



Office of Inspector General

U.S. Consumer Product Safety Commission

Report of Consumer Product Safety Improvement Act Activity for Fiscal Year 2019

March 13, 2020

Vision Statement

We are agents of positive change striving for continuous improvements in our agency's management and program operations, as well as within the Office of Inspector General.

Statement of Principles

We will:

Work with the Commission and the Congress to improve program management;

Maximize the positive impact and ensure the independence and objectivity of our audits, investigations, and other reviews;

Use our investigations and other reviews to increase government integrity and recommend improved systems to prevent fraud, waste, and abuse;

Be innovative, question existing procedures, and suggest improvements;

Build relationships with program managers based on a shared commitment to improving program operations and effectiveness;

Strive to continually improve the quality and usefulness of our products; and

Work together to address government-wide issues.



Office of Inspector General
U. S. Consumer Product Safety Commission

March 13, 2020

TO: Robert S. Adler, Acting Chairman
Elliot F. Kaye, Commissioner
Dana Baiocco, Commissioner
Peter A. Feldman, Commissioner

FROM: Christopher W. Dentel, Inspector General

SUBJECT: Report of Consumer Product Safety Improvement Act Activity
Report for Fiscal Year 2019

The Consumer Product Safety Improvement Act of 2008 (CPSIA) requires that the Inspector General of the U.S. Consumer Product Safety Commission annually provide to the appropriate congressional committees the findings, conclusions, and recommendations from its reviews and audits performed under subsection 205(a) of the CPSIA as well as actions taken with regard to employee complaints under subsection 205(b). The attached report fulfills these requirements for fiscal year 2019.

Please feel free to contact me if you or your staff have any questions or concerns.

Background

The Consumer Product Safety Improvement Act of 2008 (CPSIA) requires that the Inspector General of the U.S. Consumer Product Safety Commission (CPSC) annually report the findings, conclusions, and recommendations from its reviews and audits performed to meet the requirements of subsection 205(a) of the CPSIA. Specifically, to assess the CPSC's capital improvement efforts, which include upgrades of the information technology architecture and systems and the development of a publicly accessible website and the adequacy of procedures for accrediting third party laboratories.

In addition, subsection 205(b) requires that the Inspector General review any employee complaints regarding potential failures of employees to enforce rules or regulations of the Consumer Product Safety Act fitting the definitions set forth in CPSIA subsection 205(b) and actions taken by the Commission to address them.

Also, subsection 205(c) requires the commission to establish and maintain a link on the homepage of its website to the webpage of the Commission's Office of Inspector General (OIG) and a mechanism on the OIG's website to report anonymously cases of fraud, waste, or abuse.

The CPSIA requires an annual report to the appropriate Congressional committees of the Inspector General's findings, conclusions, and recommendations from the reviews and audits under subsection 205(a) and complaints under subsection 205(b).

Summary of Relevant Reviews and Audits

Evaluation of CPSC's FISMA Implementation for FY 2019

(Click [here](#) for the full report)

The Federal Information Security Management Act (FISMA) requires each federal agency to develop, document, and implement an agency-wide program to provide information security for the information and information systems that support the operations and assets of the agency. It also requires that the relevant Office of Inspector General perform an annual assessment of the agency's compliance with FISMA.

The OIG contracted with Richard S. Carson & Associates, Inc. (Carson), a management consulting firm, to perform a review of the CPSC's compliance with the FISMA reporting requirements for FY 2019. The review was performed in accordance with the Council of the Inspectors General on Integrity and Efficiency

(CIGIE) Quality Standards for Inspections and Evaluations (QSIE). The review focused on the CPSC's compliance with the FISMA metrics provided by the Department of Homeland Security and Office of Management and Budget.

Carson found that the CPSC continues to make progress in implementing the FISMA requirements. The CPSC has continued to focus its efforts on the implementation of the agency's processes and systems. Carson identified eighteen (18) findings and made 55 recommendations in this year's FISMA review to enhance Information Technology (IT) Security.

Report on the Penetration and Vulnerability Assessment of CPSC's Information Technology Systems

(Click [here](#) for the full report)

To assess the security of the CPSC's IT infrastructure, the OIG retained the services of Defense Point Security (DPS). Under a contract monitored by the OIG, DPS conducted a penetration and vulnerability assessment of the CPSC's IT systems. The assessment was performed in accordance with CIGIE's QSIE.

DPS noted that the CPSC's web application protections were generally sound at the time of testing. However, DPS found multiple security risks which in combination create a substantial risk to agency systems and data.

DPS identified 17 findings and made 40 recommendations. These recommendations address issues of physical security, controls over sensitive information, system configuration, authentication, and other system security issues. When completed, these recommendations will significantly improve the information technology security posture of the CPSC. Management has already implemented some of the recommendations.

Due to the sensitive nature of the information contained in the report and our desire to not provide a roadmap for penetrating the CPSC's IT security, the OIG published a brief summary of the report rather than the report itself.

Employee Complaints

The OIG received one complaint alleging a failure by an employee to enforce the rules and regulations of the Consumer Product Safety Act or another Act enforced by the Commission or otherwise carry out their responsibilities under such Acts. Said alleged failure raises issues of conflicts of interest, ethical violations, or the absence of good faith. This complaint is currently being reviewed by the OIG.

Public Website Links

As of this writing, the homepage of the CPSC's website has an active link to the Inspector General's website. The IG's website has methods for individuals to report cases of fraud, waste, and abuse regarding the CPSC.

CONTACT US

If you want to confidentially report or discuss any instance of fraud, waste, abuse, misconduct, or mismanagement involving CPSC's programs and operations, please contact the CPSC Office of Inspector General.



Call:

301-504-7906
1-866-230-6229



On-line complaint form:

Click [here](#) for complaint form.
Click [here](#) for CPSC OIG Website.



Write:

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