also be applied to resellers, particularly those handling IT goods. |
| 178 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 4 | Resolved | Develop policies and procedures that enable it to establish viable mitigation options that are descriptive, actionable, and tailored to the user environment and operational contexts, to be included in risk determination letters as needed; and that it establishes internal controls to monitor Department fulfillment of the mitigating actions. |

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| 179 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | DEA | 07/06/2022 | 5 | Resolved | Establish policies and procedures to ensure ONSI compliance with Intelligence Community Directive 731 and its associated standards. |
| 180 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 6 | Resolved | Enhance its policies, procedures, training and communication, and/or internal controls for the requisition and government purchase card systems to better ensure that purchasing officials understand the C-SCRM requirements and so that applicable requisitions and purchase requests undergo C-SCRM procedures, as required; and develop policies, procedures, and/or internal controls to periodically monitor FBI compliance by identifying and remedying purchases that improperly |
| 181 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 7 | Resolved | Ensure that Acquisition Security Unit analysts receive the training and resources necessary to fulfill IC Standard 731-02's sourcing requirements and that ASU then incorporates the IC Directive 206 sourcing procedures into its vendor threat assessment process; that ASU and the SCRM Unit modify the existing vendor threat assessment process to better align its information collection methodology, risk tolerance levels, and other attributes with the enterprise needs; and that ASU develops policies or procedures to ensure that ASU vendor threat assessments, especially those for high or critical risk vendors, are updated every 2 years, as required by IC Directive 731. |
| 182 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 8 | Resolved | Improve the product vulnerability assessments for mission-critical ICT products by incorporating necessary information from the vendor threat assessments, evaluating vulnerabilities and the ease of exploitability by a threat actor, identifying whether specific mitigations exist to address product vulnerabilities, and assigning a vulnerability rating to each vulnerability identified, to better align the product vulnerability assessment with IC Standard 731-04. |

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| 183 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 9 | Resolved | Improve the procurement risk assessment for mission-critical ICT products by incorporating necessary information from the vendor threat and product vulnerability assessments; complete likelihood and impact analyses for identified vulnerabilities, including assigning likelihood and impact ratings; and document an overall risk score for the procurement, to better align the procurement risk assessment with IC Standard 731-05. |
| 184 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 10 | Resolved | Work with OCIO and the SCRM Unit to track and document ICT product procurement re-direct decisions in order to properly report these procurements to Congress, better improve compliance with IC Standard 731-04, and enhance the FBI's capability to ensure that high-risk products do not bypass C-SCRM processes. |
| 185 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 11 | Resolved | Ensure mitigation actions for ICT products, especially mission-critical ICT products or services, are descriptive, actionable, and tailored to the user environment and operational contexts (including its anonymity of procurement statement); and work with OCIO and the SCRM Unit to create and resource a continuous monitoring program that monitors C-SCRM risks across the FBI, ensures that users understand and follow C-SCRM mitigations identified in the product vulnerability and procurement risk assessments, and develops procedures to periodically monitor and assess user compliance with its C-SCRM mitigation actions. |
| 186 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 12 | Resolved | Better integrate its C-SCRM program across the enterprise and leverage other FBI units that help inform and apply the required processes and risk decisions, such as through the use of a Program Management Office or similar operating model that is led by an accountable FBI executive-level official. |

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| 187 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 13 | Resolved | Establish policies and procedures to evaluate, certify, and submit reports to the Assistant Director of National Intelligence for Acquisition, Technology, and Facilities on the integrity of its organizational supply chain processes every 2 years, in accordance with IC Directive 731. |
| 188 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 14 | Resolved | Designate a senior official from the OCIO as its representative for, and who actively participates on, the Supply Chain and Counterintelligence Risk Management Task Force. |
| 189 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 15 | Resolved | Ensure that ASU updates its vendor threat assessment process to incorporate IC Standard 731-02's required threat level definitions, and that JMD adopts the FBI's revised approach to ensure intra-Department consistency. |
| 190 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 15 | Resolved | Ensure that ASU updates its vendor threat assessment process to incorporate IC Standard 731-02's required threat level definitions, and that JMD adopts the FBI's revised approach to ensure intra-Department consistency. |
| 191 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 16 | Resolved | Establish policies, procedures, and internal controls that ensure they follow Congressional requirements to apply C-SCRM procedures to new FISMA reportable IT systems designated high- or moderate-impact and report C-SCRM statistics to the OIG. FBI and JMD should also contact CNSS to determine if submission of an annual report on the progress and effectiveness of their C-SCRM capabilities remains an active requirement, and if so, establish policies and procedures to ensure that they submit—either separately or jointly—these reports to CNSS annually, in accordance with CNSS Directive 505. |

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| 192 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 16 | Resolved | Establish policies, procedures, and internal controls that ensure they follow Congressional requirements to apply C-SCRM procedures to new FISMA reportable IT systems designated high- or moderate-impact and report C-SCRM statistics to the OIG. FBI and JMD should also contact CNSS to determine if submission of an annual report on the progress and effectiveness of their C-SCRM capabilities remains an active requirement, and if so, establish policies and procedures to ensure that they submit—either separately or jointly—these reports to CNSS annually, in accordance with CNSS Directive 505. |
| 193 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | FBI | 07/06/2022 | 17 | Resolved | Assess how it can better share C-SCRM information within the Department and identify opportunities to bolster C-SCRM information sharing with other federal agencies. |
| 194 | <u>Audit of the Department's Cyber Supply Chain Risk Management Efforts</u> | JMD | 07/06/2022 | 17 | Resolved | Assess how it can better share C-SCRM information within the Department and identify opportunities to bolster C-SCRM information sharing with other federal agencies. |
| 195 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the South Carolina Office of the Attorney General, Columbia, South Carolina</u> | OJP | 06/29/2022 | 1 | Resolved | Remedy the excess \$62,000 awarded in FY 2020. |
| 196 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the South Carolina Office of the Attorney General, Columbia, South Carolina</u> | OJP | 06/29/2022 | 2 | Resolved | Ensures the SCAG implements policies and procedures for retention of grant documentation to maintain program performance support according to grant requirements. |
| 197 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the South Carolina Office of the Attorney General, Columbia, South Carolina</u> | OJP | 06/29/2022 | 3 | Resolved | Ensures the SCAG : (a) performs an analysis to determine if other duplicated charges have been made to the grants; (b) implement controls to ensure that total costs charged to the grants are accurate. |

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| 198 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the South Carolina Office of the Attorney General, Columbia, South Carolina</u> | OJP | 06/29/2022 | 4 | Resolved | Remedy the \$11,110 in unsupported costs charged to the FY 2016 grant. |
| 199 | <u>Limited-Scope Inspection and Review of Video Teleconference Use for Immigration Hearings</u> | EOIR | 06/21/2022 | 1 | Resolved | Ensure that video teleconference (VTC) upgrades in EOIR courtrooms are on schedule and that recent increases to the required minimum bandwidth for immigration courts are sufficient to meet the current needs of the courts. |
| 200 | <u>Limited-Scope Inspection and Review of Video Teleconference Use for Immigration Hearings</u> | EOIR | 06/21/2022 | 5 | Resolved | Consider ways to identify any potential language barriers outside of a group advisal setting. |
| 201 | <u>Limited-Scope Inspection and Review of Video Teleconference Use for Immigration Hearings</u> | EOIR | 06/21/2022 | 6 | Resolved | Continue to explore equipment and services that would make simultaneous interpretation more universally available for immigration hearings. |
| 202 | <u>Limited-Scope Inspection and Review of Video Teleconference Use for Immigration Hearings</u> | EOIR | 06/21/2022 | 11 | Resolved | Continue to pursue methods of improving pre-hearing document transmission, particularly for respondents who are unrepresented and on the MPP docket |
| 203 | <u>Limited-Scope Inspection and Review of Video Teleconference Use for Immigration Hearings</u> | EOIR | 06/21/2022 | 12 | Resolved | Continue the deployment of remote kits to immigration judges to ensure that immigration judges have the equipment necessary to adjudicate hearings efficiently from non-court settings. |
| 204 | <u>Audit of the Office of Justice Programs Grant Awarded to the Pinellas Ex-Offender Re-Entry Coalition, Inc., Clearwater, Florida</u> | OJP | 06/15/2022 | 1 | Resolved | Ensure that the PERC develops and implements measures on its assessment of recidivism risk. |
| 205 | <u>Audit of the Office of Justice Programs Grant Awarded to the Pinellas Ex-Offender Re-Entry Coalition, Inc., Clearwater, Florida</u> | OJP | 06/15/2022 | 2 | Resolved | Ensure that the PERC develops and implements procedures to ensure that each progress report contains accurate information supported by verifiable documentation. |
| 206 | <u>Audit of the Office of Justice Programs Grant Awarded to the Pinellas Ex-Offender Re-Entry Coalition, Inc., Clearwater, Florida</u> | OJP | 06/15/2022 | 3 | Resolved | Ensure that the PERC develops and implements procedures to ensure that expenditures are properly recorded in the accounting records. |

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| 207 | <u>Audit of the United States Marshals Service's Management of Seized Cryptocurrency</u> | USMS | 06/13/2022 | 1 | Resolved | Manage its cryptocurrency inventory records in a property management system designed with the features that are necessary to maintain appropriate controls over these type of assets -particularly a system that logs edit history to prevent fraudulent alteration of the inventory records. |
| 208 | <u>Audit of the United States Marshals Service's Management of Seized Cryptocurrency</u> | USMS | 06/13/2022 | 4 | Resolved | Require the quantity of seized cryptocurrency be recorded in CATS, and in the USMS's inventory record down to a sufficient number of decimal places to ensure that fractional cryptocurrency units are not lost or overlooked due to round or approximation. |
| 209 | <u>Audit of the United States Marshals Service's Management of Seized Cryptocurrency</u> | USMS | 06/13/2022 | 5 | Resolved | Develop and implement policies and procedures to handle cryptocurrency forks that occur for an asset in custody, to include assigning a unique CATS identification number to the new asset. |
| 210 | <u>Audit of the United States Marshals Service's Management of Seized Cryptocurrency</u> | USMS | 06/13/2022 | 7 | Resolved | Ensure all CAU employees are familiar with established policies on appraising and recording the value of seized cryptocurrency. |
| 211 | <u>Management Advisory Memorandum: Notification of Concerns with the Absence of a Policy Regarding FBI Employees Emailing Child Sexual Abuse Material and Other Contraband</u> | FBI | 5/26/2022 | 1 | Resolved | The FBI should clarify its policies regarding the approved methods for transmitting child sexual abuse material (CSAM) and other contraband to prosecutors and other government employees with a need to view the material in their official capacity. |
| 212 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 1 | Resolved | Coordinate with UCS to ensure it adheres to its written subrecipient policies and procedures to adequately document the reasonableness of costs included in each subrecipient budget. |
| 213 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 2 | Resolved | Coordinate with UCS to improve its subrecipient policies and procedures to include a conflict-of-interest policy, a documented interpretation of the Vendor Responsibility Questionnaire to help ensure an appropriate design of subrecipient monitoring plans, and the performance of an excluded party's review on all potential subrecipients. |

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|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 214 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 3 | Resolved | Coordinate with UCS to improve its written subrecipient policies and procedures to include processes for documenting its familiarity with subrecipient financial operations and reviewing Single Audit Reports for timely submission, and follow-up to address deficiencies found in those single audits. |
| 215 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 4 | Resolved | Coordinate with UCS to ensure it adheres to its existing travel policy when expensing travel related funds to the grant. |
| 216 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 5 | Resolved | Review the two consultants' rates that were charged to the grant and remedy any costs as appropriate. |
| 217 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 6 | Resolved | Coordinate with UCS to enhance its policies and procedures to include controls that ensure consultant rates over the maximum allowable rate receive prior approval from the funding agency before being charged to the grant. |
| 218 | <u>Audit of the Office on Violence Against Women Grants Awarded to New York State Unified Court System, New York, New York</u> | OVW | 05/17/2022 | 7 | Resolved | Coordinate with UCS to enhance its policies and procedures for the submission of FFR's that are accurate and timely. |
| 219 | <u>Audit of the Executive Office for United States Attorneys United States Attorneys' Virtual Office Network System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | EOUSA | 05/16/2022 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 220 | <u>Audit of the Executive Office for United States Attorneys United States Attorneys' Virtual Office Network System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | EOUSA | 05/16/2022 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 221 | <u>Audit of the Executive Office for United States Attorneys United States Attorneys' Virtual Office Network System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | EOUSA | 05/16/2022 | 3 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 222 | <u>Audit of the Executive Office for United States Attorneys United States Attorneys' Virtual Office Network System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | EOUSA | 05/16/2022 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 223 | <u>Audit of the Executive Office for United States Attorneys' Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | EOUSA | 05/16/2022 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 224 | <u>Audit of the Executive Office for United States Attorneys' Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | EOUSA | 05/16/2022 | 6 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 225 | <u>Audit of the Office of Justice Programs Awards Made to the Call to Freedom, Inc., Sioux Falls, South Dakota</u> | OJP | 05/16/2022 | 5 | Resolved | Evaluate the total program income earned by the Call to Freedom between the 2018, 2019, and 2020 awards to determine if it was received as a result of award related efforts and appropriately applied to drawdowns. |
| 226 | <u>Audit of the Office of Justice Programs Awards Made to the Call to Freedom, Inc., Sioux Falls, South Dakota</u> | OJP | 05/16/2022 | 6 | Resolved | Ensure that the Call to Freedom develop policies and procedures to properly account for and use program income in compliance with award terms and conditions. |
| 227 | <u>Audit of the Office of Community Oriented Policing Services Anti-Heroin Task Force Program</u> | COPS | 05/04/2022 | 1 | Resolved | Work with its Grant Operations Directorate to implement a written SOP that documents processes and contains essential instructions to complete critical grant lifecycle procedures and informs employees of operational responsibilities for the different sections, particularly those within the Grant Administration Division. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 228 | <u>Audit of the Office of Community Oriented Policing Services Anti-Heroin Task Force Program</u> | COPS | 05/04/2022 | 2 | Resolved | Update the AHTF Program application guide with the revised performance measures and implement processes to assess the outcome of its AHTF Program performance measures. |
| 229 | <u>Audit of the Office of Community Oriented Policing Services Anti-Heroin Task Force Program</u> | COPS | 05/04/2022 | 3 | Resolved | Establish procedures to enhance the review process of progress reports to analyze the completeness, accuracy, and success of the AHTF Program. |
| 230 | <u>Audit of the Office of Community Oriented Policing Services Anti-Heroin Task Force Program</u> | COPS | 05/04/2022 | 4 | Resolved | Meet with responsible officials at other DOJ components to assess ways to strengthen information-sharing and coordination related to heroin and opioid programs. |
| 231 | <u>Management Advisory Memorandum: Notification of a Need to Heighten Awareness of and Compliance with Laws and Regulations Relating to Procurements from Foreign Countries</u> | FPI | 4/27/2022 | 1 | Resolved | Ensure that all current UNICOR contracts are compliant with laws and regulations governing foreign procurements. |
| 232 | <u>Management Advisory Memorandum: Notification of a Need to Heighten Awareness of and Compliance with Laws and Regulations Relating to Procurements from Foreign Countries</u> | FPI | 4/27/2022 | 2 | Resolved | Ensure that relevant UNICOR officials are trained to understand the laws and regulations governing foreign procurements. |
| 233 | <u>Management Advisory Memorandum: Notification of a Need to Heighten Awareness of and Compliance with Laws and Regulations Relating to Procurements from Foreign Countries</u> | FPI | 4/27/2022 | 3 | Resolved | Consider whether all UNICOR procurements involving products with any foreign nexus, or UNICOR procurements involving products with any foreign nexus over a certain threshold dollar amount, should undergo legal review before being finalized. |
| 234 | <u>Audit of the Office on Violence Against Women Domestic Violence Homicide Prevention Demonstration Initiative Phase Two Cooperative Agreement Awarded to Winnebago County, Rockford, Illinois</u> | OVW | 03/30/2022 | 1 | Resolved | Remedy the \$1,393 in unsupported personnel costs and require Winnebago County to provide documentation to support that the remaining salary and fringe benefits charged to the grant for the Site Coordinator position were fully supported and allowable under the terms and conditions of the award. |

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|-----|---|-----------|-------------|------------------------|--------------------------|--|
| 235 | <u>Audit of the Office on Violence Against Women Domestic Violence Homicide Prevention Demonstration Initiative Phase Two Cooperative Agreement Awarded to Winnebago County, Rockford, Illinois</u> | OVW | 03/30/2022 | 2 | Resolved | Remedy the \$20,149 in unsupported costs resulting from contractor overbillings. |
| 236 | <u>Audit of the Office on Violence Against Women Domestic Violence Homicide Prevention Demonstration Initiative Phase Two Cooperative Agreement Awarded to Winnebago County, Rockford, Illinois</u> | OVW | 03/30/2022 | 3 | Resolved | De-obligate the \$21,728 in remaining unused grant funds. |
| 237 | <u>Audit of the Office on Violence Against Women Domestic Violence Homicide Prevention Demonstration Initiative Phase Two Cooperative Agreement Awarded to Winnebago County, Rockford, Illinois</u> | OVW | 03/30/2022 | 4 | Resolved | Ensure Winnebago County develops and implements formal written policies and procedures for payroll, contractor oversight, drawdown requests, and FFRs. |
| 238 | <u>Audit of the Justice Management Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | JMD | 03/30/2022 | 3 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 239 | <u>Audit of the Justice Management Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | JMD | 03/30/2022 | 4 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 240 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 11 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 241 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 12 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|---|-----------|-------------|------------------------|--------------------------|---|
| 242 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 13 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 243 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 14 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 244 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 25 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 245 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 27 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 246 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 28 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 247 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 32 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 248 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 33 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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|-----|---|-----------|-------------|------------------------|--------------------------|--|
| 249 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 34 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 250 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 43 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 251 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 44 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 252 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 45 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 253 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 46 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 254 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FBI | 03/30/2022 | 47 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 255 | <u>Management Advisory Memorandum: Recommendations Regarding the Immigration Judge and Board of Immigration Appeals Member Hiring Process</u> | EOIR | 03/30/2022 | 1 | Resolved | The Department, consulting with EOIR as appropriate, should revise the IJ and Board Member hiring policy to clarify the meaning and use of the term "first-tier" candidate in the hiring process, the criteria for determining who is a "first-tier" candidate, and the criteria for determining which candidates qualify for a first-round interview. |

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|-----|--|-----------|-------------|------------------------|--------------------------|--|
| 256 | <u>Management Advisory Memorandum: Recommendations Regarding the Immigration Judge and Board of Immigration Appeals Member Hiring Process</u> | EOIR | 03/30/2022 | 2 | Resolved | The Department, consulting with EOIR as appropriate, should revise the IJ and Board Member hiring policy to clarify how Supervisory IJ evaluations for IJ candidates and current Board Member evaluations for Board Member candidates are weighted in determining whether a candidate is selected for a DAG-panel interview. The IJ and Board Member hiring policy should specify the positive and negative factors that will be considered in addition to the Supervisory IJ or current Board Member evaluations in determining whether a candidate is selected for a DAG-panel interview. In addition, the Department, consulting with EOIR as appropriate, should revise the IJ and Board Member hiring policy to require the Director or designee to memorialize in writing the justification to support a candidate who received two or more negative Supervisory IJ or current Board Member evaluations, or other predominantly negative factors specified under the IJ and Board Member hiring policy, but was still given a DAG-panel interview. |
| 257 | <u>Management Advisory Memorandum: Recommendations Regarding the Immigration Judge and Board of Immigration Appeals Member Hiring Process</u> | EOIR | 03/30/2022 | 3 | Resolved | The Department, consulting with EOIR as appropriate, should revise the IJ and Board Member hiring policy to provide guidelines on how the recommendation of the DAG-panel is determined (i.e., by vote or other method) and ensure that EOIR maintains records that memorialize the DAG-panel recommendation |
| 258 | <u>Audit of a Court Services and Offender Supervision Agency's System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 1 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 259 | <u>Audit of a Court Services and Offender Supervision Agency's System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 2 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|--|-----------|-------------|------------------------|--------------------------|---|
| 260 | <u>Audit of a Court Services and Offender Supervision Agency's System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 3 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 261 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 2 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 262 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 10 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 263 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 11 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 264 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | CSOSA | 03/23/2022 | 12 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 265 | <u>Audit of the Federal Prison Industries, Inc.'s Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FPI | 03/23/2022 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 266 | <u>Audit of the Federal Prison Industries, Inc.'s Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | FPI | 03/23/2022 | 5 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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| 267 | <u>Audit of the Office of Justice Programs Second Chance Act Adult Reentry Initiative Grant Awarded to Connecticut Department of Correction, Wethersfield, Connecticut</u> | OJP | 03/21/2022 | 6 | Resolved | Remedy the \$5,300 in unsupported consultant travel costs. |
| 268 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 1 | Resolved | Ensure facility staff are aware of resources available to assist in the acquisition process and more thoroughly document its training provided to facility staff responsible for completing acquisition planning tasks. |
| 269 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 2 | Resolved | Obtain feedback regarding training currently provided to its facility staff and enhance its training and resources related to preparing adequate RCAs and completing technical evaluations. |
| 270 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 3 | Resolved | Ensure that written acquisition plans, including milestones, are completed for CMS acquisitions and ensure that the established milestones are monitored and any delays, and associated causes and steps taken to address delays, are documented in the contract file. |
| 271 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 4 | Resolved | Review its use of JOFOCs for CMS acquisitions to ensure compliance with regulations and ensure staff understand the requirements when contracting without full and open competition. |
| 272 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 5 | Resolved | Implement a process to properly justify, manage, and monitor all CMS contracting made without full and open competition. |
| 273 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 6 | Resolved | Enhance its controls to ensure its contract files comply with regulations for maintaining documentation related to contract modifications. |

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| 274 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 7 | Resolved | Review and enhance its policies and procedures to ensure that those delegated to administer CMS contracts are appropriately certified, and that appropriate delegations are in place. |
| 275 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 8 | Resolved | Ensure that BOP staff delegated performance surveillance responsibilities complete required performance reporting tasks and maintain supporting documentation for the contractor's ratings. |
| 276 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 9 | Resolved | Provide facility staff guidance and tools for steps that can be taken when contract requirements are not fulfilled in a timely manner. |
| 277 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 10 | Resolved | Implement a reliable, consistent process throughout all BOP facilities to monitor wait times outside inmate appointments and the causes for cancelled or rescheduled appointments in order to ensure that inmates receive timely medical care. |
| 278 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 11 | Resolved | Implement specific policies and procedures for reviewing billing submitted using Medicare-based rates, and that the BOP ensure that facilities utilize the third-party adjudication vendor. |
| 279 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 12 | Resolved | Implement Bureau-wide policies and standards for CMS contract billings, to include appropriate supporting documentation, at all facilities. |
| 280 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 14 | Resolved | Develop and implement policies and procedures emphasizing responsibilities and authority of staff involved with CMS contracts. |

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| 281 | <u>Audit of the Federal Bureau of Prisons Comprehensive Medical Services Contracts Awarded to the University of Massachusetts Medical School</u> | BOP | 03/16/2022 | 15 | Resolved | Develop contingency plans to ensure invoices are paid timely in accordance with the Prompt Payment Act to avoid interest payments during disruptions to normal operations caused by extraordinary circumstances such as a government shutdown. |
| 282 | <u>Audit of the Drug Enforcement Administration's Spider Core System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 283 | <u>Audit of the Drug Enforcement Administration's Spider Core System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 284 | <u>Audit of the Drug Enforcement Administration's Spider Core System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 3 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 285 | <u>Audit of the Drug Enforcement Administration's Spider Core System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 286 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 287 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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| 288 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 7 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 289 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 8 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 290 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 10 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 291 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 11 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 292 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | DEA | 03/14/2022 | 12 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 293 | <u>Audit of the Antitrust Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | ATR | 03/14/2022 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 294 | <u>Audit of the Antitrust Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2021</u> | ATR | 03/14/2022 | 8 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 295 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 1 | Resolved | Ensure Red Wind develops and implements policies and procedures for tracking and documenting performance measure data to ensure progress reports are accurate and properly supported. |
| 296 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 2 | Resolved | Ensure that Red Wind enhances its accounting system and the accounting policies and procedures to ensure that it maintains complete and accurate accounting records for the awards. |
| 297 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 3 | Resolved | Coordinate with Red Wind to enhance its policies and procedures related to segregation of duties and include specific language regarding SAM verification of employees, subrecipients, and contractors. |
| 298 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 4 | Resolved | Ensure Red Wind updates and enforces the BOD Bylaws. |
| 299 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 6 | Resolved | Require Red Wind to develop and implement formal written policies and procedures to ensure that Red Wind's contractor and subrecipient agreements contain the proper elements and Red Wind conducts adequate oversight and monitoring of its contractors and subrecipients as outlined in the DOJ Grants Financial Guide. |
| 300 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 7 | Resolved | Ensure that Red Wind develop and implement policies and procedures to properly account for the indirect costs charged, including the basis used to calculate those amounts. |
| 301 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 8 | Resolved | Ensure that Red Wind implement policies and procedures documenting its drawdown process. |
| 302 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 9 | Resolved | Remedy the \$229,845 of unsupported costs for excess funds drawn down through March 20, 2021. |

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|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 303 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 10 | Resolved | Work with Red Wind to develop formal written FFR policies and procedures to ensure accurate FFRs are submitted. |
| 304 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 11 | Resolved | Require Red Wind to correct and resubmit, as necessary, any inaccurate FFRs for awards that are still ongoing. |
| 305 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5a | Resolved | Remedy \$2,963 in unallowable salary costs. |
| 306 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5b | Resolved | Remedy \$691 in unsupported expenditures related to staff travel costs. |
| 307 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5b | Resolved | Remedy \$1,622 in unallowable expenditures related to staff travel costs. |
| 308 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5c | Resolved | Remedy \$32,405 in unallowable contractor and subrecipient questioned costs. |
| 309 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5c | Resolved | Remedy \$40,850 in unsupported contractor and subrecipient questioned costs. |
| 310 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5d | Resolved | Remedy \$600 in unsupported other direct questioned costs. |
| 311 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to Red Wind Consulting, Inc., Colorado Springs, Colorado</u> | OVW | 03/09/2022 | 5d | Resolved | Remedy \$1,999 in unallowable other direct questioned costs. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 312 | <u>Audit of the Federal Bureau of Investigation's Biometric Algorithm Purchase Order Awarded to Idemia National Security Solutions, LLC</u> | FBI | 02/28/2022 | 4 | Resolved | For future option years and procurements related to this award, select a procurement vehicle suitable for acquisitions that exceed the SAT; and ensure that the selected vehicle conforms to the uniform contract format in FAR Subpart 15.204-1, which requires agencies to include certain clauses to ensure accountability for performance, privacy, worker protections, and intellectual property, thereby mitigating legal and financial exposure. |
| 313 | <u>Audit of the Federal Bureau of Investigation's Biometric Algorithm Purchase Order Awarded to Idemia National Security Solutions, LLC</u> | FBI | 02/28/2022 | 1c | Resolved | Update its policies and procedures to: c. include guidelines for succession planning to demonstrate that historical knowledge of the June 2018 PO is preserved in a manner that facilitates effective, continuous administration and oversight of the June 2018 PO. |
| 314 | <u>Audit of the Federal Bureau of Investigation's Biometric Algorithm Purchase Order Awarded to Idemia National Security Solutions, LLC</u> | FBI | 02/28/2022 | 3a | Resolved | Enhance its policies and procedures: a. on cost and price analysis policies and procedures to require that contracting officials document all relevant supporting information, such as data sources, underlying assumptions, and methodologies, in accordance with the FAR. |
| 315 | <u>Audit of the Federal Bureau of Investigation's Biometric Algorithm Purchase Order Awarded to Idemia National Security Solutions, LLC</u> | FBI | 02/28/2022 | 3c | Resolved | Enhance its policies and procedures: c. to include lead time minimums for clarity and realism and require contracting officials to notify program officials of expiring contracts in a timely manner. |
| 316 | <u>Audit of the Federal Bureau of Investigation's Biometric Algorithm Purchase Order Awarded to Idemia National Security Solutions, LLC</u> | FBI | 02/28/2022 | 5a | Resolved | Train contracting officials on: a. the tenets of a complete contract file that complies with FAR requirements and internal policies regarding contract file maintenance, training, and document retention. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 317 | <u>Audit of the Federal Bureau of Investigation's Biometric Algorithm Purchase Order Awarded to Idemia National Security Solutions, LLC</u> | FBI | 02/28/2022 | 5b | Resolved | Train contracting officials on: b. policies and procedures (i.e., ARG) related to FPDS-NG reporting and certification requirements and enhance policies and procedures to improve the timeliness, accuracy, and completeness of the contract data reported in FPDS-NG. |
| 318 | <u>Management Advisory Memorandum: Notification of Concerns Identified in the Federal Bureau of Prisons' Acquisition and Administration of Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Community Corrections Management Inmates</u> | BOP | 02/22/2022 | 1 | Resolved | Enhance its procurement process for acquiring medical services provided to CCM inmates to ensure compliance with the FAR and BOP policy and procedures. This includes: (1) coordinating with all relevant divisions within the BOP to ensure sufficient timeframes for acquisition planning that incorporates proper requirements into procurement awards; and (2) ensuring that adequate competition is used for medical services procurements, unless a sole-source procurement is adequately justified in compliance with the FAR. |
| 319 | <u>Management Advisory Memorandum: Notification of Concerns Identified in the Federal Bureau of Prisons' Acquisition and Administration of Procurements Awarded to NaphCare, Inc. for Medical Services Provided to Community Corrections Management Inmates</u> | BOP | 02/22/2022 | 2 | Resolved | Enhance policies and procedures to ensure that qualified contracting officials review and approve contractor invoices submitted and paid for medical services provided to CCM inmates. |
| 320 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 1 | Resolved | Ensure AVP implements written performance reporting policies and procedures to ensure its reports are accurate, submitted timely, and reflect an appropriate share of accomplishments towards achieving federally assisted activities. |
| 321 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 2 | Resolved | Ensure AVP implements policies and procedures to ensure compliance with its federal grant award conditions. |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|--|-----------|-------------|------------------------|-----------------------|--|
| 322 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 3 | Resolved | Ensure AVP implements written federal grant administration policies and procedures to ensure compliance with the DOJ Grants Financial Guide and other federal grant award requirements. |
| 323 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 4 | Resolved | Remedy \$601,578 in unsupported personnel expenditures. |
| 324 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 5 | Resolved | Remedy \$4,848 in unallowable pre-award personnel and fringe expenditures |
| 325 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 6 | Resolved | Ensure AVP implements written policies and procedures to ensure personnel expenditures charged to its federal grants are based on records that accurately reflect work performed and support a reasonable allocation or distribution of costs among specific activities or cost objectives when recipients work on multiple grant programs or cost activities. |
| 326 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 7 | Resolved | Remedy \$78,667 in unsupported fringe benefits expenditures |
| 327 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 8 | Resolved | Ensure AVP implements written policies and procedures to ensure fringe benefit expenditures are accurate and calculated correctly. |
| 328 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 9 | Resolved | Remedy \$67,831 in unsupported other direct costs. |

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|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 329 | <u>Audit of the Office on Violence Against Women Legal Assistance for Victims Grant Awarded to the New York City Gay and Lesbian Anti-Violence Project, New York, New York</u> | OVW | 02/09/2022 | 10 | Resolved | Ensure AVP implements written policies and procedures to ensure program costs are approved by OVW, allocable to the grant, and supported with adequate documentation necessary to demonstrate compliance with its purchasing procedures and the federal grant requirements. |
| 330 | <u>Audit of the Phelps County Sheriff's Department's Equitable Sharing Program Activities, Rolla, Missouri</u> | CRM | 01/25/2022 | 2 | Resolved | Ensure the Phelps County SD separately accounts for its DOJ Equitable Sharing funds. |
| 331 | <u>Audit of the Phelps County Sheriff's Department's Equitable Sharing Program Activities, Rolla, Missouri</u> | CRM | 01/25/2022 | 3 | Resolved | Ensure that appropriate Phelps County personnel have access to and are properly trained in accessing the eShare Portal so that receipts can be properly identified, reconciled, and accounted for in a timely manner. |
| 332 | <u>Audit of the Phelps County Sheriff's Department's Equitable Sharing Program Activities, Rolla, Missouri</u> | CRM | 01/25/2022 | 4 | Resolved | Remedy the \$4,744 in unsupported questioned costs. |
| 333 | <u>Audit of the Phelps County Sheriff's Department's Equitable Sharing Program Activities, Rolla, Missouri</u> | CRM | 01/25/2022 | 6 | Resolved | Ensure the Phelps County SD's property management practices result in an inventory system that accurately and adequately tracks property purchased with DOJ equitable sharing funds. |
| 334 | <u>Audit of the Phelps County Sheriff's Department's Equitable Sharing Program Activities, Rolla, Missouri</u> | CRM | 01/25/2022 | 7 | Resolved | Ensure the Phelps County SD develops formal, written ESAC report preparation procedures to help ensure consistent, accurate, and timely completion of ESAC reports. |
| 335 | <u>Audit of the Phelps County Sheriff's Department's Equitable Sharing Program Activities, Rolla, Missouri</u> | CRM | 01/25/2022 | 8 | Resolved | Determine whether the Phelps County SD should submit corrected ESAC reports for FYs 2018 through 2020. |

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| 336 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to the Abused Adult Resource Center, Bismarck, North Dakota</u> | OVW | 01/18/2022 | 3 | Resolved | Remedy \$6,860 in unsupported questioned costs related to \$4,542 in unsupported salary and fringe benefit personnel costs, and \$2,318 in unsupported other direct costs. |
| 337 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to the Abused Adult Resource Center, Bismarck, North Dakota</u> | OVW | 01/18/2022 | 4 | Resolved | Coordinate with AARC to remedy \$4,132 in unallowable questioned other direct costs. |
| 338 | <u>Audit of the Office on Violence Against Women Cooperative Agreements Awarded to the Abused Adult Resource Center, Bismarck, North Dakota</u> | OVW | 01/18/2022 | 6 | Resolved | Remedy the \$22,267 in unsupported questioned costs related to excess drawdowns. |
| 339 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Prince George's County Government, Upper Marlboro, Maryland</u> | OJP | 01/04/2022 | 3 | Resolved | Require that PGPD work with the County's Office of Finance to ensure that PGSAO reconciles award expenses to the general ledger prior to making a reimbursement request for these costs. |
| 340 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Prince George's County Government, Upper Marlboro, Maryland</u> | OJP | 01/04/2022 | 5 | Resolved | Remedy \$10,723 in questioned costs related to unallowable fringe benefit charges. |
| 341 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to Prince George's County Government, Upper Marlboro, Maryland</u> | OJP | 01/04/2022 | 6 | Resolved | Require PGPD to implement a policy and procedure to ensure matching costs are properly supported by the award close-out date. Such action must ensure that PGPD met its matching requirement and tracks all matching transactions in the County's financial system. |
| 342 | <u>Audit of the Federal Prison Industries, Inc. Annual Financial Statements Fiscal Year 2021</u> | FPI | 12/21/2021 | 1 | On Hold/Pending with OIG | Design and implement policies and procedures to assess changes in accounting standards. (Updated) |
| 343 | <u>Audit of the Federal Prison Industries, Inc. Annual Financial Statements Fiscal Year 2021</u> | FPI | 12/21/2021 | 2 | On Hold/Pending with OIG | Enhance its training programs to enable staff to identify and respond to required accounting principles. (Updated) |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
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| 344 | <u>Audit of the U.S. Department of Justice Annual Financial Statements Fiscal Year 2021</u> | ALLDOJ | 12/21/2021 | 1 | On Hold/Pending with OIG | Design and implement a control for Justice Management Division (JMD) and the components to monitor and evaluate significant changes to operations or financial reporting processes within the Department that will identify, analyze, and respond to financial reporting risks, such as the adoption of new accounting standards, implementations and conversions of financially relevant systems, and utilization of new services organizations supporting the Department. (New) |
| 345 | <u>Audit of the U.S. Department of Justice Annual Financial Statements Fiscal Year 2021</u> | ALLDOJ | 12/21/2021 | 2 | On Hold/Pending with OIG | Design and implement effective internal control processes for JMD and the components to review and monitor service organization control risks to ensure that ineffective controls performed by service organizations are evaluated and appropriate compensating controls are designed and implemented. (New) |
| 346 | <u>Audit of the U.S. Department of Justice Annual Financial Statements Fiscal Year 2021</u> | ALLDOJ | 12/21/2021 | 3 | On Hold/Pending with OIG | Design, implement, and execute policies and procedures for JMD and the components to identify and investigate significant variances across all certified financial statements and notes. (New) |
| 347 | <u>Audit of the Federal Bureau of Prisons Annual Financial Statements Fiscal Year 2021</u> | BOP | 12/21/2021 | 1 | On Hold/Pending with OIG | Continue to provide training to personnel over existing policies and procedures related to financial statement preparation and review, as started at year-end, including when there are changes in personnel. (New) |
| 348 | <u>Audit of the Federal Bureau of Prisons Annual Financial Statements Fiscal Year 2021</u> | BOP | 12/21/2021 | 2 | On Hold/Pending with OIG | Continue to ensure reviews are performed by individuals with the appropriate knowledge and experience, as started at year-end. (New) |
| 349 | <u>Audit of the Federal Bureau of Prisons Annual Financial Statements Fiscal Year 2021</u> | BOP | 12/21/2021 | 3 | On Hold/Pending with OIG | Perform a periodic, at least annually, aging analysis over open construction in process projects. (New) |

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| 350 | <u>Audit of the Assets Forfeiture Fund and Seized Asset Deposit Fund Annual Financial Statements Fiscal Year 2021</u> | JMD | 12/21/2021 | 1 | On Hold/Pending with OIG | Finalize and implement its Asset Forfeiture Financial Management Guide to clarify accounting requirements for Asset Forfeiture Program participants to adhere to timely data input to Consolidated Asset Tracking System, including forfeiture decisions that directly impact the recognition of revenue. (New) |
| 351 | <u>Audit of the Assets Forfeiture Fund and Seized Asset Deposit Fund Annual Financial Statements Fiscal Year 2021</u> | JMD | 12/21/2021 | 2 | On Hold/Pending with OIG | Develop new and/or enhance existing process controls for participating agencies and monitoring controls within the Asset Forfeiture Management Staff to ensure participating agencies timely record transactions. (New) |
| 352 | <u>Audit of the Assets Forfeiture Fund and Seized Asset Deposit Fund Annual Financial Statements Fiscal Year 2021</u> | JMD | 12/21/2021 | 3 | On Hold/Pending with OIG | Enhance existing processes to analyze potential out-of-period revenue transactions, and formally document the evaluation results to include a consideration of materiality and the impact on the prior period financial statements. (New) |
| 353 | <u>Audit of the Bureau of Alcohol, Tobacco, Firearms and Explosives' Monitoring of 3-D Firearm Printing Technology</u> | ATF | 12/20/2021 | 4 | Resolved | Establish expanded protocols to more effectively collect data on recovered firearms made entirely using 3-D printers and "hybrid" firearms made with a 3-D printed frame or receiver. This action may include modification of ATF's case management or firearm tracing systems to permit specific designation of such recovered firearms. |
| 354 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to the Alamo Area Rape Crisis Center, dba the Rape Crisis Center, San Antonio, Texas</u> | OJP | 12/13/2021 | 2 | Resolved | Coordinate with RCC to remedy the \$235,336 in unsupported questioned costs related to \$566 in unsupported personnel costs, \$56,084 in unsupported contractor costs, \$50,036 in unsupported other direct costs, and \$128,650 in unsupported matching costs. |
| 355 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to the Alamo Area Rape Crisis Center, dba the Rape Crisis Center, San Antonio, Texas</u> | OJP | 12/13/2021 | 3 | Resolved | Coordinate with RCC to remedy the \$101,321 in unallowable questioned costs related to \$36,010 in unallowable personnel costs, \$47,865 in unallowable contractor costs, and \$17,446 in unallowable other direct costs. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 356 | <u>Audit of the Office of Justice Programs Cooperative Agreement Awarded to the Alamo Area Rape Crisis Center, dba the Rape Crisis Center, San Antonio, Texas</u> | OJP | 12/13/2021 | 5 | Resolved | Coordinate with RCC to ensure that it meets its matching requirement, maintains accounting records to track matching costs charged to the award, and implements new policies and procedures to ensure matching costs are properly supported. |
| 357 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 1 | Resolved | Ensure CCPD maintains adequate documentation that reflects the grant-funded officers' progress and achievements in enhancing CCPD's community policing efforts, particularly within the primary focus and problem area. |
| 358 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 2 | Resolved | Ensure CCPD develops and implements policies and procedures to ensure accomplishments reported in its progress reports are adequately supported and accurately reflect grant activities during the reporting period. |
| 359 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 3 | Resolved | Ensure CCPD develops and implements policies and procedures to ensure sworn officer positions awarded under the CHP award are retained with state or local funds for a minimum of 12 months following the conclusion of 36 months of federal funding for each position. |
| 360 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 4 | Resolved | Require CCPD to establish a financial system that corrects internal control deficiencies and produces consistent, accurate, reliable, and verifiable reporting. |
| 361 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 5 | Resolved | Ensure CCPD develops and implements written policies and procedures for grant administration, including accounting and recordkeeping, to ensure compliance with applicable laws, regulations, and award terms and conditions., |

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| 362 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 9 | Resolved | Require CCPD to develop and implement policies and procedures to ensure accurate accounting of grant expenditures and local match, including payroll and fringe benefit expenditures, and ensure that records clearly demonstrate the local match contribution amount, source, and date. |
| 363 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 10 | Resolved | Ensure CCPD develops and implements written policies and procedures to ensure underlying records reconcile with the official accounting records to comply with budget management requirements. |
| 364 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 11 | Resolved | Ensure CCPD develops and implements written policies and procedures for drawing down award funds based on actual payroll data from the Camden County financial management system and retains that documentation. |
| 365 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Camden County Police Department, Camden, New Jersey</u> | COPS | 11/17/2021 | 12 | Resolved | Ensure CCPD develops and implements written policies and procedures to ensure project costs, both federal share expenditures and local match expenditures, are adequately supported and reconciled with Camden County's financial management system. |
| 366 | <u>Management Advisory Memorandum: Notification of Needed Upgrades to the Federal Bureau of Prisons' Security Camera System</u> | BOP | 10/27/2021 | 1 | Resolved | Develop a comprehensive strategic plan for transitioning to a fully digital security camera system that, among other things: a. identifies enhancements needed to address camera functionality and coverage deficiencies, b. provides cost projections and the BOP appropriations account to fund the upgrades, and c. includes an estimated timeline for completion of the work. |

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| 367 | <u>Audit of the Federal Bureau of Investigation's Execution of Its Woods Procedures for Applications Filed with the Foreign Intelligence Surveillance Court Relating to U.S. Persons</u> | FBI | 09/29/2021 | 4 | Resolved | Develop and implement policy that describes the expectations for supervisory review of Woods Files. Specifically, this policy should clearly convey the requirement for reviewers to confirm support for all statements of fact in each application and provide for better evidence of the supervisory review process that goes beyond simply signing the Woods Form. As part of this policy modification, the FBI should also consider options for incorporating an element of independent verification of the Woods File during the FISA application process. |
| 368 | <u>Audit of the Federal Bureau of Investigation's Execution of Its Woods Procedures for Applications Filed with the Foreign Intelligence Surveillance Court Relating to U.S. Persons</u> | FBI | 09/29/2021 | 5 | Resolved | Provide NSD OI the results of the CDC accuracy reviews as they are completed and incorporate this requirement into appropriate FBI policy. |
| 369 | <u>Audit of the Federal Bureau of Investigation's Execution of Its Woods Procedures for Applications Filed with the Foreign Intelligence Surveillance Court Relating to U.S. Persons</u> | FBI | 09/29/2021 | 6 | Resolved | Enhance the CDC accuracy review process to ensure necessary corrective actions are, in fact, taken to address deficiencies identified in CDC accuracy reviews and that these actions are documented. |
| 370 | <u>Audit of the Federal Bureau of Investigation's Execution of Its Woods Procedures for Applications Filed with the Foreign Intelligence Surveillance Court Relating to U.S. Persons</u> | FBI | 09/29/2021 | 7 | Resolved | Designate a headquarters entity with responsibility for ensuring accountability and efficacy of the Woods Procedures across the FBI. |
| 371 | <u>Review of the Federal Bureau of Investigation's Adjudication Process for Misconduct Investigations</u> | FBI | 09/28/2021 | 1 | Resolved | Update FBI policy to cover summary dismissal, including the criteria for its use, as well as the procedural and oversight processes that differentiate summary dismissal from other adverse disciplinary actions. |
| 372 | <u>Review of the Federal Bureau of Investigation's Adjudication Process for Misconduct Investigations</u> | FBI | 09/28/2021 | 2 | Resolved | Update FBI policy to cover last chance agreements, including eligibility criteria and standard conditions included in the agreements. |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|--|-----------|-------------|------------------------|-----------------------|---|
| 373 | <u>Review of the Federal Bureau of Investigation's Adjudication Process for Misconduct Investigations</u> | FBI | 09/28/2021 | 4 | Resolved | Ensure that FBI OPR has the information it needs to adjudicate all cases by ensuring that every FBI misconduct investigation is completed, regardless of whether the subject separates. |
| 374 | <u>Review of the Federal Bureau of Investigation's Adjudication Process for Misconduct Investigations</u> | FBI | 09/28/2021 | 5 | Resolved | Write a memorandum for each misconduct file documenting a substantiation decision and the evidence supporting it in all cases in which an employee separates under inquiry. |
| 375 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 1 | Resolved | Ensure that the VCCB develop an operational manual to include the procedures regarding the processes for handling victim compensation claims from receipt of application to final distribution of payments, record retention requirements, and other processes performed within the VCCB. |
| 376 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 2 | Resolved | Ensure the VCCB establish controls and develop formalized procedures for preparing its annual Crime Victim State Certification Form and retaining copies of submitted certifications and documentation supporting the reported information. |
| 377 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 3 | Resolved | Work with the VCCB to determine if its 2015 - 2020 Crime Victim State Certification Forms accurately reflected all activity and payments and take necessary steps to recover any awarded funds as appropriate. |
| 378 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 4 | Resolved | Ensure that the VCCB take immediate steps to address the issues we identified by documenting procedures for compiling its annual and quarterly performance reports and ensure that the information reported is accurate and fully supported. |

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| 379 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 5 | Resolved | Ensure that the VCCB establishes procedures for monitoring its compliance with grant special conditions. |
| 380 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 6 | Resolved | Work with the VCCB to ensure that record retention procedures are developed and implemented so that important and required documentation is retained in accordance with applicable criteria, and to ensure that the VCCB updates its grant ledgers to reflect all activity including any adjustments for cancelled grant expenditures. |
| 381 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 7 | Resolved | Work with the VCCB to remedy \$242,288 in questioned costs related to unsupported victim compensation payments. |
| 382 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 8 | Resolved | Ensure that the VCCB follow applicable guidance regarding expense category limitations. |
| 383 | <u>Audit of the Office of Justice Programs Victim Compensation Grants Awarded to the State of Alaska, Violent Crimes Compensation Board, Anchorage, Alaska</u> | OJP | 09/22/2021 | 9 | Resolved | Work with the VCCB to remedy \$6,540 in questioned costs related to unallowable victim compensation payments. |
| 384 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 1 | Resolved | In coordination with JMD, implement policies and procedures to ensure that contracting duties are: (1) retained by Tax Division contracting officers; or (2) appropriately designated to other qualified Tax Division personnel who have received a written designation letter and training commensurate with the duties being designated. |

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| 385 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 2 | Resolved | Determine whether the Tax Division Guidance is needed, and if it is, update the guidance and ensure trial attorneys have and use the updated guidance as intended. |
| 386 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 3 | Resolved | Ensure that it develops written acquisition plans, in accordance with Federal Acquisition Regulation (FAR) requirements, for its expert witness services contracts. |
| 387 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 4 | Resolved | Ensure its expert witness services contracts are supported with adequate and documented market research in accordance with FAR requirements. |
| 388 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 5 | Resolved | Ensure that its contracting officers conduct adequate price reasonableness determinations and obtain certified cost or pricing data, where necessary, to ensure the Tax Division is in compliance with the FAR and is receiving a fair and reasonable price for expert witness services. |
| 389 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 6 | Resolved | Incorporate the mandatory whistleblower protections in all ongoing expert witness services contracts greater than \$250,000 as prescribed in FAR Subpart 3.908-9 and ensure the necessary whistleblower protections are incorporated on future contracts. |
| 390 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 7 | Resolved | Require future invoices for contract expert witness services to contain adequate descriptions that clearly tie to contract deliverables. |
| 391 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 8 | Resolved | Reiterate to all staff involved in the review and approval of invoices their responsibilities in the invoice review process and ensure this staff has all necessary guidance and policy to fully execute their responsibilities. |
| 392 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 9 | Resolved | Remedy the \$9,350 in unsupported expert witness services costs. |

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| 393 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 10 | Resolved | Remedy the \$13,016 in unallowable labor costs and \$1,930 in unallowable travel costs. |
| 394 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 11 | Resolved | Ensure quality assurance surveillance plans are developed and documented in compliance with FAR requirements and support the Tax Division's efforts to receive the services in accordance with the contract terms and conditions listed in the statement of work. |
| 395 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 13 | Resolved | Ensure that appropriate official contracting personnel are involved in future contract modifications to reduce the risk of FAR non-compliance. |
| 396 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 14 | Resolved | Establish guidance to enhance its invoice review process to include a determination of whether the services provided are expert witness services or litigative consulting. |
| 397 | <u>Audit of Certain Tax Division Contracts Awarded for Expert Witness Services</u> | TAX | 09/22/2021 | 15 | Resolved | Disseminate JMD guidance on the use of the Fees and Expenses for Witnesses (FEW) Appropriation to all relevant staff, including its trial attorneys. |
| 398 | <u>Review of the Institutional Hearing and Removal Program Expansion for Federal Inmates</u> | EOIR | 09/22/2021 | 1 | Resolved | Develop performance metrics to assess the effect of the Institutional Hearing and Removal Program expansion and assess the program itself, including the roles and responsibilities each agency will have related to performance metrics, data collection, and evaluation. |
| 399 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 1 | Resolved | Ensure that The Haven develops and implements procedures to ensure subrecipient data required for performance reports is obtained timely for use in performance reports. |
| 400 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 2 | Resolved | Ensure that The Haven obtains training and assistance on procedures for reporting performance data. |
| 401 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 3 | Resolved | Ensure that The Haven submits its client selection criteria for approval for the Legal Assistance Program grant. |

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| 402 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 5 | Resolved | Ensure that The Haven maintains documentation for all communication with its subrecipients. |
| 403 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 6 | Resolved | Ensure that The Haven develops and implements policies and procedures to document its calculation of indirect costs in accordance with the DOJ Grants Financial Guide. |
| 404 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 7 | Resolved | Ensure that The Haven modifies its accounting system to ensure that requirements for recording and reporting on grant transactions are met and records are properly maintained. |
| 405 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 9 | Resolved | Ensure that The Haven submits a Grant Adjustment Modification (GAM) if it intends to carry out the proposed scope changes to ensure completion of its project goals and objectives. |
| 406 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 10 | Resolved | Ensure that The Haven promptly assess its planned grant expenditures for the remaining 9 months of the Legal Assistance Program grant and request approval for a no-cost extension of the grant period, if necessary. |
| 407 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 11 | Resolved | Ensure that The Haven develops and implements written policies and procedures for preparing and submitting drawdown requests and clearly defines the roles and responsibilities for its staff. |
| 408 | <u>Audit of the Office on Violence Against Women Grants Awarded to The Haven, Inc., Houma, Louisiana</u> | OVW | 09/21/2021 | 12 | Resolved | Ensure that all staff responsible for grant financial management are trained on policies and procedures for preparing drawdowns. |
| 409 | <u>Audit of the Federal Bureau of Investigation's Efforts to Notify Victims of Child Sexual Abuse Material</u> | FBI | 09/20/2021 | 1 | Resolved | Develop and implement clearly defined procedures that establish a process by which all current and future victims of child sexual abuse material are properly notified of their rights in each case where their image appears, consistent with federal law and the Attorney General Guidelines (AG Guidelines). |

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| 410 | <u>Audit of the Federal Bureau of Investigation's Efforts to Notify Victims of Child Sexual Abuse Material</u> | FBI | 09/20/2021 | 2 | Resolved | Complete the in-depth review of all series that the FBI told the OIG it was performing as part of its mitigation plan to determine whether distribution of images has occurred, and use the results of the review to provide, where possible, notification to all victims. |
| 411 | <u>Audit of the Federal Bureau of Investigation's Efforts to Notify Victims of Child Sexual Abuse Material</u> | FBI | 09/20/2021 | 3 | Resolved | Update the publicly available information for victims of child sexual abuse material to ensure the information provided is consistent with its current procedures for notification to all victims. |
| 412 | <u>Audit of the Federal Bureau of Investigation's Efforts to Notify Victims of Child Sexual Abuse Material</u> | FBI | 09/20/2021 | 4 | Resolved | Ensure all identified series either have Notification Preference Forms on file or maintain complete information on the status of efforts to acquire the forms. |
| 413 | <u>Audit of the Federal Bureau of Investigation's Efforts to Notify Victims of Child Sexual Abuse Material</u> | FBI | 09/20/2021 | 6 | Resolved | Ensure the use of a single tracking system, such as the Child Pornography Victim Assistance Program (CPVA) tracking system or another system, as the: (1) comprehensive, reliable, and central repository for all victim information, to include information available from other sources such as Sentinel; and (2) source of all reports regarding the status of victim notification information and preferences. |
| 414 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 3 | Resolved | Provide the Kentucky JPSC with an appropriate level of technical assistance to identify ways that it can facilitate and enhance the subaward process to improve the timeliness of award notifications. |
| 415 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 6 | Resolved | Remedy the \$129,646 of unsupported non-personnel administrative expenditures. |
| 416 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 8 | Resolved | Remedy the \$377,509 of unsupported subrecipient expenditures. |

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| 417 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 9 | Resolved | Remedy the \$47,619 of unallowable subrecipients expenditures. |
| 418 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 11 | Resolved | Remedy the unsupported costs of \$214,787, \$390,364, and \$132,615, totaling \$737,766, for excess funds drawn down through September 16, 2020, on the 2016, 2017, and 2018 VOCA awards, respectively, plus any additional excess funds drawn down since that date. |
| 419 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 12 | Resolved | Remedy the \$236,442 of unsupported matching costs. |
| 420 | <u>Audit of the Office of Justice Programs Victim Assistance Grants Awarded to the Kentucky Justice and Public Safety Cabinet, Frankfort, Kentucky</u> | OJP | 09/14/2021 | 14 | Resolved | Require the Kentucky JPSC to correct and resubmit, as necessary, any inaccurate FFRs for grants that are still ongoing. |
| 421 | <u>Audit of the Money Laundering and Asset Recovery Section's Administration of the Equitable Sharing Program</u> | CRM | 09/13/2021 | 1 | Resolved | Enhance its efforts in addressing participating agencies that fail to meet the ESAC submission deadlines. This includes enhancing its communication efforts with agencies as soon as a submission deadline is missed and working more closely with agencies to ensure compliance with submission deadlines. |
| 422 | <u>Audit of the Money Laundering and Asset Recovery Section's Administration of the Equitable Sharing Program</u> | CRM | 09/13/2021 | 9 | Resolved | Provide targeted training for financial personnel and those responsible for the administration of equitable sharing funds. |
| 423 | <u>Audit of the Money Laundering and Asset Recovery Section's Administration of the Equitable Sharing Program</u> | CRM | 09/13/2021 | 10 | Resolved | Develop web-based training, or other remote mediums, that would allow for all participating agencies to receive training on a recurring basis. |
| 424 | <u>Audit of the Money Laundering and Asset Recovery Section's Administration of the Equitable Sharing Program</u> | CRM | 09/13/2021 | 11 | Resolved | Develop a training schedule that mandates cyclical training for all participating agencies, with advanced training to mitigate the risk of funds being misspent for those agencies identified as higher risk. |

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| 425 | <u>Audit of the Office on Violence Against Women Grants Awarded to Inspire Action for Social Change, Montana City, Montana</u> | OVW | 09/08/2021 | 7 | Resolved | Remedy \$8,602 in unsupported direct costs including \$3,039 under Award Number 2015-TA-AX-K020, \$2,745 under Award Number 2016-TA-AX-K009, and 3 transactions, totaling \$2,819 under Award Number 2017-TA-AX-K028. |
| 426 | <u>Audit of the Office on Violence Against Women Grants Awarded to Inspire Action for Social Change, Montana City, Montana</u> | OVW | 09/08/2021 | 8 | Resolved | Coordinate with Inspire Action to enhance its policy and procedures to ensure compliance with the DOJ Grants Financial Guide as it relates to gratuity. |
| 427 | <u>Audit of the Office on Violence Against Women Grants Awarded to Inspire Action for Social Change, Montana City, Montana</u> | OVW | 09/08/2021 | 9 | Resolved | Remedy \$1,637 in unallowable direct costs including \$430 under Award Number 2016-TA-AX-K009, and \$1,207 under Award Number 2017-TA-AX-K028. |
| 428 | <u>Audit of the Office on Violence Against Women Grants Awarded to Inspire Action for Social Change, Montana City, Montana</u> | OVW | 09/08/2021 | 12 | Resolved | Remedy \$31,414 in unsupported contractual costs, including \$3,502 under Award Number 2015-TA-AX-K020, \$10,805 under Award Number 2016-TA-AX-K009, \$17,106 under Award Number 2017-TA-AX-K028. |
| 429 | <u>Audit of the Office on Violence Against Women Grants Awarded to Inspire Action for Social Change, Montana City, Montana</u> | OVW | 09/08/2021 | 13 | Resolved | Remedy the \$12,393 in unallowable contractual costs including \$3,193 under Award Number 2015-TA-AX-K020, \$4,000 under Award Number 2016-TA-AX-K009, and \$5,200 under Award Number 2017-TA-AX-K028. |
| 430 | <u>Audit of the Office on Violence Against Women Grants Awarded to Inspire Action for Social Change, Montana City, Montana</u> | OVW | 09/08/2021 | 17 | Resolved | Remedy \$18,393 in unsupported subrecipient costs, including \$16,250 from Award Number 2015-TA-AX-K020 and \$2,143 from Award Number 2017-TA-AX-K028. |
| 431 | <u>Audit of the Drug Enforcement Administration's Headquarters-Based Oversight of its Supported Foreign Law Enforcement Units</u> | DEA | 08/25/2021 | 10a | Resolved | Evaluate SIUNet to determine what updates are necessary to enhance internal controls over SIU and Non-SIU VU data. |
| 432 | <u>Audit of the Drug Enforcement Administration's Headquarters-Based Oversight of its Supported Foreign Law Enforcement Units</u> | DEA | 08/25/2021 | 10b | Resolved | Evaluate SIUNet to identify necessary enhancements that will allow OFP to fulfill oversight responsibilities and to obtain a more comprehensive view of Country Offices' management of SIUs and Non-SIU VUs. |

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| 433 | <u>Audit of the Drug Enforcement Administration's Headquarters-Based Oversight of its Supported Foreign Law Enforcement Units</u> | DEA | 08/25/2021 | 6a | Resolved | Conduct a comprehensive review of all JWIPs installed and utilized by DEA-supported foreign law enforcement units to verify host nation agreement for the bilateral use of this equipment and identify the universe of foreign nationals who are trained on and have access to the JWIPs. |
| 434 | <u>Notification of Concerns Regarding Lack of Department Policy Requiring Express Authorization of Department Attorneys to Participate in the Criminal or Civil Investigation or Prosecution of Former Clients</u> | ODAG | 08/24/2021 | 1 | Resolved | The Department should modify existing policy concerning a DOJ attorney's participation in a criminal or civil investigation or prosecution in which a former client is a witness, subject, target, defendant, or party, to ensure that any such participation does not cause a reasonable person to question that attorney's impartiality. |
| 435 | <u>Notification of Concerns Regarding Lack of Department Policy Requiring Express Authorization of Department Attorneys to Participate in the Criminal or Civil Investigation or Prosecution of Former Clients</u> | ODAG | 08/24/2021 | 2 | Resolved | The Department should consider what requirements, guidance, and/or training should be provided to any incoming Department attorneys entering service regarding their handling of potential conflicts arising from their representation of clients arising from their representation of clients prior to joining DOJ. |
| 436 | <u>Management Advisory Memorandum: Notification of Concerns Identified in the Department of Justice's Human Resources Policies</u> | JMD | 08/02/2021 | 1 | Resolved | Conduct a review to identify all areas where DOJ policies do not reflect current regulations and OPM guidance and requirements and establish a plan of action that includes a timeline for addressing the identified <u>deficiencies and gaps in Department policy</u> . |
| 437 | <u>Management Advisory Memorandum: Notification of Concerns Identified in the Department of Justice's Human Resources Policies</u> | JMD | 08/02/2021 | 2 | Resolved | Ensure that it regularly monitors and updates the Department's HR policies, to include: (a) converting interim policy to permanent policy within 1 year, as applicable; and (b) deconflicting policies that contradict or supersede other policies. |
| 438 | <u>Management Advisory Memorandum: Notification of Concerns Identified in the Department of Justice's Human Resources Policies</u> | JMD | 08/02/2021 | 3 | Resolved | Evaluate its process for reviewing and updating the Department's HR policies every 5 years to determine if more frequent periodic reviews may be necessary. |

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| 439 | <u>Management Advisory Memorandum: Notification of Concerns Identified in the Department of Justice's Human Resources Policies</u> | JMD | 08/02/2021 | 4 | Resolved | Prioritize its efforts to consolidate the Department's HR policies in a centralized location accessible to components and incorporate the relevant policies into DOJ Order 1200.1, as appropriate. |
| 440 | <u>Audit of the Criminal Division's Process for Incoming Mutual Legal Assistance Requests</u> | CRM | 07/21/2021 | 6 | Resolved | Coordinate with CRM ITM to ensure OIA has access to CRM's Oracle Apex platform and support the automation of OIA's team trackers and leadership dashboards. |
| 441 | <u>Audit of Selected Aspects of the Federal Bureau of Investigation's National Instant Criminal Background Check System</u> | FBI | 07/14/2021 | 1 | Resolved | Strengthen controls over the sale of firearms to out-of-state purchasers by updating the NICS background check to verify age requirements of an out-of-state firearm purchaser's state of residence and state of sale to ensure basic age eligibility. |
| 442 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 1 | Resolved | Ensure that the MNWC develop and implement a formal written process for reliably and accurately demonstrating that program goals and objectives are achieved, including a plan to solicit feedback from tribal domestic violence offices and to analyze feedback related to on-site T&TA. |
| 443 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 2 | Resolved | Coordinate with the MNWC to develop and implement formal written performance reporting policies and procedures to ensure that valid source documentation is maintained to support all data collected for each performance measure reported in its progress reports. |
| 444 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 3 | Resolved | Remedy the \$27,103 in expenditures incurred as a result of a special condition noncompliance, specifically: \$1,576 under Grant Number 2015-IW-AX-0010 and \$25,527 under Grant Number 2017-IW-AX-0018. |

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| 445 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 4 | Resolved | Coordinate with the MNWC to develop and implement procedures to ensure compliance with all award special conditions. |
| 446 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 5 | Resolved | Coordinate with the MNWC to ensure that going forward, MNWC has updated its accounting system to track income and expenditures by funding source. |
| 447 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 6 | Resolved | Ensure that MNWC update its policies and procedures to include a process for reviewing grant accounting records for duplicate expenditures, and rectifying all duplicate transactions identified. |
| 448 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 7 | Resolved | Ensure that the MNWC review accounting records to determine actual total income and total expenses under Grant Number 2017-IW-AX-0018. |
| 449 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 8 | Resolved | Coordinate with the MNWC to ensure it has developed effective controls for safeguarding federal funds such as clarifying signature requirements and performing routine and timely bank reconciliations. |
| 450 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 9 | Resolved | Ensure the MNWC develops formal written policies and procedures that ensures compliance with debarment and suspension requirements. |

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| 451 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 10 | Resolved | Ensure that the MNWC develop written standards covering conflicts of interest and employee participation in selection, award, and administration of contracts. |
| 452 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 11 | Resolved | Ensure that the MNWC document its process for checking conflicts of interest and for verifying that contracts are not awarded to contractors or individuals on the List of Parties Excluded from Federal Procurement and Non-procurement Programs. |
| 453 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 12 | Resolved | Coordinate with the MNWC to ensure that the MNWC adopt policies and procedures that adequately address segregation of duties for procurement. |
| 454 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 13 | Resolved | Remedy the \$5,860 in unallowable personnel and fringe benefit costs under Grant Number 2016-IW-AX-0008. |
| 455 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 14 | Resolved | Remedy the \$27,892 in unsupported personnel and fringe benefit costs, specifically: a. \$13,794 under Grant Number 2015-IW-AX-0010; b. \$5,942 under Grant Number 2016-IW-AX-0008; and c. \$8,156 under Grant Number 2017-IW-AX-0018. |
| 456 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 15 | Resolved | Remedy the \$38,088 in unallowable travel costs, specifically: a. \$1,873 under Grant Number 2015-IW-AX-0010; b. \$32,760 under Grant Number 2016-IW-AX-0008; and c. \$3,455 under Grant Number 2017-IW-AX-0018. |

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| 457 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 16 | Resolved | Remedy the \$83,277 in unsupported travel costs, specifically: a. \$27,410 under Grant Number 2015-IW-AX-0010; b. \$46,957 under Grant Number 2016-IW-AX-0008; and c. \$8,910 under Grant Number 2017-IW-AX-0018. |
| 458 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 17 | Resolved | Coordinate with the MNWC to enhance its travel procedure to ensure that all travelers requesting travel reimbursement submit documents to support travel expenses and to verify attendance at conferences, trainings, and meetings. |
| 459 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 18 | Resolved | Remedy the \$16,656 in unallowable consulting fees and travel, specifically: a. \$8,085 under Grant Number 2016-IW-AX-0008; and b. \$8,571 under Grant Number 2017-IW-AX-0018. |
| 460 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 19 | Resolved | Remedy the \$23,836 in unsupported consulting fees and travel, specifically: a. \$6,665 under Grant Number 2015-IW-AX-0010; b. \$13,135 under Grant Number 2016-IW-AX-0008; and c. \$4,036 under Grant Number 2017-IW-AX-0018. |
| 461 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 20 | Resolved | Remedy, the \$15,119 in unallowable other direct costs and associated fees, specifically: a. \$280 under Grant Number 2015-IW-AX-0010; b. \$11,501 under Grant Number 2016-IW-AX-0008; and c. \$3,339 under Grant Number 2017-IW-AX-0018. |
| 462 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 21 | Resolved | Remedy the \$36,741 in unsupported other direct costs, specifically: a. \$17,942 under Grant Number 2015-IW-AX-0010; b. \$11,485 under Grant Number 2016-IW-AX-0008; and c. \$7,314 under Grant Number 2017-IW-AX-0018. |

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| 463 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 22 | Resolved | Remedy the \$13,226 in unallowable supply costs and associated fees, specifically: a. \$2,709 under Grant Number 2015-IW-AX-0010; and b. \$10,517 under Grant Number 2016-IW-AX-0008. |
| 464 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 23 | Resolved | Coordinate with the MNWC to enhance its procurement procedures to ensure that federal funds are only used for allowable supplies, and outreach and awareness items and services. |
| 465 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 24 | Resolved | Remedy the \$5,395 in unsupported supply costs, specifically: a. \$1,986 under Grant Number 2015-IW-AX-0010; and b. \$3,409 under Grant Number 2016-IW-AX-0008. |
| 466 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 25 | Resolved | Remedy the \$9,644 in unsupported equipment costs under Grant Number 2015-IW-AX-0010. |
| 467 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 27 | Resolved | Coordinate with the MNWC to ensure that it has updated its accounting system to ensure that actual expenditures can be compared to budgeted amounts for current and future grant awards and to ensure that the MNWC does not violate the 10-percent rule. |
| 468 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 28 | Resolved | Ensure MNWC develops formal written drawdown policies and procedures to ensure compliance with the DOJ Grants Financial Guide. |

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| 469 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 29 | Resolved | Remedy the \$83,151 in expenditures incurred after the grants had ended, specifically: a. \$42,148 under Grant Number 2015-IW-AX-0010; and b. \$41,003 under Grant Number 2016-IW-AX-0008. |
| 470 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 30 | Resolved | Ensure that the MNWC implement policies and procedures to ensure the proper accounting and classification of award funds by establishing a system to adequately record, monitor, and track funds in order to properly report the correct amount of expenditures on its FFRs. |
| 471 | <u>Audit of the Office on Violence Against Women Tribal Domestic Violence and Sexual Assault Coalitions Program Grants Awarded to the Montana Native Women's Coalition, Billings, Montana</u> | OVW | 07/14/2021 | 31 | Resolved | Ensure that the MNWC establishes policies and procedures for accurately reporting program income and requesting approval from OVW program managers to add program income, if any, to awards. |
| 472 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 3 | Resolved | Develop a policy describing the circumstances, if any, under which telephonic interviews of alleged child abuse victims, including adults who had allegedly been victims of abuse as children, are appropriate. |
| 473 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 4 | Resolved | Train FBI employees on the policies discussed in the first three recommendations and any changes made to them. |
| 474 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 1a | Resolved | Reassess its policies to more precisely describe for FBI employees when they are required to promptly contact and coordinate with applicable state and local law enforcement and social service agencies after receiving allegations of crimes against children that potentially fall under state jurisdiction, even when the allegations also potentially fall within the FBI's jurisdiction. |

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| 475 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 1c | Resolved | Reassess its policies to clarify when interviews by Child/Adolescent Forensic Interviewers (CAFI) should be conducted of children and adults reporting allegations of abuse they experienced as children. |
| 476 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 1d | Resolved | Reassess its policies to describe the circumstances under which victim services should be offered during Pre-Assessment or Assessment activities, such as when these phases take longer than expected, when a victim is interviewed as part of these phases, or when an initial complaint is transferred between field offices. |
| 477 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 2a | Resolved | Clarify its policies as to the type of approval required (including who is required to provide approval) when a supervisor conducts investigative activity or completes documentation that would require supervisory approval when conducted by a nonsupervisory Special Agent. |
| 478 | <u>Investigation and Review of the Federal Bureau of Investigation's Handling of Allegations of Sexual Abuse by Former USA Gymnastics Physician Lawrence Gerard Nassar</u> | FBI | 07/14/2021 | 2c | Resolved | Clarify its policies as to what type of file FBI employees should use to retain documentation received during Pre-Assessment activities that continue for more than 5 days; and (d) if not, whether FBI employees should open an Assessment when the employees need more than 5 days to assess whether there are alleged violations of federal law and which field office has venue. |
| 479 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 1a | Resolved | Take steps to address its persistent chaplaincy shortages and lack of diversity of religious affiliations represented within the BOP's chaplaincy by: a. Reassessing the existing education requirement for chaplaincy eligibility to enhance the prospect of attaining the BOP's target chaplain staffing level, or evaluate the benefits of implementing religion-specific educational requirements to account for differing requirements |

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| 480 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 1b | Resolved | Take steps to address its persistent chaplaincy shortages and lack of diversity of religious affiliations represented within the BOP's chaplaincy by: b. Reconsidering its age restriction for chaplains and coordinate with the Department of Justice to determine if age waivers should be expanded to a broader group of chaplaincy applicants. |
| 481 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 1c | Resolved | Take steps to address its persistent chaplaincy shortages and lack of diversity of religious affiliations represented within the BOP's chaplaincy by: c. Reviewing the current Chaplain Trainee Program model to expand opportunities for current BOP staff and qualified external applicants with flexibilities that would avoid disqualifying otherwise suitable candidates due to restrictive educational barriers or pastoral experience requirements. |
| 482 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 2a | Resolved | Address the security weaknesses that result from its understaffed, overburdened, and diversity-challenged chaplaincy by: a. Strengthening existing policy to include clear guidance about when inmates may be permitted to lead religious services, which inmates should be prohibited from leading services, and minimum monitoring requirements for religious programs or services led by inmates. |
| 483 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 2c | Resolved | Address the security weaknesses that result from its understaffed, overburdened, and diversity-challenged chaplaincy by: c. Reexamine its practice of prohibiting recording audio and video feeds from chaplaincy services spaces alongside relevant federal law and regulations to help ensure that religious services are monitored to the greatest extent possible and are not misused by some inmates to engage in prohibited conduct. |

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| 484 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 3a | Resolved | Ensure safe and robust chapel libraries throughout the BOP by: a. Performing a comprehensive review of the Chapel Library Database (CLD) at the CSB to strengthen existing policy or develop new policy that ensures an accurate inventory and timely review of newly introduced English and foreign language texts with suitability determinations that can more easily be shared among all BOP institutions. |
| 485 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 4a | Resolved | Improve its oversight of its minimally vetted chaplaincy services volunteers to better address the risk of inappropriate contact with inmates and to prevent rehiring of volunteers who were previously found to violate BOP policy by: a. Conducting a periodic analysis of volunteer contact information through its TRUVIEW system and clearly document any exception that was granted to specific volunteers, such as those in mentoring and transitional |
| 486 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 4c | Resolved | Improve its oversight of its minimally vetted chaplaincy services volunteers to better address the risk of inappropriate contact with inmates and to prevent rehiring of volunteers who were previously found to violate BOP policy by: c. Ensuring that NAVS volunteer data profiles are accurate, complete, updated, and contain all necessary information so that volunteers terminated for violating BOP policy cannot seek volunteer roles at other BOP institutions. |
| 487 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 5b | Resolved | Take steps to better support existing chaplaincy services staff and enable them to focus on their primary function of providing spiritual guidance by: b. Developing a sustainable strategy to mitigate staffing shortages caused by chaplaincy absences due to anticipatable periods of extended leave, such as military leave. |

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| 488 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 5c | Resolved | Take steps to better support existing chaplaincy services staff and enable them to focus on their primary function of providing spiritual guidance by: c. Removing responsibility for SMR program duties from field chaplains and centralizing it within the CSB to include the primary responsibility for researching and answering field chaplaincy inquires and to gain greater awareness of issues facing field chaplains. |
| 489 | <u>Audit of the Federal Bureau of Prisons' Management and Oversight of its Chaplaincy Services Program</u> | BOP | 07/06/2021 | 5d | Resolved | Take steps to better support existing chaplaincy services staff and enable them to focus on their primary function of providing spiritual guidance by: d. Leveraging existing resources and exploring potential enhancements and additional technological solutions for providing religious services, such as live streams, as an alternative to riskier options such as inmate-led services, which require stricter monitoring, and to enable greater diversity in the denominations for which services can be provided to a broader population of inmates. |
| 490 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Oklahoma Coalition Against Domestic Violence and Sexual Assault, Oklahoma City, Oklahoma</u> | OVW | 06/28/2021 | 1 | Resolved | Remedy the \$886,495 in questioned costs related to the fact that there is no indication that OCADVSA achieved the stated goals and objectives of the closed awards. |
| 491 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Oklahoma Coalition Against Domestic Violence and Sexual Assault, Oklahoma City, Oklahoma</u> | OVW | 06/28/2021 | 2 | Resolved | Coordinate with OCADVSA to ensure that it implements corrective actions and demonstrates documented progress for achieving the goals and objectives of its open award. |
| 492 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Oklahoma Coalition Against Domestic Violence and Sexual Assault, Oklahoma City, Oklahoma</u> | OVW | 06/28/2021 | 5 | Resolved | Coordinate with OCADVSA to remedy the \$714,684 in unsupported questioned costs related to \$526,630 in unsupported personnel costs, \$30,418 in unsupported contractor costs, and \$157,636 in unsupported other direct costs. |

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| 493 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Oklahoma Coalition Against Domestic Violence and Sexual Assault, Oklahoma City, Oklahoma</u> | OVW | 06/28/2021 | 7 | Resolved | Remedy the \$107,413 in unallowable questioned costs related to the \$20,140 in unallowable contractor costs and \$87,273 in unallowable other direct costs. |
| 494 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Oklahoma Coalition Against Domestic Violence and Sexual Assault, Oklahoma City, Oklahoma</u> | OVW | 06/28/2021 | 11 | Resolved | Coordinate with OCADVSA to develop policies and procedures that ensures information reported in FFRs is accurate and supported. |
| 495 | <u>Audit of the U.S. Marshals Service Judicial Security Activities</u> | USMS | 06/15/2021 | 3 | Resolved | Update the policies and standard operating procedures guiding its protective intelligence and threat assessment to ensure they align with approved practices. |
| 496 | <u>Audit of the U.S. Marshals Service Judicial Security Activities</u> | USMS | 06/15/2021 | 4 | Resolved | Establish policy guiding its proactive threat identification practices. |
| 497 | <u>Management Advisory Memorandum : Notification of Security Concerns at the Federal Bureau of Prisons' Camp Locations</u> | BOP | 06/07/2021 | 1 | Resolved | The BOP should ensure that alarms on all exterior building doors in FPCs and SPCs are in working condition and should take appropriate measures to prevent them from being susceptible to tampering. |
| 498 | <u>Management Advisory Memorandum : Notification of Security Concerns at the Federal Bureau of Prisons' Camp Locations</u> | BOP | 06/07/2021 | 2 | Resolved | The BOP should ensure that all existing video cameras in FPCs and SPCs are in working condition. |
| 499 | <u>Management Advisory Memorandum : Notification of Security Concerns at the Federal Bureau of Prisons' Camp Locations</u> | BOP | 06/07/2021 | 3 | Resolved | The BOP should install video cameras on all exterior building doors at FPCs and SPCs, so that BOP Control Officers can observe the doors while Camp Officers are occupied with performing their duties, such as inmate counts. |
| 500 | <u>Audit of the Drug Enforcement Administration's Laboratory Information Management System Support Contracts</u> | DEA | 06/01/2021 | 5 | Resolved | Examine ways to implement the use of secure, internal network connections to transfer data between LIMS and other work systems with the goal of implementing a more secure method of data transfer than relying on external storage devices. |

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| 501 | <u>Audit of the Chicago Police Department's Equitable Sharing Program Activities, Chicago, Illinois</u> | CRM | 05/19/2021 | 2 | Resolved | Require the Chicago PD to provide evidence that the Chicago PD's expenditures of DOJ equitable sharing program funds are being properly approved. |
| 502 | <u>Audit of the Chicago Police Department's Equitable Sharing Program Activities, Chicago, Illinois</u> | CRM | 05/19/2021 | 4 | Resolved | Require the Chicago PD to enhance its equitable sharing receipt recognition process, to include regularly reconciling its DOJ equitable sharing accounting records to the information in the eShare Portal. |
| 503 | <u>Audit of the Chicago Police Department's Equitable Sharing Program Activities, Chicago, Illinois</u> | CRM | 05/19/2021 | 5 | Resolved | Require the Chicago PD to perform an in-depth review of its equitable sharing financial activity and either: (1) provide detailed documentation to support its existing FY 2019 and FY 2020 ESAC submissions, or (2) submit amended ESACs along with detailed documentation to support the balance and expenditure figures reported. |
| 504 | <u>Audit of the Chicago Police Department's Equitable Sharing Program Activities, Chicago, Illinois</u> | CRM | 05/19/2021 | 6 | Resolved | Require the Chicago PD to revise its expenditure tracking process. This revised process should include controls to ensure that the Chicago PD: (1) properly tracks all DOJ equitable sharing expenditures by category, (2) accurately reports on the ESAC the correct figures as reflected in its financial system, and (3) retains supporting documentation for the amounts reported on the ESAC. |
| 505 | <u>Audit of the Chicago Police Department's Equitable Sharing Program Activities, Chicago, Illinois</u> | CRM | 05/19/2021 | 7 | Resolved | Review the \$49,273 in construction costs paid in 2019 and, if appropriate, require the Chicago PD to remedy this amount that did not receive prior approval by MLARS. |
| 506 | <u>Audit of the Chicago Police Department's Equitable Sharing Program Activities, Chicago, Illinois</u> | CRM | 05/19/2021 | 8 | Resolved | Identify and, if appropriate, require the Chicago PD to remedy any additional unapproved construction costs that were incurred prior to or after our audit review period. |

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| 507 | <u>Audit of a Court Services and Offender Supervision Agency System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CSOSA | 05/05/2021 | 1 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 508 | <u>Audit of a Court Services and Offender Supervision Agency System Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CSOSA | 05/05/2021 | 2 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 509 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CSOSA | 05/05/2021 | 5 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 510 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CSOSA | 05/05/2021 | 6 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 511 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CSOSA | 05/05/2021 | 9 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 512 | <u>Audit of the Court Services and Offender Supervision Agency's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CSOSA | 05/05/2021 | 10 | On Hold/Pending with OIG | [Description omitted; CSOSA has determined that this recommendation contains information that is limited official use or classified.] |
| 513 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 1 | Resolved | Clarify officer safety-related training requirements for operational personnel, including Task Force Officers, and ensure that the requirements are clearly established in policy. |

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| 514 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 2 | Resolved | Ensure that the Training Division provides consistent and prompt assistance to those districts that do not have an assigned Tactical Training Officer. |
| 515 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 3 | Resolved | Ensure that all Tactical Training Officers receive skills sustainment training. |
| 516 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 4 | Resolved | Establish methods to evaluate whether the Tactical Training Officer Program is accomplishing its objectives. |
| 517 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 5 | Resolved | Ensure that the new After-Action Review policy is implemented so that all critical incidents stemming from operations led by and/or involving U.S. Marshals Service personnel are reviewed for lessons learned and used to update and adjust officer safety-related training. |
| 518 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 6 | Resolved | Consider including other Department of Justice law enforcement components in operational reviews of critical incidents, including but not limited to the new After-Action Review process, to allow for mutual awareness and improvements to officer safety-related training across components. |
| 519 | <u>Review of the U.S. Marshals Service's Tactical Training Officer Program</u> | USMS | 04/28/2021 | 7 | Resolved | Evaluate whether modifications to training are needed to adequately cover open space encounters and to better support small teams, and, if so, develop and implement methods to ensure that training adequately addresses these |
| 520 | <u>Limited-Scope Review of the Executive Office for Immigration Review's Response to the Coronavirus Disease 2019 Pandemic</u> | EOIR | 04/21/2021 | 1 | Resolved | Ensure that immigration judges are responsive in a timely manner to requests for continuances by respondents who assert that they have recently experienced symptoms of or have been exposed to COVID-19, and encourage immigration judges to fully consider continuance requests. |

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| 521 | <u>Limited-Scope Review of the Executive Office for Immigration Review's Response to the Coronavirus Disease 2019 Pandemic</u> | EOIR | 04/21/2021 | 2 | Resolved | Expand the EOIR Court & Appeals System (ECAS) to all immigration courts, and continue to pursue efforts to make ECAS mandatory. Until ECAS is fully deployed, EOIR should consider whether it can continue permitting email filings without increasing the risk to staff during the pandemic. In particular, EOIR should assess the feasibility of having staff scan paper filings into electronic files rather than print emailed filings and whether this would reduce the need for staff to report to work in person. If EOIR permits email filings, EOIR should ensure that users receive confirmation of receipt of filing and are not unfairly restricted by page limits during the ongoing COVID-19 pandemic in all courts that do not |
| 522 | <u>Limited-Scope Review of the Executive Office for Immigration Review's Response to the Coronavirus Disease 2019 Pandemic</u> | EOIR | 04/21/2021 | 3 | Resolved | Develop a plan to ensure maximum telework capability for all positions and staff in locations affected by the COVID-19 pandemic, or in the event of a future pandemic or similar conditions, and ensure that it procures sufficient equipment and addresses software limitations to enable the broadest possible telework. |
| 523 | <u>Limited-Scope Review of the Executive Office for Immigration Review's Response to the Coronavirus Disease 2019 Pandemic</u> | EOIR | 04/21/2021 | 7 | Resolved | Coordinate with other agencies in non-Department of Justice buildings housing EOIR courts on making announcements about potential COVID-19 exposure. |
| 524 | <u>Limited-Scope Review of the Executive Office for Immigration Review's Response to the Coronavirus Disease 2019 Pandemic</u> | EOIR | 04/21/2021 | 8 | Resolved | Ensure that its communication plan and notice procedures for respondents and representatives are effective in reaching the intended audience, including Migrant Protection Protocols respondents, unaccompanied minors, and respondents who may be quarantined during the pandemic. |
| 525 | <u>Limited-Scope Review of the Executive Office for Immigration Review's Response to the Coronavirus Disease 2019 Pandemic</u> | EOIR | 04/21/2021 | 9 | Resolved | Update EOIR's Continuity of Operations Plan and pandemic plan based on experience during COVID-19, and adjust the plans to prepare for the future. |

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| # | Report Title | Component | Issued Date | Rec. No. in OIG Report | Status as of 12/31/22 | Recommendation Description |
|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 526 | <u>Audit of the United States Marshals Service's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | USMS | 03/29/2021 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 527 | <u>Audit of the United States Marshals Service's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | USMS | 03/29/2021 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 528 | <u>Audit of the United States Marshals Service's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | USMS | 03/29/2021 | 3 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 529 | <u>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</u> | USMS | 03/29/2021 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 530 | <u>Audit of the Civil Rights Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CRT | 03/29/2021 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 531 | <u>Audit of the Civil Rights Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CRT | 03/29/2021 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 532 | <u>Audit of the Civil Rights Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | CRT | 03/29/2021 | 5 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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| 533 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014, Fiscal Year 2020</u> | FBI | 03/10/2021 | 9 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 534 | <u>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</u> | ATF | 02/22/2021 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 535 | <u>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</u> | ATF | 02/22/2021 | 10 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 536 | <u>Review of the Department of Justice's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination With the Departments of Homeland Security and Health and Human Services</u> | USMS | 01/13/2021 | 2 | Resolved | Establish guidance and procedures for U.S. Marshals Service staff to follow in working with the Department of Health and Human Services' Office of Refugee Resettlement case workers to facilitate communication between family unit adults separated from associated family unit minors, especially parents in U.S. Marshals Service custody and their children in Office of Refugee Resettlement custody. |
| 537 | <u>Review of the Department of Justice's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination With the Departments of Homeland Security and Health and Human Services</u> | ODAG | 01/13/2021 | 3a | Resolved | Work with the Department of Health and Human Services' Office of Refugee Resettlement and the Department of Homeland Security to develop a formal interagency agreement (such as a memorandum of understanding) regarding the facilitation of communication between separated children in Office of Refugee Resettlement custody and their parents in U.S. Marshals Service custody. |

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| 538 | <u>Review of the Department of Justice's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination With the Departments of Homeland Security and Health and Human Services</u> | USMS | 01/13/2021 | 3b | Resolved | Work with the Department of Health and Human Services' Office of Refugee Resettlement and the Department of Homeland Security to develop a formal interagency agreement (such as a memorandum of understanding) regarding the facilitation of communication between separated children in Office of Refugee Resettlement custody and their parents in U.S. Marshals Service custody. |
| 539 | <u>Examination of Federal Bureau of Prisons' Purchase Card Transactions</u> | BOP | 12/21/2020 | 2 | Resolved | Require written explanations to be documented for purchase card transactions that do not meet the sustainability and mandatory source requirements. |
| 540 | <u>Examination of Federal Bureau of Prisons' Purchase Card Transactions</u> | BOP | 12/21/2020 | 4 | Resolved | Enhance monitoring controls to ensure that purchase cards are not issued to new cardholders prior to them completing the required training and purchase cards are suspended for existing cardholders who have not met the biennial training requirement. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 541 | <u>Audit of the Federal Bureau of Investigation's Strategy and Efforts to Disrupt Illegal Dark Web Activities</u> | FBI | 12/16/2020 | 2 | Resolved | <p>Develop a coordinated FBI-wide dark web approach that assesses enterprise-level needs, while considering the unique needs of its investigative and support units. At a minimum, this approach should address:</p> <ul style="list-style-type: none"> a. ambiguous or overlapping investigative responsibilities; b. baseline data collection guidelines to track operational units' dark web investigative efforts that position the FBI to provide useful and accurate information to internal and external stakeholders; c. processes to enhance and consolidate investigative tool development and acquisition efforts in a manner that addresses the FBI's and potentially Department's dark web needs in amore cost-effective manner, and to centralize the FBI's tools useful to dark web investigations to allow visibility to and access by other FBI components; and d. a process to centralize and eliminate outdated or redundant dark web training offerings and inform FBI personnel of the availability of dark web training across all divisions. |
| 542 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 1 | Resolved | <p>Establish and implement a policy to require officials to review all institution-specific design changes to perimeter security features to determine if the design change is necessary at other institutions.</p> |
| 543 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 2 | Resolved | <p>Establish a formalized policy for sharing important information pertaining to perimeter security issues and vulnerabilities to the necessary personnel at all potentially affected institutions.</p> |

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|-----|---|-----------|-------------|------------------------|-----------------------|--|
| 544 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 3 | Resolved | Establish adequate controls that ensure its personnel, including subject matter experts, perform a thorough analysis of its perimeter security when making changes to or implementing new features and designs. |
| 545 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 4 | Resolved | Implement a policy clearly designating the required operating mode of the lethal/non-lethal fence, authorized instances when the operating mode should be changed, and who is authorized to change the operating mode. |
| 546 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 5 | Resolved | Enhance its oversight of perimeter security activities by periodically reviewing lethal/non-lethal fence reports to ensure the fence is operating in accordance with the newly implemented policy referenced in recommendation number 4. |
| 547 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 6 | Resolved | Ensure that its Correctional Services Manual includes policy on the required number of perimeter patrol vehicles at all types of institutions and implement a policy on the circumstances necessitating changes to the required number of perimeter patrol vehicles. |
| 548 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 7 | Resolved | Establish a policy on the required assignment and use of Roving Alarm Notification System (RANS) hand-held radios. |
| 549 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 8 | Resolved | Consider developing a national policy requiring institutional assessments of U.S. Penitentiaries (USP) on a prescribed, regular basis. |

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| 550 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 9 | Resolved | Improve the institutional assessment process by ensuring the Institutional Assessment Guidelines are comprehensive and include all necessary perimeter security aspects, ensuring the assessment reports are consistent in form and content, and requiring reviewed facilities to respond to any recommendations in the assessment reports. |
| 551 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 10 | Resolved | Evaluate the current taut wire and lethal/non-lethal fences at USPs and ensure the respective Technical Design Guidelines reflect the BOP's current perimeter security strategy. |
| 552 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 11 | Resolved | Routinely review the Technical Design Guidelines to ensure they reflect the BOP's minimum operational security expectations and reflect updates necessitated by enhancements or modifications. |
| 553 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 14 | Resolved | Establish procedures to ensure Contracting Officers conduct appropriately comprehensive price proposal analyses, including properly documenting its evaluation of cost line items and expected time to complete a project, as well as what contract type is best suited for the circumstances at-hand. |
| 554 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 15 | Resolved | Reiterate to Contracting Officers the Federal Acquisition Regulation (FAR) requirement to safeguard the financial interests of the United States in its contractual relationships and ensure its Contracting Officers are aware of the newly established policy related to price proposal analyses referenced in recommendation number 14. |

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| 555 | <u>Audit of the Federal Bureau of Prisons' Perimeter Security Strategy and Efforts Related to the Contract Awarded to DeTekion Security Systems, Incorporated, to Update the Lethal/Non-Lethal Fence at Nine United States Penitentiaries</u> | BOP | 09/29/2020 | 16 | Resolved | Develop procedures on the expectations for completing adequate Independent Government Cost Estimates (IGCE), including that contract files contain sufficient documentation supporting IGCEs, and ensure those preparing IGCEs are aware of the expectations. |
| 556 | <u>Management Advisory: Notification of Concerns Identified in the Federal Bureau of Investigation's Contract Administration of a Certain Classified National Security Program</u> | FBI | 09/25/2020 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 557 | <u>Management Advisory: Notification of Concerns Identified in the Federal Bureau of Investigation's Contract Administration of a Certain Classified National Security Program</u> | FBI | 09/25/2020 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 558 | <u>Management Advisory: Notification of Concerns Identified in the Federal Bureau of Investigation's Contract Administration of a Certain Classified National Security Program</u> | FBI | 09/25/2020 | 5 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 559 | <u>Management Advisory: Notification of Concerns Identified in the Federal Bureau of Investigation's Contract Administration of a Certain Classified National Security Program</u> | FBI | 09/25/2020 | 10 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 560 | <u>Management Advisory: Notification of Concerns Identified in the Federal Bureau of Investigation's Contract Administration of a Certain Classified National Security Program</u> | FBI | 09/25/2020 | 11 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 561 | <u>Audit of the Executive Office for Immigration Review Recognition and Accreditation Program</u> | EOIR | 09/21/2020 | 1 | Resolved | Ensure that the Office of Legal Access Program's (OLAP) application files contain sufficient documentation demonstrating that eligibility requirements for admittance into the Recognition and Accreditation Program (Program) have been satisfied. |

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| 562 | <u>Audit of the Department of Justice's Efforts to Protect Federal Bureau of Prisons Facilities Against Threats Posed by Unmanned Aircraft Systems</u> | BOP | 09/14/2020 | 3 | Resolved | Identify best practices and provide training for relevant staff on how to safely approach and secure recovered drones. |
| 563 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Essex County Sheriff's Office, Newark, New Jersey</u> | COPS | 08/18/2020 | 6 | Resolved | Remedy the \$4,503,266 in unsupported questioned costs. |
| 564 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Essex County Sheriff's Office, Newark, New Jersey</u> | COPS | 08/18/2020 | 8 | Resolved | Remedy \$1,250,000 in unsupported questioned local match costs. |
| 565 | <u>Audit of the Office of Community Oriented Policing Services Hiring Program Grants Awarded to the Essex County Sheriff's Office, Newark, New Jersey</u> | COPS | 08/18/2020 | 9 | Resolved | Work with ECSO to ensure that the match is met for grant 2017-UL-WX-0014. |
| 566 | <u>Audit of the Drug Enforcement Administration's Income-Generating, Undercover Operations</u> | DEA | 06/16/2020 | 15 | Resolved | Implement the preventative and detective internal controls over PGI (developing PGI spend plans, timely 90-day reviews, and quarterly headquarters examination of financial activity) as prescribed by the Department's Risk Mitigation Policy Memorandum, the AG FBI Undercover Guidelines, and the Agents Manual. |
| 567 | <u>Audit of the Drug Enforcement Administration's Income-Generating, Undercover Operations</u> | ODAG | 06/16/2020 | 16 | Resolved | Formally determine whether the policies within the AG FBI Undercover Guidelines apply, in their entirety or in specific instances, to all DOJ law enforcement components; or if the Department must issue new guidance to govern undercover operations that are initiated by DOJ law enforcement components outside of the FBI. |
| 568 | <u>Audit of the Drug Enforcement Administration's Income-Generating, Undercover Operations</u> | ODAG | 06/16/2020 | 17 | Resolved | Ensure that the DEA's policies reflect necessary measures and controls stipulated in applicable Department undercover guidance. |

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| 569 | <u>Notification of Concerns Identified with the Federal Bureau of Prisons' Procurement of Food Products</u> | BOP | 06/08/2020 | 1 | Resolved | Develop a quality assurance plan applicable to all institutions to mitigate the risk that a vendor could deliver a substandard product to the BOP. The BOP should consider including within this plan the following three-pronged approach: a. consistent on-site visual, weight, and other types of inspections before acceptance of delivery; b. a structured system of random laboratory testing of food products to ensure they meet USDA, U.S. Food and Drug Administration (FDA), contractual, or other applicable standards; and c. a requirement that with every food delivery and/or related claim, vendors submit a written certification that the products meet the contract specifications and have been processed or produced in accordance with USDA, FDA, or other regulatory standards, as applicable. |
| 570 | <u>Audit of the Justice Management Division's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2019</u> | JMD | 04/28/2020 | 8 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 571 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2019</u> | FBI | 03/31/2020 | 9 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 572 | <u>Management Advisory Memorandum for the Director of the Federal Bureau of Investigation Regarding the Execution of Woods Procedures for Applications Filed with the Foreign Intelligence Surveillance Court Relating to U.S. Persons</u> | FBI | 03/30/2020 | 1 | Resolved | Institute a requirement that it, in coordination with NSD, 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 FISA applications. |
| 573 | <u>Audit of the Office of Justice Programs Cooperative Agreements Awarded to Refugee Services of Texas, Inc. Dallas, Texas</u> | OJP | 03/30/2020 | 8 | Resolved | Remedy the remaining \$248,973 of the \$256,975 in unsupported matching costs. |

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| 574 | <u>Audit of the Office of Justice Programs Cooperative Agreements Awarded to Refugee Services of Texas, Inc. Dallas, Texas</u> | OJP | 03/30/2020 | 9 | Resolved | Coordinate with RST to ensure it meets its matching requirements, tracks all matching transactions on its general ledgers, and implements new policies and procedures to ensure matching costs are properly supported. |
| 575 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 5 | Resolved | Review the quality of the telephone monitoring equipment at institutions requiring FBI monitoring of inmates under a SAM directive, and work with the FBI to make improvements to ensure effective monitoring can be conducted with the equipment at each of those institutions. |
| 576 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 6 | Resolved | Assess the sound quality in BOP visiting rooms utilized by terrorist inmates subject to Special Administrative Measure (SAM) directives and improve the microphones in any identified facilities with inadequate equipment so that the FBI can effectively perform its monitoring as required under the SAM directive and the BOP can perform similar monitoring of its terrorist and other high-risk inmates. |
| 577 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 7 | Resolved | Work with the Department to establish procedures to prevent terrorist inmates from viewing discovery materials in the presence of other inmates and consider additional steps to minimize the risk that discovery material containing radical or harmful content can be inappropriately shared with other inmates. |
| 578 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 9 | Resolved | Eliminate the automatic delivery of email to high-risk inmates. |

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| 579 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 12 | Resolved | Establish controls that mitigate the risk of inmates communicating with unknown and un-vetted parties and take steps, including the utilization of available technological features as found in TRULINCS, to reduce the risk of mass emails being received by high-risk inmates, including terrorist inmates. |
| 580 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 13 | Resolved | Establish a TRUFONE control that allows the system to alert BOP management of any calls that were not completely monitored. |
| 581 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 15 | Resolved | Review cellblock conversation monitoring policy, procedures, and capabilities to determine whether and how improvements can be made to achieve security goals, including improvement of audio monitoring systems. |
| 582 | <u>Audit of the Federal Bureau of Prisons' Monitoring of Inmate Communications to Prevent Radicalization</u> | BOP | 03/24/2020 | 16 | Resolved | Revisit its social communication monitoring policy for high-risk inmates, including terrorist inmates, to better ensure that all visits between terrorist inmates and their visitors are sufficiently monitored. |
| 583 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 3 | Resolved | Ensures that complete documentation of lost and stolen FBI firearms is maintained, including all pertinent information such as the firearm make, model, and serial number. |
| 584 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 4 | Resolved | Ensure that the status of all lost or stolen firearms that are subsequently recovered is accurately reflected in AMS. |
| 585 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 5 | Resolved | Amend its policy for tracking ammunition to require that all rounds of each type of ammunition be tracked using handwritten logs that detail the date, caliber, quantity in or out, purpose of the ammunition transaction, and remaining balance; and require all ammunition tracking logs to be retained for at least 3 years. |

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| 586 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 6 | Resolved | Revise its current policy to require its offices to conduct a complete inventory of all ammunition on hand on an annual basis to ensure all recorded ammunition inventory balances are accurate, and to retain those records for at least 3 years. |
| 587 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 7 | Resolved | Establish policy requiring that less lethal munitions and diversionary devices must be stored in a secure area, with access limited to designated personnel. |
| 588 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 8 | Resolved | Establish policy for tracking less lethal munitions and diversionary devices that requires all quantities of each type of less lethal munition and diversionary device to be tracked using handwritten logs that detail the date, quantity in or out, purpose of the transaction, and remaining balance; and require all less lethal munition and diversionary device tracking logs to be retained for at least 3 years. |
| 589 | <u>Audit of the Federal Bureau of Investigation's Controls over Weapons, Munitions, and Explosives</u> | FBI | 03/23/2020 | 9 | Resolved | Require its offices to conduct a complete physical inventory of all less lethal munitions and diversionary devices on an annual basis and retain those records for at least 3 years. |
| 590 | <u>Audit of the INTERPOL Washington, United States National Central Bureau's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2019</u> | USNCB | 03/16/2020 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 591 | <u>Audit of the INTERPOL Washington, United States National Central Bureau's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2019</u> | USNCB | 03/16/2020 | 9 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 592 | <u>Audit of the INTERPOL Washington, United States National Central Bureau's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2019</u> | USNCB | 03/16/2020 | 11 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 593 | <u>Audit of the Federal Bureau of Investigation's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments</u> | FBI | 03/03/2020 | 1 | Resolved | Identify and document lessons learned from the Deputy Director's Closed Guardian Review and disseminate the results to senior headquarters and field office leadership to help ensure the underlying problems related to procedures, implementation, and oversight of this endeavor do not occur in future large-scale internal reviews and initiatives. |
| 594 | <u>Audit of the Federal Bureau of Investigation's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments</u> | FBI | 03/03/2020 | 2 | Resolved | Assess the legal, policy, and civil liberties issues implicated by the FBI's Office of the General Counsel (OGC) guidance related to database checks during the Deputy Director's Closed Guardian Review, as well as Counterterrorism Division (CTD) and field offices' execution of the review in contrast to this guidance, and determine what, if any, follow-up action is necessary. If the FBI's OGC guidance was required by policy, determine whether it may be appropriate and consistent with applicable law to amend FBI policy to permit follow-up inquiries of closed assessments in certain circumstances. |
| 595 | <u>Audit of the Federal Bureau of Investigation's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments</u> | FBI | 03/03/2020 | 4 | Resolved | Ensure field offices are fully aware of when to seek certain forms of legal process in connection with Guardian assessments and collaborate with CTD to discuss their coordination with USAOs and other options for obtaining records. |

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| 596 | <u>Audit of the Federal Bureau of Investigation's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments</u> | FBI | 03/03/2020 | 5 | Resolved | In conjunction with the efforts to address Recommendation Number 2, examine current field office initiatives that provide an ongoing mechanism to revisit subjects of closed assessments and investigations. This examination should identify any legal, policy, and civil liberties implications so that a decision can be made as to whether all FBI field offices should undertake similar initiatives. |
| 597 | <u>Audit of the Federal Bureau of Investigation's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments</u> | FBI | 03/03/2020 | 7 | Resolved | Develop and implement a comprehensive strategy for assessing and mitigating threats with subjects who have mental health concerns, which incorporates a requirement for field offices to establish a plan to utilize the resources and legal techniques specific to their area of responsibility to address this emerging threat, and deploy a training module to provide subject mitigation techniques when dealing with individuals suffering from mental health problems. |
| 598 | <u>Review of the U.S. Department of Justice's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13</u> | ODAG | 02/11/2020 | 1 | Resolved | Establish in policy or guidance the mission, role, and functions of the Senior Federal Law Enforcement Official, including qualifications, the appropriate components from which to select the official, and how a Senior Federal Law Enforcement Official coordinates with the ESF-13 program during a critical incident response. |
| 599 | <u>Review of the U.S. Department of Justice's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13</u> | ODAG | 02/11/2020 | 2 | Resolved | Ensure that the Senior Federal Law Enforcement Official cadre participates in National Level Exercises, when applicable, and ESF-13 Table Top Exercises. |
| 600 | <u>Review of the U.S. Department of Justice's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13</u> | ODAG | 02/11/2020 | 3 | Resolved | Reevaluate ESF-13's funding process and operational requirements to determine appropriate funding mechanisms and cost sharing. |
| 601 | <u>Review of the U.S. Department of Justice's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13</u> | ODAG | 02/11/2020 | 4 | Resolved | Reevaluate ESF-13's staffing to determine appropriate permanent staffing requirements and responsibilities. |

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|-----|--|-----------|-------------|------------------------|--------------------------|---|
| 602 | <u>Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation</u> | FBI | 12/09/2019 | 4 | Resolved | Address the problems with the administration and assessment of CHSs identified in the report. (see items 4a. through 4f. on pages 415 and 416) |
| 603 | <u>Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation</u> | FBI | 12/09/2019 | 6 | Resolved | Ensure that appropriate training on DIOG § 4 is provided to emphasize the constitutional implications of certain monitoring situations and to ensure that agents account for these concerns, both in the tasking of CHSs and in the way they document interactions with and tasking of CHSs. |
| 604 | <u>Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation</u> | FBI | 12/09/2019 | 1a | Resolved | Ensure that adequate procedures are in place for the Office of Intelligence (OI) to obtain all relevant and accurate information, including access to Confidential Human Source (CHS) information, needed to prepare FISA applications and renewal applications. This effort should include revising items 1a. through 1d. on page 415 of report. |
| 605 | <u>Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation</u> | NSD | 12/09/2019 | 1b | On Hold/Pending with OIG | Ensure that adequate procedures are in place for the Office of Intelligence (OI) to obtain all relevant and accurate information, including access to Confidential Human Source (CHS) information, needed to prepare FISA applications and renewal applications. This effort should include revising items 1a. through 1d. on page 415 of the report. |
| 606 | <u>Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation</u> | FBI | 12/09/2019 | 2a | Resolved | Evaluate which types of Sensitive Investigative Matters (SIM) require advance notification to a senior Department official, such as the Deputy Attorney General, in addition to the notifications currently required for SIMs, especially for case openings that implicate core First Amendment activity and raise policy considerations or heighten enterprise risk, and establish implementing policies and guidance, as necessary. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 607 | <u>Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation</u> | ODAG | 12/09/2019 | 2b | Resolved | Evaluate which types of Sensitive Investigative Matters (SIM) require advance notification to a senior Department official, such as the Deputy Attorney General, in addition to the notifications currently required for SIMs, especially for case openings that implicate core First Amendment activity and raise policy considerations or heighten enterprise risk, and establish implementing policies and guidance, as necessary. |
| 608 | <u>Audit of the Federal Bureau of Investigation's Management of its Confidential Human Source Validation Processes</u> | FBI | 11/18/2019 | 7 | Resolved | Ensure all validation process roles and responsibilities are defined and field office personnel receive adequate training on the validation processes. |
| 609 | <u>Audit of the Federal Bureau of Investigation's Management of its Confidential Human Source Validation Processes</u> | FBI | 11/18/2019 | 9 | Resolved | Ensure that headquarters validation personnel document their analyses, conclusions, and recommendations in validation reports. |
| 610 | <u>Audit of the Federal Bureau of Investigation's Management of its Confidential Human Source Validation Processes</u> | FBI | 11/18/2019 | 10 | Resolved | Update its Validation Manual to ensure that its annual CHS review process is accurately documented and review and update its annual CHS report to ensure that it sufficiently addresses CHS risks, provide field offices guidance on the updates, and stress to field offices the important of the annual CHS report in the FBI's validation process. |
| 611 | <u>Audit of the Federal Bureau of Investigation's Management of its Confidential Human Source Validation Processes</u> | FBI | 11/18/2019 | 11 | Resolved | Develop and implement a policy that clearly informs FBI personnel of the acceptable platforms for communicating with CHSs and provide training to its workforce on the policy. |
| 612 | <u>Review of the Drug Enforcement Administration's Regulatory and Enforcement Efforts to Control the Diversion of Opioids</u> | DEA | 09/30/2019 | 3 | Resolved | Implement electronic prescribing for all controlled substance prescriptions. |
| 613 | <u>Review of the Drug Enforcement Administration's Regulatory and Enforcement Efforts to Control the Diversion of Opioids</u> | DEA | 09/30/2019 | 4 | Resolved | Require that all suspicious orders reports be sent to DEA headquarters. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 614 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 1 | Resolved | Complete the heating, ventilation, and cooling equipment upgrade subproject at Metropolitan Detention Center Brooklyn and ensure that the equipment is capable of maintaining temperatures at BOP targets. Further, ensure that upgraded hardware and Building Management System software allow facilities staff to accurately monitor building temperatures and heating, ventilation, and cooling equipment performance. |
| 615 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 2 | Resolved | Take further action to diagnose the sources of temperature regulation issues and remedy them, if the upgraded Metropolitan Detention Center Brooklyn heating, ventilation, and cooling system cannot maintain building temperatures at BOP targets. |
| 616 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 4 | Resolved | Ensure that, in the absence of Building Management System software, institutions use a consistent and sound method to measure and document temperatures and record all maintenance performed on heating, ventilation, and cooling equipment. |
| 617 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 5 | Resolved | Require all institutions to develop alternative legal visiting plans that ensure that inmates can access legal counsel as soon as is safely possible after a facilities issue or other disruptive event. |
| 618 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 6 | Resolved | Update visitation policies to describe alternative legal visiting arrangements, when legal visiting is restricted under 28 C.F.R. § 540.40, to ensure pretrial inmates may access legal counsel under 28 C.F.R. § 551.117. |
| 619 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 7 | Resolved | Require institutions to maintain a list of inmates who use continuous positive airway pressure machines, or other electronic medical devices, in their cells so that institution staff can make every effort to accommodate those inmates in the event of a power outage. |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 620 | <u>Review and Inspection of Metropolitan Detention Center Brooklyn Facilities Issues and Related Impacts on Inmates</u> | BOP | 09/25/2019 | 9 | Resolved | Provide institutions additional guidance on how and when staff should inform defense counsel, the courts, inmates' families, and the public about disruptive events affecting the conditions of confinement and institution management decisions that restrict legal and social visiting. |
| 621 | <u>A Joint Review of Law Enforcement Cooperation on the Southwest Border between the Federal Bureau of Investigation and Homeland Security Investigations</u> | FBI | 07/31/2019 | 3 | Resolved | Provide training to Southwest border Federal Bureau of Investigation and Homeland Security Investigations agents on the existing Department of Justice and Department of Homeland Security deconfliction policies and mandatory systems. |
| 622 | <u>A Joint Review of Law Enforcement Cooperation on the Southwest Border between the Federal Bureau of Investigation and Homeland Security Investigations</u> | FBI | 07/31/2019 | 4 | Resolved | Develop and implement a plan to increase awareness among Federal Bureau of Investigation and Homeland Security Investigations agents of each agency's mission, statutory authorities, and criminal investigative priorities. |
| 623 | <u>A Joint Review of Law Enforcement Cooperation on the Southwest Border between the Federal Bureau of Investigation and Homeland Security Investigations</u> | FBI | 07/31/2019 | 5 | Resolved | Develop a memorandum of understanding or similar written agreement governing Federal Bureau of Investigation and Homeland Security Investigations operations on overlapping criminal investigative areas. |
| 624 | <u>Audit of the Department of Justice's Use of Immigration Sponsorship Programs</u> | DEA | 06/11/2019 | 8 | Resolved | Implement methods to accurately and completely track all foreign national sponsorship information for individual foreign nationals, including expiration dates. |
| 625 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 1 | Resolved | Ensure there are appropriate logic controls for data that is manually input into Cyber Guardian and CyNERGY, and that CyNERGY's data input is as automated as appropriate. |
| 626 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 3 | Resolved | Ensure that agents index "Victims" in Sentinel as required by the Indexing User Manual for Sentinel to support FBI investigative and administrative matters. |

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| 627 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 4 | Resolved | Ensure that all cyber victim notifications conducted in the course of restricted investigations are appropriately tracked in Cyber Guardian. |
| 628 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 5 | Resolved | Clearly define what constitutes a victim of cybercrime for the purposes of indexing victims in Sentinel and notifying victims of their rights under the Attorney General Guidelines for Victim and Witness Assistance, as appropriate. |
| 629 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 6 | Resolved | Ensure that all victims of cybercrime are informed of their rights under the Attorney General Guidelines for Victim and Witness Assistance, Crime Victims' Rights Act, and Victims' Rights and Restitution Act, as appropriate. |
| 630 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 8 | Resolved | Update Cyber Division Policy Guide 0853PG to include a minimum requirement for information that should be included in a victim notification and in victim notification leads, to ensure the consistency and effectiveness of victim notifications. |
| 631 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 9 | Resolved | Ensure Victim Contact Planning Calls are conducted for all cyber incidents that are labeled "Medium and above" on the National Security Council's Cyber Incidents Severity Schema. |
| 632 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 10 | Resolved | Pursue a mutually agreeable solution with OHS for ensuring all victim notification data is entered into Cyber Guardian. |
| 633 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 11 | Resolved | Coordinate with NSA to identify and implement an automated solution to streamline the post-publication requests for unclassified information in order to conduct timely and useful victim notifications. |
| 634 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | FBI | 03/29/2019 | 12 | Resolved | Implement controls to ensure that all users of Cyber Guardian, and subsequently CyNERGY, are certified to handle Protected Critical Infrastructure Information. |

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|-----|--|-----------|-------------|------------------------|--------------------------|---|
| 635 | <u>Audit of the Federal Bureau of Investigation's Cyber Victim Notification Process</u> | ODAG | 03/29/2019 | 13 | Resolved | Coordinate with the FBI's Cyber Division and update, as necessary, the Attorney General Guidelines for Victim and Witness Assistance to incorporate the nuances of cyber victims. |
| 636 | <u>A Review of the Drug Enforcement Administration's Use of Administrative Subpoenas to Collect or Exploit Bulk Data</u> | DEA | 03/28/2019 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 637 | <u>A Review of the Drug Enforcement Administration's Use of Administrative Subpoenas to Collect or Exploit Bulk Data</u> | ODAG | 03/28/2019 | 13 | On Hold/Pending with OIG | Ensure that a comprehensive review is conducted of the DEA's "parallel construction" policies and practices with respect to [REDACTED] investigative products to ensure that these policies and practices do not conflict with the government's discovery and disclosure obligations in criminal cases, or Department policy on this subject. |
| 638 | <u>A Review of the Drug Enforcement Administration's Use of Administrative Subpoenas to Collect or Exploit Bulk Data</u> | DEA | 03/28/2019 | 14 | On Hold/Pending with OIG | In the interim, and subject to the results of Recommendation #13, the Department's and the DEA's guidance and training materials regarding "parallel construction," including SOD/ [REDACTED] investigative products and [REDACTED] investigative products, should be clarified to clearly state that "parallel construction" does not negate adherence to discovery and disclosure obligations in criminal cases, if applicable. These guidance and training materials should further make explicit that, if discovery requirements threaten disclosure of the program, prosecutors may seek to protect the program through appropriate process, such as protective orders or ex parte proceedings, and that, depending on the circumstances, the government may eventually be required to choose between disclosure or dismissal, but that "parallel construction" cannot be utilized as a substantive substitute for otherwise applicable discovery and disclosure requirements. |

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| 639 | <u>A Review of the Drug Enforcement Administration's Use of Administrative Subpoenas to Collect or Exploit Bulk Data</u> | DEA | 03/28/2019 | 16 | On Hold/Pending with OIG | Take steps to ensure that all changes to DEA policies, guidance, or procedures adopted as a result of implementing the foregoing recommendations are disseminated widely and readily available to DEA employees and other users of the programs, as appropriate [REDACTED]. All such changes should be incorporated into the DEA Agents Manual and periodic training provided to users of the relevant programs and to SOD and NS personnel, as appropriate. |
| 640 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 4 | Resolved | Remedy the \$168,679 in unsupported reimbursed expenditures related to conductor payments. |
| 641 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 3a | Resolved | Remedy the \$760,199 in unallowable reimbursed grant expenditures due to CCSD's lack of adherence to OJP requirements, implementation of a program that severely deviated from the grant's approved scope and intent, and inadequate progress in achieving grant goals and objectives. |
| 642 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 3b | Resolved | Remedy the \$33,743 in unallowable reimbursed expenditures associated with the Data Management Coordinator salary because CCSD did not achieve the required level of data collection to accomplish the grant objectives. |
| 643 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 3c | Resolved | Remedy the \$35,642 in unallowable reimbursed expenses associated with expenditures that were not in the NIJ-approved budget, including an unapproved administrative support position, website development from an unapproved vendor, conductor trainings by unapproved vendors, background checks, consultant travel, and data plans for the tablet computers. |
| 644 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 3d | Resolved | Remedy the \$112,697 in unallowable expenditures incurred prior to the allowable period of performance. |

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| 645 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 5a | Resolved | Put to better use the \$598,663 in unreimbursed CCSD expenditures that are unallowable due to lack of adherence to OJP requirements, implementation of a program that severely deviated from the grant's approved scope and intent, and inadequate progress in achieving grant goals and objectives. |
| 646 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 5b | Resolved | Put to better use the \$9,863 in unreimbursed expenditures associated with the Data Management Coordinator salary because CCSD did not achieve the required level of data collection to accomplish grant objectives. |
| 647 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 5c | Resolved | Put to better use the \$16,291 in unreimbursed expenses associated with expenditures that were not in the NIJ-approved budget, including conductor trainings by unapproved vendors, background checks, and data plans for the tablet computers. |
| 648 | <u>Audit of the Office of Justice Programs Research Grant Awarded to the Cincinnati City School District for a Walking School Bus, Cincinnati, Ohio</u> | OJP | 03/13/2019 | 5d | Resolved | Put to better use the \$110,154 in not yet reimbursed expenditures related to conductor payments that were unsupported. |
| 649 | <u>Audit of Efforts to Safeguard Minors in Department of Justice Youth-Centered Programs</u> | ODAG | 03/13/2019 | 2 | Resolved | Leverage and coordinate existing law enforcement tools, to the extent permissible by law, to facilitate screening that effectively mitigates the risk of improper individuals interacting with youth through DOJ programs. |
| 650 | <u>Audit of the Drug Enforcement Administration's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2018</u> | DEA | 03/12/2019 | 4 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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|-----|---|-----------|-------------|------------------------|-----------------------|---|
| 651 | <u>Procedural Reform Recommendation for the U.S. Marshals Service</u> | USMS | 02/13/2019 | 4 | Resolved | Develop and implement a "terminal leave" policy that provides that under no circumstances shall a proposed or final determination on a personnel action, whether based on deficient performance or misconduct, be delayed or not taken so that an employee can accumulate service time, whether by remaining on duty, while on administrative leave, while on leave without pay, or while on annual leave, in order to attain eligibility for benefits, including but not limited to retirement benefits. |
| 652 | <u>Procedural Reform Recommendation for the Federal Bureau of Investigation</u> | FBI | 02/12/2019 | 1 | Resolved | Amend the existing FBI Policy Directive to formally designate an entity to be responsible for text message collection and retention. |
| 653 | <u>Review of the Department of Justice's Implementation of the Death in Custody Reporting Act of 2013</u> | OJP | 12/18/2018 | 4 | Resolved | 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. |
| 654 | <u>Review of the Department of Justice's Implementation of the Death in Custody Reporting Act of 2013</u> | FBI | 12/18/2018 | 3a | Resolved | Work together with the Office of Justice Programs (OJP) to identify and implement death in custody data collection best practices and reduce duplicative data collection efforts. |
| 655 | <u>Review of the Department of Justice's Implementation of the Death in Custody Reporting Act of 2013</u> | OJP | 12/18/2018 | 3b | Resolved | Work together with the Federal Bureau of Investigation (FBI) to identify and implement death in custody data collection best practices and reduce duplicative data collection efforts. |
| 656 | <u>Review of Gender Equity in the Department's Law Enforcement Components</u> | FBI | 06/25/2018 | 1c | Resolved | Assess recruitment, hiring, and retention activities to identify barriers to gender equity in the workforce. |
| 657 | <u>Review of Gender Equity in the Department's Law Enforcement Components</u> | USMS | 06/25/2018 | 1d | Resolved | Assess recruitment, hiring, and retention activities to identify barriers to gender equity in the workforce. |

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|-----|---|-----------|-------------|------------------------|-----------------------|--|
| 658 | <u>Review of Gender Equity in the Department's Law Enforcement Components</u> | FBI | 06/25/2018 | 2c | Resolved | Develop and implement component-level recruiting, hiring, and retention strategies and goals that address the identified barriers to gender equity in the workforce. |
| 659 | <u>A Review of Various Actions by the Federal Bureau of Investigation and Department of Justice in Advance of the 2016 Election</u> | ODAG | 06/14/2018 | 2 | Resolved | 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. |
| 660 | <u>A Review of Various Actions by the Federal Bureau of Investigation and Department of Justice in Advance of the 2016 Election</u> | ODAG | 06/14/2018 | 4 | Resolved | 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. |
| 661 | <u>A Review of Various Actions by the Federal Bureau of Investigation and Department of Justice in Advance of the 2016 Election</u> | ODAG | 06/14/2018 | 5 | Resolved | Take steps to improve the retention and monitoring of text messages Department-wide |
| 662 | <u>A Review of Various Actions by the Federal Bureau of Investigation and Department of Justice in Advance of the 2016 Election</u> | ODAG | 06/14/2018 | 3a | Resolved | Consider adopting a policy addressing the appropriateness of Department employees discussing the conduct of uncharged individuals in public statements. |
| 663 | <u>Audit of the United States Marshals Service's Property and Asset Control Enterprise Solution Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2017</u> | USMS | 03/30/2018 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 664 | <u>Audit of the United States Marshals Service's Information Security Program Pursuant to the Federal Information Security Modernization Act of 2014 Fiscal Year 2017</u> | USMS | 03/30/2018 | 1 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 665 | <u>Review of the Federal Bureau of Investigation's Response to Unresolved Results in Polygraph Examinations</u> | FBI | 03/29/2018 | 2 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |

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|-----|---|-----------|-------------|------------------------|--------------------------|--|
| 666 | <u>Review of the Federal Bureau of Investigation's Response to Unresolved Results in Polygraph Examinations</u> | FBI | 03/29/2018 | 8 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 667 | <u>Procedural Reform Recommendation for the Federal Bureau of Prisons</u> | BOP | 12/20/2017 | 2 | Resolved | Ensure that the adjudication vendor is able to reproduce on demand all necessary data elements used to adjudicate the claims (e.g., DRG, all procedure codes, and drug information). The universe of claims data should be available to BOP on a national scale in a format that allows for thorough analysis and oversight regardless of institution. |
| 668 | <u>Procedural Reform Recommendation for the Federal Bureau of Prisons</u> | BOP | 12/20/2017 | 1a | Resolved | Move immediately to require all CMS contractors to submit electronic claims. |
| 669 | <u>Procedural Reform Recommendation for the Federal Bureau of Prisons</u> | BOP | 12/20/2017 | 1b | Resolved | Ensure those claims are properly analyzed and maintained by BOP's adjudication vendor. |
| 670 | <u>Procedural Reform Recommendation for the Federal Bureau of Prisons</u> | BOP | 12/20/2017 | 1c | Resolved | Enforce existing contract language that requires the adjudication vendor to perform fraud analytics and report any indicators of fraud to the BOP. |
| 671 | <u>Examination of the U.S. Department of Justice's Compliance with the Federal Funding Accountability and Transparency Act of 2006, as Amended by the Digital Accountability and Transparency Act of 2014</u> | ALLDOJ | 11/07/2017 | 3 | Resolved | Ensure all accounting entry corrections are addressed prior to submission of file B. |
| 672 | <u>Audit of the Federal Bureau of Investigation's Insider Threat Program</u> | FBI | 09/22/2017 | 1 | On Hold/Pending with OIG | Track, summarize, and annually report InTP performance metrics as required. |
| 673 | <u>Audit of the Federal Bureau of Investigation's Insider Threat Program</u> | FBI | 09/22/2017 | 2 | On Hold/Pending with OIG | Ensure that leads and referrals concerning insider threats are handled and monitored in a systematic way, including making sure that leads go to the appropriate point of contact at each internal FBI component. |

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| 674 | <u>Audit of the Federal Bureau of Investigation's Insider Threat Program</u> | FBI | 09/22/2017 | 3 | On Hold/Pending with OIG | Pursue technological solutions to mitigate the need for, or reduce the risk of, stand-alone systems. |
| 675 | <u>Audit of the Federal Bureau of Investigation's Insider Threat Program</u> | FBI | 09/22/2017 | 4 | On Hold/Pending with OIG | Conduct a comprehensive inventory of classified networks, systems, applications, and other information technology assets and identify a component responsible for maintaining the inventory. |
| 676 | <u>Audit of the Federal Bureau of Investigation's Insider Threat Program</u> | FBI | 09/22/2017 | 5 | On Hold/Pending with OIG | Ensure user activity monitoring (UAM) coverage over all classified systems and networks and identify a component to maintain an accurate inventory of all information technology assets that have user activity monitoring coverage. |
| 677 | <u>Management Advisory Memorandum: Recommendations for a Department of Justice Policy Establishing Standards for its Security Offices to Review Misconduct Investigations for Security Clearance Adjudications</u> | ODAG | 09/06/2017 | 1 | Resolved | Issue or clarify policies to require DOJ security offices to routinely request relevant misconduct-related materials from relevant DOJ misconduct offices for consideration in connection with security clearance adjudications. Such policies should include a clear definition of relevant misconduct-related materials that ensures that security offices receive the necessary and appropriate information to make fully-informed decisions. |
| 678 | <u>Management Advisory Memorandum: Recommendations for a Department of Justice Policy Establishing Standards for its Security Offices to Review Misconduct Investigations for Security Clearance Adjudications</u> | ODAG | 09/06/2017 | 2 | Resolved | Issue or clarify policies to require DOJ misconduct offices to provide such relevant misconduct-related materials to DOJ security offices or OPM to ensure timely and informed security clearance adjudications, whether those materials arise as a result of a misconduct investigation or are requested in connection with a security clearance adjudication. |

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| 679 | <u>Review of the Federal Bureau of Prisons' Use of Restrictive Housing for Inmates with Mental Illness</u> | BOP | 07/11/2017 | 1 | Resolved | 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. |
| 680 | <u>Review of the Federal Bureau of Prisons' Use of Restrictive Housing for Inmates with Mental Illness</u> | BOP | 07/11/2017 | 2 | Resolved | Define and establish in policy extended placement in measureable terms. |
| 681 | <u>Review of the Federal Bureau of Prisons' Use of Restrictive Housing for Inmates with Mental Illness</u> | BOP | 07/11/2017 | 3 | Resolved | Track all inmates in single-cell confinement and monitor, as appropriate, the cumulative amount of time that inmates with mental illness spend in restrictive housing, including single-cell confinement. |
| 682 | <u>Review of the Federal Bureau of Prisons' Use of Restrictive Housing for Inmates with Mental Illness</u> | BOP | 07/11/2017 | 4 | Resolved | Identify all forms of restrictive housing utilized throughout its institutions and ensure that all local policies are updated to reflect standards for all inmates in restrictive housing consistent with established nationwide policies. |
| 683 | <u>Review of the Federal Bureau of Prisons' Use of Restrictive Housing for Inmates with Mental Illness</u> | BOP | 07/11/2017 | 5 | Resolved | Evaluate and limit as appropriate the consecutive amount of time that inmates with serious mental illness may spend in restrictive housing. |
| 684 | <u>Review of the Federal Bureau of Prisons' Use of Restrictive Housing for Inmates with Mental Illness</u> | BOP | 07/11/2017 | 15 | Resolved | Conduct a comprehensive review of U.S. Penitentiary Lewisburg's Special Management Unit that addresses the staffing, treatment, conditions of confinement, and performance metrics of the program. |

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| 685 | <u>A Special Joint Review of Post-Incident Responses by the Department of State and Drug Enforcement Administration to Three Deadly Force Incidents in Honduras</u> | ODAG | 05/24/2017 | 7 | On Hold/Pending with OIG | Determine whether revisions to the post-shooting incident procedures should be made across the Department's law enforcement components to address the issue of shooting incidents outside the United States by a foreign LEO working on a joint law enforcement operation with a DOJ component. We also recommend that the Deputy Attorney General consider whether revisions to the components' post-shooting incident procedures should be made to ensure that the requirements are appropriate and consistent across the Department's law enforcement components. |
| 686 | <u>Audit of the Office on Violence Against Women Encourage Arrest Policies and Enforcement of Protection Orders Program Grants Awarded to Bucks County, Pennsylvania</u> | OVW | 02/14/2017 | 6 | Resolved | Remedy \$626,133 in unsupported personnel and fringe benefits of subrecipient expenditures. |
| 687 | <u>Audit of the Office on Violence Against Women Encourage Arrest Policies and Enforcement of Protection Orders Program Grants Awarded to Bucks County, Pennsylvania</u> | OVW | 02/14/2017 | 8 | Resolved | Remedy \$72,000 in unsupported consultant expenses. |
| 688 | <u>Audit of the Office of Justice Programs' Tribal Justice Systems Infrastructure Program</u> | OJP | 01/18/2017 | 3a | Resolved | Remedy \$10,720,232 in unallowable costs awarded to the Nisqually Tribe to fund a correctional facility that was not funded or used in conformity with the statutory authority of the TJSIP, and that was inappropriately built with the intention of being a profit-generating facility. |
| 689 | <u>A Review of the FBI's Use of Section 215 Orders for Business Records in 2012-2014</u> | FBI | 09/29/2016 | 1 | Response Not Yet Due | Continue to pursue ways to make the business records process more efficient, particularly for applications related to cyber cases. |
| 690 | <u>A Review of ATF's Undercover Storefront Operations</u> | ODAG | 09/08/2016 | 10 | Resolved | Promptly design and implement a plan that ensures that its law enforcement and detention components comply with the Rehabilitation Act of 1973. |
| 691 | <u>Review of the Federal Bureau of Prisons' Release Preparation Program</u> | BOP | 08/30/2016 | 1 | Resolved | Establish a standardized list of courses, covering at least the Release Preparation Program's core categories, as designated by the BOP, to enhance the consistency of Release Preparation Program curricula across BOP institutions. |

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| 692 | <u>Review of the Federal Bureau of Prisons' Release Preparation Program</u> | BOP | 08/30/2016 | 5 | Resolved | Explore the use of incentives and other methods to increase inmate participation and completion rates for the Institution Release Preparation Programs. |
| 693 | <u>Audit of the Office of Justice Programs Human Trafficking and the Office on Violence Against Women Legal Assistance Awards to the Asian Pacific Islander Legal Outreach, San Francisco, California</u> | OVW | 08/22/2016 | 4 | Resolved | Ensure that APILO identifies actual costs paid to its subrecipients, provides adequate support for those expenditures and properly supports these invoices with supportable rates that represent costs of actual services. |
| 694 | <u>Audit of the Federal Bureau of Investigation's Cyber Threat Prioritization</u> | FBI | 07/20/2016 | 1 | On Hold/Pending with OIG | Utilize an algorithmic, data driven, and objective methodology in the scoping and prioritization of cyber threat sets, including: <ul style="list-style-type: none"> • Document policies and procedures and provide training for the use of the methodology, including who should enter the data and how the data should be used in prioritizing cyber threat sets. • Ensure that the results of the threat ranking tool are updated automatically through integration with Sentinel and updated manually at least every 30 days so that emerging threat sets can be identified and mitigated in a timely manner. |
| 695 | <u>Audit of the Federal Bureau of Investigation's Cyber Threat Prioritization</u> | FBI | 07/20/2016 | 2 | On Hold/Pending with OIG | Develop and implement a record keeping system that tracks agent time utilization by threat set. |
| 696 | <u>Review of the Federal Bureau of Prisons' Contraband Interdiction Efforts</u> | BOP | 06/28/2016 | 3 | Resolved | 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. |
| 697 | <u>Review of the Federal Bureau of Prisons' Contraband Interdiction Efforts</u> | BOP | 06/28/2016 | 4 | Resolved | Define what quantities, if any, of tobacco and related tobacco products should be authorized for staff to bring into institutions for personal use. |

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| 698 | <u>Review of the Federal Bureau of Prisons' Contraband Interdiction Efforts</u> | BOP | 06/28/2016 | 5 | Resolved | Restrict the size and content of personal property that staff may bring into BOP institutions. |
| 699 | <u>Review of the Federal Bureau of Prisons' Contraband Interdiction Efforts</u> | BOP | 06/28/2016 | 6 | Resolved | Establish procedures whereby all post-declaration items discovered during staff screening procedures are documented, along with the identity of the staff member involved, as well as more explicit guidelines for when the items should be confiscated and when such instances or a series of them should be referred for investigation and corrective action. |
| 700 | <u>The Federal Bureau of Prisons' Reimbursement Rates for Outside Medical Care</u> | BOP | 06/08/2016 | 3 | Resolved | Improve the collection and analysis of utilization data for inmate medical care to better understand the services that inmates need and the impact it has on the BOP's medical spending. |
| 701 | <u>Summary of a Review of the Management and Operations of an FBI Recreation Association</u> | FBI | 05/10/2016 | 1 | On Hold/Pending with OIG | Temporarily shut down the stores operated by the FBIRA-NY until they are in compliance with New York State law and FBI Policy. |
| 702 | <u>Summary of a Review of the Management and Operations of an FBI Recreation Association</u> | FBI | 05/10/2016 | 2 | On Hold/Pending with OIG | Revise and update CPD 0465D, including prohibiting FBIRA Board Members from using personal financial instruments or accounts in connection with FBIRAs, clearly delineating permissible and impermissible uses of FBIRA resources, and requiring accountability for RA funds. |
| 703 | <u>Summary of a Review of the Management and Operations of an FBI Recreation Association</u> | FBI | 05/10/2016 | 3 | On Hold/Pending with OIG | Provide appropriate training and guidance to FBIRA directors and FBI Field Division managers. |
| 704 | <u>Audit of the Office of Justice Programs Grant Awarded to the Housing Authority of Plainfield, Plainfield, New Jersey</u> | OJP | 03/29/2016 | 1 | Resolved | Remedy \$244,233 in unsupported grant funds. |
| 705 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Dawson County Domestic Violence Program, Glendive, Montana</u> | OVW | 11/09/2015 | 4 | Resolved | Remedy the \$30,353 in grant reimbursements claimed for costs that were unallowable under the terms and conditions of the awards. |

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| 706 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Dawson County Domestic Violence Program, Glendive, Montana</u> | OVW | 11/09/2015 | 2b | Resolved | Remedy the \$872,246 in grant reimbursements expended on personnel costs that are not supported by detailed time and attendance records. |
| 707 | <u>Audit of the Office on Violence Against Women Grants Awarded to the Dawson County Domestic Violence Program, Glendive, Montana</u> | OVW | 11/09/2015 | 2c | Resolved | Remedy the \$45,840 in grant reimbursements claimed for costs which are unsupported by grant documentation. |
| 708 | <u>Audit of the Office of Justice Programs Correctional Systems and Correctional Alternatives on Tribal Lands Program Grants Awarded to the Navajo Division of Public Safety, Window Rock, Arizona</u> | OJP | 09/28/2015 | 9 | Resolved | Remedy \$32,034,623 in unallowable expenditures associated with excessive building sizes for Grant Numbers 2009-ST-B9-0089 and 2009-ST-B9-0100. |
| 709 | <u>Audit of the Federal Bureau of Investigation's Information Security Program Pursuant to the Federal Information Security Management Act Fiscal Year 2014</u> | FBI | 06/30/2015 | 38 | On Hold/Pending with OIG | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 710 | <u>Review of the Impact of an Aging Inmate Population on the Federal Bureau of Prisons</u> | BOP | 05/05/2015 | 7 | Resolved | Develop sections in release preparation courses that address the post-incarceration medical care and retirement needs of aging inmates. |
| 711 | <u>The Handling of Sexual Harassment and Misconduct Allegations by the Department's Law Enforcement Components</u> | ODAG | 03/25/2015 | 5 | Resolved | Ensure that the Department's zero tolerance policy on sexual harassment is enforced in the law enforcement components and that the components' tables of offenses and penalties are complimentary and consistent with respect to sexual harassment. |
| 712 | <u>The Handling of Sexual Harassment and Misconduct Allegations by the Department's Law Enforcement Components</u> | ODAG | 03/25/2015 | 7 | Resolved | All four law enforcement components, in coordination with ODAG, should acquire and implement technology and establish procedures to effectively preserve text messages and images for a reasonable period of time, and components should make this information available to misconduct investigators and, as appropriate, for discovery purposes. |

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| 713 | <u>The Handling of Sexual Harassment and Misconduct Allegations by the Department's Law Enforcement Components</u> | ODAG | 03/25/2015 | 8 | Resolved | All four law enforcement components, in coordination with ODAG, should take concrete steps to acquire and implement technology to be able to, as appropriate in the circumstances, proactively monitor text message and image data for potential misconduct. |
| 714 | <u>A Review of ATF's Investigation of Jean Baptiste Kingery</u> | ODAG | 10/30/2014 | 1 | Resolved | Engage with the leadership at the Department of Homeland Security, ICE, and CBP in an effort to identify and develop opportunities to improve these important and highly consequential relationships. |
| 715 | <u>Information Handling and Sharing Prior to the April 15, 2013 Boston Marathon Bombings</u> | FBI | 04/10/2014 | 1 | Resolved | Clarify the circumstances under which JTTF personnel may change the display status of a TECS record, particularly in closed cases. |
| 716 | <u>A Review of ATF's Operation Fast and Furious and Related Matters</u> | FBI | 09/19/2012 | 4 | Resolved | Review the policies and procedures of its other law enforcement components to ensure that they are sufficient to address the concerns we have identified in the conduct of Operations Wide Receiver and Fast and Furious, particular regarding oversight of sensitive and major cases, the authorization and oversight of "otherwise illegal activity," and the use of information in situations where the law enforcement component also has a regulatory function. |
| 717 | <u>A Review of the Federal Bureau of Investigation's Activities Under Section 702 of the Foreign Intelligence Surveillance Act Amendments Act of 2008</u> | FBI | 09/12/2012 | 3 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 718 | <u>A Review of the Federal Bureau of Investigation's Activities Under Section 702 of the Foreign Intelligence Surveillance Act Amendments Act of 2008</u> | FBI | 09/12/2012 | 7 | Resolved | [Description omitted; DOJ has determined that this recommendation contains information that is limited official use or classified.] |
| 719 | <u>Audit of the Office of Community Oriented Policing Services Grant to the City of Newark, New Jersey</u> | COPS | 07/10/2012 | 1b | Resolved | Remedy unallowable expenditures resulting from purchase of equipment not competitively procured and not authorized for purchase under the New Jersey Cooperative Purchasing Program (net expenditures of \$2,777,569). |

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| 720 | <u>Audit of the Office of Community Oriented Policing Services Grant to the City of Newark, New Jersey</u> | COPS | 07/10/2012 | 1c | Resolved | Remedy unallowable expenditures resulting from purchase of a mobile communications command center vehicle procured in a manner that likely hindered an open and competitive bid process (\$626,221). |
| 721 | <u>A Review of the FBI's Investigations of Certain Domestic Advocacy Groups</u> | FBI | 09/20/2010 | 2 | Resolved | Establish Procedures to Track Source of Facts Provided to the Public and Congress. |
| 722 | <u>A Review of the FBI's Investigations of Certain Domestic Advocacy Groups</u> | FBI | 09/20/2010 | 3 | On Hold/Pending with OIG | Require Identification of Federal Crime as Part of Documenting Predication. |
| 723 | <u>A Review of the FBI's Investigations of Certain Domestic Advocacy Groups</u> | FBI | 09/20/2010 | 4 | On Hold/Pending with OIG | Consider Revising Attorney General's Guidelines and DIOG to Reinstate Prohibition on Retention of Irrelevant First Amendment Material from Public Events. |
| 724 | <u>A Review of the FBI's Investigations of Certain Domestic Advocacy Groups</u> | FBI | 09/20/2010 | 5 | On Hold/Pending with OIG | Clarify When First Amendment Cases Should Be Classified as "Acts of Terrorism" Matters. |
| 725 | <u>Report on the President's Surveillance Program</u> | FBI | 07/10/2009 | 1 | On Hold/Pending with OIG | Assess its discovery obligations regarding Stellar Wind-derived information in international terrorism prosecutions. |
| 726 | <u>Report on the President's Surveillance Program</u> | FBI | 07/10/2009 | 2 | On Hold/Pending with OIG | Carefully consider whether it must re-examine past cases to see whether potentially discoverable but undisclosed Rule 16 or Brady material was collected by the NSA under the program, and take appropriate steps to ensure that it has complied with its discovery obligations in such cases. |

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| 727 | <u>Report on the President's Surveillance Program</u> | NSD | 07/10/2009 | 3 | On Hold/Pending with OIG | As part of the [Redacted] project, the Justice Department's National Security Division (NSD), working with the FBI, should collect information about the quantity of telephone numbers and e-mail addresses disseminated to FBI field offices that are assigned as Action leads and that require offices to conduct threat assessments. |
| 728 | <u>Report on the President's Surveillance Program</u> | NSD | 07/10/2009 | 4 | On Hold/Pending with OIG | Consistent with NSD's current oversight activities and as part of its periodic reviews of national security investigations at FBI Headquarters and field offices, NSD should review a representative sampling [Redacted] leads to those offices. |
| 729 | <u>Report on the President's Surveillance Program</u> | FBI | 07/10/2009 | 5 | On Hold/Pending with OIG | In coordination with the NSA, implement a procedure to identify Stellar Wind-derived information that may be associated with international terrorism cases currently pending or likely to be brought in the future and evaluate whether such information should be disclosed in light of the government's discovery obligations under Rule 16 and Brady. |
| 730 | <u>A Review of the FBI's Handling and Oversight of FBI Asset Katrina Leung</u> | FBI | 05/01/2006 | 1 | On Hold/Pending with OIG | Continue its FBI Headquarters-managed asset validation review process and provide sufficient resources for the Analytical Unit to devote to these reviews. |
| 731 | <u>A Review of the FBI's Handling and Oversight of FBI Asset Katrina Leung</u> | FBI | 05/01/2006 | 2 | On Hold/Pending with OIG | Require that any analytical products relating to the asset, together with red flags, derogatory reporting, anomalies, and other counterintelligence concerns be documented in a subsection of the asset's file. |

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| 732 | <u>A Review of the FBI's Handling and Oversight of FBI Asset Katrina Leung</u> | FBI | 05/01/2006 | 3 | On Hold/Pending with OIG | Require the field SSA, the ASAC, and the FBI Headquarters SSA responsible for each asset to signify that they have reviewed the entries in this subsection as part of the routine file review or of semi-annual or annual asset re-evaluations. If anomalies exist, the SSA should note what action has been taken with respect to them, or explain why no action is necessary, and the ASAC's agreement should be noted. |
| 733 | <u>A Review of the FBI's Handling and Oversight of FBI Asset Katrina Leung</u> | FBI | 05/01/2006 | 6 | On Hold/Pending with OIG | Require agents to record in the asset file any documents passed and all matters discussed with the asset, as well as each person who was present for the meeting. |
| 734 | <u>A Review of the FBI's Handling and Oversight of FBI Asset Katrina Leung</u> | FBI | 05/01/2006 | 7 | On Hold/Pending with OIG | Require alternate case agents to meet with the source on a regular basis, together with the case agent. |
| 735 | <u>A Review of the FBI's Handling and Oversight of FBI Asset Katrina Leung</u> | FBI | 05/01/2006 | 8 | On Hold/Pending with OIG | Limit the number of years any Special Agent can continue as an asset's handler. Exceptions should be allowed for good cause only. |