



Peace Corps
Office of
**INSPECTOR
GENERAL**

Annual Plan

FISCAL YEAR 2019

Mission

Through audits, evaluations, and investigations, the Office of Inspector General (OIG) provides independent oversight of agency programs and operations in support of the goals set forth in the Peace Corps Act, while making the best use of taxpayer dollars. OIG:

- Promotes integrity, efficiency, effectiveness, and economy
- Prevents and detects waste, fraud, abuse, and mismanagement
- Identifies risk and vulnerabilities and offers expert assistance to improve the Peace Corps' programs and operations

Established in February 1989, OIG receives its legal authority from the Inspector General Act of 1978, as amended (IG Act). The IG Act establishes OIG as an independent entity within the Peace Corps. The law requires that OIG fully and currently inform the Peace Corps Director and Congress about problems and deficiencies relating to the administration of agency programs and operations. OIG is authorized by law to review all programs and operations of the Peace Corps. OIG's work typically examines agency operational efficiency, effectiveness, financial stewardship, and compliance with federal law, regulations, and agency policy.

Staffing and Resources

OIG is comprised of four units: Audit, Evaluation, Investigation, and Management and Administration. Each unit develops its Fiscal Year (FY) work taking into account staff availability and FY funding. OIG has a cross-unit outreach committee responsible for informing all stakeholders (agency staff, Volunteers, Congress, and the general public) about the role, work, and resources of OIG, including promotion of the OIG hotline.

FY 2019 Strategic Priorities

As detailed in the OIG strategic plan for FYs 2019 to 2021, OIG has four strategic goals:



Focus Areas

Throughout the year OIG will conduct audits, evaluations, investigations, and other reviews addressing the following four OIG priorities listed in our FYs 2019 to 2021 Strategic Plan. The Management Challenges are annually identified in the Peace Corps Agency Financial Report (AFR).¹

- Volunteer Safety and Security and Medical Care
- Agency-wide Processes, Programs, and Systems
- Overseas Post Operations
- Management Challenges Identified Annually by the IG

Advice and Assistance

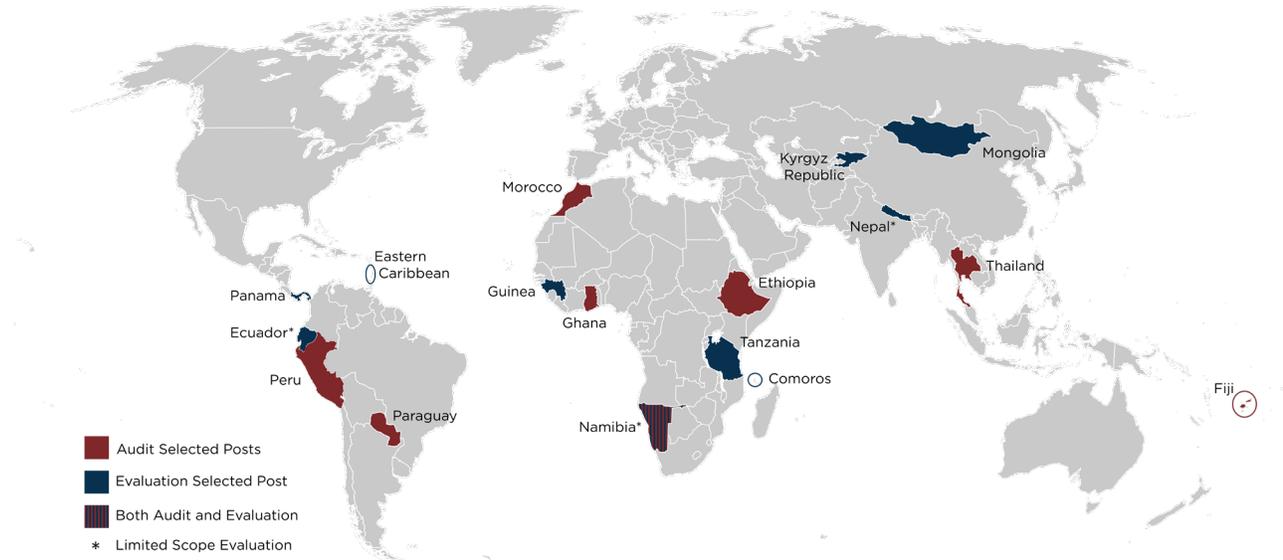
In addition to our work to help address the focus areas, OIG also plans to conduct the following advice and assistance functions in support of agency goals and objectives:

- Provide technical assistance to Peace Corps managers on issues related to financial and administrative policies, procedures, best practices, and effective internal controls.
- Deliver training and best practices presentations on oversight areas such as fraud awareness and compliance with agency internal controls.
- Participate as presenters in overseas staff trainings and similar orientations for staff.
- Provide Volunteers/trainees and agency staff with informational materials, guidance, trainings, and other presentations on the role, responsibilities, authority, and functions of OIG and on how to effectively and confidentially report fraud, waste, abuse, mismanagement, serious administrative misconduct or criminal wrongdoing involving Peace Corps staff, contractors, or Volunteers/trainees.

At the IG's discretion, depending on the circumstances and availability of resources, OIG may undertake other special reviews.

¹ The most recent AFR covering FY 2017 was issued in November 2017. The AFR is issued annually in November covering the previous Fiscal Year.

Posts Identified in the FY 2019 Audit and Evaluation Plan



Audit Unit

The Audit Unit conducts audits and other reviews of agency programs and financial and administrative operations that support the Peace Corps' mission and its Volunteers serving abroad. The unit performs audits of the agency's field activities at overseas posts and its administrative support functions at headquarters and domestic recruiting offices. The unit also contracts with independent public accounting firms to conduct an audit of the agency's financial statements and a review of the agency's compliance with the Federal Information Security Modernization Act of 2014. Audits are performed in accordance with Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States.

Post Audits

We considered the following factors when developing our audit schedule:

- Input from post, regional, and headquarters management and staff
- Congressional requests and referrals from other offices or agencies
- Time elapsed since the last audit
- Number of Volunteers serving
- Size, maturity, and cost of the post
- Trends and anomalies in the agency's financial data and OIG Hotline information

Based on these factors, we intend to initiate audits of at least five of the following posts. Final selection and scheduling of post audits will be decided during the year. We will work with regional management to finalize the audit schedule for selected posts based on available resources and post constraints. During the post audits, we will assess areas of concern and processes that present challenges to overseas posts. We will also review funds received by Peace Corps posts related to PEPFAR.

Africa	Europe, Mediterranean, and Asia	Inter-Americas and the Pacific
Ghana*	Thailand	Paraguay
Ethiopia*	Morocco	Peru
Namibia*		Fiji

* Posts receiving the President's Emergency Plan for AIDS Relief (PEPFAR) funds.

Agency-Wide Programs and Special Reviews

The Audit Unit intends to initiate, perform, or complete a variety of audits, reviews, and follow-ups of agency-wide programs. These projects are cross-functional and may require assistance from other OIG units. For example, the Audit Unit works closely with the Investigation Unit on forensic analysis of financial data and on FECA² issues. In addition, we collaborate with the Evaluation Unit when we need their expertise on programmatic issues. Although we will not be issuing a separate report, we continue to review the managers' internal control program and report on its effectiveness in our audits.

We also intend to initiate an audit or review from the following list of programs:

Prescription Medication Supply Chain Management
Outsourcing Opportunities Available to Peace Corps

Legislatively Mandated Work

We will oversee the following legislatively mandated work:

Audit of Peace Corps' FY 2019 Financial Statements	The Accountability of Tax Dollars Act of 2002 ³ mandates that the agency annually submit its financial statements for audit. An independent public accounting firm performs this audit. OIG's role is to monitor the independent public accounting firm's work to ensure that it is of acceptable quality, in compliance with Federal laws and applicable standards, and is completed within the established milestones.
Annual Review of the Peace Corps' Information Security Program	OIG is responsible for annually reporting on agency compliance with the Federal Information Security Modernization Act of 2014. ⁴ To perform this work, OIG has contracted with an independent public accounting firm. The auditors will review the Peace Corps' information systems security program and report related, selected data to the Office of Management and Budget.

Reports Initiated in FY 2018

In FY 2018 we initiated post audits of Guatemala and eSwatini. Reports on these audits will be issued in FY 2019.

² Federal Employees' Compensation Act See 5 U.S.C. §§ 8101 et seq
³ Pub. L. No. 107-289, 116 Stat. 2049 (Nov. 7, 2002).
⁴ See 44 U.S.C. § 3555.

Evaluation Unit

The Evaluation Unit conducts independent assessments of the design, implementation, and results of agency operations, programs, and policies. Our goal is to provide timely, credible, and useful information to agency managers, policymakers, and others on program operations and policy issues. We accomplish this through evaluations of the management and program operations of the Peace Corps at overseas posts and domestic offices. We also participate in cross-functional reviews of agency operations undertaken with OIG auditors or investigators.

OIG evaluations promote integrity, efficiency, and effectiveness; identify best practices; and recommend program improvements and means to comply with Peace Corps policies. The Evaluation Unit conducts reviews and assessments using applicable Federal laws; regulations; and Peace Corps policies, procedures, and performance plans, including the agency's Integrated Planning and Budgeting System (IPBS) and strategic plans. Evaluations are conducted under the direction and guidance of the Assistant Inspector General for Evaluations and in accordance with the Quality Standards for Inspections and Evaluations, published by the Council of the Inspectors General on Integrity and Efficiency. These standards are instrumental in maintaining impartiality, reliability, and credibility; and they set the bar for staff competency, independence, professional judgment, internal quality controls, and stakeholder feedback for process improvements.

Country Program Evaluations

We considered the following factors when developing our evaluation schedule:

- Requests from Congress and agency managers, including country directors
- Conditions of the post or domestic operations brought to our attention by Volunteers, trainees, or staff
- Conditions that indicate a need to evaluate the program to assure the health and safety of Volunteers and staff or to identify and deter fraud, waste, abuse, and mismanagement
- New or changed conditions affecting post operations
- Indications of either high or low performance
- Size, maturity, and cost of the post
- All-Volunteer Survey results, Volunteer health and safety data, and resignation rates
- Time elapsed since the last country program evaluation

We also identify opportunities to conduct limited-scope follow-up evaluations of particular findings and recommendations we made in prior country program evaluation reports. The purpose of these limited scope evaluations is to determine if the actions taken in response to the original evaluation report's recommendations have had the intended effects and been sustained. See planned "limited scope" evaluations in the table to follow.

Based on these factors, we will initiate in FY 2019 at least four country program evaluations and two limited scope follow-up evaluations from among those listed in the table to follow. Final selection of the posts and the timing of the evaluations will be decided during the year. We will work with country directors and regional management to finalize the evaluation schedule and we will coordinate the scheduling of fieldwork with the post in advance of our visit.

Africa	Europe, Mediterranean, and Asia	Inter-Americas and the Pacific
Comoros	Mongolia	Panama
Guinea	Kyrgyz Republic	Eastern Caribbean
Tanzania	Nepal (Limited-Scope)	Ecuador (Limited-Scope)
Namibia (Limited-Scope)		

Agency-Wide Programs and Special Reviews

Pending the availability of resources for FY 2019, the Evaluation Unit may also initiate other evaluations or reviews as outlined below.

Volunteer support models in countries with limited health resources
Monitoring, reporting, and evaluation of volunteer activities

Additionally, between June and December of 2019, members of our evaluation team will lead a peer review of another Office of Inspector General's inspection and evaluations work.

Reports Initiated in FY 2018

The following evaluations were initiated in FY 2018 and will result in final evaluation reports issued in FY 2019:

- Evaluation of Peace Corps/Mozambique
- Evaluation of Peace Corps/Paraguay
- Evaluation of Peace Corps/Thailand
- Review of Peace Corps' guidance related to operating in post-conflict environments
- Case study of effective practices related to site development
- Evaluation of Peace Corps' host family models

Investigation Unit

The Investigation Unit assists the Peace Corps in maintaining integrity in its programs and operations by investigating allegations of fraud, waste, abuse, and misconduct involving grant, contract, and procurement fraud; violations of law and agency policies committed by Peace Corps personnel, contractors, and vendors; and the Federal Employees' Compensation Act (FECA)⁵ claimants.

Our investigations are conducted in accordance with the IG Act, the Attorney General Guidelines for Offices of Inspectors General with Statutory Law Enforcement Authority, and the Quality Standards for Investigations issued by the President's Council on Integrity and Efficiency and affirmed by the Council of Inspectors General on Integrity and Efficiency. Our investigations can result in criminal prosecutions, civil monetary penalties, sanctions and personnel actions, including verbal counseling, suspensions, debarments, and terminations from Peace Corps service.

OIG is authorized by the Attorney General to exercise statutory law enforcement powers pursuant to Section 6(e) of the IG Act and in accordance with the Attorney General Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority. This authority provides OIG with important law enforcement tools including the authority to, upon probable cause, seek and execute warrants for arrest, search premises or seize evidence, make arrests without a warrant while engaged in official duties, and carry firearms.

5 See 5 U.S.C. §§ 8101 et seq.

Investigative Priorities

In addition to pursuing a variety of allegations and complaints from multiple sources, the Investigation Unit will engage in the following in FY 2019:

- Prioritize sexual assault and PROTECT Act⁶ allegations against Peace Corps staff or Volunteers
- Continue to provide technical assistance to partners and stake-holders in the event of a Volunteer homicide or unexplained death
- Investigate and refer crimes occurring within the Special Maritime and Territorial Jurisdiction⁷ of the United States for U.S. prosecution
- When appropriate, seek local prosecutions by working with the Diplomatic Security Service and host country police entities
- Proactively work with the agency, the audit and evaluation units, and external partners to review high-risk programs and contracts for fraud; ensure referrals of individuals and entities for suspension and debarment, as appropriate
- Ensure that allegations of whistleblower reprisal involving staff, Volunteers, and contractors are thoroughly investigated
- Strengthen our engagement with stakeholders by providing them with briefings about OIG investigative responsibilities and mechanisms for making confidential complaints

Legislatively Mandated Work

The Investigation Unit must produce a biennial report in accordance with Section 2 of the Kate Puzey Act (Section 8E (d)(1)(A) of the Peace Corps Act). The previous report was issued in the first quarter of FY 2017. The next report will be issued in the first quarter of FY 2019.

<p>Complaints or allegations received from Volunteers or returned Peace Corps Volunteers</p>	<p>OIG will continue to track complaints or allegations originating with Volunteers about Peace Corps staff relating to misconduct, mismanagement, or policy violations; any breaches of the confidentiality of Volunteers; and any actions taken by the the Peace Corps to assure the safety of Volunteers who file such complaints.</p>
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⁶ Prosecutorial remedies and other tools to end the exploitation of children today (Pub. L. 108-21)

⁷ See generally 18 U.S.C. § 7. A number of U.S. criminal laws apply outside of the United States. In many cases these laws are meant to apply to U.S. nationals who become a victim of crime abroad, or who are perpetrators of crimes abroad under certain conditions. Examples include when the crime is committed in a property owned, leased, or used for a government purpose, such as at a Peace Corps post, training office, or similar site. Another circumstance relates to crimes occurring in residences used by the Peace Corps or its personnel, which may include residences where Volunteers or staff permanently reside.