

OFFICE OF INSPECTOR GENERAL

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION



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OFFICE OF INSPECTOR GENERAL

October 1, 2023, to March 31, 2024



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

OFFICE OF INSPECTOR GENERAL

OIG VISION

Effective, efficient, and
accountable oversight of
Agency programs, operations,
and personnel

OIG MISSION

To detect and prevent waste,
fraud, and abuse and promote
economy, efficiency, and
effectiveness in the programs
and operations of the Equal
Employment Opportunity
Commission

CORE VALUES

Integrity Accountability
Excellence Collaboration
Innovation

Table of Contents

MESSAGE FROM THE INSPECTOR GENERAL	3
EXECUTIVE SUMMARY	4
Completed Audit Activities.....	4
Completed Other Audit Activities.....	4
Ongoing Audit Activities	4
Ongoing Other Audit Activities	4
Open Special Projects.....	4
Ongoing Evaluation Activities	4
Ongoing Investigative Activities.....	4
INTRODUCTION.....	5
THE AUDIT PROGRAM.....	6
Completed Audit Activities.....	6
Completed Other Audit Special Project Activities	7
Ongoing Audit Activities	8
Ongoing Other Audit Activities	8
THE EVALUATION PROGRAM.....	9
Ongoing Evaluation Activities	9
OFFICE OF INSPECTOR GENERAL SPECIAL PROJECTS.....	10
Ongoing Special Projects Activity	10
AUDIT AND EVALUATION FOLLOW-UP	11
Audit and Evaluation Reports Issued During This Reporting Period	11
Recommendations for Which Corrective Actions Have Not Been Completed	11
AUDIT OPEN RECOMMENDATIONS	19
Audit and Evaluation Reports Which no Management Decision has been Made by the End of the Reporting Period.....	19
THE INVESTIGATION PROGRAM	20
Office of Inspector General Hotline.....	21
Ongoing Investigative Activities.....	21



APPENDICES	22
Appendix Ia. Final Audit/Evaluation/Inspections Reports	22
Appendix Ib. Previous Audit/Evaluation Report with Funds Put to Better Use	22
Appendix II. Investigative Statistical Report	23
Appendix III. A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated.	23
Appendix IV. A Detailed Description of Any Instance of Whistleblower Retaliation.	23
Appendix V. A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office of Inspector General.	24
Appendix VI. Detailed Descriptions of the Particular Circumstances.	24
Appendix VII. Significant Management Decisions	24
Appendix VIII. Index of Reporting Requirements.	25
Appendix IX. Single Audit Act Reporting	28
Appendix X. Peer Review Reporting (Audit and Evaluations)	28



MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to submit this Semiannual Report to Congress highlighting the activities of the Equal Employment Opportunity Commission (EEOC), Office of Inspector General (OIG) for the six months ending on March 31, 2024.

The OIG employs modern technologies and tools to ensure good financial stewardship of American taxpayers' investment in the OIG. Our diligent and innovative workforce leverages extensive experience in overseeing complex and consequential initiatives and produces significant impact. Our office's capacity to achieve high impact regarding our audits, evaluations, investigations, special projects, and use of emerging technology is limited only by resource challenges. Our office will continue to pursue the mission of providing independent, objective, standards-based oversight and enforcement to protect EEOC programs and the people they serve from fraud, waste, and abuse.

During this reporting period, our office was able to fill its vacant senior evaluator position. This hiring brings our full-time equivalent (FTE) level to eleven. The only position that remains vacant is the Chief Technology Officer, whose function is currently being performed by the office's Deputy Inspector General.

Along with other work associated with our mission, one of the most important tasks that we are currently undertaking is to author our new Strategic Plan. This new plan will drive our vision associated with the office's goals, objectives, and performance measures. This plan will also discuss our efforts regarding the implementation of diversity, equity, inclusion, and accessibility. Our office will continue its efforts regarding identifying new and innovative practices that will further enhance our ability to perform Office of Inspector General mission-critical activities.

I would like to personally thank the OIG's dedicated team of talented professionals, whose resilience and flexibility during the reporting period have allowed the office to continue its vigilance in detecting and preventing waste, fraud, abuse, and misconduct in the Agency's operations and programs. I would also like to welcome the Agency's new General Counsel, Karla Gilbride, to the EEOC. Finally, I would like to extend a special thank you to Chair Charlotte Burrows, the EEOC Commissioners, senior Agency leadership, and their staff for their ongoing cooperation, and Congress for its continuing support of the mission of the OIG.

Respectfully Submitted,



Joyce T. Willoughby
Inspector General



EXECUTIVE SUMMARY

This Semiannual Report summarizes the Office of Inspector General's activities and accomplishments from October 1, 2023, to March 31, 2024.

The Office of Inspector General issued two audit reports and two special project reports. The Office of Inspector General received 278 hotline contacts during the reporting period.

Completed and ongoing activities include the following:

Completed Audit Activities

- An audit of the FY 2023 and 2022 financial statements.
- An audit of the Agency's FY 2023 information security program and practices.

Completed Other Audit Activities

- A report regarding compliance with the internal control policies
- A congressional inquiry regarding an open recommendation

Ongoing Audit Activities

- An audit of the FY 2024 and 2023 financial statements
- An audit of the Agency's FY 2024 information security program and practices.

Ongoing Other Audit Activities

- A peer review of Commodity Futures Trading Commission, Office of Inspector General.
- A peer review of the Denali Commission, Office of Inspector General.

Open Special Projects

- An inquiry regarding political bias against EEOC employees.

Ongoing Evaluation Activities

- An evaluation of the Agency's fair employment practice agencies practices.
- An evaluation of the Agency's tribal program.
- An evaluation of the Agency's improper payments process.
- A review of the anti-gag compliance at EEOC.

Ongoing Investigative Activities

- One investigation regarding inappropriate information in an Agency system.
- Two investigations regarding conflict of interest.
- An investigation of alleged misuse of position by an EEOC employee, working outside of EEOC without authorization (as a political blogger).



INTRODUCTION

The Equal Employment Opportunity Commission

The Equal Employment Opportunity Commission (EEOC) is responsible for enforcing federal laws that make it illegal to discriminate against a job applicant or an employee because of the person's race, color, religion, sex (including pregnancy and related conditions, gender identity, and sexual orientation), national origin, age (40 or older), disability or genetic information. Most employers with at least 15 employees are covered by EEOC laws (20 employees in age discrimination cases). Most labor unions and employment agencies are also covered. The laws apply to all types of work situations, including hiring, firing, promotions, harassment, training, wages, and benefits.

The EEOC is a bipartisan commission comprised of five presidentially appointed members, including the Chair, Vice-Chair, and three Commissioners. The Chair is responsible for administering and implementing policy and the Commission's financial management and organizational development. The Vice-Chair and the Commissioners participate equally in developing and approving Commission policies, issue charges of discrimination where appropriate, and authorize the filing of lawsuits. In addition to the Commissioners, the President of the United States appoints a General Counsel to support the Commission and provide direction, coordination, and supervision to the EEOC's litigation program.

The EEOC Office of Inspector General

The U.S. Congress established an Office of Inspector General at the EEOC through the 1988 amendment of the Inspector General Act of 1978. The Office of Inspector General supports the Agency by carrying out its legislative mandate to independently and objectively conduct audits, evaluations, investigations, and other projects intended to prevent and detect fraud, waste, and abuse; and to promote economy, effectiveness, and efficiency in EEOC programs and operations.

The Office of Inspector General is under the leadership of the Inspector General, who provides overall direction, coordination, and supervision to staff. In the EEOC, a designated federal entity, the Inspector General is appointed by and is under the general supervision of the Commission Chair. Even so, the Inspector General has a dual role since they also report directly to Congress. The EEOC leadership cannot prevent or prohibit the Office of Inspector General from conducting an audit, evaluation, investigation, or special project. The OIG includes a deputy inspector general, auditors, evaluator, investigators, information technology specialist, independent counsel, and administrative staff.



THE AUDIT PROGRAM

The Audit Program supports the mission of EEOC and OIG by conducting reviews that improve the Agency's economy, efficiency, and effectiveness regarding EEOC programs, operations, and activities.

Completed Audit Activities

Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2023 and 2022 Financial Statements

On November 15, 2023, the Office of Inspector General issued its performance audit of the Equal Employment Opportunity Commission's Fiscal Year 2023, and 2022 financial statements. The Office of Inspector General contracted with the independent certified public accounting firm of Harper, Rains, Knight & Company, P.A. to perform a performance audit of the financial statements.

Harper, Rains, Knight & Company, P.A. reported that:

- EEOC's financial statements present fairly, in all material respects, EEOC's financial position as of September 30, 2023, and 2022, and its net cost of operations, changes in net position, and budgetary resources for the fiscal years ending September 30, 2023, and 2022, in accordance with accounting principles generally accepted in the United States of America.
- Harper, Rains, Knight & Company, P.A. did not identify any deficiencies in internal control over financial reporting that they consider to be material weaknesses. However, material weaknesses may exist that have not been identified.
- Harper, Rains, Knight & Company, P.A. tests for compliance with selected provisions of applicable laws, regulations, and contracts disclosed no instances of noncompliance for Fiscal Year 2022 that would be reportable under Generally Accepted Government Auditing Standards or the Office of Management and Budget Bulletin 22-01, Audit Requirements for Federal Financial Statements.

Federal Information Security Modernization Act of 2014 (FISMA) Fiscal Year 2023 Performance Audit

On November 20, 2023, the Office of Inspector General issued its performance audit of the Agency's compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year 2023. The Office of Inspector General contracted with the independent certified public accounting firm of Harper, Rains, Knight & Company, P.A. to conduct the independent performance audit. The results of Harper, Rains, Knight & Company, P.A. independent performance audit concluded that the EEOC established and maintained a consistently



implemented information security program and practices, consistent with applicable: FISMA requirements; Office of Management and Budget policy and guidance; Department of Homeland Security guidance; and National Institute for Standards and Technology standards and guidelines.

Completed Other Audit Special Project Activities

U.S. Equal Employment Opportunity Commission Fiscal Year 2023 Compliance with the Federal Managers' Financial Integrity Act

On November 7, 2023, the Office of Inspector General issued a report to the Chair describing whether the Agency's management controls were conducted by the Federal Managers' Financial Integrity Act of 1982 (FMFIA), P.L. 97-255, and the Office of Management and Budget's Circular A-123, Management's Responsibility for Enterprise Risk Management and Internal Control, Memoranda-16-17. The EEOC Order 195.001, Management Accountability and Controls, requires the Office of Inspector General to conduct a review and submit a report to the Chair describing whether the Agency's management controls review was conducted in accordance with applicable laws and guidance. The Office of Inspector General's review concluded that the Agency's management controls review process was conducted in accordance with applicable laws and guidance.

Request for Information from the U.S. Senate Committee on Appropriations Subcommittee on Commerce, Justice, Science, and Related Agencies Regarding Supply Chain Risk Management

On February 14, 2024, the Office of Inspector General (OIG) received an inquiry from the U.S. Senate Committee on Appropriations Subcommittee on Commerce, Justice, Science, and Related Agencies regarding a recommendation listed in our previous Semiannual Report to the U.S. Congress associated with supply chain risk management and the genesis for prompting our office to issue a finding and recommendation regarding supply chain risk management. OIG reported that the recommendation came from work our contractor, Harper Raines, and Knight, performed during its fieldwork regarding the FY 2023 FISMA Inspector General Reporting Metrics.

Harper, Raines, and Knight will further assess the Agency's response to the recommendation as well as EEOC's remediation as part of its FY 2024 FISMA work to ensure EEOC adequately addresses the recommendation.



Ongoing Audit Activities

Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2024 and 2023 Financial Statements

The Office of Inspector General contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to conduct the performance audit and render an opinion on the EEOC's Fiscal Year 2024 financial statements.

During the first quarter of Fiscal Year 2025, the Office of Inspector General will issue a performance audit regarding the Fiscal Year 2024, and 2023 financial statements audit of the EEOC, as required by the Accountability of Tax Dollars Act of 2002.

Performance Audit Report on the U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act for Fiscal Year 2024

The Office of Inspector General contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to conduct an independent performance audit on EEOC's compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year 2024. During the fourth quarter of Fiscal Year 2024, the Office of Inspector General will issue its cyberscope metrics review as required by the Office of Management and Budget and the Department of Homeland Security.

During the first quarter of Fiscal Year 2025, the Office of Inspector General will issue its performance audit report regarding the Agency's compliance with the Federal Information Security Modernization Act of 2014.

Ongoing Other Audit Activities

Peer Review of Commodity Futures Trading Commission, Office of Inspector General

The Office of Inspector General conducted a peer review of the Commodity Futures Trading Commission, Office of Inspector General audit function. The objective of this external peer review is to determine whether, for the period under review, the Commodity Futures Trading Commission, Office of Inspector General audit organization's system of quality control was suitably designed and whether the audit organization is complying with its system of quality control to provide it with reasonable assurance of conformance with applicable professional standards and applicable legal and regulatory requirements. The peer review is also conducted to ensure that established policies and procedures for the audit function are current and consistent with applicable professional standards. The Community Futures Trading Commission is currently appealing the results of its peer review with the Council of Inspectors General for Integrity and Efficiency, Audit Peer Review (APR) Subcommittee.

The results of the appeal should be resolved by the third quarter of FY 2024.



Peer Review of the Denali Commission, Office of Inspector General

The Office of Inspector General is conducting a peer review of the Denali Commission, Office of Inspector General audit function. The objective of this external peer review is to determine whether, for the period under review, the Denali Commission, Office of Inspector General audit organization's system of quality control was suitably designed and whether the audit organization is complying with its system of quality control to provide it with reasonable assurance of conformance with applicable professional standards and applicable legal and regulatory requirements. The peer review is also conducted to ensure that established policies and procedures for the audit function are current and consistent with applicable professional standards.

Results of this peer review will be issued during the third quarter of Fiscal Year 2024.

THE EVALUATION PROGRAM

The Evaluation Program supports the missions of EEOC and the Office of Inspector General by executing ambitious, high-value evaluations and special assessments. OIG evaluations analyze the management, effectiveness, and efficiency of programs with the greatest effect on mission accomplishment.

Ongoing Evaluation Activities

Evaluation of EEOC's Tribal Employment Rights Offices (TEROs) Program

The Office of Inspector General is in the process of conducting an evaluation of EEOC's Tribal Employment Rights Offices (TEROs) program. The purpose of the evaluation is to assess the Agency's strategic management of the TERO program and the management of key TERO activities.

This evaluation has been suspended due to other competing priorities. The OIG plans to restart this evaluation before the end of FY 2024.

Evaluation of Fair Employment Practice Agencies (FEPA) Program

The Office of Inspector General has contracted with the firm of Clarus Research to contract and evaluate EEO's Federal Employment Practices Agency (FEPA) management activities. The primary purpose of the evaluation is to provide EEOC's leadership and stakeholders with data, analysis, and recommendations to improve the effectiveness and efficiency of key FEPA program activities.

The OIG plans to issue its draft report during the third quarter of FY 2024.



Review of EEOC Anti-Gag Provisions Implemented at EEOC

The Office of Inspector General is conducting a review, as requested by Senator Charles E. Grassley, of the implementation of the Whistleblower Protection Enhancement Act concerning the anti-gag law at the EEOC. The anti-gag law requires all federal agency nondisclosure policies, forms, or agreements to include an explicit statement notifying the employee of their rights to report wrongdoing. Senator Grassley requests that our office review the Agency's nondisclosure policies, forms, agreements, and related documents specific to EEOC to ensure the anti-gag provision and explicit statement notifying employees of their rights to report wrongdoing is included as required by law.

The OIG plans to issue its response during the third quarter of FY 2024.

Review of the U.S. Equal Employment Opportunity Commission's Compliance with Payment Integrity Information Act of 2019

The Office of Inspector General contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to evaluate the Agency's compliance with the Payment Integrity Information Act of 2019.

The Office of Inspector General plans to issue its compliance memorandum with the Payment Integrity Information Act of 2019 for Fiscal Year 2022 during the third quarter of 2024.

OFFICE OF INSPECTOR GENERAL SPECIAL PROJECTS

Other Special Projects are often one-time projects (e.g. Management Advisories, Congressional Inquiries) that may or may not be performed using Government Auditing Standards or Council of the Inspectors General on Integrity and Efficiency Quality Standards for Audits, Investigations, and Inspections and Evaluations.

Ongoing Special Projects Activity

Review of Employee Bias Based on Political Affiliation

The Office of Inspector General is conducting an inquiry regarding concerns raised by several Commission employees or members that certain EEOC officials were showing bias against other EEOC employees based on political affiliation. The Office of Inspector General will complete and close this project during the third quarter of FY 2024.



AUDIT AND EVALUATION FOLLOW-UP

Audit and Evaluation Follow-up is an integral part of effective management. It is a shared responsibility of agency management officials, auditors, and evaluators. Corrective action taken by management to resolve findings and recommendations is essential to improving agency operations, effectiveness, and efficiency.

Audit and Evaluation Reports Issued During This Reporting Period

Section 5(a)(1) of the Inspector General Act of 1978, as amended, requires that semiannual reports include a summary description of significant problems, abuses, and deficiencies relating to the agency's administration of programs and operations disclosed by the Office of Inspector General during the reporting period. The Office of Inspector General issued two audit reports with recommendations.

Fiscal Year	Report Number	Report Title	Date Issued	Number of Recommendations
2023	2023-001-AOIG	Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2023 and 2022 Financial Statements	November 15, 2023	3
2023	2023-002-AOIG	Federal Information Security Modernization Act of 2014 (FISMA) Fiscal Year 2023 Performance Audit (OIG Report Number 2023-002-AOIG)	November 20, 2023	13

Recommendations for Which Corrective Actions Have Not Been Completed

As required by Section 5(a)(3) of the Inspector General Act of 1978, as amended, semiannual reports shall provide an identification of each significant recommendation described in previous semiannual reports for which corrective action has not been completed.

The Office of Inspector General reports audit and evaluation reports with open recommendations for this reporting period. The Office of Inspector General reports FIVE Audit reports with FOURTEEN open recommendations and EIGHT Evaluation reports with TWENTY-SEVEN open recommendations. The following table shows those recommendations for which corrective actions have not been completed.



Fiscal Year	Report Number	Report Name	Date Issued
2022	2022-001-AOIG	FY 2022 Federal Information Security Modernization Act Independent Evaluation	11/3/2022
<ol style="list-style-type: none"> 1. We recommend that EEOC defines, communicates, and implements an organization-wide SCRM strategy to guide supply chain analyses, provide communication channels with internal/external partners and stakeholders, and assist in building consensus regarding the appropriate resources for SCRM. 2. We recommend that EEOC implement strong authentication mechanisms for privileged and non-privileged users in accordance with Federal guidance, to meet the required use of PIV or an Identity Assurance Level (IAL)3/Authenticator Assurance Level (AAL) credential of the agency's networks, including remote access sessions, in accordance with Federal targets. The agency should continue developing their plans for organization-wide use of strong authentication mechanisms for non-privileged users and require multifactor authentication to network access for all user accounts. 3. We recommend that EEOC review and remediate the medium level severity vulnerabilities identified during external penetration testing by: <ul style="list-style-type: none"> • Disabling IKE Aggressive Mode if supported; • Refraining from the use of pre-shared authentication keys; • If using a pre-shared key cannot be avoided, use strong keys; • Do not allow VPN connections from an non-approved IP addresses, if possible. 4. We recommend that EEOC: <ul style="list-style-type: none"> • Determine if listening ports or entire system should be blocked from public access; • Regularly review network device search engines for new systems belonging to EEOC or those that may be masquerading as EEOC systems; • Perform a forensic analysis on identified system to ensure no malicious access has taken place; • For authorized remote sessions, create a control to address remote access being left open after the session has concluded. The controls should at minimum require the session owner to ensure the remote session was closed at the conclusion of the session as well as an overall control run on a set basis that will identify any open remote sessions on endpoints; • Create an auditability feature that checks internally via an agent when a device with remote access is listening; • Create an auditability feature that checks for remote connection software 4. We recommend that EEOC review and remediate the level 4 severity vulnerabilities 			

identified during internal vulnerability scanning to avoid compromises to agency systems. (See Attachment B for the full list of vulnerabilities identified, including those identified as Level 4.)

- To remediate vulnerabilities and prevent further exploitation, the agency should implement risk mitigation procedures such as: performing system updates, operating systems with administrative rights, downloading patches, uninstalling unprotected applications, etc.
 - Where risk acceptance is required for vulnerabilities based on EEOC's network operations and risk assessments, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities.
5. We recommend that EEOC review and remediate the level 5 severity vulnerabilities identified during internal vulnerability scanning to avoid compromises to agency systems. (See Attachment B for the full list of vulnerabilities identified, including those identified as Level 5.)
 6. To remediate vulnerabilities and prevent further exploitation, the agency should implement risk mitigation procedures such as: applying vendor-released security fixes, disabling certain user access rights, upgrading to the latest supported version, and removing vulnerable/obsolete hardware from its network. These vulnerabilities should be added and tracked on POAMS. Where risk acceptance is required for vulnerabilities based on EEOC's network operations and risk assessments, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities.

Fiscal Year	Report Number	Report Name	Date Issued
2022	2021-004-AOIG	Performance Audit Report U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA)	3/15/2022
<ol style="list-style-type: none"> 1. We recommend that EEOC plans and prepares to meet the goals of the TIC initiative, consistent with OMB M-19-26. The agency should define and customize, as appropriate, a set of policies, procedures, and processes to implement TIC 3.0, including updating its network and system boundary policies, in accordance with OMB M-19-26. This includes, as appropriate, incorporation of TIC security capabilities catalog, TIC use cases, and TIC overlays. 2. We recommend that EEOC review and remediate the medium-level severity vulnerabilities identified during external penetration testing by: (1) Modifying network 			



firewalls to no longer allow external access to specific services. (2) Reviewing the NTP server's configuration to ensure that this functionality is not abused. (3) Considering restricting or disabling NTP mode 6 query capabilities.

3. We recommend that EEOC review and remediate the medium-level severity vulnerabilities identified during external penetration testing by: (1) Disabling IKE Aggressive Mode. (2) Refraining from the use of pre-shared authentication keys. (3) Implementing multifactor authentication for all VPN access.

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-004-AOIG	Performance Audit of the EEOC Commercial Charge Card Program	3/24/2021
<ol style="list-style-type: none"> 1. We recommend EEOC ensure that emailed policy memos are promptly updated in the appropriate EEOC Directives Transmittal Order. 2. For purchase cards, EEOC management should create a control where management reviews, on a sample basis, purchase cards transactions to ensure all obligating documents and purchase orders are in conformity with EEOC Directives Transmittal Order 360.003, Commercial Purchase Charge Card Program Practical User's Guide. For travel cards, EEOC management should create a control where management reviews, on a sample basis, travel card transactions to ensure all travel authorization or vouchers and receipts are in conformity with EEOC Directives Transmittal Order 345.001, Travel and Transportation Administrative Policies and Procedures Manual. 3. We recommend EEOC management update its policies and procedures to include all required safeguards and internal controls to be compliant with the Government Charge Card Abuse Prevention Act of 2012. In addition, EEOC should create a monitoring control to review the policy when changes or updates are made to federal law or Office of Management and Budget or General Services Administration guidance. 			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-002-AOIG	Management Letter - FY 2020 Financial Statement Audit	12/16/2020
<p>1. We recommend EEOC management create a control where management reviews, on a sample basis, at least quarterly, the approved PP&E disposals/retirements for conformity to EEOC SOP for OIT Excess Property that states, “When equipment is disposed of, an SF 120, SF 122, or SF 120 copy using GSAXcess, is approved by the EEOC Approving Official, CSD Backup or Property manager, evidenced by their signature and date.” EEOC management should follow-up with Approving Official(s), CSD Backup or Property management who have been found to not adhere to requirements of the SOPs for OIT Excess Property and require them to obtain additional training, to include certifying they have read the Approving Officials responsibilities, as it relates to the aforementioned control. (Repeat Finding)</p>			

Fiscal Year	Report Number	Report Name	Date Issued
2019	2018-007-AOIG	FY 2017 and FY 2018 Performance Audit of the U.S. Equal Employment Opportunity Commission Commercial Charge Card Program	5/31/2019
<p>1. We recommend that the Office of the Chief Financial Officer of the U.S. Equal Employment Opportunity Commission enhance the documentation, monitoring, and enforcement of its controls over the closure of charge card accounts.</p> <ul style="list-style-type: none"> • For purchase cards, the Administrative Officer (AO) or District Resources Manager (DRM) should maintain documentation of all account closures electronically or in hard copy. Documentation should include evidence of the name of the AO or DRM who received the employee's charge card, the date the card was turned in, the date the card was physically destroyed, and the date that account closure was confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the Agency/Organization Program Coordinator (A/OPC) and/or Agency Alternative/Organization Program Coordinator (AA/OPC) and appropriate disciplinary actions for noncompliance. • For travel cards, the Charge Card Program Manager (CCPM) should maintain documentation of all account closures electronically or in hard copy. Documentation should include evidence of the name of the immediate supervisor and/or servicing 			



personnel officer who received the employee's charge card, the date the card was turned in, the date the card was cut in half, and the date that account closure was confirmed by the Charge Card Vendor. The policy or procedure should include monitoring by the CCPM and appropriate disciplinary actions for noncompliance. (Repeat Finding)

EVALUATION OPEN RECOMMENDATIONS

Fiscal Year	Report Number	Report Name	Date Issued
2023	2023-001-EOIG	Independent Evaluation of U.S. Equal Employment Opportunity Commission's Compliance with the Payment Integrity Information Act of 2019 for FY 2022	5/22/2023
<ol style="list-style-type: none"> 1. Develops a SOP to ensure annual compliance with OMB A-136 PIIA review and reporting requirements. 2. Develops agency-wide Improper Payment risk assessment standard operating procedures (SOP). This SOP should include risk assessment procedures to be performed by each identified significant program. These procedures should be based on OMB A-123 guidance found in Appendix C. For each identified significant program, a responsible program point of contact should be established. The responsible party should report results of their programs risk assessment to the EEOC responsible official (or office). 			

Fiscal Year	Report Number	Report Name	Date Issued
2022	2022-001-IOIG	FY 2021 Annual Report on EEOC's Compliance with the Payment Integrity Information Act of 2019 (PIIA)	7/11/2022
<ol style="list-style-type: none"> 1. We recommend that EEOC should conduct an annual improper payment review in accordance with PIIA and follow the guidance outlined in OMB Circular A-136, section II.4.5 [Payment Integrity Information Act Reporting]. 2. We recommend that EEOC should report the OIG's finding of non-compliance with the FY 2021 PIIA requirements, as outlined in OMB Memorandum M-21-19, Section VI.D, "Agency Responsibility When a Program is Non-Compliant." 			



Fiscal Year	Report Number	Report Name	Date Issued
2023	2021-002-EOIG	Digital Process Transformation and Automation Evaluation	1/20/2023
<ol style="list-style-type: none"> 1. Engage an independent organizational change management firm / entity to assist EEOC in implementing Recommendations 2 through 9 2. Create a Digital Support Unit (DSU) of dedicated staff. 3. Define a clear, consistent, and comprehensive vision of digital transformation at EEOC. 4. Consider formulating a Digital Transformation Strategy, either as a strategic goal in the EEOC Strategic Plan for Fiscal Years 2023 – 2027 or as a standalone document. 5. Plan at least three digital pilot projects with appropriate evaluation methods. 6. Task OEDA with a goal of building a Data Analytics Plan for EEOC. 7. Develop an EEOC Organizational Communication Strategy and Plan. 8. Develop a Target-State Architecture Plan. 9. Inventory and plan the decommissioning of outdated technologies and online content. 			

Fiscal Year	Report Number	Report Name	Date Issued
2023	2022-001-EOIG	Customer Service Portals Evaluation	9/12/2023
<ol style="list-style-type: none"> 1. Institute a governance framework for managing the Agency’s portals. 2. Include requirements to use the U.S. Web Design System in the Agency’s Project Plan for designing, developing, and implementing the next generation of portals. 3. Implement mechanisms to ensure that the design and management of the portals are responsive to customer needs. 4. Simplify portal content and customer instructional materials, and embed instructional materials within the relevant pages of each portal. 5. Ensure that the design and function of all portals accurately reflect EEOC’s business rules and applicable laws. 6. Recommendation 6: Make targeted improvements to address accessibility issues on the existing portals. 7. Take specific actions to improve users’ ability to collaborate and communicate through the portals. 			

Fiscal Year	Report Number	Report Name	Date Issued
2023	2021-001-EOIG	Evaluation of EEOC's Management of Private Sector	10/18/2022
<ol style="list-style-type: none"> 1. EEOC should develop a customer service plan to include establishing goals and objectives, developing performance metrics that target the goals, and measuring performance against the goals. This plan must include goals and metrics for the IIG. 2. EEOC must manage customer expectations by making customer service standards available to the public. 			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-001-EOIG	Evaluation of EEOC's Social Media Program	7/26/2021
<ol style="list-style-type: none"> 1. Implement a consistent content approval process run by OCLA. 2. Complete revisions to the social media handbook and provide to all staff managing social media channels. 			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-001-EOIG	Evaluation of EEOC's Contract Administration Activities	11/19/2019
<ol style="list-style-type: none"> 1. OCFO should revise EEOC Order 360.001 as needed to assist in performing their duties. Include implementation guidance for contract administrative activities such as submitting contract modifications. 			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2018-001-EOIG	Evaluation of EEOC's Federal Hearings and Appeals Processes	3/27/2020
<ol style="list-style-type: none"> 1. OIT developers should meet directly with software users, such as OFO attorneys and supervisory attorneys and OFP AJs and Supervisory AJs (SAJ) to determine additional requirements. 2. Assign a target amount of days for intake so that management can determine if changes implemented impact the efficiency of the process. 			

AUDIT OPEN RECOMMENDATIONS

Audit and Evaluation Reports Which no Management Decision has been Made by the End of the Reporting Period

As required by Section 5(a)(10) of the Inspector General Act of 1978, as amended, semiannual reports must include a summary of each audit report issued before the start of the reporting period for which no management decision has been made by the end of the reporting period.

The Office of Inspector General has no audit or evaluation reports issued before the reporting period began, for which no management decision was made.

Fiscal Year	Number of Reports with Unimplemented Recommendations (such as report title, report number, hyperlink to report, etc.)	Number of Unimplemented Recommendations	Dollar Value of Aggregate Potential Cost Savings	For which no establishment comment was returned within 60 days of providing the report to the establishment
2023	0	0	0	N/A



THE INVESTIGATION PROGRAM

The Investigation Program supports the Office of Inspector General's strategic goal by focusing its limited investigative resources on issues that represent the greatest risk and offer the maximum opportunity to detect and prevent fraud, waste, and abuse in EEOC programs and operations.

The Office of Inspector General received 278 investigative contacts between October 1, 2023, and March 31, 2024, resulting in the following:

Investigative Inquiries Received October 1, 2023, through March 31, 2024	
Allegations	Number
Charge Processing	26
Other Statutes	2
Title VII	1
Mismanagement	10
Ethics Violations	14
Threats	3
Fraud	2
Other Criminal Allegations	2
Outside OIG Purview	146
Pending Hotlines	64
N/A	8
Total	278



Office of Inspector General Hotline

The Office of Inspector General Hotline is a clearinghouse for receiving and handling allegations regarding fraud, waste, abuse, mismanagement, or misconduct affecting Equal Employment Opportunity Commission programs and operations. Examples of allegations that should be reported to the Office of Inspector General hotline include misuse, embezzlement, or theft of government property or funds; contract or procurement fraud; contractor misconduct; employee misconduct, such as misuse of official position; bribes or unauthorized acceptance of gifts; conflicts of interest and other ethical violations.

Ongoing Investigative Activities

The Office of Inspector General has ongoing investigations in several locations involving the following:

- An investigation of alleged lewd pictures found on an Agency information system.
- Two investigations regarding employee conflict of interest.
- An investigation of alleged misuse of position by an EEOC employee, working outside of EEOC without authorization (as a political blogger).



APPENDICES

Appendix Ia. Final Audit/Evaluation/Inspections Reports

Report Title	Date Issued	Questioned Costs	Funds Put to Better Use	Unsupported Costs
Audit of the U.S. Equal Employment Opportunity Commission's Fiscal Year 2023 and 2022 Financial Statements (OIG Report No. 2023-001-AOIG)	November 15, 2022	-0-	-0-	-0-
Federal Information Security Modernization Act of 2014 (FISMA) Fiscal Year 2023 Performance Audit (OIG Report Number 2023-002-AOIG)	November 20, 2023	-0-	-0-	-0-

Appendix Ib. Previous Audit/Evaluation Report with Funds Put to Better Use

Report Title	Date Issued	Questioned Costs	Funds Put to Better Use	Unsupported Costs
Customer Service Portals Evaluation	September 12, 2023	-0-	\$225,240	-0-



Appendix II. Investigative Statistical Report

Report Title	Number
Total number of investigative reports	-0-
Total number of persons referred to the Department of Justice for criminal prosecution during the reporting period	-0-
Total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period	-0-
Total number of indictments and criminal information during the reporting period that resulted from any prior referral to prosecuting authorities	-0-

Appendix III. A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated.

Report Name: N/A Report Number: N/A Date Issued: N/A

Facts and circumstances of the investigation	(B) the status and disposition of the matter, including- (i) if the matter was referred to the Department of Justice, the date of the referral; and (ii) if the Department of Justice declined the referral, the date of the declination
No	N/A

Appendix IV. A Detailed Description of Any Instance of Whistleblower Retaliation.

Information about the official was found to have engaged in retaliation.	Consequences the establishment imposed to hold that official accountable.
No	N/A



Appendix V. A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office of Inspector General.

Issue	Description
Budget constraints designed to limit the capabilities of the Office	No
Incidents where the establishment has resisted or objected to oversight activities of the Office or restricted or significantly delayed access to information, including the justification of the establishment for such action	No

Appendix VI. Detailed Descriptions of the Particular Circumstances.

Issue	Description
Inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public	No
An Investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public	No

Appendix VII. Significant Management Decisions

Issue	Description
Significant Management Decisions That Were Revised During the Reporting Period	N/A
Significant Management Decisions with which the Office of Inspector General is in disagreement	N/A

Appendix VIII. Index of Reporting Requirements

Inspector General Act Citation	Reporting Requirements	Page
Section 4(a)(2)	Review of Legislation and Regulations	N/A
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(3)	Significant Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	12-19
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	23
Section 5(a)(5)	Summary of Instances Where Information Was Refused	24
Section 5(a)(6)	List of Reports	11
Section 5(a)(7)	Summary of Significant Reports	6-10
Section 5(a)(8)	Questioned and Unsupported Costs	22
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	22
Section 5(a)(10)	Summary of each audit report, inspection, evaluation report(s) issued before the commencement of the reporting period: (A) for which no management decision has been made by the end of the reporting period (including the date and title of each such report), an explanation of the reasons such management decision has not been made, and a statement	22

	<p>concerning the desired timetable for achieving a management decision on each such report;</p> <p>(B) for which no establishment comment was returned within 60 days of providing the report to the establishment; and</p> <p>(C) for which there are any outstanding unimplemented recommendations, including the aggregate potential cost savings of those recommendations.</p>	
Section 5(a)(11)	Significant Management Decisions That Were Revised During the Reporting Period	24
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General is in disagreement	24
Section 5(a)(17)	<p>Statistical tables showing:</p> <p>(A) the total number of investigative reports issued during the reporting period;</p> <p>(B) the total number of persons referred to the Department of Justice for criminal prosecution during the reporting period;</p> <p>(C) the total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period; and</p> <p>(D) the total number of indictments and criminal information during the reporting period that resulted from any prior referral to prosecuting authorities.</p>	23

Section 5(a)(19)	A report on each investigation conducted by the Office involving a senior Government employee where allegations of misconduct were substantiated, including a detailed description of: (A) the facts and circumstances of the investigation; and (B) the status and disposition of the matter, including: (i) if the matter was referred to the Department of Justice, the date of the referral; and (ii) if the Department of Justice declined the referral, the date of the declination.	24
Section 5(a)(20)	A detailed description of any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation and what, if any, consequences the establishment imposed to hold that official accountable.	24
Section 5(a)(21)	A detailed description of any attempt by the establishment to interfere with the independence of the Office, including: (A) with budget constraints designed to limit the capabilities of the Office; and (B) incidents where the establishment has resisted or objected to oversight activities of the Office or restricted or significantly delayed access to information, including the justification of the establishment for such action.	24
Section 5(a)(22)	Detailed descriptions of the particular circumstances of each: (A) inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public; and (B) an investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public.	24

Appendix IX. Single Audit Act Reporting

The Single Audit Act, as amended, establishes requirements for audits of states, local governments, Indian tribes, institutions of higher education (public or private nonprofit colleges and universities), and nonprofit organizations that expend a certain amount in federal awards during its fiscal year.

Independent auditors perform single audits that encompass both financial and compliance components. The compliance supplement is based on the requirements of the 1996 Single Audit Act Amendments and 2 CFR part 200, subpart F, which provide for the issuance of a compliance supplement to assist auditors in performing the required audits.

The OIG received no single audit reports issued by independent auditor reports.

Appendix X. Peer Review Reporting (Audit and Evaluations)

As required by the Government Auditing Standards and the Quality Standards for Inspection and Evaluation, The Office of Inspector General Audit and Evaluation programs must have an external peer review of its quality control system.

On November 6, 2023, the Federal Maritime Commission, Office of Inspector General, issued its peer review report on our Audit program to determine if established policies and procedures were current and consistent with applicable professional standards. Based on our review, the established policies and procedures for the audit function at March 31, 2023 were current and consistent with applicable professional standards as stated.

On March 15, 2023, the Pension Benefit Guaranty Corporation, Office of Inspector General, issued its modified peer review report on our Evaluation program. The review team determined that the Office of Inspector General evaluation section policies and procedures generally were consistent with the Blue Book standards addressed in the external peer review. Of the three reports reviewed, all of them generally complied with the Blue Book standards.



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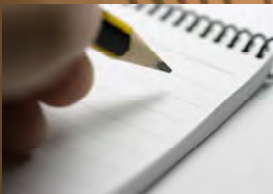


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