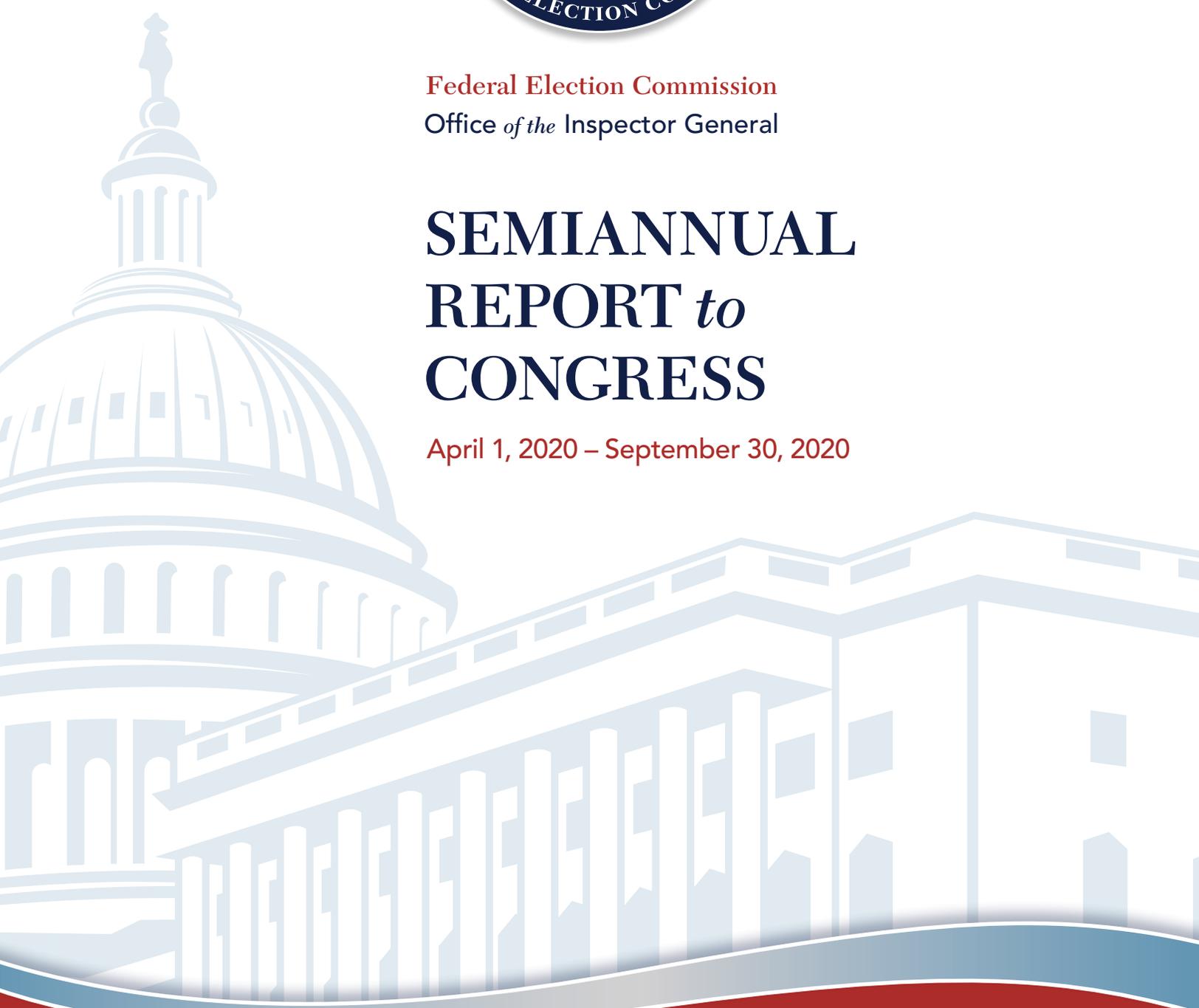




Federal Election Commission
Office of the Inspector General

SEMIANNUAL REPORT *to* CONGRESS

April 1, 2020 – September 30, 2020



November 2020



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

OFFICE OF THE CHAIR

November 25, 2020

The Honorable Nancy P. Pelosi
Speaker of the House of Representatives
H-232 Capitol Building
Washington, D.C. 20515

The Honorable Michael R. Pence
President of the Senate
S-212 Capitol Building
Washington, D.C. 20510

Dear Madam Speaker and Mr. President:

Pursuant to the Inspector General Act of 1978, as amended, the Federal Election Commission submits the Office of Inspector General's *Semiannual Report to Congress*. The report summarizes the activity of the FEC Office of Inspector General ("OIG") from April 1, 2020 through September 30, 2020.

During this reporting period, the OIG completed a special review, and management's response to that review can be found in that document. OIG expects to issue final audit reports in two open audits in the next reporting period.

The Commission appreciates and shares the Office of Inspector General's commitment to sound financial and management practices, and looks forward to continuing its cooperative working relationship as management takes appropriate measures to improve operations of the Commission. Copies of the *Semiannual Report to Congress* are being provided to the Chairpersons and Ranking Members of the FEC's oversight committees.

On behalf of the Commission,

A handwritten signature in black ink that reads "J.E. Trainor, III". The signature is written in a cursive, flowing style.

James E. "Trey" Trainor III
Chair

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Message *from the* Inspector General



It is with great pleasure that I present the Federal Election Commission (FEC) Office of Inspector General (OIG) Semiannual Report to Congress for the period of April 1, 2020 to September 30, 2020. During this time, we have implemented our electronic case management system and hotline portal to assist in the overall management of our hotline complaints and investigations. Additionally, we are pleased to announce that Mr. Dennis Phillips has joined the FEC OIG team as our Deputy Inspector General. We are pleased to have him on the team and trust that he will prove to be a great asset to the OIG and to the Commission.

During the reporting period the OIG audit and investigative program accomplished much of the work it had planned in FY 2020, which included conducting value added audits and reviews, responding to hotline complaints, and investigating allegations of wrongdoing. In FY 2021, we plan to conduct four audits/special review projects as well as respond to hotline complaints and investigate allegations of wrongdoing.

In accordance with the Inspector General Act of 1978, as amended (IG Act), OIG's are required to report to Congress, as applicable, results of any peer reviews it received or conducted during the reporting period. Peer reviews are required for OIG audit operations, are voluntary for investigative operations, and are scheduled on three-year cycles. The FEC OIG was scheduled for an audit peer review in FY 2020 but due to the COVID-19 pandemic, the review was extended to the end of the 2020 calendar year. Additionally, the FEC OIG is scheduled to conduct audit and investigative peer reviews of other OIG's in FY 2021.

Continued concern remains regarding the vacancies to FEC commissioners. The Commission is required to be comprised of six commissioners appointed by the President, with no more than three members affiliated with the same political party. Furthermore, 52 U.S.C. § 30106 requires the affirmative vote of four members to act on certain matters. The lack of a quorum prevents the Commission from among other things, issuing decisions on pending enforcement actions, opening investigations, and issuing advisory opinions. This concern also prominently directly and indirectly impacts agency programs and procedures.

Of great concern is the current state of the nation due to the COVID-19 pandemic. I'm exceptionally grateful to lead the FEC OIG team as they have adjusted to this crisis with professionalism and continues to exude a strong commitment to the mission. I look forward to continuing to work with the FEC OIG team, the Commission, members of Congress, and my IG colleagues to provide oversight to the FEC on behalf of the American taxpayers. This Semiannual Report reflects the exceptional work of the FEC OIG team and their commitment to the critical mission of the OIG.

A handwritten signature in black ink, appearing to read 'C. Skinner', written over a light blue background.

Christopher Skinner
Inspector General

OIG Personnel Updates

Additions:

We are pleased to announce the addition of Mr. Dennis Phillips to the FEC OIG team as our Deputy Inspector General. Mr. Phillips brings more than ten years of OIG and oversight experience to the FEC OIG. Most recently, he served as the IG for U.S. Naval Forces Europe and Africa in Naples, Italy.

In addition to his ten years of OIG experience, Mr. Phillips has advised federal offices on matters concerning labor and employee relations and has represented federal agencies in appeals before the Merit Systems Protection Board, labor arbitrations, and other administrative forums. Prior to entering government service, he worked as a litigation attorney representing clients in federal and state court in matters that included commercial fraud claims and other business disputes. Mr. Phillips completed his undergraduate degree and his Juris Doctor at the University of Hawaii.

Farewells:

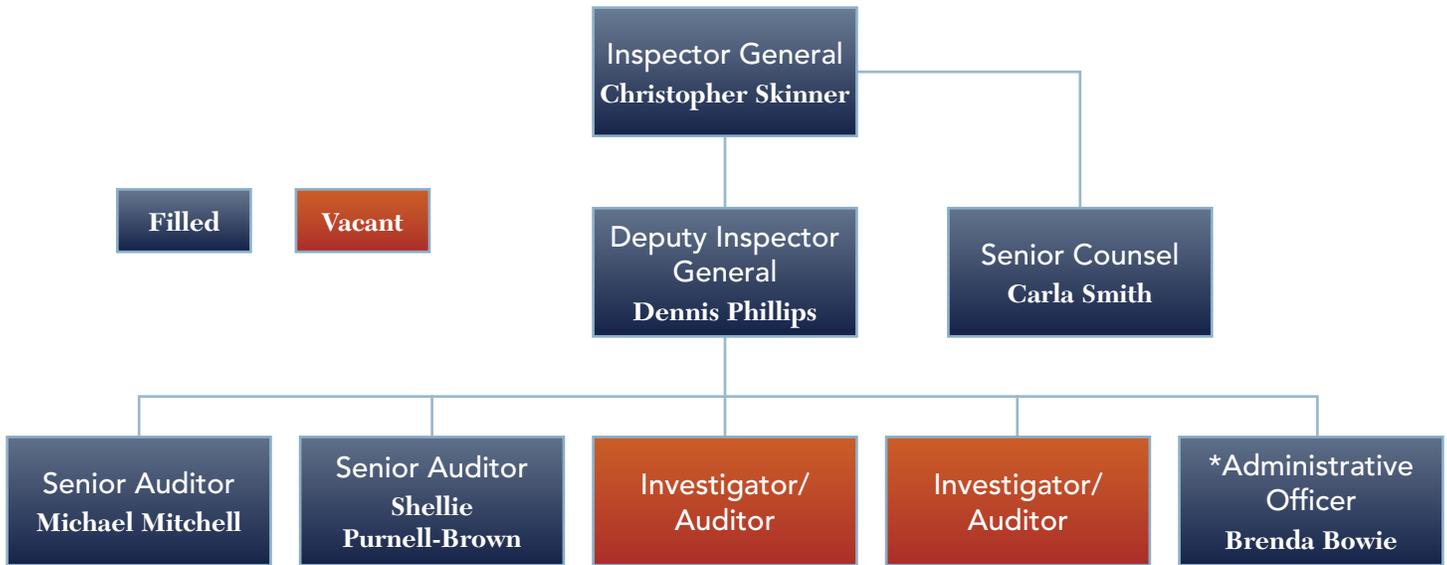
None during this reporting period.

Vacancies:

The OIG currently has two vacant positions: Investigator and/or auditor. Both positions will be a top priority to fill in FY 2021.



FEC Office *of the* Inspector General Organization Chart



* Administrative Officer reports to the Deputy IG, supports all FEC OIG staff in administrative matters, and reports to the IG for purposes of managing the IG’s schedule and related items.

Updated: September 2020

Core Values

Commitment

We are committed to continually seek personal and operational growth opportunities to preserve the positive reputation of the OIG. We pledge our dedication to persistently enhance our skillsets in efforts to uphold the integrity of the FEC.

Respect

We are devoted to creating a professional and positive work environment in which all colleagues and stakeholders are treated with the utmost respect. We welcome, value, and embrace the diversity of everyone and behave respectfully to all with whom we interact.

Service

We pride ourselves in providing a non-confrontational, value-added service to customers through objective, accurate, and timely evaluations of OIG inquiries in support of FEC operations and procedures.

Honesty

We are honest, fair, and true to ourselves, to each other, and to our customers, which is reflected in our reputation. We behave with the highest levels of integrity, which is fundamental to who we are as a team.

Collaboration

We strive to collaborate and build key relationships within the OIG community and the FEC in order to improve program operations, efficiencies, and effectiveness. We universally work together to identify potential opportunities to partner with OIG stakeholders in efforts to resolve Government wide concerns and maximize the value to the citizens of the United States.

Balance

We aim to balance customer needs with the mission of the OIG and FEC while assuring all endeavors of our work reflect transparent and unbiased processes. We apply this practice through our application of due regard for our peers, our beliefs, our family, and our stakeholders.

Executive Summary

The Inspector General Act of 1978, as amended (IG Act), states that the Inspector General (IG) is responsible for conducting audits and investigations; recommending policies and procedures that promote economy, efficiency, and effectiveness of agency resources and programs; and preventing fraud, waste, abuse, and mismanagement. The IG Act requires that the IG provide a means for keeping the head of its respective establishment (*i.e.*, the “FEC” or “Commission”) and the Congress fully and currently informed of problems relating to the administration of FEC programs and operations, through regular reports. Additionally, IG’s are required to report to their respective establishments particularly serious or flagrant problems, abuses, or deficiencies relating to the administration of agency programs and operations.

This semiannual report provides the major accomplishments of the FEC OIG, as well as relevant information regarding additional OIG activities. The executive summary highlights the most significant completed activities of the OIG from April 1, 2020 to September 30, 2020. Additional details pertaining to each activity (e.g., audits, hotline, investigations, and special reviews) can be found in subsequent sections of this report. The FEC OIG staff rely and act on its OIG Core Principles (honesty, collaboration, commitment, balance, service, and respect) and the Council of the Inspectors General on Integrity and Efficiency (CIGIE) standards to ensure the integrity of all FEC OIG work products.

Audits and Reviews

FY 2020 Financial Statement Audit

The OIG exercised the first option year of a five-year contract with independent public accountant (IPA), Brown & Company, PLLC (Brown & Company) to perform the agency’s 2020 financial statement audit. During this reporting period, the entrance conference was held on April 1, 2020 which initiated the planning phase of the audit. Brown & Company will conduct final audit testing in October and November 2020. The OIG anticipates completing the audit on-time, providing no unforeseen delays, and issuing the final audit report by the mandated due date of November 16, 2020.

Travel Program Audit

The audit of the FEC’s travel program commenced during this report period. The objectives include evaluating internal controls, compliance with certain relevant travel regulations, identify potential fraudulent or wasteful transactions, and recommend improvements to the efficiency and effectiveness of the travel card program. Fieldwork is ongoing and our anticipated completion date is early November 2020. We anticipate issuing the final report during the next reporting period.

Special Review

Use of TRANServe Benefits during the FY19 Government Shutdown (December 22, 2018 – January 25, 2019)

In efforts to provide FEC management insight into the TRANServe program's internal controls and operations, we completed a special review to determine if FEC employees misused their TRANServe benefits during the FY 19 government shutdown and if management established adequate internal controls to monitor compliance with FEC Commission Directive 54, Employee Transit Benefit Program. The OIG issued a final report on July 31, 2020 that included three recommendations to improve the operations and monitoring of the FEC TRANServe Program. Those recommendations serve to enhance the integrity and effectiveness of the FEC TRANServe Program and the accuracy of the agency transit subsidy allocations.

Peer Reviews

In accordance with the CIGIE Audit Peer Review schedule, the Election Assistance Commission (EAC) OIG was tasked to conduct a modified peer review of the FEC OIG Audit Program for the reporting period that ended September 30, 2019. The peer review kick-off meeting was held on February 25, 2020, and fieldwork remains in progress. Due to the unforeseen conditions related to the COVID-19 pandemic, an extension for this peer review period was granted and the report is now due by December 31, 2020.

OIG Audit/Review Follow-up Activity

The OIG has the responsibility to perform follow-up assessments to ensure that management has effectively implemented OIG recommendations. The OIG follows up on all FEC recommendations that have been outstanding for more than six months and identifies the progress management has made in addressing such recommendations to date.

The OIG continues to follow up with management to address outstanding audit recommendations despite competing priorities and the current environment due to the COVID-19 pandemic. As a result, three recommendations were closed during this reporting period. There are five open audits and inspections, containing 21 outstanding recommendations as of September 2020 (see complete details in the *OIG Audit Follow-up Activity* section of this report).

Hotlines and Investigations

The OIG implemented an online hotline portal to improve the process in which members of the public and agency employees may submit matters to the OIG. During this reporting period, the OIG received 43 new hotline complaints and closed 40 of them, ending this reporting period with three open hotline complaints. No outstanding hotline complaints remained from the prior reporting period.

All hotline complaints are evaluated to determine if an investigation is warranted. OIG investigations involve a detailed analysis of the issues presented. That analysis includes, but is not limited to, reviewing pertinent agency records, leveraging information technology resources, and interviewing witnesses and subjects. The OIG previously reported four open investigations as of March 31, 2020. During the reporting period, no new investigations were opened, three investigations were closed, and one investigation remains open and ongoing.

OIG Audit Activity

Title:	<i>FY 2020 Financial Statement Audit</i>
Assignment Number:	OIG-20-01
Status:	In progress

The OIG exercised the first option year of a five-year contract with Brown & Company to perform the agency's 2020 financial statement audit. During this reporting period, the entrance conference was held on April 1, 2020, which initiated the planning phase of the audit. Additionally, the audit timeline, audit plan, engagement letter, and list of requested testing documents were provided to management. Fieldwork and interim testing began on July 1, 2020.

Brown & Company is currently in the process of completing interim testing, assessing information technology (IT) internal controls, and following-up on the status of prior years' IT audit findings and recommendations. As in prior years, the contractor is required by the FEC OIG's contract to conduct additional testing on IT controls, as the FEC is exempt from the Federal Information Systems Management Act (FISMA) and is not subject to the annual FISMA audit.

Brown & Company will conduct final audit testing in October and November 2020. The OIG anticipates completing the audit on time, providing no unforeseen delays, and issuing the final audit report by the mandated due date of November 16, 2020.

Title:	<i>Travel Program Audit</i>
Assignment Number:	OIG-20-03
Status:	In progress

The audit of the FEC's travel program commenced during this report period. The primary objectives of this audit are to: (1) assess travel card policies and procedures to ensure internal controls in place are adequate to comply with Federal Travel Regulations (FTR), OMB Circular A-123 – Appendix B, and the Government Charge Card Abuse Prevention Act of 2012; (2) test travel card reimbursements and charges to ensure compliance with the FTR, and determine if fraud, waste, abuse, or misuse has occurred; and (3) assess the travel card program and processes to determine if there are opportunities to improve the efficiency and effectiveness of the program. Fieldwork is ongoing and our anticipated completion date is early November 2020. We anticipate issuing the final report during the next reporting period.

Special Reviews

Title:	<i>Use of TRANServe Benefits during the FY19 Government Shutdown (December 22, 2018 – January 25, 2019)</i>
Assignment Number:	SR 19-01
Status:	Complete
Report Location:	<u>Use of TRANServe benefits during the FY 19 government shutdown</u>

The OIG received information via the OIG hotline that alleged FEC employees violated the FEC Transit (TRANServe) Program by utilizing their transit benefits for personal use during scheduled telework days. The OIG opened an investigation into the matter on May 22, 2019. Based on the documentary evidence obtained, the investigation did not determine whether the employees were using their TRANServe benefits for personal use; however, it identified irregularities in TRANServe benefit usage during the FY19 government shutdown (December 22, 2018 through January 25, 2019). The 35-day shutdown consumed four out of five weeks in January 2019. Specifically, FEC employees were permitted to use their TRANServe benefits on four out of 21 (19%) working days in January 2019; thus, any TRANServe usage over 20% indicate potential abuse. Accordingly, the OIG conducted a special review of the program, which found that 30 employees used more than 20% of their January 2019 TRANServe benefits.

The OIG issued a final report on July 31, 2020 with the following recommendations:

1. That the FEC regularly request, retrieve, and review monthly TRANServe subsidy benefit reports from the Department of Transportation in efforts to monitor benefit usage and prevent fraud, waste, and/or abuse of government funds.
2. That FEC management incorporate guidance into Commission Directive 54 that addresses transit benefits for furloughed and non-furloughed employees in the event of a government shutdown.
3. That FEC management include specific guidance related to the use of transit benefits during a government shutdown within the annual transit recertification application and within the agency PowerPoint training.

Considering the agency's current state of remote operations due to the COVID-19 pandemic, we highly encourage FEC management to implement the foregoing recommendations prior to a return to normal operations.

OIG Audit/Review Follow-up Activity

Title:	Audit Follow-Up
Assignment Number:	N/A
Status:	In progress

As required by the *Inspector General Act of 1978*, as amended, the OIG is responsible for among other things, conducting and supervising audits, inspections, and special reviews of the FEC's programs and operations. Additionally, the OIG has the responsibility to perform follow-up assessments to ensure that management has effectively implemented OIG recommendations. The OIG performs follow up on all recommendations that have been outstanding for more than six months and identifies the progress management has made in addressing such recommendations to date.

Since the last reporting period, the OIG has included the five recommendations identified in *FY 2019 Required Review Under the DATA Act Report* (FY 2019 DATA Act Audit) as its recommendations are older than six months. There were three recommendations identified in the 2017 DATA Act Audit report which were repeated and superseded in the recent FY 2019 DATA Act Audit. The OIG met with management in May 2020 to discuss the open recommendations and received supporting documentation related to corrective actions implemented including the FEC DATA Quality Plan. Based on our review, we were able to close three of the five recommendations.

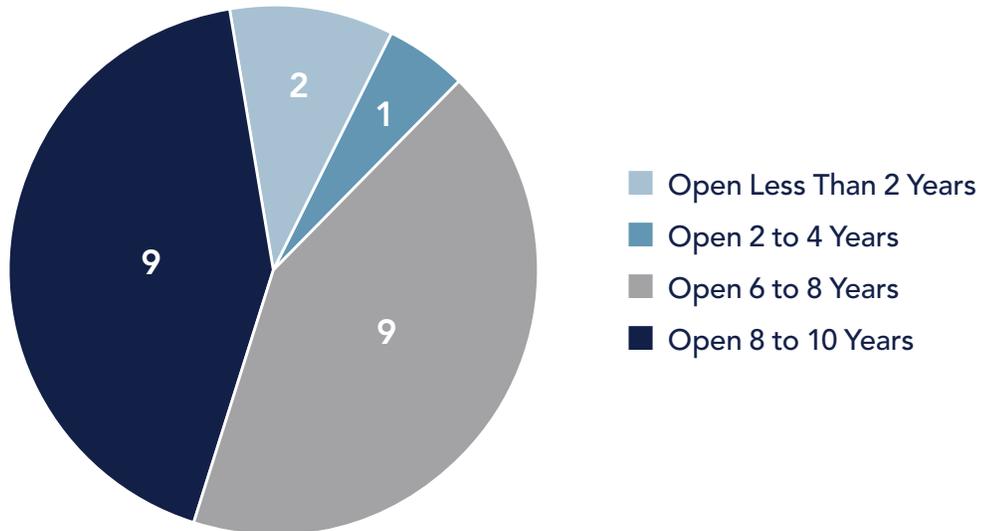
The OIG continues to follow-up with management to address outstanding audit recommendations despite competing priorities and the current environment due to the COVID-19 pandemic. As a result, three recommendations were closed during this reporting period.

There are five audits and inspections containing 21 outstanding recommendations as of September 30, 2020. A list of those audits and inspections is detailed below:

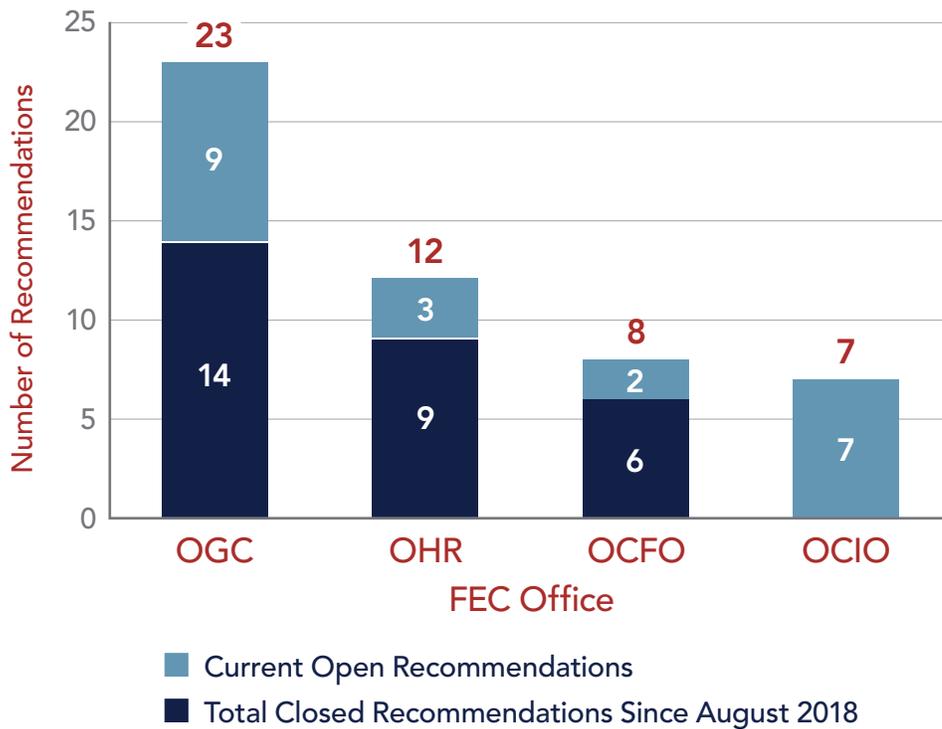
1. 2010 Follow-up Audit of Privacy and Data Protection (*outstanding 9 years*)
2. Inspection of the FEC's Disaster Recovery Plan and Continuity of Operations Plans (*outstanding 7 years*)
3. Audit of the FEC's Office of Human Resources (*outstanding 6 years*)
4. Audit of the FEC Telework Programs (*outstanding 3 years*)
5. FY 2019 Required Review Under the DATA Act (*outstanding 6 months*)

Age of Outstanding Recommendations

86% of the outstanding recommendations are more than six years old



Recommendations Activity by FEC Office from August 2018 to September 2020



OIG Hotline Activity

The OIG hotline provides a means for FEC employees, FEC contractors, and the public to communicate directly and confidentially with the OIG regarding allegations of fraud, waste, abuse, mismanagement, and misconduct. Additionally, the OIG may open a hotline complaint based on information received from members of Congress, FEC management, or the results of an audit or review.

During this reporting period, the OIG further modernized its hotline system to improve its accessibility, efficiency, and effectiveness, in accordance with the CIGIE Quality Standards for Investigations. Prior to June 1, 2020, the hotline complaint process was cumbersome, decentralized, and labor-intensive, as it required OIG staff to manually monitor the hotline phone, a voice mailbox, an email account, incoming postal mail, faxes, and potential walk-in complaints. Moreover, while agency employees could submit complaints through an internal third-party reporting system, members of the public could not do so.

Accordingly, during this reporting period, the OIG implemented an online hotline portal in which anyone, including FEC staff and the general public, could submit complaints to the FEC OIG. The implementation of the OIG hotline portal on June 1, 2020 superseded and subsumed the prior processes for receiving complaint submissions. Persons who seek to submit complaints are now redirected via an automated message to three methods of submitting a complaint: (1) the hotline portal, which is accessible through the OIG webpage; (2) the OIG hotline form (which can be mailed to the OIG's physical address); and (3) the OIG hotline telephone, which is actively monitored during business hours.

During this reporting period, the OIG received 43 new hotline complaints and closed 40 of them, ending this reporting period with three open hotline complaints. No outstanding hotline complaints remained from the prior reporting period.¹

The OIG takes all matters received on the hotline seriously; as such, we carefully analyze all information received to determine the appropriate course of action. Those courses of action include but are not limited to:

- **Opened for investigation** – Issue involves an FEC employee, program/process, and alleges a violation of an applicable law, rule, or regulation.
- **OIG referral to management for action** – Issue is more suitably handled by management; OIG refers to management via letter for action deemed appropriate.
- **OIG referral to another existing FEC program/process** (i.e., OGC, EEO, HR) – Existing process exists to resolve the issue; OIG refers the matter via letter to relevant program/process for action deemed appropriate.
- **OIG referral to external agency** – Issue is best handled by another agency that has cognizance over the matter and/or warrants criminal investigation/prosecution. OIG refers to relevant agency via letter for action deemed appropriate.

¹ The OIG also receives communications that do not rise to the level of complaints because they are not OIG specific and/or fail to state a complaint; we classify those as *OIG Contacts* for reporting purposes. During the reporting period, the OIG received and responded to 96 OIG Contacts.

OIG HOTLINE ACTIVITY

- **OIG referral to the OIG audit or special review process** – The issue identifies compliance or internal control concerns regarding specific agency operations but does not warrant OIG investigation. OIG refers internally for potential audit or review.
- **Assist complainant** – OIG determines the complaint is best handled by an existing process and/or entity that is available to the complainant. OIG notifies the complainant via letter of that process.
- **Closed with no further action** – Complainant is frivolous, has already been addressed, provides insufficient detail to act, or otherwise warrants no further OIG action.

OIG Course of Action - Hotlines Closed	
Opened for investigation	0
OIG referral to FEC management	0
OIG referral to existing FEC program/process	2
OIG referral to external agency	2
OIG referral to OIG audit/special review	0
Assist complainant	19
Closed with no action	17
Total Hotlines Closed	40

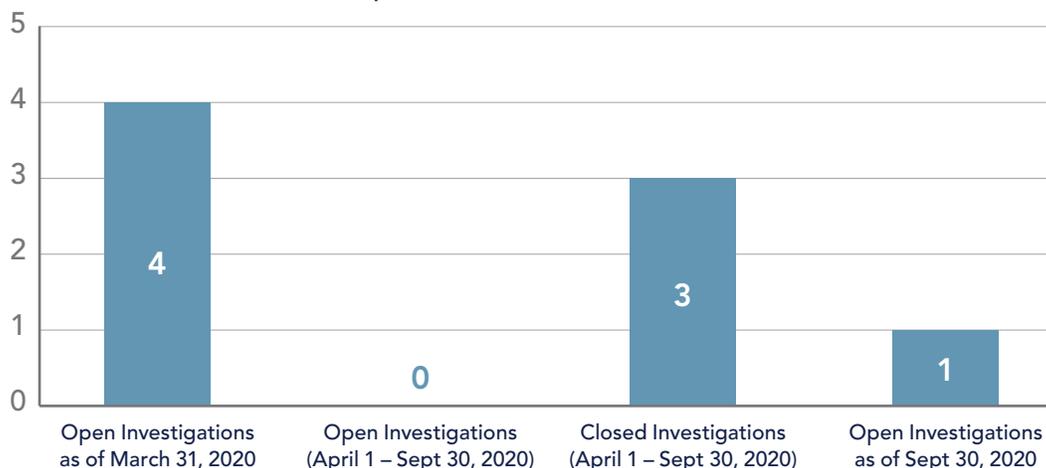
OIG Investigative Summaries

OIG investigations gather and analyze facts to resolve allegations of wrongdoing. OIG investigations may address administrative, civil, and criminal violations of laws, regulations, and policies. The subject of an OIG investigation may include any agency employee, FEC contractor, consultant, or person or entity involved in alleged wrongdoing affecting FEC programs and operations.

As previously noted, the OIG evaluates all hotline complaints to determine if an investigation is warranted. OIG investigations involve a detailed analysis of the issues presented, as well as emerging issues identified by the OIG. That analysis includes, but is not limited to obtaining pertinent agency records, performing computer material examinations, and interviewing witnesses and subjects. Occasionally, open investigations may be closed without a Report of Investigation (ROI) due to among other things, refuting evidence or lack of evidence obtained, and/or the level of severity of the allegation(s). Additionally, competing priorities may indicate that an allegation of wrongdoing is better addressed by management than by OIG investigation.

If the OIG determines to proceed and prepare an ROI, that report will provide a summary of the complaint, document the specific allegation(s), the law(s) or regulation(s) associated with the allegation(s), the objective description of the case facts, and a conclusion of investigative findings (i.e., substantiated or not substantiated). The OIG previously reported four open investigations as of March 31, 2020. During the reporting period, no new investigations were opened, three investigations were closed, and one investigation remains open.

FEC OIG Status of Investigations
(March 31, 2020 – September 30, 2020)



In accordance with the IG Empowerment Act of 2016, OIG's are required to report on each investigation conducted involving a senior government employee where allegations of misconduct were substantiated, including a detailed description of the facts and circumstances of the investigation and the status and disposition of the matter. Accordingly, the OIG reports the following:

The OIG received information that suggested an FEC senior government employee had connected an unsecure personal laptop to the FEC local area network (LAN), in or around August 2019, in violation of FEC Policy Number 58-4.3, "Mobile Computing Security Policy." The OIG opened an investigation into the matter on December 5, 2019. The investigation concluded that the employee had in fact connected a personal laptop to the FEC LAN in violation of FEC's Mobile Security Policy.

The investigation found that the senior employee did so out of personal convenience in the course of conducting official business and found no evidence that the employee's actions resulted in a compromise of the FEC's LAN by a third party. Once this information was made available to management, it advised the Commission that the individual was admonished and reminded not to use any personal devices on the internal FEC network and was in violation of the FEC's IT security policies. The matter was not referred to the Department of Justice because it did not implicate legal standards for which a criminal or civil penalty could be imposed.

Closed Investigations - Courses of Action (Apr 1 – Sep 30, 2020)	# of Investigations
Investigations closed with ROI released to Commissioners	1
ROI completed and released to Commissioners and referred to local state authorities	0
Investigations closed with Management Alert Memorandum (requesting management to follow up with actions taken, if any)	0
Investigations closed with Closing Memorandum but not provided to management due to insufficient evidence	1
Investigations closed and referred to OIG audit/special review program	0
Referrals to DOJ for federal prosecution ²	1
Totals	3

² This investigation was referred in March 2019 and is now being reported as closed.

Council of the Inspectors General on Integrity and Efficiency

Mr. Christopher Skinner, the Inspector General, attended CIGIE monthly meetings as well as CIGIE sponsored Conferences and Professional Development Seminars. Mr. Skinner participates on the CIGIE Technology Committee meetings to stay abreast to the effective information technology (IT) audits, evaluations, and investigations by Inspectors General. He continues to participate on all CIGIE OIG trainings as a new IG in the CIGIE community.

Mr. Dennis Phillips, the Deputy Inspector General, will participate on recommended CIGIE meetings and trainings as a new senior leader in the CIGIE community.

Ms. Carla Smith, Senior Counsel, participates on the following recurring meetings: CIGIE Legislative Committee, Counsel to the OIG, Counsel to the small OIG, and Freedom of Information Act (FOIA).

Ms. Shellie Purnell-Brown, Senior Auditor, participates on the DATA Act and Enterprise Risk Management working groups.

List of Training, Meetings & Conferences

The chart below provides a list of trainings, meetings, programs, seminars, and/or conferences attended by the IG and the OIG staff for the period April 1, 2020 to September 30, 2020.

Trainings, Meetings, Conferences, Etc.	
Host / Sponsor	Topic / Subject
American University	Key Executive Leadership Programs: Resilience in Uncertainty
Accountants Continuing Education	New Jersey Law & Ethics for CPAs (mandatory training to renew CPA licenses)
Association of Certified Fraud Examiners	2019 Law Enforcement and Government Anti-Fraud Summit 2020 Maryland Chapter Fraud Conference - Business Professionals' Network, Inc. Fighting Fraud in the Government
Council of Counsels to the Inspectors General	Monthly Meetings and Small OIG Working Group
Council of the Inspectors General on Integrity and Efficiency (CIGIE)	AIGI Quarterly Meeting COVID-19 Procurement Fraud Training DATA Act Working Group Data Analytics Working Group (DAWG) Quarterly Meetings Emerging Technology Symposium – Artificial Intelligence, Real Oversight ERM Working Group FAEC Bi-Monthly Meeting Workshop Investigative Peer Review Training Jump Starting I&E Training Program Legislation Committee Meeting LIFT Off Virtual Training Live Webcast: Using Tech Tools to Manage a Remote Workforce Pandemic Response Accountability Committee (PRAC) Small OIG Meetings

Trainings, Meetings, Conferences, Etc.	
Host / Sponsor	Topic / Subject
Council of the Inspectors General on Integrity and Efficiency (CIGIE)	Stakeholder Perspectives on Oversight of the Federal COVID-19 Spending and Response Technology Committee Meeting Traps for the Unwary Federal Manager Using Tech Tools to Manage a Remote Workforce
Department of Health and Human Services	Mobile Application Security Training
Federal Audit Executive Council-GAO	DATA Act Coordination Meeting
Federal Acquisition Institute (FAI)	Contracting Officer Representative
Federal Election Commission	Addressing Systemic Exclusion through Structural Inclusion Administrative Liaison Group Meetings Biweekly Director's Meetings with IG, Acting GC, SD & CFO Commissioner Monthly Inspector General Update COOP Meetings COVID-19 Senior Management Meeting Finance Committee Meeting Mandatory Hatch Act Training Mandatory Management Training – Whistleblower Protection Mandatory Training for Phase I Operations New Employee Orientations OSC Mandatory Prohibited Personnel Practices ServiceNow Training Zoom Tutorial for FEC License Coordinators
Federal Employment Law Training Group, LLC (FELTG)	Workplace Challenges in a COVID-19 World
Financial Statement Auditor's Network (FSAN)	Attend Bi-Monthly Meetings
GAO	23rd Biennial Forum of Government Auditors Virtual Forum

LIST OF TRAINING, MEETINGS & CONFERENCES

Trainings, Meetings, Conferences, Etc.	
Host / Sponsor	Topic / Subject
Government Publishing Office	How to Use the "Doing Business with GPO" Customer Handbook
Graduate School USA	Assessing Controls in Performance Audits Administrative Officer Training Data Analytics: Tools and Techniques Federal Appropriations Law for Auditors Government Contract Law Leading and Managing Audit Projects Managing Federal Year End Spending Writing Audit Reports by Objectives Writing for Impact
Institute of Internal Auditors	Cares Act Elected Member of the Board of Governors
KnowBe4	2020 Kevin Mitnick Security Awareness Training Compliance Series: Business Continuity Management Basics of Phishing Fundamentals Password Security NIST Password Guidelines Social Media: Staying Secure in a Connected World
Leadership Strategies	The Secrets to Virtual Facilitation
Management Concepts	Ethics in Federal Contracting
National Association of State Auditors, Comptrollers, and Treasurers	COVID-19 Accountability Work Group
Office of Management and Budget	MAX Federal Community 101 Virtual Training
Wolters Kluwer	Evolving Cyber Risks in a COVID-19 World TeamMate Analytics Virtual Training TeamMate Live Virtual Conference

Reporting Requirements

Reporting requirements required by the IG Act, as amended, are detailed below:

IG Act	DESCRIPTION	PAGE
Section 4(a)(2)	Review of Legislation	15
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	None
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	None
Section 5(a)(3)	Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed (Table III)	22
Section 5(a)(4)	Matters Referred to Prosecuting Authorities	None
Section 5(a)(5)	Summary of Instances Where Information was Refused-	None
Section 5(a)(7)	Summary of Significant Reports	None
Section 5(a)(8)	Questioned and Unsupported Costs (Table I)	20
Section 5(a)(9)	Recommendations that Funds be Put To Better Use (Table II)	21
Section 5(a)(10) (A)	Summary of Audit Reports issued before the start of the Reporting Period for which No Management Decision has been made	None
Section 5(a)(10) (B)	Summary of Audit Reports Issued Before the start of the Reporting Period for which No Management Comment was Returned Within 60 Days	None
Section 5(a)(10) (C)	Summary of Audit Reports Issued Before the Start of the Reporting Period for which There Are Outstanding Unimplemented Recommendations	None
Section 5(a)(11)	Significant Revised Management Decisions	None
Section 5(a)(12)	Management Decisions with which the Inspector General is in Disagreement	None
Section 5(a)(11)	Peer Review Recommendations	24

REPORTING REQUIREMENTS

Reporting requirements required by the IG Act, as amended, continued:

IG Act	DESCRIPTION	PAGE
Section 5(a)(17), (18)	Investigative Reports Table and Metrics (Table IV)	13-14, and 23
Section 5(a)(19)	Investigations Involving a Senior Government Employee with Substantiated Misconduct	13-14
Section 5(a)(20)	Instances of Whistleblower Retaliation	None
Section 5(a)(21)	Attempts by the Agency to Interfere with OIG Independence	None
Section 5(a)(22)	Undisclosed Inspections, Evaluations, Audits, and Investigations	None

Table I: Inspector General Issued Reports with Questioned Costs

	Required reporting	Number of Reports	Questioned Costs	Unsupported Costs
A.	For which no management decision has been made by commencement of the reporting period	0	0	0
B.	Which were issued during the reporting period	1	\$911	0
	Sub-Totals (A&B)	1	\$911	0
C.	For which a management decision was made during the reporting period	0	0	0
	(i) Dollar value of disallowed costs	0	0	0
	(ii) Dollar value of costs not disallowed	0	0	0
D.	For which no management decision has been made by the end of the reporting period	0	0	0
E.	Reports for which no management decision was made within six months of issuance	0	0	0

Table II: Inspector General Issued Reports with Recommended Actions That Funds Be Spent to Better use

	Required Reporting	Number of Rec's	Dollar Value (In Thousands)
A.	For which no management decision has been made by the commencement of the reporting period	0	0
B.	Which were issued during the reporting period	0	0
C.	For which a management decision was made during the reporting period	0	0
	(i) dollar value of recommendations were agreed to by management	0	0
	based on proposed management action	0	0
	based on proposed legislative action	0	0
	(ii) dollar value of recommendations that were not agreed to by management	0	0
D.	For which no management decision has been made by the end of the reporting period	0	0
E.	Reports for which no management decision was made within six months of issuance	0	0

Table III: Summary of Audit and Inspection Reports with Corrective Actions Outstanding

Report Title	Report Number	Date Issued	Total Rec's	Closed	Open	Cost Savings
2010 Follow-up Audit of Privacy and Data Protection	OIG-10-03	03/11	9	0	9	0
Inspection of the Federal Election Commission's Disaster Recovery Plan and Continuity of Operations Plans	OIG-12-06	01/13	7	0	7	0
Audit of the Federal Election Commission's Office of Human Resources	OIG-12-05	07/13	2	0	2	0
Audit of the FEC's Telework Programs	OIG-15-03	06/16	1	0	1	0
Required Review Under the DATA Act	OIG-19-02	11/19	5	3	2	0
Totals			24	3	21	0

Table IV: Summary of Investigative Reports and Actions³

FEC OIG Investigations Courses of Action (Apr 1, 2020 – Sep 30, 2020)	Number
Total number of investigative reports issued	3
Total number of persons referred to DOJ for criminal prosecution	0
Total number of persons referred to state and local prosecuting Authorities for criminal prosecution	0
Total number of indictments and criminal information resulting from any prior referral to prosecuting authorities	0
Total Investigations Closed	3

³ Metrics Used for Developing Data for Table IV:

Total number of investigative reports issued - reflects the number of all Reports of Investigation (ROI) issued to FEC Commissioners, management alert memorandums, closing memorandums, and other referral memorandums during the reporting period;

Total number of persons referred to DOJ for criminal prosecution and total number of persons referred to state and local prosecuting authorities for criminal prosecution - reflects the total number of referrals for criminal prosecution made by the FEC OIG to the respective criminal prosecuting authorities during the reporting period; and

Total number of indictments and criminal information resulting from any prior referral to prosecuting authorities - includes all indictments and information issued during the reporting period by Federal, State, or local criminal prosecuting authorities based upon any referral by the FEC OIG, whether the referral was made during this reporting period or a prior reporting period.

Appendix A: Peer Review Results

In accordance with the IG Act, OIGs are required to report to Congress, as applicable, results of any peer reviews it received or conducted during the reporting period. Specifically, OIGs are required to report any outstanding recommendations that resulted from the peer review.

The last peer review completed for the FEC OIG was conducted by the Farm Credit Administration OIG and the final report was issued on February 15, 2017. The FEC OIG received a “pass” rating with no outstanding recommendations. Additionally, the FEC OIG does not have any open recommendations from previous peer reviews.

OIG Peer Review Activity

Title:	<i>Peer Review of the FEC OIG Audit Program</i>
Assignment Number:	N/A
Status:	In Progress

In accordance with the CIGIE Audit Peer Review schedule, the Election Assistance Commission OIG was tasked to conduct a modified peer review of the FEC OIG Audit Program for the reporting period ended September 30, 2019. The peer review kick-off meeting was held on February 25, 2020, and fieldwork remains in progress. Due to the unforeseen conditions related to the COVID-19 pandemic, an extension for this peer review period was granted and the report is now due by December 31, 2020.

Appendix B: Mission Statements

The Federal Election Commission

The FEC is the independent regulatory agency charged with administering and enforcing the federal campaign finance law. The FEC has jurisdiction over the financing of campaigns for the U.S. House, Senate, Presidency and the Vice Presidency. Its mission is to protect the integrity of the Federal campaign finance process by providing transparency and fairly enforcing and administering Federal campaign finance laws.

In 1975, Congress created the FEC to administer and enforce the *Federal Election Campaign Act of 1971*, as amended. The duties of the FEC, an independent regulatory agency, are to disclose campaign finance information, enforce the provisions of the law, and oversee the public funding of Presidential elections.

The Commission consists of six members who are appointed by the President and confirmed by the Senate. Each member serves a six-year term, and two seats are subject to appointment every two years. By law, no more than three Commissioners can be members of the same political party, and at least four votes are required for any official Commission action. The Chairmanship of the Commission rotates among the members each year, with no member serving as Chairman more than once during his or her term.

Currently, the FEC has three Commissioners and three vacancies – James E. “Trey” Trainor, III (Chair), Steven T. Walther (Vice Chair), and Ellen L. Weintraub.

Office of Inspector General

The FEC OIG is committed to detect and prevent fraud, waste, and abuse, violations of law, and to promote economy, efficiency and effectiveness in the operations of the FEC. The OIG strives, as an agent of positive change, to promote improvements in the management of FEC programs and operations by independently conducting audits, reviews, and investigations. Our overriding objective is excellence and continuous improvement.

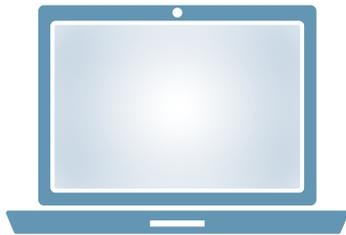


Federal Election Commission
Office *of the* Inspector General

REPORT FRAUD, WASTE, & ABUSE

OIG Hotline Portal

<https://fecoig.ains.com>



* Also accessible via:
<http://www.fec.gov/oig>

OIG Hotline Phone

202-694-1015



* Available from 9:00 a.m. to 5:00 p.m.
Eastern Standard Time, Monday through
Friday, excluding federal holidays.

Or you may call toll free at 1-800-424-9530 (press 0; then dial 1015). You may also file a complaint by completing the Hotline Complaint Form (<http://www.fec.gov/oig>) and mailing it to: 1050 First Street, N.E., Suite 1010, Washington DC 20463.

Individuals including FEC and FEC contractor employees are encouraged to alert the OIG to fraud, waste, abuse, and mismanagement of agency programs and operations. Individuals who contact the OIG can remain anonymous. However, persons who report allegations are encouraged to provide their contact information in the event additional questions arise as the OIG evaluates the allegations. Allegations with limited details or merit may be held in abeyance until further specific details are reported or obtained. Pursuant to the Inspector General Act of 1978, as amended, the Inspector General will not disclose the identity of an individual who provides information without the consent of that individual, unless the Inspector General determines that such disclosure is unavoidable during the course of an investigation. To learn more about the OIG, visit our Website at: <http://www.fec.gov/oig>.

Together we can make a difference!