



OFFICE OF INSPECTOR GENERAL

Equal Employment
Opportunity Commission



Semiannual Report
to the
U.S. Congress

April 1, 2021
to
September 30, 2021

ACRONYMS

AJ /SAJ	Administrative Judge/Supervisory Administrative Judge
CCD	Compliance and Control Division
CFO	Chief Financial Officer
COR	Contracting Officer Representative
CSD	Central Services Division
DATA Act	Data Accountability and Transparency Act
DFE	Designated Federal Entity
EEOC	Equal Employment Opportunity Commission
FISMA	Federal Information Security Modernization Act
FMFIA	Federal Managers' Financial Integrity Act
FSA	Financial Statement Audit
GAO	Government Accountability Office
IG	Inspector General
IPA	Independent Public Accountant
IPERA	Improper Payments Elimination and Recovery Act
OCFO	Office of Chief Financial Officer
OCHCO	Office of Chief Human Capital Officer
OCLA	Office of Communications and Legislative Affairs
OEDA	Office of Enterprise Data and Analytics
OFO	Office of Federal Operations
OFP	Office of Field Programs
OIG	Office of Inspector General
OIT	Office of Information Technology
OMB	Office of Management and Budget

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Message from the Acting Inspector General

As required by the Inspector General Act of 1978, as amended, I am pleased to present our Semiannual Report to the U.S. Congress for the period April 1, 2021, through September 30, 2021.

In late August 2021, Milton A. Mayo, Jr., Inspector General, went on extended medical leave. In his absence, I have been designated to serve as Acting Inspector General. We wish Inspector General Mayo a quick recovery and look forward to his return to duty.

The OIG continues to remain steadfast in its efforts to provide quality oversight of the EEOC's operations and programs, and to further assist the Agency in performing its mission to "Prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace."

In this connection, we continue to work productively in a virtual environment. As we look forward, the OIG will continue to execute the legislatively required audits and reviews, as well as discretionary reviews we determine to be valuable in assisting the EEOC.

Finally, I would like to convey our appreciation to Chair Charlotte Burrows, her leadership team, and the committed employees of the Agency for their cooperation as we pursue our work. We look forward to continuing our efforts to provide the type of oversight initiatives that deter waste, fraud, and abuse while promoting efficiency and economy in the operations and programs of the EEOC.

Respectfully submitted,



Joyce T. Willoughby, Esq
Acting Inspector General



Executive Summary

This semiannual report summarizes the OIG's activities and accomplishments for April 1, 2021, through September 30, 2021.

The OIG issued one memorandum, one evaluation, and one peer review report during the reporting period and resolved 673 investigative inquiries.

The OIG's completed and ongoing activities, as well as closed and ongoing investigations, include the following:

Completed Audit Activity

- The OIG issued a memorandum regarding EEOC's Compliance with the Payment Integrity Information Act for FY 2020.

Completed Evaluation Activities

- The OIG issued an evaluation report regarding the EEOC's social media program.
- The OIG issued a peer review report and letter of comment on the Architect of the Capitol, Office of Inspector General.

Ongoing Audit Activities

- The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A., to audit the EEOC's FY 2021 financial statements.
- The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A., to audit the EEOC's compliance with the Federal Information Security Modernization Act of 2014 for FY 2021.
- The OIG contracted with the public accounting firm Harper, Rains, Knight & Company, P.A., to audit EEOC's compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act) for FY 2021.
- The OIG plans to issue an independent report concerning the EEOC's compliance with the Federal Managers' Financial Integrity Act of 1982 for FY 2021.

Ongoing Evaluation Activities

- The OIG contracted with Uplift Federal to conduct an evaluation of EEOC's digital process transformation and automation process.
- The OIG is conducting an evaluation of EEOC's customer service channels related to private sector charge processing.

Closed Investigative Matters

- The OIG closed an allegation of a potential financial conflict of interest regarding an EEOC employee.

Ongoing Investigations

- An investigation regarding alleged ethical violations by an EEOC official.
- An investigation regarding an allegation of misuse of position by an EEOC employee.
- An investigation regarding alleged misconduct and misuse of position by an EEOC director.



Introduction

The Equal Employment Opportunity Commission

The Equal Employment Opportunity Commission (EEOC) is the federal agency 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, gender identity, and sexual orientation), national origin, age (40 or older), disability or genetic information. 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 the development and approval of 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 OIG supports the Agency by carrying out its mandate to independently and objectively conduct and supervise audits, evaluations, inspections, and investigations; prevent and detect fraud, waste, and abuse; and promote economy, effectiveness, and efficiency in programs and operations. The OIG reviews pending legislation and regulations and keeps the EEOC's Chair, and the U.S. Congress informed about Agency issues, recommends corrective action(s), and monitors the EEOC's progress in implementing such actions.

The OIG is under the leadership of the Inspector General, who provides overall direction, coordination, and supervision of the office. In the EEOC, a designated federal entity, the Commission Chair appoints the Inspector General who acts under the general supervision of the Chair. The OIG includes a deputy inspector general, counsel to the inspector general, auditors, evaluators, investigators, investigative support staff, an information technology specialist, and administrative staff.

The Deputy Inspector General serves as the Inspector General's alter ego and participates fully in policy development and execution. The Deputy Inspector General is the second-line supervisor for the OIG's evaluation program and has primary supervisory responsibility for the investigation and information technology programs.

The Counsel to the Inspector General is the official legal advisor to the Inspector General, providing day-to-day oversight of the OIG's investigative work and is the primary liaison with Agency legal components and the U. S. Department of Justice. Since January 2010, the Counsel to the Inspector General has served as the Acting Deputy Inspector General.



The Assistant Inspector General for Audit has oversight of the audit program, and the Supervisory Evaluator has oversight of the evaluation program.

The OIG's staff positions include a chief technology officer, a staff auditor, a senior evaluator, two criminal investigators, a confidential support assistant, and an administrative specialist. Currently, the staff auditor and the confidential support assistant positions are vacant.



The Audit and Evaluation Programs

These programs support the OIG's mission of improving the economy, efficiency, and effectiveness of EEOC programs, operations, and activities.

COMPLETED AUDIT ACTIVITY

Compliance with the Payment Integrity Information Act (PIIA) of 2019

On May 4, 2021, the OIG issued a memorandum regarding EEOC's compliance with the Payment Integrity Information Act for FY 2020. The OIG conducted the review in accordance with guidance set forth in the Payment Integrity Information Act and accompanying materials. The OIG concluded EEOC was compliant for FY 2020.

COMPLETED EVALUATION ACTIVITIES

Evaluation of EEOC's Social Media Program

On July 26, 2021, the OIG issued an evaluation of the EEOC's social media program. The OIG contracted with the public relations and communications firm Hager Sharp, Inc. The overall purpose of the evaluation was to assess the EEOC's management of its most important social media activities and provide the Chair, the Office of Communications and Legislative Affairs, and other offices performing, or planning to perform significant social media activities, with useful recommendations for improving social media use, and performance management. Hager Sharp, Inc. offered the following recommendations to improve the program:

- Hire people with specialized expertise to manage the social media program and its assets, specifically, a dedicated social media manager and part-time (or contract) graphic designer and multimedia specialist.
- Simplify the EEOC's social media architecture by consolidating many of the existing social media channels and limiting creation of new channels.
- Ensure all social media managers have access to a scheduling tool within one account.
- Implement a consistent content approval process run by the Office of Communications and Legislative Affairs.
- Facilitate a mandatory monthly meeting among all EEOC social media managers.
- Implement an ongoing training series for all staff involved in the EEOC social media program.
- Create and use an editorial calendar for social media content.
- Develop content based on topics with strong performance and that uses social media best practices, including consistent branding for multimedia content and a greater number of videos.
- Employ new social media tactics to reach vulnerable audiences.
- Execute new tactics based on channels that generate traffic to EEOC web pages.
- Use paid media to support improved reach and engagement.
- Complete revisions to the social media handbook and provide to all staff managing social media channels.



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- Complete at least four social media campaigns per year (one per quarter) to prompt growth of social media channels and higher audience engagement.
 - Establish objectives for the social media program that include quantified targets.
 - Begin quarterly reporting on social media outcomes, using an online dashboard to ease data collection.

Peer Review Report and Letter of the Architect of the Capitol, Office of Inspector General

On September 23, 2021, the OIG issued its final report and letter of comment regarding its review of the Architect of the Capitol, Office of Inspector General. The OIG determined that the Architect of the Capitol, Office of Inspector General policies and procedures generally were consistent with the seven quality standards for inspection and evaluation.

ONGOING AUDIT ACTIVITIES

Audit of the EEOC's FY 2021 Financial Statements

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to audit the EEOC's financial statements for FY 2021, as required by the Accountability of Tax Dollars Act of 2002.

Harper, Rains, Knight & Company, P.A. will examine the Agency's financial statements and accompanying disclosures. The OIG will issue its report no later than November 15, 2021.

Audit of the EEOC's Compliance with Provisions of the Federal Information Security Modernization Act of 2014

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to audit the Agency's compliance with the Federal Information Security Modernization Act of 2014 for FY 2021. The objective is to conduct a performance audit regarding the effectiveness and efficiency of the Agency's information security program and practices. The OIG plans to issue its final report during the first quarter of FY 2022.

In keeping with a Department of Homeland Security's requirement, Harper, Rains, Knight & Company, P.A. will complete the OIG's CyberScope metrics. The OIG will submit Harper, Rains, Knight & Company, P.A. metric evaluation results to the Department of Homeland Security through the Office of Management and Budget's Max Portal no later than October 29, 2021.

Audit of EEOC's Compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act) for FY 2021

The OIG has contracted with the public accounting firm Harper, Rains, Knight & Company, P.A. to audit the Agency's DATA Act requirements for FY 2021. The DATA Act requires the Inspector General of each agency to review a statistically valid sample of the spending data submitted by its agency. The OIG must submit to the U.S. Congress a publicly available report assessing the completeness, timeliness, quality, and accuracy of the data sampled and the implementation and use of the Government-wide financial data standards by the agency. The OIG will issue its final report no later than November 8, 2021.



EEOC’s Compliance with the Federal Managers’ Financial Integrity Act of 1982 for FY 2021

The OIG is reviewing the Agency’s compliance with the Federal Managers’ Financial Integrity Act of 1982 for FY 2021. The OIG will issue an independent report, as required by EEOC Order 195.001, Management Accountability and Controls, describing whether the Agency’s management control review was conducted in accordance with applicable laws and OMB guidance. The OIG will issue its independent report no later than November 15, 2021.

ONGOING EVALUATION ACTIVITIES

EEOC Digital Process Transformation and Automation (DPTA) Evaluation

The OIG contracted with the company Uplift Federal to conduct an evaluation of EEOC’s digital process transformation and automation capabilities. The overall purpose of the evaluation is to assess the EEOC’s culture, strategy, and management of data transformation and associated automation, providing the Chair, the Office of Enterprise and Data Analytics, the Office of Information Technology, and other offices that may perform those activities, with useful recommendations for improvement in strategy, management, and implementation of digital process transformation and automation.

On September 23, 2021, a ninety day “Stop Work Order” was issued by the Department of Interior – International Business Center. Currently, the OIG does not have a timetable for report issuance.

Evaluation of EEOC’s Management of Private Sector Customer Service

The OIG is currently evaluating EEOC's management of private sector customer service. The purpose of this evaluation is to assess the Agency’s strategy and efforts to achieve customer service efficiency and measure customer satisfaction. The evaluation will examine selected EEOC customer service management activities as they apply to private sector potential charging parties, charging parties, and respondents who interact with staff at EEOC headquarters. The OIG plans to issue its final report during the second quarter of FY 2022.



Management Challenges

In accordance with the Reports Consolidation Act of 2000, the Office of Inspector General (OIG) is reporting what it has determined are the most serious management and performance challenges facing the U.S. Equal Employment Opportunity Commission (EEOC). This annual statement provides our views on these challenges facing EEOC for inclusion in the EEOC's FY 2021 Annual Financial Report.

The EEOC must meet several challenges in FY 2022 in order to continue progress with its mission to “prevent and remedy unlawful employment discrimination and advance equal opportunity for all in the workplace.” The OIG presents three challenges for the Agency to focus on in FY 2022: (1) COVID-19 and Related Issues; (2) Mission-Critical Data System Modernization; and (3) Digital Records Management. We determined that the areas of COVID-19 and Related Issues, Mission-Critical Data System Modernization, and Digital Records Management, cited in the OIG's 2020 Management Challenges statement, remain key challenges. We note that the COVID-19 hurdles evolved over the past year and require both nimble and far-sighted senior leadership efforts. In addition, while Strategic Performance Management is not on the list this year, it remains important.

COVID-19 and Related Issues

The EEOC continues to accomplish its mission during the COVID-19 pandemic. In FY 2021, EEOC served its stakeholders through technological enhancements, employee commitment, and senior management leadership. The EEOC has operated in an almost entirely virtual environment since March 2020. As we stated in last year's management challenges, the pandemic created unprecedented challenges for the EEOC in managing its workload and providing services to the public. For FY 2022, the Agency faces several issues surrounding increased workforce presence in EEOC office spaces. Lessons learned during the pandemic also open avenues for assessing cost savings opportunities.

The OIG interviewed several District office directors, as well as senior Agency management from the Office of Field Programs (OFP). We reviewed the Agency Proposed Approach to Agency-Wide Post-Reentry Personnel Policies and Work Environment. Agency senior management stated they consulted with internal and external stakeholders regarding this issue. Both District office directors and OFP senior management stated that increased workforce presence in the field offices is one of the most pressing issues the EEOC faces. We suggest that EEOC ensure all relevant parties and stakeholders continue to be consulted about the timing and extent of the increased workforce and public presence in field office buildings, to include discussions regarding regional conditions due to COVID-19.

According to EEOC post-reentry plans, the Agency COVID-19 Coordination Team will consider the EEOC's mission and priorities related to employee reentry and long-term workforce decisions. The plan calls for input from stakeholders and employees to determine the proper balance of remote work, telework, and flexible work schedule options (e.g., Maxiflex and alternative work schedules). It is OIG's opinion that the Agency should continue to update its planning for increased staff presence in EEOC field office locations, taking into account federal guidelines and the changing COVID-19 environment.



The pandemic also presents an opportunity to examine cost savings. The EEOC should formally assess how its offices could be redesigned in light of lessons learned during the COVID-19 pandemic (e.g., continued use of flexible work arrangements to reduce occupancy levels).

The Agency must maintain a reasonable balance that addresses stakeholders' needs and staff safety. Continued evaluation and review of the differing pandemic environments in EEOC office locations is vital so that the Agency can safely navigate the pandemic while maintaining or improving mission-critical work levels.

Mission-Critical Data System Modernization

Mission-Critical Data System Modernization continues as a challenge as the Agency replaces its 20-year-old charge/case management application, Integrated Mission System (IMS). During FY 2020, the General Services Administration (GSA), which manages the Technology Modernization Fund (TMF), awarded the EEOC four million-dollars of reimbursable funding (in two million-dollar increments over two years) to assist with modernization efforts.¹ The EEOC received its first installment of two million-dollars in January 2020, and according to the Office of Information Technology's (OIT) senior management, the Agency has obligated over ninety percent of the first installment payment.

Over the past 18 months, the modernization team defined and developed an end-to-end charge management solution Agency Records Center (ARC) to enable the Agency's Private Sector processes and the accompanying processes for its 92 Fair Employment Practices Agency (FEPA) partners.

ARC seeks to:

- Transform the way the EEOC serves the public by making its charge, complaint, and appeal processes transparent and providing information to its constituents online and on demand.
- Streamline processes to improve customer service for constituents, including individuals, state and local partners, federal agencies, businesses, and other organizations.
- Improve productivity by providing agency employees secure access to the tools, data, and documents they require.

OIT senior management stated that ARC's go-live date for private sector processes (EEOC and FEPAs) is the first quarter of FY 2022. Once the private sector rollout is complete, EEOC plans to request the final two million-dollars. These funds will be used to conduct additional work on the ARC for the Agency's litigation and federal hearings and appeals programs.

While the OIT has demonstrated success regarding modernization, Agency leadership must continue to provide OIT with the necessary resources and support in removing technological barriers. This modernization will enable the Agency to carry out its mission better.

¹ The Technology Modernization Fund is an innovative funding vehicle authorized by the Modernization Government Technology Act of 2017, that gives agencies additional ways to deliver services to the American public more quickly, better secure sensitive systems and data, and use taxpayer dollars more efficiently.



Digital Records Management

Digital records management continues as a challenge because the Agency lacks an effective and efficient program due to inadequate staffing. Without a well-functioning records management program, the Agency cannot accomplish many tasks, including management of its information, vital Freedom of Information Act program activities, and meeting digital records requirements.

Records management responsibility resides in the Office of Legal Counsel (OLC). There are no full-time managers or staff in the records management program. Despite scarce resources in FY 2021, OLC developed guidance for new commissioners regarding records retention and revised OLC's office records control schedule. OLC's goals for improving records management included hiring additional records management staff, updating the records control schedules for program offices, and progressing in discontinuing maintenance of paper files. However, work on these tasks stagnated because of inadequate staffing.

Agency leadership needs to provide the appropriate resources and focus to ensure that the records management program has strong leadership and staffing to implement critical program improvements in a timely manner.



REPORT ISSUED AND AUDIT / EVALUATION FOLLOW-UP

Report 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 OIG during the reporting period. The OIG issued no reports during the reporting period that listed significant problems, abuses, and deficiencies relating to the agency's administration of programs and operations.

The OIG issued one evaluation report that provides recommendations for program improvement.

Fiscal Year	Report Number	Report Title	Date Issued	Recommendations
2021	2020-001-EOIG	Evaluation of EEOC's Social Media Program	7/23/2021	Yes

Audit / Evaluation Follow-Up

Audit and Evaluation Follow-up is an integral part of effective management and 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.

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 OIG reports **twelve** audit and evaluation reports with a total of **thirty** open recommendations for this reporting period. The following table shows those recommendations for which corrective actions have not been completed.

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"> For purchase cards, EEOC management should create a control where management reviews, on a sample basis, the purchase card account closure documentation to ensure it adheres to the EEOC Purchase Card Audit Finding Update Memo, sent August 21, 2019, that states, "Effective immediately, the AOs and DRMs must maintain documentation on all account closures electronically or in hard copy. The documentation must include the following: name of the AO or DRM who has received the employee's charge card; date the card has been turned in; date the card has been 			



physically destroyed; and date that account closure has been confirmed by Citibank.”• 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 non-compliance.

2. We recommend EEOC ensure that emailed policy memos are promptly updated in the appropriate EEOC Directives Transmittal Order.
3. 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.
4. 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. **(Repeat Finding from FY 2019)**

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-003-AOIG	U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA) FY 2019 Performance Audit.	3/24/2021

1. We recommend EEOC's Office of Information Technology (OIT) review and remediate critical-risk and high-risk vulnerabilities in accordance with EEOC OIT’s assessment of risk. Where risk acceptance is required for vulnerabilities based on EEOC's network operation, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities.



Fiscal Year	Report Number	Report Name	Date Issued
2020	2020-002-AOIG	FY 2020 Financial Statement Audit	11/12/2020
<ol style="list-style-type: none"> 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. 2. We recommend EEOC ensures the existing policy in place is followed and documentation of the process is reviewed by the CFO or their designee on a quarterly basis. (Repeat Finding from FY 2019) 			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-004-AOIG	U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA) FY 2019 Performance Audit.	2/20/2020
<ol style="list-style-type: none"> 1. EEOC OIT should conduct a privacy impact assessment of the SharePoint system to identify privacy issues and risks associated with the security settings; and to provide recommendations to mitigate potential privacy risk. 2. EEOC OIT should provide specialized training for SharePoint administrators and users to reduce the risk of exposing sensitive information and PII. 3. EEOC OIT should review and remediate critical-risk, high-risk, and medium-risk vulnerabilities in accordance with EEOC OIT's assessment of risk. If the risk is not remediated, then we recommend EEOC OIT document the acceptance of the risk. 			

Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-002-AOIG	FY 2019 Financial Statements Audit	11/19/2019
<ol style="list-style-type: none"> 1. EEOC should ensure the existing policy in place is followed and documentation of the process is reviewed by the CFO or their designee on a quarterly basis. 			



Fiscal Year	Report Number	Report Name	Date Issued
2020	2019-001-AOIG	Evaluation of EEOC's Contract Administration Activities	11/19/2019
<ol style="list-style-type: none"> 1. OCFO should review and update the Contract File Content Checklist to reflect current documents maintained in the file. 2. ASD should review and update the COR Appointment Letter as needed and specifically address the maintenance of electronic contract files. 3. OCFO should revise EEOC Order 360.001 as needed to assist CORs in performing their duties. Include implementation guidance for contract administration activities, such as submitting contract modifications. 			

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
<ol style="list-style-type: none"> 1. The Office of the Chief Financial Officer should enhance the documentation, monitoring, and enforcement of its controls over the closure of charge card accounts. 			

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. Standardize on-boarding activities and training programs required for new AJs and other staff working at the District and Field offices, so that the Federal hearings experience is consistent for both complainants and agencies across offices. 2. Ensure future process changes are implemented according to change management best practices noted by GAO. 3. The Office of Information Technology (OIT), in partnership with OFP and OFO, should re-evaluate IMS requirements, and requirements for the framework of its successor system, to determine what additional reporting functionalities are needed in order to analyze data about staff and office productivity. A Voice of the Customer exercise or a user requirement meeting could serve as starting point to gather current requirements from IMS main users (OFP and OFO) and to determine what other current systems need to be integrated to make them function in alignment with IMS (Power BI, Complainant Portal). 			



4. 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.
5. OFO and OFP, in partnership with OIT, should consider development of an IMS training guide or document that is consistently updated and reviewed following upgrades, enhancements or modifications of the software. This guide should include all necessary codes for every action item in the process and should be available for all product users. This guide should ensure that product users track all mandated steps in IMS. Given that each office's staff has their own needs within IMS: One guide should be made for OFP legal techs, AJs, and SAJs. A separate guide should be available for OFO CCD staff, attorneys and supervisory attorneys.
6. Examine the staffing model of the appeals intake process to determine if the dedicated resources are sufficient for ensuring processes are completed in a timely manner.
7. Assign a target amount of days for intake so that management can determine if changes implemented impact the efficiency of the process.
8. Evaluate and assess timeline improvement after the use of the new contractors. If significant improvements are verified by data, consider improvements to the ongoing staffing model and the possible addition of these contractor positions as permanent roles. OFO should determine and monitor metrics, such as improvement of targeted timelines from one step to another (data can be gathered from IMS).

Fiscal Year	Report Number	Report Name	Date Issued
2019	2018-004-AOIG	U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA FY 2018 Independent Evaluation)	3/6/2019
<ol style="list-style-type: none"> 1. The EEOC OIT should review and remediate critical-risk, high-risk and moderate-risk vulnerabilities. These vulnerabilities should be resolved to avoid compromise to EEOC's systems; or the Agency should document acceptance of the risk or reclassification of the risk. 			



Fiscal Year	Report Number	Report Name	Date Issued
2018	2017-007-AOIG	Independent Evaluation of the U.S. Equal Employment Opportunity Commission's Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (FISMA)	12/18/2017
<ol style="list-style-type: none"> 1. The EEOC should develop and implement a Trusted Internet Connection (TIC) program in accordance with Office of Management and Budget (OMB) requirements to assist in protecting the agency's network from cyber threats. 2. The EEOC OIT should conduct an e-authentication risk assessment based on NIST SP800-63-3 Digital Identity Guidelines suite, for EEOC's digital services, and fully implement multifactor authentication for logical and remote access enterprise-wide. (Repeat finding since FY 2008) 			

Fiscal Year	Report Number	Report Name	Date Issued
2017	2016-008-EOIG	Independent Evaluation of the U.S. Equal Employment Opportunity Commission's Compliance with Provisions of the Federal Information Security Modernization Act of 2014 (FISMA)	1/4/2017
<ol style="list-style-type: none"> 1. The EEOC OIT should review and analyze critical, high, and medium vulnerabilities. These vulnerabilities should be resolved to avoid compromise of EEOC's systems; or the agency should document acceptance of the risk or reclassification of the risk. 			

Fiscal Year	Report Number	Report Name	Date Issued
2014	2013-008-PSA	Performance Audit of the Agency's Personnel Security Program	9/15/14
<ol style="list-style-type: none"> 1. Immediately correct any known weaknesses. If EEOC determines not to correct a noted weakness, EEOC should document this analysis and their acceptance of the associated risk. 2. Implement a formalized training program for individuals who use classified information as a part of their duties. If an external agency is to assume the responsibility of training these individuals, this agreement should be documented in an MOU. 3. Develop and implement policies and procedures to address the safeguarding, transfer, storage, or disposal of classified information. The policy should include the requirements for Memorandums of Understanding between agencies. 			



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 (including the date and title of each such report), an explanation of the reasons such management decisions has not been made, and a statement concerning the desired timetable for achieving a management decision on each such report.

The OIG 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
2021	0	0	0	N/A



The Investigation Program

The Investigation Program supports the OIG's strategic goal of focusing its limited resources on issues that represent the most significant risk and offering the maximum opportunity to detect and prevent fraud, waste, and abuse in EEOC programs and operations.

The Office of Inspector General resolved 673 investigative contacts from April 01, 2021, to September 30, 2021, resulting in the following:

Investigative Inquiries Resolved

Investigative Inquiries Resolved April 1, 2021, through September 30, 2021	
Allegations	Number
Charge Processing	280
Other Statutes	65
Title VII	7
Mismanagement	23
Ethics Violations	19
Backgrounds	1
Theft	112
Threats	10
Fraud	52
Other Criminal Allegations	104
Total	673



OIG HOTLINE

The OIG Hotline exists to enable EEOC employees, EEOC contractors, and the public to have direct and confidential contact with the OIG. We do not investigate every hotline complaint we receive. OIG policy requires that hotline complaints be evaluated on specific criteria, including the merits of the allegation, the availability of evidence, and the priorities, commitments, and resources of the OIG.

Some complaints received by the OIG are outside its jurisdiction. The OIG frequently receives reports and allegations of misdirected complaints/inquiries belonging to other EEOC offices, other federal agencies, other law enforcement agencies, or other state or local government entities. Reviewing and responding to these reports and allegations can entail a significant amount of staff time and effort. In these instances, OIG personnel strive to provide excellent customer service and offer the complainant the appropriate contact information to the entity that may address their needs. The complaint/inquiry may be redirected and sent to the appropriate office or agency directly from the OIG.

COMPLETED INVESTIGATION

The OIG investigated an allegation of a potential financial conflict of interest regarding an employee in their review of two cases involving a company with which they owned stock.

OIG investigators conducted several interviews, reviewed relevant records and analyzed financial accounts and data to determine whether a violation of 18 USC Section 208 had occurred. The OIG investigators determined that the evidence did not support the existence of a conflict of interest. Accordingly, the matter was closed.

ONGOING INVESTIGATIVE ACTIVITY

The OIG has ongoing investigations in several field offices involving the following:

- An investigation into the alleged ethical violations by an EEOC official.
- An investigation regarding an allegation of misuse of position by an EEOC employee who was allegedly working outside of the EEOC without authorization.
- An investigation of alleged misconduct and misuse of position by an EEOC director.



Appendices

Appendix I.

Final Evaluation Reports

Report Title	Date Issued	Questioned Costs	Funds Put to Better Use	Unsupported Costs
Evaluation of EEOC's Social Media Program	7/23/2021	-0-	-0-	-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 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.

Issue	Description
With 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
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	12-17
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	21
Section 5(a)(5)	Summary of Instances Where Information Was Refused	22
Section 5(a)(6)	List of Reports	12
Section 5(a)(7)	Summary of Significant Reports	6-7
Section 5(a)(8)	Questioned and Unsupported Costs	21
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	21
Section 5(a)(10)	<p>Summary of each audit report, inspection, evaluation report(s) issued before the commencement of the reporting period:</p> <p>(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 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>	18
Section 5(a)(11)	Significant Management Decisions That Were Revised During the Reporting Period	23
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General is in Disagreement	23



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>	21
Section 5(a)(19)	<p>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:</p> <p>(A) the facts and circumstances of the investigation; and</p> <p>(B) the status and disposition of the matter, including:</p> <p>(i) if the matter was referred to the Department of Justice, the date of the referral; and</p> <p>(ii) if the Department of Justice declined the referral, the date of the declination.</p>	21
Section 5(a)(20)	<p>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.</p>	22
Section 5(a)(21)	<p>A detailed description of any attempt by the establishment to interfere with the independence of the Office, including:</p> <p>(A) with budget constraints designed to limit the capabilities of the Office; and</p> <p>(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.</p>	22



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) investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public.	23
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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.

Single audits are performed by independent auditors and 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 audit reports issued by independent auditors concerning Fair Employment Practice Agencies with work-sharing agreements with the EEOC during the reporting period.

Appendix X.

Peer Review Reporting

As required by both the Government Auditing Standards, and the Quality Standards for Inspection and Evaluation, OIG’s Audit and Evaluation programs must have an external peer review conducted regarding its system of quality controls.

On September 8, 2020, the Appalachian Regional Commission, Office of Inspector General, issued its peer review report on the OIG Audit program to determine if established policies and procedures were current and consistent with applicable professional standards. The peer review team determined that the OIG audit section's established policies and procedures for the audit function at March 31, 2020, were current and consistent with applicable professional standards as stated and conforming with Generally Accepted Government Auditing Standards (Yellow Book).

On December 3, 2020, the Export-Import Bank of the United States, Office of Inspector General, issued its peer review report on the OIG Evaluation program. The peer review team determined that the OIG’s evaluation policies and procedures, as presented in its manual, generally met the seven Council of Inspector General for Integrity and Efficiency's, Inspection and Evaluation (Blue Book) standards addressed in the modified external peer review.



Contact Us

The Office of Inspector General is at the forefront of the Nation's efforts to fight waste, fraud and abuse in EEOC programs and operations. If your question refers to programs that are not part of EEOC you can find contacts for all Federal agencies on the USA.gov website's <https://www.usa.gov/federal-agencies>



For general inquiries, please visit:

<https://oig.eeoc.gov/contact>

To electronically report fraud, waste, abuse, and potential wrong-doing please visit:

<https://oig.eeoc.gov/hotline>



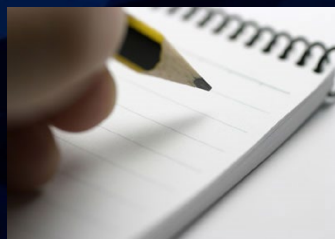
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Equal Employment Opportunity Commission

131 M. St. Suite 6NE23M

Washington, DC 20507



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Your identity when contacting the OIG is fully protected and confidential