

# OFFICE OF INSPECTOR GENERAL

## Equal Employment Opportunity Commission



Semiannual Report to the U.S. Congress  
April 1, 2023, through September 30, 2023

## VISION

Effective, efficient, and accountable management of Agency programs, operations and personnel.

## MISSION

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

## CORE VALUES

Accountability

Integrity

Excellence

Collaboration

Innovation



## Table of Contents

MESSAGE FROM THE INSPECTOR GENERAL .....	3
EXECUTIVE SUMMARY .....	4
Completed Audit Activity .....	4
Ongoing Audit Activities.....	4
Other Audit Activities.....	4
Completed Evaluation Activities .....	4
Ongoing Evaluation Activities .....	4
Ongoing Other Special Projects .....	4
Ongoing Investigative Activities.....	4
INTRODUCTION.....	5
THE AUDIT PROGRAM.....	7
Completed Audit Activity.....	7
Ongoing Audit Activities.....	7
Other Audit Activities.....	8
The Evaluation Program.....	9
Completed Evaluation Activities .....	9
Ongoing Evaluation Activities.....	10
OFFICE OF INSPECTOR GENERAL OTHER SPECIAL PROJECTS.....	11
Ongoing Special Projects Activity .....	11
AUDIT AND EVALUATION FOLLOW-UP .....	12
Audit and Evaluation Reports Issued During This Reporting Period .....	12
Recommendations for Which Corrective Actions Have Not Been Completed .....	12
Audit and Evaluation Reports Which no Management Decision has been Made by the End of the Reporting Period .....	21
THE INVESTIGATION PROGRAM .....	22
Office of Inspector General Hotline.....	23
Ongoing Investigative Activities .....	23
APPENDICES .....	24



Appendix I. Final Audit/Evaluation/Inspection Reports..... 24

Appendix II. Investigative Statistical Report ..... 24

Appendix III. A Report on Each Investigation Conducted by the Office Involving a Senior Government Employee Where Allegations of Misconduct Were Substantiated. .... 25

Appendix IV. A Detailed Description of Any Instance of Whistleblower Retaliation..... 25

Appendix V. A Detailed Description of Any Attempt by the Establishment to Interfere with the Independence of the Office of Inspector General. .... 25

Appendix VI. Detailed Descriptions of the Particular Circumstances. .... 26

Appendix VII. Significant Management Decisions ..... 26

Appendix VIII. Index of Reporting Requirements ..... 27

Appendix IX. Single Audit Act Reporting ..... 30

Appendix X. Peer Review Reporting ..... 30



## MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to submit our Semiannual Report to the U.S. Congress, summarizing the work and accomplishments of the Equal Employment Opportunity Commission (EEOC), Office of Inspector General from April 1, 2023, to September 30, 2023.

During this semiannual period, my first full reporting period as Inspector General, I have begun to identify areas of change associated with mission attainment, strategic vision, and staffing.

Also, during this reporting period, I was able to fill several critical vacancies within the office. I hired a new Deputy Inspector General, and two new GS 1811 Criminal Investigators. I was also able to fill the Counsel to the Inspector General position internally by transferring the incumbent GS 1811 Criminal Investigator into the position.

As the Inspector General, I plan to continue to partner strategically with our internal and external stakeholders to assist in the identification of innovative approaches and methods to help enhance the Agency's program and operational effectiveness and efficiency. I would also personally like to thank the OIG's dedicated team of talented professionals, whose resilience and flexibility during the reporting period has allowed the OIG to continue its vigilance in detecting and preventing waste, fraud, abuse, and misconduct in the Agency's operations and programs. I extend a special thanks to Chair Burrows, the EEOC Commissioners, senior Agency leadership, and their staff for their ongoing cooperation, and Congress for its continuing support of the mission of the OIG.

Respectfully Submitted,



Joyce T. Willoughby  
Inspector General



## EXECUTIVE SUMMARY

This Semiannual Report summarizes the Office of Inspector General's activities and accomplishments for April 1, 2023, to September 30, 2023. The Office of Inspector General issued one audit report, one evaluation report, and two other special project report. The Office of Inspector General received 178 hotline contacts during the reporting period.

Completed and ongoing activities include the following:

### Completed Audit Activity

- 2023 Inspector General Cyberscope Reporting Metrics for the Equal Employment Opportunity Commission.

### Ongoing Audit Activities

- An audit regarding compliance with the Federal Information Security Modernization Act of 2014.
- An audit of the Agency's financial statements.
- A review of the Agency's compliance with the Federal Managers' Financial Integrity Act of 1982, and the Office of Management and Budget Circular A-123.

### Other Audit Activities

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

### Completed Evaluation Activities

- An evaluation of EEOC's customer service portals.
- A review of EEOC's compliance with the payment integrity.

### Ongoing Evaluation Activities

- An evaluation of the Agency's fair employment practice agencies practices.
- An evaluation of the Agency's tribal program.

### Ongoing Other Special Projects

- An inquiry regarding political bias against EEOC employees.

### Ongoing Investigative Activities

- An investigation of alleged misuse of position by an EEOC employee, working outside of EEOC without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.
- Two conflict of interest investigations.



## INTRODUCTION

### The Equal Employment Opportunity Commission

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

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

### The EEOC Office of Inspector General

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

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

The Deputy Inspector General serves as the alter ego of the Inspector General in the policy formation, budget formation, and is the direct supervisor and provides program guidance, direction, and supervision to the audit, evaluation, investigation, and technology staff.



The Counsel to the Inspector General provides legal advice concerning matters of particular significance to the Office of Inspector General and is the primary liaison between the Office of Inspector General, the Office of Legal Counsel, and other law enforcement entities. The Counsel to the Inspector General assists the Inspector General and Deputy Inspector General, coordinates and participates in developing and implementing officewide policies and procedures, and finally reviews all externally issued reports and legislative and regulatory proposals.

The Assistant Inspector General for Audit oversees the audit program, and the Supervisory Evaluator oversees the evaluation program.





## THE AUDIT PROGRAM

*The Audit Program supports the missions of EEOC and OIG by conducting reviews that improve the Agency's compliance regarding EEOC programs, operations, and activities.*

### Completed Audit Activity

*Issuance of Inspector General (IG) Federal Information Security Modernization Act (FISMA) FY 2023 Cyberscope Reporting Metrics for the Equal Employment Opportunity Commission.*

On July 31, 2023, Harper, Rains, Knight & Company, P.A. completed OIG's FY 2023 Inspector General, Federal Information Security Modernization Act Cyberscope reporting metrics. The Office of Management and Budget Memorandum M-23-03, Fiscal Year 2023 Guidance of Federal Information Security and Privacy Management Requirements, provides agencies with reporting guidance and deadlines. The related IG metrics were designed to determine the effectiveness of agency information security programs and practices and were developed in coordination with the Council of the Inspectors General on Integrity and Efficiency (CIGIE) and Office of Management and Budget representatives. M-23-03 requires IGs to submit their FY23 FISMA metric ratings in the Cyberscope reporting tool by July 31, 2023. Harper, Rains, Knight & Company, P.A. found EEOC's information security program to not be effective.

### Ongoing Audit Activities

*Audit of the EEOC's FY 2023 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 2023, and 2022 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 the final report no later than November 15, 2023.

*Audit of the EEOC's Compliance with Provisions of the Federal Information Security Modernization Act (FISMA) 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 2023. FISMA requires each agency IG, or an independent external auditor, conduct an annual independent evaluation to determine the effectiveness of its respective agency's information security program and practices.

The OIG will issue the final report no later than the first quarter of FY 2024.



### *EEOC's Compliance with the Federal Managers' Financial Integrity Act of 1982 for FY 2023*

The OIG is reviewing the Agency's compliance with the Federal Managers' Financial Integrity Act of 1982 for FY 2023. The OIG will issue an independent report describing whether the Agency's management control review was conducted in accordance with applicable EEOC Order 195.001, federal law, and applicable Office of Management and Budget guidance.

The OIG will issue its report no later than November 9, 2023.

### **Other Audit Activities**

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

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

Results regarding our peer review of the Commodity Futures Trading Commission, Office of Inspector General's audit function will be issued during the first quarter of Fiscal Year 2024.



## The Evaluation Program

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

### Completed Evaluation Activities

#### *Customer Service Portals Evaluation*

On September 12, 2023, the Office of Inspector General issued an evaluation of EEOC's outward-facing customer portals. The Office of Inspector General contracted with KAI Partners, Inc. to perform the evaluation.

The evaluation was designed to evaluate how well the portals meet EEOC's strategic needs, as well as assess key performance aspects of the portals from the perspectives of how well they assist stakeholders and how well they function as web applications.

KAI Partners, Inc provided the following seven recommendations highlighting specific opportunities for the Agency to improve its portals and related business processes:

- Institute a governance framework for managing the Agency's portals;
- Include requirements to use the U.S. Web Design System in the Agency's Project Plan for designing, developing, and implementing the next generation of portals;
- Implement mechanisms to ensure that the design and management of the portals are responsive to customer needs;
- Simplify portal content and customer instructional materials and embed instructional materials within the relevant pages of each portal;
- Ensure that the design and function of all portals accurately reflect EEOC's business rules and applicable laws; and
- Make targeted improvements to address accessibility issues on the existing portals.
- Take specific actions to improve users' ability to collaborate and communicate through the portals.

*U.S. Equal Employment Opportunity Commission Payment Integrity Information Act of 2019 (PIIA)*

On May 22, 2023, the OIG issued its review of the EEOC's compliance with the Payment Integrity Information Act of 2019 for FY 2022. The Office of Inspector General contracted with the certified public accounting firm of Harper, Rains, Knight & Company, P.A. to conduct an independent evaluation of EEOC's compliance with PIIA for FY 2022. HRK determined EEOC was not compliant with PIIA annual reporting consistent with Appendix C of OMB Circulars A-123 and A-136.

The report listed three recommendations:

- Determines a responsible official (or office) with overall responsibility for compliance with PIIA agency-wide. The responsible official (or office) should identify the programs (new and old) to be reviewed, provide overall guidance to the programs, and ensure overall compliance with all PIIA requirements on an annual basis;
- Develops agency-wide Improper Payment risk assessment standard operating procedures (SOP). This SOP should include risk assessment procedures to be performed by each identified significant program. These procedures should be based on OMB A-123 guidance found in Appendix C. For each identified significant program, a responsible program point of contact should be established. The responsible party should report results of their programs risk assessment to the EEOC responsible official (or office); and
- Develops a SOP to ensure annual compliance with OMB A-136 PIIA review and reporting requirements.

### Ongoing Evaluation Activities

#### *Evaluation of EEOC's Tribal Program*

The Office of Inspector General is conducting an evaluation of EEOC's management of the Tribal Program. The purpose of the evaluation is to assess the strategic management of the of key program activities. This evaluation will focus on:

- Strategic and performance management; and
- The effectiveness and efficiency of EEOC's Tribal Employment Rights Offices (TERO) activities, including outreach and education, the contracting process, and the TERO activity reporting process.



### *Evaluation of Fair Employment Practice Agencies (FEPA) Program*

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

## OFFICE OF INSPECTOR GENERAL OTHER SPECIAL PROJECTS

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

### Ongoing Special Projects Activity

#### *Review of Employee Bias Based on Political Affiliation*

The Office of Inspector General is conducting an inquiry regarding concerns raised by several Commission employees or members that certain EEOC officials were showing bias against other EEOC employees based on political affiliation. The Office of Inspector General is currently conducting a review regarding the alleged bias and plans to report the results of its review during the fourth quarter of Fiscal Year 2024.

## AUDIT AND EVALUATION FOLLOW-UP

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

### Audit and Evaluation Reports Issued During This Reporting Period

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

Fiscal Year	Report Number	Report Title	Date Issued	Number of Recommendations
2023	2023-001-IOIG	U.S. Equal Employment Opportunity Commission Payment Integrity Information Act of 2019 (PIIA)	5/22/2023	3
2023	2022-001-EOIG	Customer Service Portals Evaluation	9/12/2023	7

### Recommendations for Which Corrective Actions Have Not Been Completed

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

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



AUDIT OPEN RECOMMENDATIONS

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



5. Recommend that EEOC review and remediate the level 4 severity vulnerabilities identified during internal vulnerability scanning to avoid compromises to agency systems.

To remediate vulnerabilities and prevent further exploitation, the agency should implement risk mitigation procedures such as: performing system updates, operating systems with administrative rights, downloading patches, uninstalling unprotected applications, etc.

Where risk acceptance is required for vulnerabilities based on EEOC’s network operations and risk assessments, we recommend that EEOC formally document the risk acceptance along with any associated mitigated activities.

6. Recommend that EEOC review and remediate the level 5 severity vulnerabilities identified during internal vulnerability scanning to avoid compromises to agency systems.

To remediate vulnerabilities and prevent further exploitation, the agency should implement certain user access rights, upgrading to the latest supported version, and removing vulnerable/obsolete hardware from its network.

These vulnerabilities should be added and tracked on POAMS.

Where risk acceptance is required for vulnerabilities based on EEOC’s network operations and risk assessments, we recommend that EEOC formally document the risk acceptance along with any associated mitigation activities.

Fiscal Year	Report Number	Report Name	Date Issued
2022	2021-004-AOIG	Performance Audit Report U.S. Equal Employment Opportunity Commission Federal Information Security Modernization Act of 2014 (FISMA)	3/15/2022

1. We recommend that EEOC plans and prepares to meet the goals of the TIC initiative, consistent with OMB M-19-26. The agency should define and customize, as appropriate, a set of policies, procedures, and processes to implement TIC 3.0, including updating its network and system boundary policies, in accordance with OMB M-19-26. This includes, as appropriate, incorporation of TIC security capabilities catalog, TIC use cases, and TIC overlays.
2. We recommend that EEOC review and remediate the medium-level severity vulnerabilities identified during external penetration testing by: (1) Modifying network firewalls to no longer allow external access to specific services. (2) Reviewing the NTP server's configuration to ensure that this functionality is not abused. (3) Considering restricting or disabling NTP mode 6 query capabilities.



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

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-004-AOIG	Performance Audit of the EEOC Commercial Charge Card Program	3/24/2021

1. We recommend EEOC ensure that emailed policy memos are promptly updated in the appropriate EEOC Directives Transmittal Order.
2. For purchase cards, EEOC management should create a control where management reviews, on a sample basis, purchase cards transactions to ensure all obligating documents and purchase orders are in conformity with EEOC Directives Transmittal Order 360.003, Commercial Purchase Charge Card Program Practical User's Guide. For travel cards, EEOC management should create a control where management reviews, on a sample basis, travel card transactions to ensure all travel authorization or vouchers and receipts are in conformity with EEOC Directives Transmittal Order 345.001, Travel and Transportation Administrative Policies and Procedures Manual.
3. We recommend EEOC management update its policies and procedures to include all required safeguards and internal controls to be compliant with the Government Charge Card Abuse Prevention Act of 2012. In addition, EEOC should create a monitoring control to review the policy when changes or updates are made to federal law or Office of Management and Budget or General Services Administration guidance.

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-002-AOIG	Management Letter - FY 2020 Financial Statement Audit	12/16/2020
<p>1. We recommend EEOC management create a control where management reviews, on a sample basis, at least quarterly, the approved PP&amp;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. <b>(Repeat Finding)</b></p>			

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



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

2014	2013-008-PSA	Performance Audit of the Agency's Personnel Security Program	9/15/14
<ol style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> </ol>			

EVALUATION OPEN RECOMMENDATIONS

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

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

Fiscal Year	Report Number	Report Name	Date Issued
2023	2021-001-EOIG	Evaluation of EEOC's Management of Private Sector	10/18/2022
<ol style="list-style-type: none"> <li>1. EEOC should develop a customer service plan to include establishing goals and objectives, developing performance metrics that target the goals, and measuring performance against the goals. This plan must include goals and metrics for the IIG.</li> <li>2. EEOC must manage customer expectations by making customer service standards available to the public.</li> <li>3. The IIG must collect customer feedback and use the data to improve customer service efforts.</li> <li>4. The IIG should explore and implement ways to reduce the call hold time and email response time for customers.</li> <li>5. The IIG should design and implement a quality assurance program for customer emails.</li> <li>6. OFP should assess the usefulness of generating 846 inquiries (i.e. return on investment) and assess whether automatic close out in the system is more practical.</li> <li>7. OFP should establish guidelines for generating 846 inquiries and other information sharing between the IIG and district offices.</li> </ol>			

Fiscal Year	Report Number	Report Name	Date Issued
2021	2020-001-EOIG	Evaluation of EEOC's Social Media Program	7/26/2021
<ol style="list-style-type: none"> <li>1. Simplify the EEOC social media architecture by consolidating many of the existing social media channels and limiting creation of new channels.</li> <li>2. Implement a consistent content approval process run by OCLA.</li> <li>3. Complete revisions to the social media handbook and provide to all staff managing social media channels.</li> </ol>			

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Name</b>	<b>Date Issued</b>
<b>2020</b>	<b>2019-001-EOIG</b>	<b>Evaluation of EEOC's Contract Administration Activities</b>	<b>3/11/2020</b>
<p>1. OCFO should revise EEOC Order 360.001 as needed to assist in performing their duties. Include implementation guidance for contract administrative activities such as submitting contract modifications.</p>			

<b>Fiscal Year</b>	<b>Report Number</b>	<b>Report Name</b>	<b>Date Issued</b>
<b>2020</b>	<b>2018-001-EOIG</b>	<b>Evaluation of EEOC's Federal Hearings and Appeals Processes</b>	<b>3/27/2020</b>
<p>1. OIT developers should meet directly with software users, such as OFO attorneys and supervisory attorneys and OFP AJs and Supervisory AJs (SAJ) to determine additional requirements.</p> <p>2. Assign a target amount of days for intake so that management can determine if changes implemented impact the efficiency of the process.</p>			

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

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

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

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

## THE INVESTIGATION PROGRAM

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

The Office of Inspector General received 178 investigative contacts from April 1, 2023, through September 30, 2023, resulting in the following:

Investigative Inquiries Received April 1, 2023, through September 30, 2023	
Allegations	Number
Ethics Violations	15
Other Criminal Allegations	4
Other Statutes	1
Mismanagement	13
Fraud	6
Charge Processing	29
Outside OIG Purview	110
<b>Total</b>	<b>178</b>



## Office of Inspector General Hotline

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

Some complaints received by the Office of Inspector General are outside its jurisdiction. The Office of Inspector General frequently receives reports and allegations of misdirected complaints/inquiries belonging to other EEOC offices, federal agencies, law enforcement agencies, or other state or local government entities. Reviewing and responding to these reports and allegations can entail significant staff time and effort. In these instances, Office of Inspector General 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 directly from the Office of Inspector General to the appropriate office or agency.

## Ongoing Investigative Activities

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

- An investigation of alleged misuse of position by an EEOC employee without authorization (as a political blogger).
- Two investigations of alleged misconduct and misuse of position by EEOC officials.
- Two conflict of interest investigations.



## APPENDICES

### Appendix I. Final Audit/Evaluation/Inspection Reports

Report Title	Date Issued	Questioned Costs	Funds Put to Better Use	Unsupported Costs
Customer Service Portals Evaluation	September 12, 2023	-0-	-0-	-0-
U.S. Equal Employment Opportunity Commission Payment Integrity Information Act of 2019	May 22, 2023	-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

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

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

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

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

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

Appendix VII. Significant Management Decisions

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

Appendix VIII. Index of Reporting Requirements

Inspector General Act Citation	Reporting Requirements	Page
Section 4(a)(2)	Review of Legislation and Regulations	N/A
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	N/A
Section 5(a)(3)	Significant Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed	13-20
Section 5(a)(4)	Matters Referred to Prosecutorial Authorities	25
Section 5(a)(5)	Summary of Instances Where Information Was Refused	25
Section 5(a)(6)	List of Reports	12
Section 5(a)(7)	Summary of Significant Reports	7-11
Section 5(a)(8)	Questioned and Unsupported Costs	24
Section 5(a)(9)	Recommendations That Funds Be Put to Better Use	24
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</p>	21

	<p>concerning the desired timetable for achieving a management decision on each such report;</p> <p>(B) for which no establishment comment was returned within 60 days of providing the report to the establishment; and</p> <p>(C) for which there are any outstanding unimplemented recommendations, including the aggregate potential cost savings of those recommendations.</p>	
Section 5(a)(11)	Significant Management Decisions That Were Revised During the Reporting Period	26
Section 5(a)(12)	Significant Management Decisions with Which the Office of Inspector General is in disagreement	26
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>	24

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>	24
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>	25
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>	25
Section 5(a)(22)	<p>Detailed descriptions of the particular circumstances of each:</p> <p>(A) inspection, evaluation, and audit conducted by the Office that is closed and was not disclosed to the public; and</p> <p>(B) an investigation conducted by the Office involving a senior Government employee that is closed and was not disclosed to the public.</p>	26

### Appendix IX. Single Audit Act Reporting

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

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

The OIG received no 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 the Government Auditing Standards and the Quality Standards for Inspection and Evaluation, The Office of Inspector General Audit and Evaluation programs must have an external peer review of its quality control system.

On September 8, 2020, the Appalachian Regional Commission, Office of Inspector General, issued its peer review report on our Audit program to determine if established policies and procedures were current and consistent with applicable professional standards. 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 March 15, 2023, the Pension Benefit Guaranty Corporation, Office of Inspector General, issued its modified peer review report on our Evaluation program. The review team determined that the Office of Inspector General evaluation section policies and procedures generally were consistent with the Blue Book standards addressed in the external peer review. Of the three reports reviewed, all of them generally complied with the Blue Book standards.





# 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>



Toll-free Number:

1-800-840-3237



For written inquiries, please send mail to:

Office of Inspector General

Equal Employment Opportunity Commission

131 M. St. 6<sup>th</sup> Floor

Washington, DC 20507

Contact Us QR code



EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

OFFICE OF INSPECTOR GENERAL

Your identity when contacting the OIG is fully protected and confidential