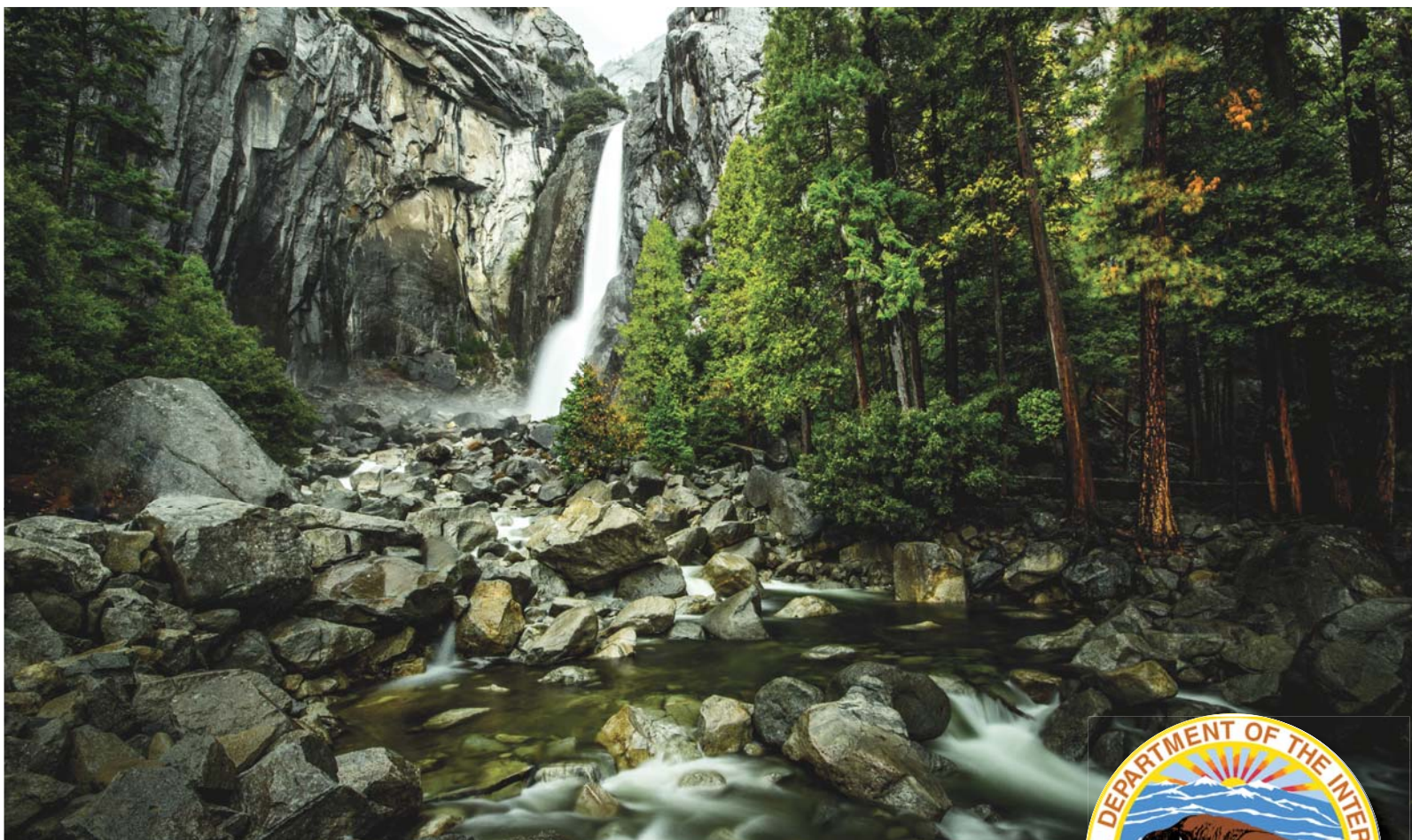




OFFICE OF  
**INSPECTOR GENERAL**  
U.S. DEPARTMENT OF THE INTERIOR

# SEMI ANNUAL REPORT TO CONGRESS

for the period ending March 31, 2017



October 1, 2016 - March 31, 2017

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## OUR OPERATING PRINCIPLES

**As the Office of Inspector General (OIG)** for the U.S. Department of the Interior (DOI), we provide independent oversight and promote excellence, integrity, and accountability within DOI's programs, operations, and management. We do this by conducting audits, inspections, evaluations, and investigations.

We keep the Secretary and Congress informed of problems and deficiencies relating to the administration of DOI programs and operations. As a result of us fulfilling these responsibilities, Americans can expect greater accountability and integrity in Government program administration.

Our core values define a shared OIG way, guiding employee behavior and decisions at all levels. Adhering to these values—objectivity and independence, integrity, and getting results—we build a foundation to develop trustworthy information that improves DOI.

- **Objectivity and independence** define us and are the bedrock of our credibility. These concepts are closely related. Any impairment to independence would impact objectivity. OIG and its employees must remain independent from undue outside influence and approach work with intellectual honesty.
- **Integrity** is a character trait and a way of doing business. By acting with integrity in all we do, we build a reputation for producing actionable and accurate work.
- **Getting results** depends on individual and team efforts. We positively impact DOI by detecting fraud and other wrongdoing, deterring unethical behavior and preventing deleterious outcomes, confirming programs achieved intended results and were fiscally responsible, and highlighting effective practices.

## A Message From Deputy Inspector General Mary Kendall

I am pleased to submit this semiannual report detailing the work we completed between October 1, 2016, and March 31, 2017. Our successful efforts to promote excellence, integrity, and accountability within DOI's programs, operations, and management happen with a small, highly trained and motivated workforce made up of auditors, investigators, attorneys, analysts, and various support staff.

In the last 6 months, our audits have uncovered systemic issues for potentially all of DOI's charge card policies and practices, and revealed that DOI's high-value information technology assets are not fully protected. We found that the U.S. Geological Survey and DOI's climate science centers and landscape conservation cooperatives lack necessary transparency, and we identified millions of dollars in potentially wasted funds by the Bureau of Reclamation pursuant to a cooperative agreement.

Our investigative work revealed mismanagement and wrongdoing by senior Government officials, to include multiple cases of ethical misconduct and violations by a Bureau of Land Management supervisory agent, a senior executive service Office of Acquisition and Property Management employee, and National Park Service and Bureau of Indian Affairs (BIA) employees. We also investigated instances of retaliation and sexual harassment, improper contract awards, and theft of Federal funds on Indian land.

In its "2017 High-Risk Report," the Government Accountability Office added the efficiency and

effectiveness of Federal programs that serve American Indian tribes and their members as a new high-risk area—one with great vulnerability to fraud, waste, and mismanagement. We have certainly seen this to be true in our own work highlighted in this report, as well as work reported in our previous semiannual reports to Congress.

Our work has brought to light deficiencies in BIA's efforts to develop tribal energy resources, to manage tribal education programs and healthcare services, and to promote processes to secure tribal money against theft.

We continue to publish the results of all of our investigations, audits, inspections, and evaluations on our website, ensuring the entire scope of our work is available to the public. In addition, we have launched an in-house standardization effort designed to make our internal work processes more fluid and our report processes quicker, without compromising accuracy or completeness.

As we welcome a new Administration, we will remain focused on our mission to provide independent and objective oversight, and continue to provide the Secretary of the Interior, Congress, and the public with timely, accurate, and actionable reports to improve DOI's programs and operations.



Deputy Inspector General

# 2016 ORGANIZATIONAL ASSESSMENT

**The Organizational Assessment Report** recaps our performance annually, summarizing our most significant FY 2016 achievements. More specifically, the report highlights how we have promoted excellence in DOI and held wrongdoers accountable.

These achievements resulted from our investigations, audits, inspections, and evaluations, as well as improvements in how we work internally and include—

- investigations on sexual harassment at two National Park Service locations that led to congressional hearings, international media attention, and actions by DOI to combat harassment agency-wide;
- work that revealed that the Bureau of Indian Education Director inappropriately hired two individuals, resulting in his removal from the position in March 2016;
- work that helped ensure DOI addressed unacceptable health and safety conditions for children in Indian Country schools;
- audit work that hastened the notification of customers of the U.S. Geological Survey Energy Geochemistry Laboratory in Lakewood, CO, about scientific misconduct and data manipulation issues at the lab;
- work that identified approximately \$12.6 million in questioned costs and recommendations for funds to be put to better use; and
- work that helped recover almost \$7.4 million through criminal penalties.

Likewise, special projects and internal improvements helped us be more effective in meeting our mission. For example—

- to encourage DOI to take action based on our findings, we implemented a new policy to publicly post the results of most investigations;
- we took steps to increase our information technology security;
- we increased the capacity of auditors and investigators in the Insular Areas to ensure good stewardship of Federal funding; and
- we excelled in our scores on the Governmentwide “Federal Employee Viewpoint Survey” results.

These achievements are possible only through the work and dedication of a highly qualified, trained, and motivated workforce.

## 2016 TOP MANAGEMENT CHALLENGES

**The 2016 Top Management Challenges Report** summarizes the most significant management and performance challenges facing DOI. By statute—the Reports Consolidation Act of 2000—this list is required to be included in DOI’s “Agency Financial Report” for fiscal year 2016.

Eight challenge areas are included in this year’s report—

- Energy management,
- Climate effects,
- Information technology,
- Water programs,
- Responsibility to American Indians and Insular Areas,
- Acquisition and financial assistance,
- Public safety and disaster response, and
- Operational efficiencies.

These challenge areas reflect continuing vulnerabilities and the emerging issues that DOI faces. These are the challenges we see as potential barriers to departmental efforts to promote economy, efficiency, and effectiveness in bureau management and operations.



# **Reporting Highlights**



# Financial and Contract Audits

## Contract and Grant Audits Identified \$3.6 Million in Questioned Costs and Deficient Oversight

Audits of contracts and grants that DOI awarded to six recipients identified a potential cost savings to the Government of \$3.6 million out of \$10.2 million in claimed costs. In addition, five of these audits identified deficient oversight by the bureaus. We made 34 recommendations to DOI related to the contracts and grants we audited, and we focused on recovering questioned costs and improving oversight. DOI is working with all audited recipients to recover costs and resolve these matters.

### Hurricane Sandy Audits

In response to our Hurricane Sandy efforts, we audited three contracts totaling \$5.8 million and questioned \$1.3 million in costs: one at the Statue of Liberty National Monument, one to facilitate educational and work opportunities for young people, and one to replace the outside communications infrastructure damaged by Hurricane Sandy.

#### *Statue of Liberty National Monument Contract (Report No. 2016-CG-008)*

In the Statue of Liberty National Monument audit, we found that the recipient claimed costs of \$4,100,530 on contracts awarded by the National Park Service (NPS) to fund an irrigation system and repairs, including landscaping and hardscaping, at the Main Immigration Building at the Statue of Liberty National Monument. As a result of our audit, we questioned \$257,493 that represented incomplete and inaccurate cost and pricing data, and costs that the contractor did not incur. We found that the recipient did not provide NPS with any support for the cost and pricing data in its proposal, as required

by Federal Acquisition Regulation (FAR) § 15.408. During this audit, we also found that NPS did not obtain a fair and reasonable price or adequately oversee its contract with the recipient. As a result, NPS did not prevent or detect numerous problems, including inaccurate and incomplete supporting data for



*The Main Immigration Building on Ellis Island in New York Harbor*

the cost proposal and oversight on the recipient's compliance with the FAR's "Limitations on Subcontracting" clause.

*Educational and Work Youth Program Cooperative Agreement  
(Report No. 2015-ER-061)*

We found that the recipient claimed costs of \$1,649,916 on a cooperative agreement and three specific task agreements awarded by NPS that focused on assisting in the coordination and cleanup of NPS sites in the wake of Hurricane Sandy. The agreements were designed to facilitate educational and work opportunities for young people so that they could gain a better understanding of and appreciation for NPS' natural and cultural resources. As a result of our audit, we questioned \$992,980 across the agreements, and identified noncompliance with contractual and regulatory requirements.

The recipient did not provide sufficient support for the in-kind matches it claimed under two of the agreements. We also identified inappropriate use of program management, training, and technology costs. In addition, the recipient had an inadequate accounting system to handle Federal funds, its required reporting was late and inaccurate, and it identified its teams inconsistently. Finally, the recipient's management of its volunteers may keep it from being able to match volunteer hours. For example, the recipient billed for in-kind matches by using estimates instead of actuals to calculate the in-kind contributions.

*Communications Infrastructure Contract (Report No. 2016-CG-033)*

We found that the recipient did not always comply with the applicable laws, contract clauses, and DOI guidance. Specifically, the contractor did not provide an environmental specialist, did not provide the data necessary to determine the contractor's compliance with the FAR's "Limitations on Subcontracting" clause, did not complete the percentage of completion sections in the invoices, and made mathematical and labor category errors in the certified payroll submissions.

For example, the recipient did not provide actual labor costs to NPS for NPS to evaluate the contractor's compliance with the FAR's Limitations on Subcontracting clause and submitted incomplete forms.

**Piney Woods School Audit**

The recipient claimed costs of \$524,478 on a cooperative agreement awarded by the Bureau of Land Management (BLM) that focused on supporting the BLM's Wild Horse and Burro program. We questioned that entire cooperative agreement amount because the recipient had an inadequate accounting

system and lacked internal controls. While the recipient did provide value during the agreement, we found that the absence of these controls made it impossible to determine the allowability, allocability, and reasonableness of the recipient's claimed costs. We identified five issues related to the recipient's claimed costs, the amount owed on the agreement, recipient's compliance with the agreement terms and conditions, and BLM's compliance with the agreement terms and conditions.



*Wild burro*

### **Lower Brule Sioux Tribe – Bureau of Reclamation**

We found that the recipient claimed interim costs of \$4,042,500 on a cooperative agreement awarded by the Bureau of Reclamation (USBR). USBR awarded the agreement for the operation, maintenance, and administrative activities associated with the rural water system, which serves tribal and nontribal customers. Overall, we questioned \$1,440,748, which included unsupported payments to related parties, subcontractors, and vendors; unsupported internal transactions in the recipient's accounting system; unsupported financial reporting; and unallowable payments to vendors.

We found that payments to related parties, subcontracts, and vendors did not have the detailed support for the cost. For example, an invoice for painting a water tower listed only the total amount with no additional support. The recipient could not provide contracts associated with the subcontractors.

Lastly, we identified internal control weaknesses involving recording and processing journal entries, accounting, and billing systems, as well as deficiencies affecting timeliness and the accuracy of allocating and invoicing costs. We also identified deficiencies with USBR's contract oversight and administration. USBR did not effectively review the contractor's SF-425 financial reporting: the recipient stated on the form that it had \$883,432 in expenses but did not have the associated supporting documentation. DOI is working with all recipients to resolve these matters and recover costs.

### **Lower Brule Sioux Tribe – Bureau of Indian Affairs**

We found that the recipient claimed interim costs of \$2,974,507 on an Indian self-determination contract awarded by the Bureau of Indian Affairs (BIA). BIA awarded the agreement for the facilities management program, and the recipient provided the necessary personnel, supplies, materials, equipment, facilities, and management services to accomplish the goals and objectives of this contract. The recipient also operated and administered the reservation's Facilities Management Operations and

Maintenance, Education, Non-Education, Quarters Maintenance, and Detention Center buildings.

Overall, we questioned a total of \$385,127, which included unsupported payments to related parties and vendors, unsupported internal transactions in the recipient's accounting system, and unallowable payments to vendors. We found that payments to related parties and vendors did not have detailed support for the cost. For example, an invoice for removing and installing a new sidewalk listed only the total amount with no additional support.

We identified internal control weaknesses involving recording and processing journal entries, accounting, and billing systems, as well as deficiencies affecting timeliness and the accuracy of allocating and invoicing costs. We also identified deficiencies with BIA's contract oversight and administration regarding the post-award process. The contract file was incomplete; it did not have all of the attachments included within the contract, and BIA could not provide the attachments identified within the contract. The recipient did not provide progress and financial reports to BIA on a quarterly basis. DOI is working with all recipients to resolve these matters and recover costs.

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## **Audits of Wildlife and Sport Fish Grants Identified Nearly \$4 Million in Potential Savings and Program Improvements**

Through its Wildlife and Sport Fish Restoration Program (WSFRP), the U.S. Fish and Wildlife Service (FWS) awards grants to States and territories that finance up to 75 percent (100 percent in territories) of projects, such as site development for boating access or the acquisition and management of natural habitats for game species. Under a reimbursable agreement with FWS, we audit all States and territories over a 5-year cycle, which is required by Federal law. In this semiannual period, we completed the audits of two agencies:

- State of Delaware, Department of Natural Resources and Environmental Control, Division of Fish and Wildlife; and
- Government of the U.S. Virgin Islands, Department of Planning and Natural Resources.

In these audits, we identified nearly \$3.9 million in ineligible costs or unsupported claims. In addition, we identified accounting and control issues that could expose WSFRP funds to some risk of misuse. In all, we provided 16 recommendations for program improvements. FWS is working with these agencies to resolve the issues and to recover costs where appropriate.

**Delaware (Department of Natural Resources and Environmental Control, Division of Fish and Wildlife)**

In this audit, we identified issues with an ineligible match and unreconciled real property records.

*Ineligible Match (Out-of-Period)*

Under WSFRP, States must use State-matching (non-Federal) funds to cover at least 25 percent of costs incurred in performing projects under the grants. We found that the Division of Fish and Wildlife had claimed out-of-period, and therefore ineligible, amounts in its 25 percent. The Division cited past costs and the value of past donations as its current match. We did not question costs because the Division had received approval, erroneously, from the cognizant FWS Regional Office. When informed of our finding, both parties agreed to end this invalid practice.

*Unreconciled Real Property Records*

The Division had not reconciled its lands inventory with FWS as needed to ensure that real property acquired with WSFRP funding continues to serve conservation purposes. Both parties agreed with our finding.

**Government of the U.S. Virgin Islands  
(Department of Planning and Natural Resources)**

In this audit, we questioned \$3,880,195 because the Department was unable to provide sufficient accounting for expenditures claimed and reimbursed on WSFRP grants. In addition, we found that the Department—

- was not able to provide adequate support for drawdown (reimbursement) requests;
- could not demonstrate that it followed Virgin Islands Government procurement policy related to the St. Croix Brugal Property project, and was not able to provide adequate support for costs claimed;
- claimed unallowable and unsupported payroll expenditures;
- did not adequately manage its WSFRP-funded equipment; and
- had not submitted accurate grant financial and performance reports in a timely manner.

## Fiscal Year 2016 Financial Audit Identified Internal Control Weaknesses

Under a contract issued by DOI and monitored by us, KPMG, an independent public accounting firm, audited DOI's fiscal year 2016 financial statements and found no issues. As such, KPMG issued an unmodified opinion.

KPMG did, however, identify three significant internal control deficiencies:

- **Lack of Sufficient Controls over General Property, Plant, and Equipment.** KPMG found that DOI did not consistently apply policies, procedures, and controls to ensure that assets under construction were adequately monitored, and the associated transactions were timely and recorded accurately. Specifically, KPMG found eight assets totaling \$319 million that were placed in service in prior years, but were not transferred out of assets under construction until fiscal year 2016.
- **Lack of Sufficient Controls over Accrued Liabilities.** KPMG found that DOI did not take appropriate action for large variances in accrued liabilities, resulting in an inaccurate conclusion about the completeness and accuracy of the accrued liabilities recorded in the DOI's financial statements.
- **Lack of Sufficient General Information Technology Controls.** KPMG found that DOI did not in a timely manner recertify user access rights or remove user access rights due to changes in assigned duties or separations. In addition, KPMG identified untimely remediation of identified system vulnerabilities.

Under a separate contract issued by DOI and monitored by us, KPMG audited the financial statements of the Individual Indian Monies Trust Funds and the financial statements of the Tribal and Other Trust Funds managed by the Office of the Special Trustee for American Indians (OST) for fiscal year 2016. KPMG issued an unmodified opinion on the financial statements of the Individual Monies Trust Funds and a qualified opinion on the financial statements of the Tribal and Other Trust Funds. KPMG issued a qualified opinion because it could not satisfy itself as to the fairness of the tribal trust fund balances.

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U.S. DEPARTMENT OF THE INTERIOR  
BUREAU OF LAND MANAGEMENT



**Bureau of Land  
Management**

# Bureau of Land Management

## BLM Supervisory Agent Violated Ethics Rules

We investigated allegations that a Bureau of Land Management (BLM) supervisory agent used his official position to provide preferential treatment for family members attending the 2015 Burning Man event in Nevada. The allegations also indicated that the agent intervened improperly in a 2015 hiring process for a special agent position that facilitated the hiring of his friend instead of other qualified applicants.

We found that the agent violated Federal ethics rules when he used his influence with Burning Man officials to obtain tickets and special passes for his family. He also directed on-duty BLM law enforcement employees to escort his family in BLM-procured vehicles, drove his BLM vehicle with his girlfriend, and directed his employee to make hotel reservations for his guests. We also confirmed the supervisory agent's intervention in the special agent hiring process to benefit a friend.

We forwarded our report to and received a response from the DOI Assistant Secretary for Land and Minerals Management.



*Burning Man event in Nevada*

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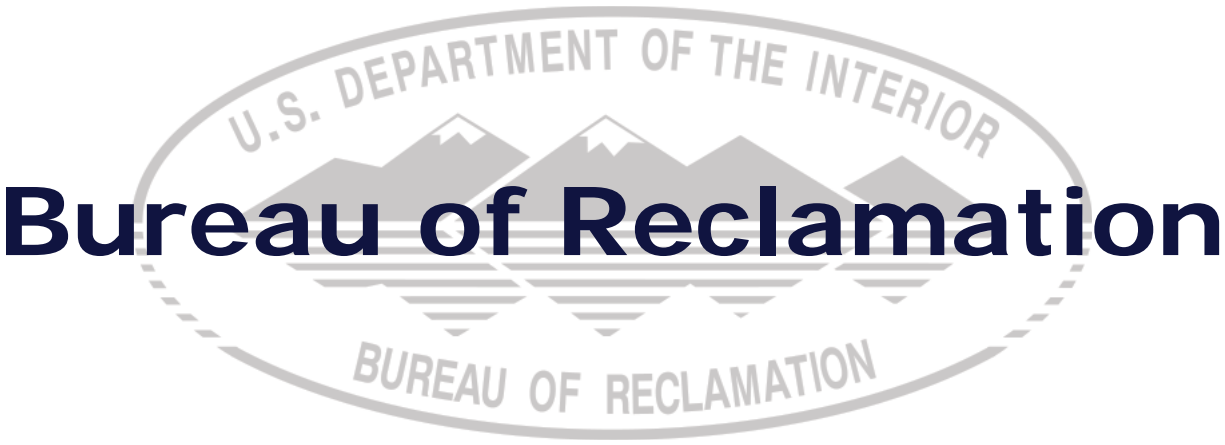
## Allegations of False Reporting to Avoid Plugging and Abandonment Costs are Unsubstantiated

We and the BLM Special Investigations Group investigated allegations that an oil and gas company falsely reported production on a well that was incapable of producing to avoid plugging and abandonment costs and prevent expiration of the Federal mineral lease.

We found that no reporting violation occurred, and the company took corrective action as directed by BLM. Therefore, the allegation was unsubstantiated.

We provided a report of our investigation to BLM.





# **Bureau of Reclamation**

# Bureau of Reclamation

## USBR's Klamath Basin Water User Mitigation Program Has Management Weaknesses

We conducted an audit to determine whether the Bureau of Reclamation (USBR) had the legal authority to enter into a cooperative agreement with the Klamath Water and Power Agency (KWAPA) to administer the Water User Mitigation Program and whether related expenditures were allowable. We determined that USBR did not have the legal authority to enter into the cooperative agreement and, because the agreement was improper, the \$32.2 million that KWAPA spent over 7 years was a waste of funds. In addition, we identified KWAPA expenditures that were unsupported and unallowable, and have provided this information for USBR's consideration.

Only two of the five legal authorities cited by USBR—the Fish and Wildlife Coordination Act (Coordination Act) and the Reclamation States Emergency Drought Relief Act of 1991 (Drought Relief Act)—provide USBR with



*Upper Klamath Lake in south-central Oregon. The snow covered peak of Mt. McLoughlin is in the background.*

authority to use financial assistance. Nevertheless, these authorities restrict the use of funds to specific activities. The Coordination Act authorized USBR generally to provide financial assistance for the development and protection of fish and wildlife, and the Drought Relief Act authorized USBR to provide financial assistance for the development of drought contingency plans. USBR's cooperative agreement with KWAPA failed to explain how any of the assistance provided or work performed met the requirements of the Coordination Act and Drought Relief Act.

We determined that the benefits of the Water User Mitigation Program flowed primarily to irrigation contractors rather than to fish and wildlife. Of the \$32.2 million expended under the cooperative agreement, \$28 million was used to compensate irrigation contractors for using pumped groundwater to irrigate their lands or for refraining from irrigation altogether. We also determined that none of the funds were used to develop a drought contingency plan. Finally, we determined that conflicting advice provided by the Office of the Solicitor facilitated USBR's award of the cooperative agreement.

We made three recommendations to address the weaknesses that allowed USBR to improperly award this cooperative agreement. DOI did not concur with two of our recommendations, but did concur with our third recommendation. We consider all three recommendations unresolved and not implemented; therefore, we referred them to the Assistant Secretary for Policy, Management and Budget for resolution.

A related case, currently in the Court of Federal Claims (Lonny E. Baley, et al. v. United States (1-591L)), may have an impact on DOI's legal assessment of this matter. Among other things, a decision in that case may determine whether, and to what extent, the Government may incur liability for a "taking" under the Fifth Amendment when USBR does not provide water to its Klamath irrigation contractors in order to meet requirements under the Endangered Species Act. A trial was held in January 2017, and the parties are engaged in post-trial motions and briefing prior to the court rendering its decision.

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## **USBR Missing Out on Millions Due to Uncollected Klamath Project's O&M Costs**

While performing our audit of USBR's Klamath Basin Water User Mitigation Program, we found that USBR allocated 37.5 percent of the annual cost to operate and maintain (O&M) the Klamath Project's reserved works to flood

control, and ceased collecting these costs from project water contractors. USBR's allocation of costs to flood control purposes does not conform with USBR policy that purports to be based upon applicable statutes. We also found that even if the allocation of O&M costs to flood control purposes had been appropriate, USBR used an unsubstantiated basis for allocating the costs that appeared to assign too much of the O&M cost to flood control. As this matter was outside the objective and scope of our audit, we provided USBR with a management advisory report addressing the issue.

We estimated that USBR did not collect a total of \$5.6 million in O&M costs from 1975 to 2015 due to a former regional director's decision to allocate O&M costs to flood control purposes. We also estimated that if USBR does not begin collecting the entire amount of annual O&M costs from project water contractors, it will forgo approximately \$13.9 million in revenues over the next 30 years.

We made one recommendation to USBR to fully review the matter and take corrective action. USBR did not fully concur and we consider the recommendation unresolved and not implemented; therefore, we referred it to the Assistant Secretary for Policy, Management and Budget for resolution.

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## **USBR Could be Reimbursed Millions for A-Canal Head Gates and Fish Screens**

While performing our audit of USBR's Klamath Basin Water User Mitigation Program, we found that USBR did not secure repayment of millions of dollars of costs incurred to design, construct, operate, and maintain new head gates and fish screens at the A-Canal diversion within the Klamath Project. Under the terms of a 1954 contract with USBR, the Klamath Irrigation District (KID) accepted responsibility for all O&M costs, including replacement costs, of Klamath Project transferred works. USBR was advised by the Office of the Solicitor that the cost of the new head gates and fish screens was an O&M cost because it was incurred to remedy conditions brought about by the operation of the Project. USBR supported efforts to have KID's repayment obligation eliminated through legislation rather than pursuing contract negotiations for repayment of the costs. As this matter was outside the objective and scope of our audit, we provided USBR with a management advisory report addressing the issue.

We did not attempt to identify USBR's total cost to design, construct, operate, and maintain the replacement A-Canal head gates and fish

screens, as such an effort would have been well beyond the objective and scope of our audit. From limited documentation that was available to us, however, it appears that the design and construction costs alone represent between \$16 million and \$20 million of costs that should be recovered from KID.

We made four recommendation to USBR to fully review the matter and take corrective action. USBR concurred with all four recommendations without fully agreeing with our finding that all costs to design, construct, operate, and maintain these facilities are costs that should be repaid by KID. We consider the recommendations resolved but not implemented and referred them to the Assistant Secretary for Policy, Management and Budget for tracking of implementation.



*Upper Klamath National Wildlife Refuge, OR*

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The logo for the Bureau of Safety and Environmental Enforcement (BSEE) is centered on the page. It consists of a large, light gray oval. Inside the oval, on the left side, is a stylized illustration of an offshore oil rig. To the right of the rig, the letters "BSEE" are written in a large, bold, sans-serif font. Below "BSEE", the words "Bureau of Safety and Environmental Enforcement" are written in a smaller, lighter font. The main title "Bureau of Safety and Environmental Enforcement" is overlaid on the logo in a large, bold, dark blue font.

**Bureau of Safety and Environmental Enforcement**

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# Bureau of Safety and Environmental Enforcement

## Energy Company Fails to Document Safety Activities

We investigated allegations that an energy company conducted abandoned well operations at the South Timbalier offshore platform in the Gulf of Mexico, without prior approval from the Bureau of Safety and Environmental Enforcement (BSEE), and then falsified documentation related to those operations.

Our investigation determined that the company certified to BSEE that it successfully plugged and tested the well at the platform; however, the company subsequently determined the well had not been adequately sealed and performed remedial steps to regain well control without prior approval from BSEE. The company then failed to document its activities on safety reports or the well activity report. Furthermore, we found that during a routine platform inspection, the company failed to notify BSEE inspectors of the well control issues.

We provided our findings to BSEE and, during of our investigation, BSEE assessed the company \$965,000 in civil penalties for incidents of noncompliance related to the company's unauthorized well operations.

## Wood Group Falsifies Safety Documentation

We investigated allegations that Wood Group Production Services Network, Inc. (WGPSN) systematically failed to comply with BSEE regulations related to offshore oil platform inspections. It was also alleged that WGPSN routinely falsified records associated with the company's platform inspection obligations.

We substantiated the allegations, and found that from 2011 to 2014, WGPSN employees falsified inspection reports and maintained documentation that falsely indicated platform facilities had been maintained according to safety and environmental regulations. The company admitted to submitting 87 false inspection reports to BSEE.

WGPSN pled guilty to submitting false statements to the Federal Government in violation of Title 18 U.S. Code § 1001. In accordance with a plea agreement, WGPSN was ordered to pay \$7 million in criminal fines, and a community service payment in the amount of \$500,000. The community service payment will help fund gulf coast projects by FWS, the Louisiana Coastal Protection and Restoration Authority, and Louisiana Department of Wildlife and Fisheries.

In recognition of certain measures taken by WGPSN to correct its compliance and ethics program, a 3-year administrative agreement was entered between the U.S. Environmental Protection Agency and WGPSN on February 23, 2017. For purposes of discretionary suspension and debarment, the DOI Suspending and Debarment Official signed the agreement, which requires the implementation of additional measures, periodic reporting, and verification by a third-party monitor.



# Indian Affairs



# **Bureau of Indian Affairs**

## **Federal Indian Minerals Office Needs to Strengthen its Oversight of Navajo Allottee Oil and Gas Activities**

We audited the Federal Indian Minerals Office (FIMO), a multi-bureau partnership within DOI created to oversee and assist Navajo oil and gas allottees. We found that FIMO did not fully follow the requirements of its 2005 memorandum of understanding (MOU) because (1) the MOU is outdated and does not contain sufficient operational detail and (2) there was insufficient oversight by the Executive Management Group. As a result, we identified a number of issues that hinder FIMO's management of oil and gas activities. These include poor communication about inspection and enforcement activities, unreconciled lease inventories, no coordination of outreach to allottees, a poor audit and compliance review process, and very little monitoring or oversight of FIMO.

FIMO emerged in the 1990s as a one-of-a-kind partnership to assist Navajo oil and gas lease allottees, following a 1985 lawsuit alleging that DOI had not fulfilled its duty to make timely royalty and lease rental payments. DOI brought together staff from the Bureau of Indian Affairs (BIA), Bureau of Land Management, and Minerals Management Service (now the Office of Natural Resources Revenue) into a one-stop-shop to fulfill its Indian Trust responsibilities. Guided by successive MOUs, FIMO is responsible for three core functions—

- lease administration, which includes permitting, inspection, and enforcement;
- production accountability; and
- royalty compliance.

We made 14 recommendations to strengthen FIMO's oversight of Navajo allottee oil and gas activities.

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## **Welfare Assistance Sent to Wrong Recipient Due to BIA Processing Errors**

We investigated allegations from BIA's Cheyenne River Agency that two BIA General Assistance checks, for \$1,072 and \$536, were sent to the wrong recipient.

We did not find any evidence of theft. Because the wrong recipient had the same first name and last name as the intended recipient and the check was addressed only by first and last name (no middle name or initial), the wrong

recipient was able to cash the checks. Our investigation did not show that the wrong recipient obtained the checks through deceit; they were simply sent to him in error.

We also determined that BIA made processing errors, which caused the checks to be sent to the wrong recipient. The U.S. Attorney's Office for the District of South Dakota declined criminal prosecution of this matter.

We provided a report of our investigation to BIA.

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### **BIA Failed to Take Action on Misuse of Crow Transit Building Funds**

We investigated allegations that the Crow Tribe misappropriated Federal Highway Administration grant funds. The BIA Division of Transportation administered the \$2,564,045 grant to the Crow Tribe for the construction of a transit facility on the reservation and an additional terminal in a separate location. The BIA Transportation Branch, Rocky Mountain Regional Office (RMRO), oversaw the project. A confidential informant alleged that the Crow Tribe used the money to offset general fund operations.

An independent review of a 2013 audit of the Tribe confirmed the misuse of funds, and we found that the BIA superintendent responsible for Crow Tribe activities was aware of the misappropriation and failed to take action. An RMRO official was responsible for the administration of the award to build the transit building and acknowledged that he did not provide appropriate oversight to the project.

We provided a report of our investigation to BIA.

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### **Ethics Violations Committed by Married BIA Employees**

We investigated allegations that two married BIA Office of Trust Services employees solicited positions with a tribe while simultaneously assisting the tribe in obtaining Federal funds for its forestry program.

We found that the couple participated in the distribution of \$200,000 to the tribe while the husband sought the position of tribal forest manager and the wife considered an offer for a BIA superintendent position at the tribe. We found that the actions of the husband, who attempted to conceal his assistance to the tribe while his wife considered the position, violated Federal employment regulations. We also found that the couple's actions while the

husband was seeking employment with the tribe created the appearance of a conflict of interest. Neither the husband nor wife ultimately took positions with the tribe.

We provided a report of our investigation to BIA.

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### **Tribal Credit Card Used for Cash Advances and Personal Purchases**

A former senior officer for the Northern Arapahoe Tribe alleged that a former administrative assistant used a tribal credit card to steal \$20,000 in cash advances and personal purchases, and that she used tribal funds to pay her mortgage. During our investigation, we also received an allegation that a former official of the Tribal Grants Program used tribal funds to pay his mortgage.

We confirmed that the former administrative assistant used the tribal credit card to take cash advances and make purchases for her personal use. We also confirmed that the former grants official used his position to award himself a grant, which he used to pay his mortgage. We could not substantiate the allegation that the administrative assistant used tribal funds to pay her mortgage.

We provided a report of our investigation to BIA.

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### **Alleged Misconduct by a BIA Employee and Alleged Misuse of a CDIB Card**

We investigated allegations that a BIA superintendent might be receiving money or favors in exchange for his work with a tribe. According to the complaint, the superintendent continued working as a technical advisor for a tribe seeking Federal acknowledgment as a Native American Indian Tribe even after being ordered to stop. It was also alleged that one of the tribe's members requested social services by presenting a certificate degree of Indian blood (CDIB) card that potentially had been improperly produced.

We found that the superintendent began working with the tribe in 2002 and continued to help them even after he was moved to a different position. We found no evidence, however, that the superintendent received anything of value in exchange for helping the tribe after he changed jobs.

The superintendent assisted the tribe until late 2015, when he was directed by the BIA regional director to stop.

We also found that the tribe created two CDIB cards that were issued to two members, and that one of the members used his card to obtain medical services on three occasions. According to the tribe, the cards were issued under the direction of the superintendent. When we interviewed the superintendent, he said he told the tribe that while the tribe could issue cards internally, the cards could not be used to obtain services because the tribe was not federally recognized. The superintendent said he never saw the cards and he did not know the cards had been used to obtain services.

We provided a report of our investigation to BIA.

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### **Allegations of Stolen Bureau of Indian Education Grant Funds Not Substantiated**

We investigated allegations that a former employee of the Mississippi Band of Choctaw Indians (MBCI) stole grant funds awarded by the Bureau of Indian Education (BIE) for a maintenance project.

We determined that grant funds totaling approximately \$129,000 were awarded to MBCI by BIE through BIA. We reviewed MBCI financial documents and determined that MBCI adequately accounted for the funds in question. We found no evidence to corroborate the allegation that the former employee stole grant funds or otherwise personally benefited from BIE grant monies.

We did discover that MBCI used surplus BIE grant funds from this project on other maintenance projects without notifying BIA.

We provided a report of our investigation to BIA.

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### **Assistant Loan Manager Issued Excessive Number of Loans to Herself, Family, and Friends**

We based this investigation on information that Monica Campbell, assistant loan manager for the Fort Peck Credit Program (FPCP) had been issued an excessive number of short term loans from the Fort Peck Tribes (FPT).

We showed that between December 18, 2014, and June 25, 2015, Campbell used her position to direct that 23 short-term loans be issued in her name and in the names of her relatives and a family friend. Seventeen of those loans were issued after FPCP established a policy that restricted the

maximum number of FPCP short-term loans any applicant could have at any time to three.

Campbell admitted she used her relatives and family friend as nominees to obtain the loans so that she could exceed the loan limit and that she received all the proceeds. Campbell pled guilty to one count of violating Title 18 U.S. Code § 1163, theft from an Indian tribal organization, and was sentenced to 2 years of probation and ordered to pay \$2,115 in restitution to the FPT.

The DOI Suspending and Debaring Official issued a default debarment determination to Campbell, debaring her from participation in Federal procurement and nonprocurement programs until 2019.

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## **Former Director Stole funds from the Shoshone Oil and Gas Commission**

We initiated this investigation based on allegations that John Enos, former Director, Shoshone Oil & Gas Commission (Commission), Ft. Washakie, WY, stole funds from the Commission.

Our investigation found that, while serving as the Commission's director, Enos stole from the Commission, and in April 2016, he pled guilty to a single count of violating Title 18 U.S. Code § 1163, theft from an Indian tribal organization, in U.S. District Court for the District of Wyoming.

He was sentenced to 5 years of probation, and was ordered to pay restitution.

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## **Individuals Embezzled Money From Cedarville Rancheria**

In January 2014, we initiated this investigation after the Cedarville Rancheria, Northern Paiute Tribe, reported potential theft of Federal funds. The subjects allegedly used tribal credit cards for unallowable personal purchases between March and November 2013; these individuals were removed from their positions with the Tribe in December 2013.

Our investigation confirmed that tribal credit cards were used to make unallowable personal purchases of \$24,084.92 between March and November 2013. One subject paid off the purchases on the card with tribal funds and made no attempt to reimburse the Tribe. We also found that another subject used an assigned tribal credit card to make less than \$500 in unallowable

personal purchases, most of which occurred in 2011.

The Tribe was subsequently reimbursed for the loss amount by its insurance company after filing an employee dishonesty claim.

The U.S. Attorney's Office for the District of Eastern California declined criminal prosecution in this matter.

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## **Daughter Sells Mother's Tribal Trust Lands and Steals Her Money**

We received an allegation in March 2015 from a fiduciary trust officer from DOI's Office of the Special Trustee for American Indians (OST), that Danelle Newman illegally obtained and sold her mother's tribal trust lands and negotiated a Cobell Settlement check belonging to her mother.

Our investigation found that Newman devised a scheme to defraud her mother of her tribal trust lands by adding herself to her mother's Individual Indian Money Account and obtaining a debit card in her mother's name. We also found that Newman forged her mother's signature on three deeds for land parcels belonging to her mother and sold the parcels to BIA. OST subsequently transferred \$22,372.62 to her mother's debit card for the fraudulent sale.

The U.S. Attorney's Office for the District of South Dakota accepted the case for prosecution. Newman pled guilty to mail fraud, was sentenced to 50 months of probation, and was ordered to pay \$23,246.95 in restitution. In August 2016, all of Newman's mother's tribal trust lands were returned to her trust inventory.

We provided a report of our investigation to OST.



# **Insular Affairs**

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## **Insular Affairs**

### **Guam Port Authority Aware of Issues With Cargo Handling Facilities and Equipment**

We discontinued our evaluation of the Guam Port Authority's cargo handling facilities and equipment. Although our review identified a number of potential issues, we learned that the Port is aware of them and has begun implementing corrective action. Therefore, we believe that the Port should have an opportunity to finish implementing its changes before we complete a more thorough review.





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## National Park Service

### **Senior Yosemite National Park Official's Management Style May Have Contributed to Employees' Perception of Bias or Harassment**

We investigated allegations forwarded by the National Park Service (NPS) that a senior official at Yosemite National Park had created a hostile work environment for employees by basing management decisions on bias or favoritism and by harassing or belittling certain employees. During our investigation, 12 unrelated allegations of discrimination, hostile work environment, and other misconduct involving Yosemite and NPS Pacific West Region employees were brought to our attention; we investigated those allegations as well.

While we found no evidence to support the allegation that the official based management decisions on bias or favoritism, we determined that his management style may have contributed to what some Yosemite employees perceived as inappropriate behavior. Forty-two of the 71 employees we interviewed about the allegations spoke highly of the official as a manager, but many of the remaining interviewees said that he sometimes communicated poorly; that he could be dismissive, abrupt, or overly critical; and that he would often publicly criticize and undermine employees after he lost confidence in them. Some felt the official's treatment of them was personal or motivated by factors such as gender bias, while others accepted his behavior and did not believe he was aware of it.

The official, who has retired from NPS, acknowledged that he tended to micromanage certain issues at Yosemite and that he was critical of his employees, but he said that he did not consider his behavior hostile or harassing. He said that his job was very demanding and that he had not intended to appear dismissive. He also said that no employees had ever brought their concerns to his attention.

Of the unrelated allegations we investigated, three resulted in adjudication by NPS or other Government entities and four resulted in a supervisor taking some action to correct the problem. We forwarded three allegations to the NPS ombudsman for review. In the two remaining cases, the subjects of the allegations no longer worked at the park.

We provided our report on this investigation to NPS.

## **Male Employees at Yellowstone National Park Created a Negative Work Environment for Female Coworkers**

We initiated this investigation in September 2016 after NPS reported allegations brought forward by a Yellowstone National Park employee. This employee alleged that a pervasive culture of gender bias, sexual harassment, and financial misconduct existed in a work unit within Yellowstone's Maintenance Division. He alleged that this behavior was tolerated, and even fostered, by a "men's club" environment—one of insensitivity and arrogance toward other Yellowstone employees—that was pervasive in the division from 2011 to 2015. An additional allegation of hiring discrimination by a Maintenance Division supervisor was raised during the interviews, so we included this allegation in our investigation.

We found credible evidence that male supervisors and staff in the Maintenance Division unit created a work environment that included unwelcome and inappropriate comments and actions toward women. This negative work environment was allowed to continue because of the actions, or inaction, of supervisors. Specifically, the Maintenance Division supervisor should have known about and addressed some of the alleged misconduct.

Our investigation of the employee's allegations of financial misconduct confirmed that the Maintenance Division supervisor had allowed his employees to use his Government credit card to make purchases, in violation of DOI's Integrated Charge Card Policy. We also found that between 2011 and 2015, some Yellowstone employees made split purchases (breaking a large purchase into small, separate purchases in order to circumvent the procurement process). The employee's allegation that Yellowstone promoted another employee after she made more than \$10,000 in personal charges to her Government credit card was unfounded.

We also did not find evidence of hiring discrimination by the Maintenance Division supervisor. Although we confirmed that he had told a subordinate in 2016 that he would not be hiring women to fill open positions in the work unit, we found that he later offered positions to two women.

We provided our report on this investigation to NPS.

## Investigation Reveals Absence of Oversight of Funds Donated by Cooperating Associations

During an ongoing investigation into an NPS employee's embezzlement of funds donated by a cooperating association, we determined that management at Martin Luther King, Jr. National Historic Site (MALU) did not have adequate oversight or controls in place to effectively oversee and manage association funds that were donated to NPS.

We learned that the MALU superintendent gave MALU's park cooperating association coordinator full responsibility for managing donated funds at the park and did not oversee how he managed and expended them. The absence of oversight allowed the coordinator to embezzle the donated funds without detection. We also found that NPS does not have a policy requiring a regional review or audit of the records of park cooperating association coordinators to ensure that donated funds are accounted for and expended properly.

To correct these issues and help prevent future fraud, we offered NPS' southeast regional director two recommendations: to develop and implement policies and procedures for the use, management, and oversight of donated cooperating association funds; and to train personnel on the new policies and procedures.



*Martin Luther King, Jr. National Historic Site in Atlanta, GA*

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## Inappropriate Behavior of a Management Official Found at DeSoto National Memorial

An investigation into allegations against a management official at NPS' De Soto National Memorial (DeSoto) in Bradenton, FL, revealed that the official behaved inappropriately toward a De Soto employee, violated NPS policies, and misused his position and created potential conflicts of interest.

We found that the management official touched the employee inappropriately, made inappropriate comments, and invaded the employee's personal space. The employee informed us that this contact and attention

were unwanted, and that the employee had asked the official many times to stop. The official acknowledged touching the employee and confirmed that the employee had asked him to stop, which he said he did.

It was also separately alleged that the official was actively violating NPS policies and retaliating against the employee in various ways for questioning his management decisions. Our investigation confirmed that the official participated in or directed multiple actions that violated policies covering alcohol consumption on park grounds, resident volunteer agreements, and use of black powder (gunpowder) during De Soto's historical reenactments. Although two other employees at De Soto told us that they felt the official had retaliated against the employee, we could not find conclusive evidence to support their assertions. The official denied knowingly violating policies or retaliating against the employee.

In addition, we found that the management official had misused his position and created a potential conflict of interest by vacationing for free at the personal homes of two resident volunteer couples with whom he was friends. He then directed subordinate staff to allow one of the couples to stay on park grounds without proper documentation, and he authorized the construction of a new parking pad (at a cost of about \$1,000) so that they could park their recreational vehicle while staying at De Soto.

While the official stated that he had not taken these actions specifically to benefit his friends or as repayment for letting him stay with them while on vacation, we found that his actions gave the appearance that he had failed to act impartially in his official position, failed to avoid the appearance of violating ethical standards, and directed subordinate employees to improperly provide benefits to his friends.

We provided our report on this investigation to NPS.

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### **Alleged Off-Duty Misconduct by an Official at Denali National Park Unsubstantiated**

We investigated an allegation that an NPS official employed at the Denali National Park (DNA) allegedly made inappropriate comments of a sexual nature to DNA staff during an off-duty gathering at the official's residence.

While our investigation did not substantiate that the official harassed or offended anyone, we did find that the official engaged in a conversation of a sexual nature with NPS employees. The conversation showed questionable

judgment by the official and did not support departmental policies that make supervisors responsible for “establishing and maintaining a safe, productive, supportive and well-ordered work environment for their employees.”

We provided our report on this investigation to NPS.

## **NPS Northeast Regional Director Violated Travel Regulations**

We investigated allegations that Michael A. Caldwell, the Regional Director of NPS’ Northeast Region, had taken personal vacations under the guise of official Government travel and that he continued to live in NPS housing at Valley Forge National Historic Park (VAFO) after he was promoted from VAFO superintendent and reassigned to the NPS regional office in Philadelphia, PA.



*Valley Forge National Historic Park*

While Caldwell was authorized by NPS to continue living at VAFO, he admitted that between 2011 and 2015 he violated multiple Federal travel regulations on at least eight official trips. The total cost for these trips was \$17,481, and Caldwell’s admissions about the trips call into question whether they actually benefited the Government. We also found that Caldwell improperly accepted a gift, in the form of free vacation housing, from a subordinate.

We provided our report on this investigation to NPS.

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## **City of Derby Made Improper Withdrawals of NPS Grant Funds**

We investigated allegations that the City of Derby, CT, made two unauthorized withdrawals of NPS funds from its Save America’s Treasures grant to restore the Sterling Opera House in Derby. NPS informed us that the first withdrawal was for \$10,000 and occurred without any request for approval or supporting documentation. The second withdrawal was for

\$100,000 and allegedly occurred after Derby was explicitly told that its payment request had been disapproved.

We confirmed that Derby officials improperly withdrew NPS funds totaling \$110,000. A Derby official withdrew \$10,000 from the grant without obtaining the required approval. Seven months later, Derby made a \$150,000 withdrawal request, which NPS denied because the architectural design drawings did not comply with the Secretary of the Interior's Standards for the Treatment of Historic Properties. After being told that the request was disapproved, the same Derby official who withdrew the \$10,000 circumvented the approval process and withdrew \$100,000 without notifying NPS. We further discovered that Derby did not comply with several of the administrative grant conditions.

When interviewed, the official and the official's supervisor stated that they were unaware of the rules and proper procedures, and they could not provide an explanation for not complying with the grant provisions. Our investigation found, however, that NPS informed Derby through several communications and documents that it had to request approval before obtaining reimbursement from the grant.

In a settlement agreement with the U.S. Attorney's Office, Eastern District of Connecticut, dated January 31, 2017, the City of Derby agreed to repay the \$110,000 in three installments by February 1, 2019.

We provided our report on this investigation to NPS.

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## **Investigation Confirms that NPS Law Enforcement Supervisor Inappropriately Touched Employees**

We investigated allegations that an NPS law enforcement supervisor at the Chattahoochee River National Recreation Area (CHAT) inappropriately touched two of his colleagues. We confirmed that on two occasions, the supervisor touched a CHAT division chief on her upper thigh, and that this contact was unwelcome. We also learned during our investigation that the supervisor touched another NPS employee in a way that made her uncomfortable. These incidents were reported to the CHAT superintendent, but he did not investigate them or report them to the Human Resources or Equal Employment Opportunity offices, as required by DOI policy.

We provided a report of our investigation to NPS for review and action.



# **Office of Natural Resources Revenue**



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# Office of Natural Resources Revenue

## **ONRR Supervisor's Relationship With Subordinate Gave the Appearance of Favoritism**

We investigated allegations concerning a relationship between an Office of Natural Resources Revenue (ONRR) supervisor and one of his subordinates. We found that while the relationship did not seem to violate standards of behavior for Federal employees, it did create the appearance among ONRR staff that the supervisor had given his employee an unfair advantage in a hiring action and intentionally assigned her fewer projects than her coworkers. Finally, both the supervisor and the employee falsely denied, to ONRR officials and initially to us, that they were in a relationship.

We opened our investigation after DOI's designated agency ethics official reported to us in 2016 that her office had received allegations that the supervisor was romantically involved with a subordinate. The allegations also stated that after the relationship began, the supervisor selected this employee for a promotion to a position under his supervision. Furthermore, the complaint alleged that the employee was unqualified for her new position and that once she was promoted, the supervisor showed favor to her by assigning her a smaller workload than her colleagues.

Our investigation found that the supervisor and the employee began dating in the fall of 2015. Shortly thereafter, the supervisor selected the employee for a promotion to a position that was one grade level higher than her previous position, and he became her direct supervisor. We determined the position was competitively advertised and found that the employee was qualified for the promotion.

We learned, however, that the supervisor, who was a selecting official for the position, did not disclose his personal relationship with the employee or recuse himself from the hiring board. This may have created the perception that the employee had received an unfair advantage during the hiring process. We also confirmed that the supervisor appeared to show the employee preferential treatment by assigning her significantly fewer cases than her colleagues.

In addition, we found that during a 2016 internal inquiry ONRR conducted into these same allegations, both the supervisor and the employee denied being in a relationship. Their lack of candor during the internal inquiry caused ONRR to determine that the allegations of favoritism were unfounded. They also initially failed to disclose their relationship to our office when we interviewed them, although they admitted to it during subsequent interviews.

We provided a report of our investigation to ONRR.

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The seal of the U.S. Department of the Interior is centered in the background. It features a bison in the foreground, mountains in the middle ground, and a sun with rays in the background. The text "U.S. DEPARTMENT OF THE INTERIOR" is written around the top inner edge, and "MARCH 3, 1849" is written around the bottom inner edge.

**Office of the Secretary  
and Multi-Office  
Assignments**

# Office of the Secretary and Multi-Office Assignments

## **Insufficient Documentation of Use of Extended Administrative Leave Found at DOI**

We evaluated DOI's management of extended administrative leave to determine how many employees were on extended administrative leave, the factors that contributed to the length of time on leave, and whether DOI policies provided enough guidance for DOI and its bureaus to properly manage extended administrative leave. Between January 2013 and July 2016, DOI and its bureaus placed 242 employees on extended administrative leave (45 calendar days or more) at a cost of more than \$6 million in salaries.

During our evaluation, we found that many factors, including legal procedural steps to be completed before taking adverse action or time for completing investigations, contributed to the length of time an employee was on administrative leave. DOI, however, did not sufficiently document decisions related to using extended administrative leave, and as a result paid those salaries without sufficient evidence the leave was appropriate. More specifically, DOI did not document approvals to use extended administrative leave, consideration of alternatives to using administrative leave, or notifications to the employee that he or she was being placed on administrative leave.

In June 2016, DOI issued a new administrative leave policy, which addresses some of the documentation issues we identified in our evaluation. In addition, with the passage of the Administrative Leave Act of 2016, which places a number of restrictions on the use of administrative leave throughout the Government, DOI has an opportunity to further review its policies to improve its oversight of extended administrative leave and ensure compliance with the Act's requirements.

We made four recommendations that will help DOI effectively manage and oversee the use of extended administrative leave, reduce money lost to salaries paid out to employees unnecessarily on extended administrative leave, and implement the requirements of the Act.

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## **IT Security Weaknesses at a Core Data Center Could Expose Sensitive Data**

We evaluated the Continuous Diagnostics and Mitigation (CDM) program at a core data center and found it to be immature and not fully effective in protecting information technology (IT) systems from potential exploitation.

One bureau did not effectively oversee the contractor responsible for implementing the CDM program to ensure that vulnerabilities on a high-value IT asset were discovered and mitigated in a timely manner.

The bureaus' management practices left thousands of critical and high-risk vulnerabilities unmitigated for years. Bureau computers are running vulnerable, unsupported software because DOI has not established and enforced approved software lists. We also found that the data center's contingency planning practices contributed to hardware failures that temporarily affected the availability of other DOI systems.

These deficiencies occurred because the bureaus failed to install DOI's inventory management software on all computers, identify and remove unauthorized and unsupported products from its systems, mitigate vulnerabilities in a timely manner, monitor its contractors to ensure all IT security requirements were met, monitor computers to ensure they remained securely configured, and meet annual contingency planning and plan testing requirements. In our judgement, the Office of the Chief Information Officer (OCIO) could have discovered the deficiencies we identified in BIA's IT security program had it implemented processes to verify and validate bureaus' compliance with Federal and departmental IT security requirements.

We made seven recommendations to the bureaus and one recommendation to OCIO to help ensure that DOI data centers and the systems they house are adequately secured.

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## **DOI's CDM Program Cannot Provide Complete Information for Enterprise Risk Determinations**

We assessed the effectiveness of DOI's CDM program for three high-value IT assets operated by three bureaus. We found that DOI's CDM program is immature and not fully effective in protecting high-value IT assets from exploitation. DOI's management practices failed to detect critical and high-risk vulnerabilities on one of its high-value IT assets and left thousands of critical and high-risk vulnerabilities unmitigated for years on three of its high-value assets.

We made six recommendations to protect DOI's high-value IT assets from loss or disruption by strengthening DOI's CDM practices. OCIO concurred with five of our recommendations and partially concurred with one recommendation. The final report was revised to include a new DOI response.

## **Interior Business Center On Track To Meet DATA Act Requirements But DOI 6 Months Behind**

We reviewed the status of DOI's efforts and those of the DOI Interior Business Center (IBC) to implement the Data Accountability and Transparency Act of 2014 (DATA Act) according to the eight steps in the "DATA Act Implementation Playbook" developed by the U.S. Department of the Treasury.

We found that, as of August 31, 2016, DOI was not on track to implement the DATA Act requirements by the Act's May 2017 deadline. We found that DOI is relying on a software upgrade that will not be completed on time due to vendor delays and is 6 months behind on the timeframes recommended in the playbook. Conversely, we found that IBC was on track to meet the deadline.

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## **DOI Climate Science Programs Have Failed To Coordinate and Share Information**

We evaluated DOI's climate science centers (CSCs) and landscape conservation cooperatives (LCCs) to determine whether they coordinated their programs and used available tools to prevent duplication of research efforts. We reviewed information sharing practices not only within DOI, but also throughout the greater scientific community using Climate.Data.gov, a Governmentwide data repository. We found that the CSCs and LCCs did not effectively share information, which could result in millions of Federal dollars wasted.

We reviewed policy and database use at two CSCs and their managing entity, the National Climate Change and Wildlife Science Center. We also looked at four LCCs and interviewed the LCC network coordinator. Our evaluation did not include a review of scientific research; rather, it focused on the processes that the CSCs and LCCs use to coordinate research.

We found that the CSCs and LCCs have not implemented sufficient internal controls or policies to coordinate research and have failed to use available technology to share scientific research. Communication and coordination between the two programs are informal and ad hoc and depend on the behavior of the CSC and LCC coordinators rather than on established policy. We also found poor project tracking at the LCCs. Further, the CSCs and LCCs in our sample fully neglected their responsibilities to share data with

Climate.Data.gov, as required by Executive Order Nos. 13653 and 13642. These failures could waste Federal funds and reduce the CSC and LCC contributions to the greater scientific community.

We provided three recommendations to help the CSCs and LCCs more effectively coordinate their research grant programs and share information with Federal, State, local, and private-sector colleagues.

The U.S. Geological Survey, which chiefly manages the CSCs, and the U.S. Fish and Wildlife Service, which chiefly manages the LCCs, concurred or partly concurred with all of our recommendations, developed a plan to resolve all issues, and provided target dates for completion.

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## **Deputy Director of the Office of Acquisition and Property Management Falsified Employment Records**

We investigated allegations that senior executive service (SES) Deputy Director of the Office of Acquisition and Property Management (PAM), James McCaffery, falsified military and Federal employment records to improve his chances of gaining Federal employment.

During our investigation, McCaffery admitted that he falsified his military and Federal employment records, to include an unearned Purple Heart medal that he used to claim a 10-point veteran's hiring preference, and that he provided false statements to U.S. Office of Personnel Management investigators conducting his personnel background investigation. As a result, McCaffery could not obtain the favorable public trust determination required of the PAM deputy director position.



*Purple Heart Medal*

We determined that McCaffery's supervisor, PAM Director Debra Sonderman, SES, knew about McCaffery's dishonesty while he was still in a probationary SES status and took no action to resolve his inability to obtain a favorable public trust determination. She chose neither to remove nor to discipline him, nor to consult with her supervisor, despite a recommendation for removal from both the human resources and security offices.

McCaffery retired from Federal service on November 30, 2016. We provided a copy of our report to the Office of Policy, Management and Budget.

## **Alleged Retaliation by a Manager With Office of Civil Rights Unsubstantiated**

We investigated an allegation that a manager with DOI's Office of Civil Rights (OCR) retaliated against an OCR employee by removing the employee from OCR and placing the employee on a detail outside DOI.

Our investigation did not reveal evidence of retaliation. According to the manager, he placed the employee on detail for disruptive behavior in the workplace, for undermining his authority, and for not supporting his management decisions. We did find that the manager placed the employee on detail in an effort to expedite the employee's departure from OCR instead of using the appropriate progressive discipline. In addition, he did not document the employee's misconduct, and had rated the employee as "superior" during the most recent end-of-year evaluation.

We issued a report of investigation to the Office of Policy, Management and Budget.

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## **Construction Firm Misrepresented Itself as a Service-Disabled Veteran-Owned Small Business**

We recently concluded an investigation into allegations that Kylee Construction, a Service-Disabled Veteran-Owned Small Business (SDVOSB) purportedly owned by a service-disabled veteran was actually controlled by Ricky Lanier, who was not a veteran. Based upon the assertion that it was owned by a service-disabled veteran, Kylee Construction had received a large number of Federal contracts, including \$10,313,788 in SDVOSB and U.S. Small Business Administration (SBA) 8(a) set-aside contracts with the National Park Service.

We found that Lanier formed two companies for the purpose of defrauding Federal set-aside programs. Lanier and his wife, Katrina, knowingly sent fraudulent documents to the Federal Government to gain an unfair advantage in receiving contracts from DOI and other Federal agencies. The Laniers managed and controlled both companies, and both had the same employees and assets. Neither firm performed any of the actual contracted work, which was instead done by subcontractors, often at a fraction of the cost represented to the Government by the Laniers.

The Laniers were convicted of wire fraud, conspiracy to commit wire fraud, and major fraud against the United States in U.S. District Court in December

2015. Ricky and Katrina Lanier were sentenced to serve Federal prison terms of 48 months and 30 months, respectively, in October 2016.

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## **Inappropriate Behavior Admitted by the Director of the Office of Law Enforcement and Security**

We investigated allegations made by an employee in DOI's Office of Law Enforcement and Security (OLES) that OLES Director Tim Lynn had hugged her, touched her, and made comments that caused her to feel uncomfortable. She also alleged that after she reported Lynn's unwanted behavior to his supervisor, Lynn embarrassed her in front of her coworkers and criticized her work to a colleague, actions she viewed as retaliation.

Lynn denied the employee's allegations. He said that touching people was in his nature and he had not intended to make her uncomfortable. While we confirmed that after Lynn's supervisor counseled him, he made a sarcastic remark to the employee during a meeting and expressed displeasure to a colleague about her performance, we found that he took no other significant actions against her.

During our investigation, we identified five other female employees who alleged that Lynn had acted unprofessionally toward them in various ways. When confronted, Lynn admitted to some of the actions but said he had not meant to make the women uncomfortable.

We provided this report to the Acting Principal Deputy Assistant Secretary for Policy, Management and Budget.

## **Companies Conceal Unauthorized Oil Discharge**

We investigated allegations that ATP Oil and Gas Corporation (ATP), Champion Technologies Inc. (Champion), and others improperly concealed oil sheens from a Gulf of Mexico offshore oil platform, and improperly used coffee filters to alter water samples prior to testing mandated by the U.S. Environmental Protection Agency (EPA). The purpose of the testing was to ensure that water discharged into the Gulf of Mexico during offshore operations met environmental standards.

We conducted a joint investigation with EPA's Criminal Investigation Division and found that between 2010 and 2012, employees of ATP purchased 4,025 gallons of a chemical product from Champion, and both companies knew the chemical would be used to conceal the unauthorized discharge of hydrocarbons into the Gulf of Mexico and prevent an oil sheen from being visible on the surface of the water.



ATP dissolved its business operations through bankruptcy proceedings. Champion pled guilty to misprision of a felony and was subsequently sentenced to a \$1 million fine, \$250,000 for community service, and a \$400 special assessment. The U.S. Attorney's Office for the Eastern District of Louisiana declined to pursue additional prosecutions based on the matter.

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## **Company Fails to Report Oil Production, Pay Royalties**

We investigated allegations that General Production Service (GPS) failed to report oil production and pay the proper amount of mineral royalties associated with the sale of crude oil from a Federal lease located in Lost Hills, CA.

We conducted a joint investigation with Bureau of Land Management Special Investigations Group and found that from October 2010 through July 2016, the company failed to properly report oil production and pay mineral royalties owed to the Office of Natural Resources Revenue.

GPS agreed to pay \$300,000 to resolve the unpaid royalties and settle civil false claims allegations being considered by the U.S. Attorney's Office for the District of Colorado.

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## **OIG Recommends Interim Agreement with PG&E**

Section 745 of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. No. 113-235, and Federal Acquisition Regulation 9.104-5 provides that when an offeror affirms that it was convicted of a Federal felony within the preceding 24 months, the contracting officer shall not award to the corporation unless an agency suspension and debarment officer (SDO) has considered suspension or debarment of the corporation and made a determination that suspension or debarment is not necessary to protect the interests of the Government.

PG&E was convicted of obstructing a National Transportation Safety Board (NTSB) investigation and violations of the Natural Gas Pipeline Safety Act of 1958, specifically relating to record keeping and pipeline assessments. PG&E is the sole provider of utilities in parts of California. Although the U.S. Department of Transportation (DoT) OIG participated in the investigation, DOI was designated as the lead agency to review the matter on behalf of Federal agencies.

PG&E implemented corrective actions since the fatal September 9, 2010 explosion in San Bruno, CA, including the following completed and in-process actions:

- Settled all claims brought by those affected by the accident (more than \$500 million) and contributed \$70 million to the city;
- Specific to gas pipeline safety, brought in new leadership and hired gas-safety experts and appointed a new chief ethics and compliance officer;
- Is physically updating and improving its gas pipeline system, incorporating recommendations from investigatory agencies;
- Updating and digitizing its records, and building a new gas control center;
- Spent more than \$2.1 billion of shareholder funds on gas pipelines safety improvements;
- Developed new teams and processes to comply with regulatory regimes; and
- Completed 10 of the 12 NTSB recommendations; the two open recommendations are in an "open-acceptable status."

In recognition of corrective actions taken by the company, the OIG's Administrative Remedies Division (ARD) negotiated with PG&E and recommended that the DOI SDO enter into an interim administrative agreement. The December 21, 2016 interim agreement permits contracting officers to make awards, while adequately protecting the Government's interests. Specifically, under the agreement, ARD will conduct a review to determine whether PG&E has an effective compliance and ethics program. As such, ARD continues to work with the DoT's Pipeline and Hazardous Materials Safety Administration to assess PG&E's continuing corrective actions, compliance and ethics program, and the company's submissions regarding its gas pipeline safety program.

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**Office of Surface Mining  
Reclamation and  
Enforcement**

The seal of the U.S. Department of the Interior, Office of Surface Mining Reclamation and Enforcement is a circular emblem. It features a central scale of justice with an eagle perched atop the balance arm. Below the scale is a landscape with a tree on the left and a mine on the right, set against a background of wavy lines representing water. The text "U.S. DEPARTMENT OF THE INTERIOR" is arched across the top, and "OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT" is arched across the bottom.

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# Office of Surface Mining Reclamation and Enforcement

## Oversight of Annual Fund Transfer for Miner Benefits Needs Improvement

As part of its mission, the Office of Surface Mining Reclamation and Enforcement (OSMRE) distributes Federal funds intended for the welfare of retired mine workers and their dependents. Each year, OSMRE transfers millions of dollars drawn from two Government sources—the interest account of the Abandoned Mine Land Reclamation Fund and the U.S. Treasury’s General Fund—to the United Mine Workers of America Health and Retirement Funds (UMWAF). From 2011 through 2015, OSMRE transferred \$961.3 million in funds to UMWAF to provide benefits for retired miners and their families.

Our audit objectives were to determine whether OSMRE administered the transfer of funds to UMWAF consistent with the Federal Coal Industry Retiree Health Benefit Act of 1992 (Coal Act), and to what extent OSMRE provided oversight to ensure that UMWAF managed the transferred funds in accordance with regulations and statutes.

We found that OSMRE provided minimal oversight of UMWAF’s federally supported health benefit plans, leaving the Federal Government without sufficient insight into how UMWAF has been using the transferred funds. As a result, OSMRE did not ensure that UMWAF managed the federally supported health benefit plans in accordance with regulations and statutes.

Federal regulations and statutes do not explicitly provide a mechanism for oversight by OSMRE. In addition, OSMRE personnel do not have experience with health benefit plans, leaving a large knowledge gap at all levels. Despite these limitations, OSMRE has continued to fund the annual transfer requests to UMWAF without obtaining and validating the necessary information and supporting documentation from UMWAF.

Without adequate Federal Government oversight and guidance, UMWAF made decisions on how to spend the funds transferred through OSMRE without considering the impact on the Government, which is responsible for most of the costs for providing these benefits. As a result, OSMRE certified the annual fund transfers without requiring UMWAF to provide appropriate supporting documentation. Specifically, we found that OSMRE—

- did not verify beneficiary enrollments and assignments;
- used unreconciled information to support the fund transfers;
- received inadequate documentation to support administrative expenses;

- did not require UMWAF to report delinquent operators to the IRS;
- did not require UMWAF to apply residual funds to shortfalls; and
- did not require UMWAF to remit interest earned on Federal funds.

OSMRE's inadequate oversight and statutory limitations have allowed too many decisions to reside with UMWAF, rather than with the Federal Government. We made 21 recommendations to assist OSMRE in improving its oversight to ensure that UMWAF administers federally funded benefits in accordance with regulations and statutes. In response to our draft report, OSMRE concurred with 10 recommendations, did not concur with 5 recommendations, and did not specify whether it concurred with 6 recommendations. We referred the recommendations to the Office of Policy, Management and Budget for resolution and implementation tracking.

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## **OSMRE Not Using Its Authority to Oversee the Abandoned Mine Lands Program**

We evaluated OSMRE to determine whether its oversight of certified States ensured that the use of AML funds met the intent and requirements of the Surface Mining Control and Reclamation Act of 1977.

We found that OSMRE has not used its authority over AML grants to ensure that certified States give coal reclamation projects priority over noncoal reclamation projects. This has allowed States to operate their reclamation programs without input from OSMRE regarding project selection. As a result, noncoal reclamation is completed while coal-related hazards persist. In addition, OSMRE was unable to provide a comprehensive accounting of the AML hazards facing certified States due to inaccuracies and incomplete information in its data management tools.

We made 11 recommendations to help OSMRE improve oversight and data management for AML grants given to certified States and to ensure that coal-related hazards are given reclamation priority. OSMRE concurred with all of our recommendations.



# **U.S. Fish and Wildlife Service**

# U.S. Fish and Wildlife Service

## No Endangered Species Act Violations Found in Masked Bobwhite Quail Program

We investigated potential violations of the Endangered Species Act of 1973 (ESA) and possible reprisal associated with the U.S. Fish and Wildlife Service's (FWS) recovery program for the endangered masked bobwhite quail at the Buenos Aires National Wildlife Refuge (BANWR) in Sasabe, AZ.

We initiated this investigation after learning that there had been an FWS PowerPoint presentation, developed by a BANWR employee, that contained photos of masked bobwhite quails that were injured and living in overcrowded conditions at BANWR. The photos of the quails depicted potential ESA violations.

In addition, we learned during our investigation that a supervisor at BANWR had approved the presentation and authorized the BANWR employee to show it to an advisory group to illustrate the quails' living conditions and the need to improve the facilities. Ten days after the presentation was shown, an FWS deputy regional supervisor lowered the BANWR supervisor's annual performance rating and reduced the amount of a monetary award she was to receive. The BANWR supervisor believed the deputy regional supervisor's actions were reprisal against her for allowing the presentation to be shown, so we included this issue in our investigation.

Although we confirmed that the quails had been living in overcrowded conditions at BANWR and that some had suffered injuries, we found no evidence of negligence by BANWR employees while caring for the quails. In addition, we learned before completing our investigation that FWS had improved the quails' living conditions.

We confirmed that soon after the BANWR employee gave the presentation, FWS regional officials visited BANWR to assess the quails and their facility; the BANWR supervisor's rating was lowered the day after they returned to the regional office. We further determined that FWS regional officials were concerned because the presentation had been shown to recovery team members



*Masked Bobwhite Quail*

who were not FWS employees, and they feared it might be released to the public. The officials we spoke to gave conflicting reasons for why the supervisor's rating was lowered; one said that her involvement in the presentation was a factor in the decision, while another said that the visit to the facility had revealed overall maintenance issues at BANWR.

We issued this report to FWS for review and action.

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## **Appearance of Retaliation Found Against an FWS Region 4 Employee**

We investigated whether an FWS Region 4 employee was the victim of retaliation, harassment, and a hostile work environment. The employee claimed that Region 4 managers retaliated after the employee alleged management impropriety, including prohibited personnel practices, nepotism, falsification of Government documents, intimidation, and failure to investigate allegations of wrongdoing.

We found that there was an appearance of retaliation against the employee after the employee alleged, in January 2013, that an FWS supervisor was not abiding by the terms of a settlement agreement. The employee had not received disciplinary action before the January 2013 complaint, but over the next 3 years, the employee was disciplined six times culminating in an August 2016 proposed removal from Federal service. The employee's first and second level supervisors admitted that they knew about the initial complaint; however, they claimed that the subsequent personnel actions were to address performance and disciplinary issues and that they had consulted with human resources.

We issued this report to the DOI Chief of Staff and to the U.S. Office of Special Council.

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## **Assistant IA Director Acknowledged Improper Award of FWS Grant to Partner-Impact, LLC**

We investigated a \$256,100 single-source cooperative agreement that FWS' International Affairs (IA) program awarded to a private company, Partner-Impact, LLC, to build a partnership strategy and marketing communication plan to reduce demand for illegal wildlife and wildlife products. Assistant IA Director Bryan Arroyo acknowledged that he preselected Partner-Impact to receive the funds and influenced his staff to disregard procurement policy



and award a single-source cooperative agreement to the company. We also found that Partner-Impact did not complete most of the agreement's requirements because Arroyo directed the company to assist another anti-wildlife-trafficking initiative instead.

We provided a report of our investigation to FWS for review and action. DOI has said it will provide procurement training to managers and "relevant" procurement employees.

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## **FWS Senior Official Overlooked Employees' Misconduct**

After a 2016 investigation revealed multiple violations by former FWS employee Stephen M. Barton, we opened this investigation into potential mismanagement by Barton's former supervisor, Hannibal Bolton, FWS Senior Advisor for Diversity and Workforce Inclusion, while in his previous position as assistant director for FWS' Wildlife and Sport Fish Restoration Program (WSFRP). We also investigated Bolton's oversight of two other former WSFRP employees who had reported to him.

We found that Bolton did not investigate or correct Barton's misconduct when he learned about it. Barton was therefore able to claim hundreds of hours of compensatory time without approval and to violate DOI's telework rules. Bolton also did not review Barton's travel or the travel of the two former WSFRP employees. His failure to do so allowed his employees to violate the Federal Travel Regulation by taking multiple personal trips to and from their home States at Government expense.

Stephen Barton pled guilty on October 26, 2016, to one count of Title 18 U.S. Code § 1001. He was sentenced on February 9, 2017, to 3 years of probation and a fine of \$10,000. FWS reassigned Hannibal Bolton from his management position in WSFR and revamped reporting requirements regarding outside employment. Bolton has since retired from FWS.

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## **Alleged Illegal Construction of Cabin at Tetlin National Wildlife Refuge Unsubstantiated**

We investigated an alleged illegal cabin construction project at the FWS Tetlin National Wildlife Refuge in Alaska. The complaint specifically alleged that a refuge official illegally authorized the construction of a cabin on Stuver Lake, under the guise of supporting a scientific lynx study, but that it was actually

intended for private guests to use as a base for moose hunting on the refuge. In addition to the allegations, the complaint questioned the refuge official's authority to authorize the project; FWS' compliance with applicable laws, regulations, and policies; the creation of a trail and felling of trees at the refuge; and the allegedly excessive project cost of \$50,000.



*Dedman Lake, Tetlin National Wildlife Refuge, AK*

Our investigation found that the refuge official acted within his authority, with regional approval, and with the intent to facilitate scientific research and availability of emergency shelter.

We confirmed that the cabin had been used by refuge staff to conduct lynx research, but did find one instance when the cabin was used by a local resident who reserved the cabin for moose hunting.

The route created for access to the cabin in the winter was temporary and minimally disruptive to vegetation, and there was no evidence that any trees were cut down. The 12-by-16-foot cabin was constructed using approximately \$5,200 in materials, not \$50,000. We found that the refuge official failed to complete assessments necessary to comply with the National Environmental Policy Act and National Historic Preservation Act prior to initiating the construction project.

We provided a report of our investigation to FWS.

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## **Alleged Collusion on Coastal Impact Assistance Program Grant Unsubstantiated**

We completed an investigation into allegations of contract improprieties related to Coastal Impact Assistance Program grant funds awarded by FWS. The complainant alleged that a grantee facilitated bid rigging and violated acquisition regulations by allowing a contractor to change the contract's scope from the purchase of supplies to a research project.

Our investigation found that the contract in question was never awarded. The grantee determined that the contractor's initial proposal would exceed the available funding and that subsequent proposals, which were revised to lower the requested amount, would not be viable in an arctic environment.

We provided a report of our investigation to FWS.

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## **FWS Employee Guilty of Theft of Funds From Recreation Fee Program**

We initiated this investigation after receiving information that an FWS Region 3 refuge employee allegedly stole funds collected from the FWS Recreation Fee Program, which included the sale of Federal duck stamps and America the Beautiful passes to national parks and recreation lands. A new FWS supervisor, who had been reconciling program funds for 2015, discovered a shortage in the funds that the refuge employee had been managing.



*U.S. duck stamp, circa 1991*

We found evidence that between 1997 and February 2016, the refuge employee stole approximately \$12,400 in cash from the sale of duck stamps. We were unable to quantify the amount of money that she stole from the America the Beautiful passes due to an absence of documentation and oversight in Region 3.

The refuge employee admitted that since 1998 she had stolen approximately \$150 in cash every 2 weeks from the sale of the stamps and passes, and had used the money to pay for medication and gas. We found that the absence of any oversight by FWS managers not only made the theft possible, but also allowed it to continue for nearly 20 years. We determined, however, that program oversight had improved since the new FWS supervisor took over the program and identified the shortage in funds.

The refuge employee resigned from FWS in July 2016, and pled guilty to theft by swindle in district court. She was sentenced to 3 years of probation and 450 hours of community service, and she was fined \$128.

We provided a report of our investigation to FWS.



# U.S. Geological Survey

## **USGS Needs To Improve the Strategic Planning, Performance Measurement, and Transparency for its National Water Census Program**

We reviewed the U.S. Geological Survey's (USGS) National Water Census program. Specifically, we reviewed the program's strategic planning and goals, performance measurement, and funding for fiscal years 2011–2016. We determined that although improvements have been made in recent years, USGS has not included all of the required elements in its strategic science plan for the USGS Water Mission Area, sufficiently measured the program's performance, or transparently reported its use of allocated funds for the program.

USGS is in the process of updating its Water Mission Area strategic plan and improving its performance measurement and reporting. We offered three recommendations to help USGS further improve its strategic management efforts for the National Water Census.

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## **USGS Employee Violates Ethics Rules**

We investigated allegations that a USGS Research Ecologist violated ethics and employment rules by working in paid positions at two universities located in China without USGS's permission. The complainant alleged the positions in China required the research ecologist to use USGS-developed research technology and that the research ecologist's work was completed as part of China's Thousand Talents Plan.

Our investigation revealed the research ecologist traveled to China to collaborate and mentor students at Chinese educational institutions without USGS's permission. We could not show that any of them paid the research ecologist as an employee; however, the research ecologist acknowledged some of those institutions paid his travel expenses, which violated ethics rules.

We determined the research ecologist's current supervisor knew he held an honorary position at a Chinese university. His supervisor did not know the institution covered the research ecologist's travel expenses. We determined that the research ecologist completed annual ethics training and that he was informed during that training that off-duty mentoring positions needed USGS approval.

We could not substantiate the allegation that the research ecologist used USGS-developed technology in China. He denied using any proprietary USGS research technology while mentoring in China and added the information he shared was available to the public. The research ecologist told us that he was formally recruited for China's One Thousand Talents program, but he said he never actually participated in the program.

We provided a report of our investigation to USGS.



# Appendices

## STATISTICAL HIGHLIGHTS

### Audits, Inspections, and Evaluations Activities

Reports Issued .....	34
Audits (including Financial Audits), Inspections, and Evaluations .....	17
Contract and Grant Audits.....	8
Other Report Types <sup>1</sup> .....	9
 Total Monetary Impacts .....	\$69,709,900
Questioned Costs (includes unsupported costs) .....	\$46,109,720
Recommendations That Funds Be Put to Better Use.....	\$23,600,180
 Audits, Inspections, and Evaluations Recommendations Made.....	192
Audits, Inspections, and Evaluations Recommendations Closed .....	174

### Investigative Activities

Cases Closed .....	242
Cases Opened .....	231
Complaints Received From All Sources.....	236

### Criminal Prosecution Activities

Indictments/Informations .....	11
Convictions.....	13
Sentencings.....	12
Jail .....	84 months
Probation .....	396 months
Community Service .....	450 hours
Criminal Penalties.....	\$11,807,171.86
Asset Forfeiture.....	\$0
Criminal Matters Referred for Prosecution .....	38
Criminal Matters Declined This Period.....	36

<sup>1</sup> Other report types include management advisories, special projects, and other types of reports that are not classified as audits, inspections, or evaluations.



**Civil Investigative Activities**

Civil Referrals.....	8
Civil Declinations.....	1
Civil Settlements.....	\$410,000
Civil Recoveries.....	\$0

**Administrative Investigative Activities**

Personnel Suspensions.....	4
Reprimands/Counseling.....	6
Resignations.....	1
Removals.....	1
Retirements/Transfers.....	3
General Policy Actions.....	6
Contractor/Participant Suspensions.....	0
Contractor/Participant Debarments.....	11
Interim Agreement to Address Statutory Exclusions.....	1

## REPORTS ISSUED

This listing includes all reports issued by the Office of Audits, Inspections, and Evaluations during the 6-month reporting period that ended March 31, 2017. It provides the report number, title, issue date, and monetary amounts identified in each report.

\* *Funds To Be Put to Better Use*

\*\* *Questioned Costs*

\*\*\* *Unsupported Costs*

### Audits, Inspections, and Evaluations

#### *Bureau of Land Management*

##### **2016-WR-027**

Management Advisory: The Bureau of Land Management's Wild Horse and Burro Program is not Maximizing Efficiencies or Complying With Federal Regulations (10/17/16) \*\$3,700,000

#### *Bureau of Reclamation*

##### **2015-WR-080**

Audit of the Bureau of Reclamation's Klamath Basin Water User Mitigation Program (10/11/2016)

#### *Multi-Office Assignments*

##### **2015-EAU-079**

Bureau of Indian Affairs' Federal Indian Minerals Office (02/03/2017)

##### **2015-ER-034**

Climate Effects Program Coordination (03/17/2017)

##### **2016-ER-070**

Insufficient Documentation of Use of Extended Administrative Leave at the U.S. Department of the Interior (03/30/2017)

##### **2016-FIN-025**

Independent Auditors' Report on the U.S. Department of the Interior Financial Statements for Fiscal Years 2016 and 2015 (11/15/2016)

##### **2016-FIN-025-A**

Independent Auditors' Report on the U.S. Department of the Interior Closing Package Financial Statements for Fiscal Year 2016 (11/15/2016)

**2016-ITA-021**

Information Technology Security Weaknesses at a Core Data Center Could Expose Sensitive Data (02/15/2017)

**2016-ITA-062**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2016 (03/10/2017)

**ISD-IN-MOA-0004-2014-I**

U.S. Department of the Interior's Continuous Diagnostics and Mitigation Program Not Yet Capable of Providing Complete Information for Enterprise Risk Determinations (10/19/2016)

***Office of the Secretary*****2016-FIN-069**

DATA Act Readiness Review for the U.S. Department of the Interior (11/30/2016)

**2016-FIN-069-A**

DATA Act Readiness Review of Interior Business Center for the U.S. Department of the Interior (12/15/2016)

***Office of the Special Trustee for American Indians*****2016-FIN-024**

Independent Auditors' Reports on the Tribal and Other Trust Funds and Individual Indian Monies Trust Funds Statements for Fiscal Years 2016 and 2015 (11/10/2016)

***Office of Surface Mining Reclamation and Enforcement*****2016-EAU-007**

Office of Surface Mining Reclamation and Enforcement's Oversight of the Abandoned Mine Lands Program (03/30/2017)

**C-IN-OSM-0044-2014-A**

Oversight of Annual Fund Transfer for Miner Benefits Needs Improvement (03/29/2017) \*\$19,900,000 \*\*\$38,878,548

***U.S. Geological Survey*****2016-WR-071**

The U.S. Geological Survey Needs To Improve the Strategic Planning, Performance Measurement, and Transparency for its National Water Census Program (02/15/2017)

## **Contract and Grant Audits**

### ***Bureau of Indian Affairs***

#### **2015-ER-069-A**

Audit of Contract Nos. A13AV00621 and A12AV00769/A15AV00265  
Between the Bureau of Indian Affairs and the Lower Brule Sioux Tribe  
(12/16/2016) \*\*\$2,668 \*\*\*\$382,459

### ***Bureau of Land Management***

#### **2016-CG-006**

Audit of Bureau of Land Management Cooperative Agreement  
No. L10AC20002 With The Piney Woods School (02/14/2017)  
\*\*\*\$524,478

### ***Bureau of Reclamation***

#### **2015-ER-069**

Audit of Cooperative Agreement No. R95AV60020 Between the Bureau  
of Reclamation and the Lower Brule Sioux Tribe (12/05/2016)  
\*\*\$38,661 \*\*\*\$1,402,087

### ***National Park Service***

#### **2015-ER-061**

Audit of Task Agreement Nos. P13AC00279, P13AC01094, and  
P14AC00445 Between the National Park Service and the Student  
Conservation Association Under Cooperative Agreement No.  
P09AC00402 (02/03/2017) \*\$180 \*\*\*\$740,681

#### **2016-CG-008**

Compliance Audit of National Park Service Contract No. P15PC00170  
With Strategic Consulting Alliances, LLC (10/04/2016)  
\*\*\$56,554 \*\*\*\$202,939

#### **2016-CG-033**

Compliance Audit of National Park Service Contract P15PC00612 with  
Kane Communications, LLC (03/31/2017)

### ***U.S. Fish and Wildlife Service***

#### **2016-EXT-005**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration  
Program Grants Awarded to the Government of the Virgin Islands,  
Department of Planning and Natural Resources, From October 1, 2012,  
Through September 30, 2014 (02/21/2017) \*\*\*\$3,880,195

**2016-EXT-043**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Delaware, Department of Natural Resources and Environmental Control, Division of Fish and Wildlife, From July 1, 2013 Through June 30, 2015 (02/15/2017)

**Other Assignment Types*****Bureau of Indian Affairs*****2016-ITA-021-A**

Information Security Technical Vulnerability Assessment – Bureau of Indian Affairs (10/06/2016)

**2016-ITA-021-B**

Information Security Technical Vulnerability Assessment – Bureau of Indian Education (10/17/2016)

***Bureau of Land Management*****2017-CR-007**

Verification Review – Recommendations for the Report, “Bureau of Land Management’s Wildland Fire Program” (Audit No. C-EV-BLM-003-2012) (02/14/2017)

***Bureau of Reclamation*****2017-WR-011**

Verification Review – Recommendations for the Report, “Bureau of Reclamation’s Sustainable Water Management Programs and Activities” (WR-EV-BOR-0026-2013) (01/05/2017)

***Multi-Office Assignments*****2016-ER-049**

Inspector General’s Statement Summarizing the Major Management and Performance Challenges Facing the U.S. Department of the Interior (11/04/2016)

**2017-FIN-016**

Progress Made by the U.S. Department of the Interior in Implementing Government Charge Card Recommendations (01/31/2017)

***National Park Service*****2016-CG-008-A**

Management Advisory – Issues Identified During Our Compliance Audit of Strategic Consulting Alliances, LLC on Contract No. P15PC00170 With the National Park Service (10/04/2016)

**2016-CG-033-A**

Management Advisory – Issues Identified During Our Compliance Audit of Kane Communications, LLC, on Contract No. P15PC00612 with National Park Service (03/31/2017)

***Office of Insular Affairs***

**2016-CR-035**

Closeout Notice – Evaluation of Guam Port Authority Cargo Handling Facilities and Equipment (01/12/2017)

***Office of the Secretary***

**2017-ER-010**

Verification Review – Recommendations for the Report, “Wildland Urban Interface: Community Assistance” (ER-EV-MOA-0012-2009) (01/26/2017)

## MONETARY RESOLUTION ACTIVITIES

**Table 1: Inspector General Reports With Questioned Costs\***

	Number of Reports	Questioned Costs*	Unsupported Costs
A. For which no management decision has been made by the commencement of the reporting period.	6	\$4,888,066	\$2,579,292
B. Which were issued during the reporting period.	7	\$46,109,270	\$7,132,839
<b>Total (A+B)</b>	<b>13</b>	<b>\$50,997,336</b>	<b>\$9,712,131</b>
C. For which a management decision was made during the reporting period.*	9	\$46,679,051	\$7,724,646
(i) Dollar value of costs disallowed.		\$42,894,238	\$5,618,815
(ii) Dollar value of costs allowed.		\$3,784,813	\$2,105,831
D. For which no management decision had been made by the end of the reporting period.*	4	\$4,318,285	\$1,987,485

\* Does not include non-Federal funds. Unsupported costs are included in questioned costs.

**Table 2: Inspector General Reports With Recommendations  
That Funds Be Put to Better Use\***

	Number of Reports	Dollar Value
A. For which no management decision has been made by the commencement of the reporting period.	0	\$0
B. Which were issued during the reporting period.	3	\$23,600,180
<b>Total (A+B)</b>	<b>3</b>	<b>\$23,600,180</b>
C. For which a management decision was made during the reporting period.	2	\$3,700,180
(i) Dollar value of recommendations that were agreed to by management.		\$3,700,180
(ii) Dollar value of recommendations that were not agreed to by management.		\$0
D. For which no management decision had been made by the end of the reporting period.	1	\$19,900,000

\* Does not include non-Federal funds.



## REPORTS PENDING DECISION

This listing includes a summary of audit, inspection, and evaluation reports that were more than 6 months old on March 31, 2017 and still pending a management decision. It provides report number, title, issue date, and number of unresolved recommendations.

### Audits, Inspections, and Evaluations

#### *Assistant Secretary for Indian Affairs*

##### **C-EV-BIE-0023-2014**

Condition of Indian School Facilities (09/30/2016)  
21 Unresolved Recommendations

#### *Bureau of Indian Affairs*

##### **CR-EV-BIA-0002-2013**

BIA Needs Sweeping Changes to Manage the Osage Nation's Energy Resources (10/20/2014) 1 Unresolved Recommendation

#### *Office of the Secretary*

##### **2015-ITA-032**

U.S. Department of the Interior's Management of its Smartphones, Tablets, and Other Mobile Devices (06/22/2016)  
1 Unresolved Recommendation

##### **2015-ER-011**

U.S. Department of the Interior's Internal Controls for Purchase Cards and Fleet Cards (09/30/2016) 1 Unresolved Recommendation

### Contract and Grant Audits

#### *Bureau of Reclamation*

##### **2015-ER-047**

Request for Equitable Adjustment by Dix Corporation on Contract No. R11PC10035 With the Bureau of Reclamation (06/13/2016) 1 Unresolved Recommendation

### Other Assignment Types

#### *Bureau of Reclamation*

##### **2015-WR-080-B**

Management Advisory – Operations and Maintenance Cost Allocation for the Klamath Project Reserved Works (09/27/2016)  
1 Unresolved Recommendation

## REPORTS WITH UNIMPLEMENTED RECOMMENDATIONS

This listing provides a summary of reports issued by the Office of Audits, Inspections, and Evaluations prior to October 1, 2016, that still had open (unimplemented) recommendations as of March 31, 2017. Unimplemented recommendations are divided into resolved, management disagreed, and awaiting management decision categories. Recommendations with which management has disagreed have been referred to DOI for resolution. Recommendations are classified as awaiting management decision if either management did not respond or management's response was not sufficiently detailed to consider the recommendation resolved.

Open: 422      Resolved: 396      Disagreed: 4      Awaiting Decision: 22

Questioned Costs: \$32,126,403

Funds That Could Have Been Better Used: \$1,885,262

*\*Recommendations are "on pause" due to pending legislation and/or suspended rulemaking*

### Audits, Inspections, and Evaluations

#### *Bureau of Indian Affairs*

##### **2015-WR-012**

Bureau of Indian Affairs Funded and/or Operated Detention Programs (02/11/2016) Resolved: 4

##### **C-EV-BIE-0023-2014**

Condition of Indian School Facilities (09/30/2016)  
Awaiting Decision: 21

##### **C-IS-BIE-0023-2014-A**

Condition of Bureau of Indian Affairs Facilities at the Pine Hill Boarding School (01/11/2016) Resolved: 7

##### **\*CR-EV-BIA-0002-2013**

BIA Needs Sweeping Changes to Manage the Osage Nation's Energy Resources (10/20/2014) Resolved: 18 Disagreed: 1  
Better Use: \$97,000

##### **CR-EV-BIA-0011-2014**

Bureau of Indian Affairs' Southern Ute Agency's Management of the Southern Ute Indian Tribe's Energy Resources (02/09/2016)  
Resolved: 5

**NM-EV-BIE-0003-2008**

School Violence Prevention (02/03/2010) Resolved: 1

**WR-EV-BIA-0001-2012**

Management of Social Services in BIA: Opportunity for Action (03/18/2013) Resolved: 1

***Bureau of Land Management*****2015-EAU-037**

The Bureau of Land Management's Determination Processes for Wind Energy Projects Proposed on Public Lands (12/23/2015) Resolved: 5

**2015-EAU-057**

Bureau of Land Management's Management of Private Acquired Leases (12/11/2015) Resolved: 5

**2015-ITA-072**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 6

**\*C-IN-BLM-0002-2012**

Bureau of Land Management's Mineral Materials Program (03/31/2014) Resolved: 2

**\*C-IN-MOA-0013-2010**

Management of Rights-of-Way in the U.S. Department of the Interior (09/27/2012) Resolved: 4

**\*CR-EV-BLM-0004-2012**

Bureau of Land Management's Geothermal Resources Management (03/07/2013) Resolved: 4

**\*CR-IS-BLM-0004-2014**

Inspection Report – BLM Federal Onshore Oil and Gas Trespass and Drilling Without Approval (09/29/2014) Resolved: 2

***Bureau of Reclamation*****2015-ITA-017**

Cloud Computing Security Documentation in the Cyber Security Assessment Management Solution (11/12/2015) Resolved: 2

**2015-ITA-072**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 3

**ISD-IS-BOR-0003-2013**

IT Security of the Grand Coulee Dam Supervisory Control and Data Acquisition System (04/10/2014) Resolved: 2

**ISD-IS-BOR-0004-2013**

IT Security of the Glen Canyon Dam Supervisory Control and Data Acquisition System (03/26/2014) Resolved: 2

**WR-EV-BOR-0006-2014**

Garrison Diversion Unit's Interim Cost Allocation (09/30/2015) Resolved: 1

**\*WR-EV-MOA-0015-2011**

Bureau of Land Management, National Park Service, and Office of Surface Mining Reclamation and Enforcement's Safety of Dams: Emergency Preparedness (12/27/2012) Resolved: 1

***Bureau of Ocean Energy Management*****\*CR-EV-BOEM-0001-2013**

U.S. Department of the Interior's Offshore Renewable Energy Program (09/25/2013) Resolved: 1

***Bureau of Safety and Environmental Enforcement*****2015-ITA-072**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 1

**CR-EV-BSEE-0006-2013**

Offshore Oil and Gas Permitting, U.S. Department of the Interior (09/30/2014) Resolved: 2

**CR-EV-BSEE-0014-2014**

The Bureau of Safety and Environmental Enforcement, Incident Investigation Program (08/18/2015) Resolved: 1

**CR-IS-MOA-0004-2009**

BLM and MMS Beneficial Use Deductions (03/08/2010) Resolved: 1

***National Park Service*****2015-ER-056**

Internal Control Review of Student Conservation Association, Inc.  
(05/31/2016) Resolved: 1

**2015-ITA-072**

Independent Auditors' Performance Audit Report on the  
U.S. Department of the Interior Federal Information Security  
Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 2

**2015-WR-019**

Operation and Management of the Brinkerhoff Lodge at Grand Teton  
National Park (09/30/2015) Resolved: 1

**WR-IS-NPS-0009-2013**

NPS Contractor Oversight of Visitor Tent Cabins at Yosemite National  
Park Involved in Hantavirus Outbreak (05/15/2013) Resolved: 2

***Office of Surface Mining Reclamation and Enforcement*****\*WR-EV-MOA-0015-2011**

Bureau of Land Management, National Park Service, and Office of  
Surface Mining Reclamation and Enforcement's Safety of Dams:  
Emergency Preparedness (12/27/2012) Resolved: 3

***Office of the Secretary*****2015-CR-001**

Inspection of the U.S. Department of the Interior's Occupational Safety  
and Health and Workers' Compensation Programs (02/09/2016)  
Resolved: 5

**2015-CR-031**

Guam School Bus Transportation Program (08/09/2016) Resolved: 1

**2015-ER-011**

U.S. Department of the Interior's Internal Controls for Purchase Cards  
and Fleet Cards (09/30/2016) Resolved: 1 Disagreed: 1

**2015-FIN-046**

Independent Auditors' Report on the U.S. Department of the Interior  
Financial Statements for Fiscal Years 2015 and 2014 (11/13/2015)  
Resolved: 2

**2015-ITA-017**

Cloud Computing Security Documentation in the Cyber Security Assessment Management Solution (11/12/2015) Resolved: 3

**2015-ITA-032**

U.S. Department of the Interior's Management of its Smartphones, Tablets, and Other Mobile Devices (06/22/2016)  
Resolved: 3 Disagreed: 1 Better Use: \$1,763,423

**2015-ITA-072**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 13

**C-EV-MOA-0009-2011**

Controls over Check Writing (10/31/2012) Resolved: 1

**C-IN-MOA-0010-2008**

Audit Report – Department of the Interior Museum Collections: Accountability and Preservation (12/16/2009) Resolved: 3

**C-IN-MOA-0013-2010**

Management of Rights-of-Way in the U.S. Department of the Interior (09/27/2012) Resolved: 1

**C-IN-MOA-0049-2004**

Department of the Interior Concessions Management (06/13/2005)  
Resolved: 1

**CR-IN-ONRR-0007-2014**

Financial Management Division, Office of Natural Resources Revenue (06/03/2016) Resolved: 10

**ER-EV-PMB-0005-2014**

Evaluation of Security Features of the Main Interior Building (12/29/2014) Resolved: 2

**ISD-EV-MOA-0001-2012**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2012 (11/13/2012) Resolved: 1

**ISD-EV-OCIO-0002-2014**

DOI's Adoption of Cloud-Computing Technologies (05/21/2015)  
Resolved: 2

**ISD-IN-MOA-0001-2013**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2013 (02/26/2014) Resolved: 5

**ISD-IN-MOA-0004-2014**

Security of the U.S. Department of the Interior's Publicly Accessible Information Technology Systems (07/15/2015) Resolved: 6

**W-IN-MOA-0086-2004**

Proper Use of Cooperative Agreements Could Improve Interior's Initiatives for Collaborative Partnerships (01/31/2007) Resolved: 1

**WR-EV-OSS-0005-2009**

Aviation Maintenance Tracking and Pilot Inspector Practices – Further Advances Needed (04/14/2009) Resolved: 1

***U.S. Fish and Wildlife Service*****\*2015-FIN-021**

Performance Audit of Expenditures and Obligations Used by the Secretary of the Interior in Administering the Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408 for Fiscal Years 2013 and 2014 (08/27/2015) Resolved: 1

**2015-ITA-072**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 7

**CR-EV-FWS-0002-2014**

U.S. Fish and Wildlife Service's Management of Oil and Gas Activities on Refuges (03/01/2015) Resolved: 3

**CR-EV-MOA-0006-2012**

U.S. Department of the Interior's Underground Injection Control Activities (03/31/2014) Resolved: 1

***U.S. Geological Survey*****2015-ITA-072**

Independent Auditors' Performance Audit Report on the U.S. Department of the Interior Federal Information Security Management Act for Fiscal Year 2015 (02/24/2016) Resolved: 3

**CR-EV-GSV-0003-2014**

Energy Resources Program, U.S. Geological Survey (05/13/2015)  
Resolved: 3

**CR-IS-GSV-0008-2014**

Information Sharing between U.S. Geological Survey and Bureau of  
Ocean Energy Management (10/23/2014) Resolved: 1

**Contract and Grant Audits*****Bureau of Land Management*****2015-WR-062**

Bureau of Land Management Cooperative Agreement No. L12AC20673  
With Utah Correctional Industries (11/27/2015) Resolved: 2  
Questioned Costs: \$1,931,699

**WR-CA-BLM-0013-2013**

Cooperative Agreement No. JSA071001/L08AC13913 between the  
Utah Correctional Industries and the Bureau of Land Management  
(09/27/2013) Resolved: 2 Questioned Costs: \$2,004,553

***National Park Service*****2015-WR-084**

National Park Service Task Agreement Nos. P13AC00875 and  
P13AC00891 With the University of Rhode Island (09/16/2016)  
Resolved: 2 Questioned Costs: \$146,329

**X-CX-NPS-0001-2014**

Final Costs Claimed by NY Asphalt, Inc., Under Contract Nos.  
INPSANDY12003, INP13PX28237, and INP13PX22222 With the  
National Park Service (10/21/2014) Resolved: 2  
Questioned Costs: \$988,203

***Office of Surface Mining Reclamation and Enforcement*****2015-ER-025**

Audit of the Abandoned Mine Land Reclamation Program, State of  
Indiana (09/30/2016) Resolved: 6 Questioned Costs: \$723,362



***Bureau of Reclamation*****2015-ER-047**

Request for Equitable Adjustment by Dix Corporation on Contract No. R11PC10035 With the Bureau of Reclamation (06/13/2016)  
Awaiting Decision: 1 Questioned Costs: \$2,232,917

**C-CX-BOR-0010-2013**

Bureau of Reclamation Funding Agreements with Chippewa Cree Construction Corporation: R10AV60025 and 06NA602127 (12/16/2013) Resolved: 2 Questioned Costs: \$12,914,545

**ER-CX-BOR-0010-2014**

Crow Tribe Accounting System and Interim Costs Claimed Under Agreement Nos. R11AV60120 and R12AV60002 With the Bureau of Reclamation (06/24/2015) Resolved: 12 Questioned Costs: \$476,399

***U.S. Fish and Wildlife Service*****2015-EXT-005**

U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of Massachusetts, Department of Fish and Game, Division of Fisheries and Wildlife, From July 1, 2012, Through June 30, 2014 (01/07/2016) Resolved: 3

**2015-EXT-006**

U.S. Fish and Wildlife Service Sport Fish Restoration Program Grants Awarded to the Commonwealth of Massachusetts, Department of Fish and Game, Division of Marine Fisheries, From July 1, 2012, Through June 30, 2014 (02/04/2016) Resolved: 3 Questioned Costs: \$121,168

**2015-EXT-009**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Utah, Department of Natural Resources, Division of Wildlife Resources, From July 1, 2012, Through June 30, 2014 (09/19/2016) Resolved: 13  
Questioned Costs: \$208,752

**2015-EXT-041**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of Virginia, Department of Game and Inland Fisheries From July 1, 2012, Through June 30, 2014 (09/07/2016) Resolved: 4 Questioned Costs: \$596,811  
Better Use: \$14,506

**2015-EXT-043**

U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Alabama, Department of Conservation and Natural Resources, Division of Wildlife and Freshwater Fisheries, From October 1, 2012, Through September 30, 2014 (09/07/2016) Resolved: 2

**2015-EXT-044**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of the Northern Mariana Islands, Department of Lands and Natural Resources, From October 1, 2012, Through September 30, 2014 (08/10/2016) Resolved: 4 Questioned Costs: \$42,580

**R-GR-FWS-0002-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Minnesota, Department of Natural Resources, From July 1, 2011, Through June 30, 2013 (12/19/2014) Resolved: 1

**R-GR-FWS-0003-2012**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of New Jersey, Department of Environmental Protection, Division of Fish and Wildlife, From July 1, 2009, Through June 30, 2011 (06/22/2012) Resolved: 7 Questioned Costs: \$6,028

**R-GR-FWS-0003-2013**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of South Dakota, Department of Game, Fish, and Parks, From July 1, 2010, Through June 30, 2012 (06/04/2013) Resolved: 1

**R-GR-FWS-0004-2009**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Minnesota, Department of Natural Resources, From July 1, 2005, Through June 30, 2007 (09/21/2009) Resolved: 1

**R-GR-FWS-0005-2013**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Oregon, Department of Fish and Wildlife, From July 1, 2010, Through June 30, 2012 (07/26/2013) Resolved: 10 Questioned Costs: \$58,976

**R-GR-FWS-0006-2007**

U.S. Fish and Wildlife Service Federal Assistance Program Grants Awarded to the Virgin Islands, Department of Planning and Natural Resources, Division of Fish and Wildlife, From October 1, 2003, Through September 30, 2005 (10/18/2007) Resolved: 6  
Questioned Costs: \$60,000

**R-GR-FWS-0006-2008**

Audit on U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Idaho, Department of Fish and Game, From July 1, 2005, Through June 30, 2007 (01/26/2009) Resolved: 1

**R-GR-FWS-0006-2009**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the American Samoa Government, Department of Marine and Wildlife Resources, From October 1, 2006, Through September 30, 2008 (12/07/2009) Resolved: 7  
Questioned Costs: \$16,625

**R-GR-FWS-0006-2011**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Government of the Virgin Islands, Department of Planning and Natural Resources, From October 1, 2008, Through September 30, 2010 (11/03/2011)  
Resolved: 6 Questioned Costs: \$40,209

**R-GR-FWS-0006-2013**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the District of Columbia, Department of the Environment, From October 1, 2009, Through September 30, 2011 (07/30/2013) Resolved: 3

**R-GR-FWS-0006-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Wisconsin, Department of Natural Resources, From July 1, 2011, Through June 30, 2013 (09/15/2014) Resolved: 1

**R-GR-FWS-0007-2011**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Maryland, Department of Natural Resources, From July 1, 2008, Through June 30, 2010 (11/30/2011) Resolved: 18

**R-GR-FWS-0007-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of Puerto Rico, Department of Natural and Environmental Resources, From July 1, 2011, Through June 30, 2013 (11/26/2014) Resolved: 1

**R-GR-FWS-0008-2009**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of Pennsylvania, Game Commission, From July 1, 2006, Through June 30, 2008 (11/12/2009) Resolved: 4

**R-GR-FWS-0008-2014**

U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Kansas, Department of Wildlife, Parks, and Tourism From July 1, 2011, Through June 30, 2013 (03/27/2015) Resolved: 8 Questioned Costs: \$328,860

**R-GR-FWS-0009-2004**

U.S. Fish and Wildlife Service Federal Assistance Grants Administered by the State of New Hampshire, Fish and Game Department, From July 1, 2001, through June 30, 2003 (03/31/2005) Resolved: 1

**R-GR-FWS-0010-2007**

U.S. Fish and Wildlife Service Federal Assistance Program Grants Awarded to the State of New Jersey, Department of Environmental Protection, Division of Fish and Wildlife, From July 1, 2004, Through June 30, 2006 (12/05/2007) Resolved: 1

**R-GR-FWS-0010-2008**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Oregon, Department of Fish and Wildlife, From July 1, 2005, Through June 30, 2007 (02/26/2009) Resolved: 1

**R-GR-FWS-0010-2009**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the District of Columbia, Department of the Environment, From October 1, 2006, Through September 30, 2008 (02/26/2010) Resolved: 3  
Questioned Costs: \$100,358

**R-GR-FWS-0010-2012**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Nebraska, Game and Parks Commission, From July 1, 2009, Through June 30, 2011 (11/30/2012)  
Resolved: 2

**R-GR-FWS-0010-2013**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Wyoming, Game and Fish Department, From July 1, 2010, Through June 30, 2012 (10/29/2013)  
Resolved: 1

**R-GR-FWS-0010-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the American Samoa Government, Department of Marine and Wildlife Resources, From October 1, 2011, Through September 30, 2013 (12/17/2015) Resolved: 7  
Questioned Costs: \$209,442 Better Use: \$10,333

**R-GR-FWS-0011-2007**

U.S. Fish and Wildlife Service Federal Assistance Program Grants Awarded to the State of California, Department of Fish and Game, From July 1, 2004, Through June 30, 2006 (03/14/2008)  
Resolved: 10 Questioned Costs: \$1,381,957

**R-GR-FWS-0011-2009**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Utah, Department of Natural Resources, Division of Wildlife Resources, From July 1, 2006, Through June 30, 2008 (01/29/2010) Resolved: 1

**R-GR-FWS-0011-2010**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Wisconsin, Department of Natural Resources, From July 1, 2007, Through June 30, 2009 (11/22/2010) Resolved: 1

**R-GR-FWS-0011-2012**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Iowa, Department of Natural Resources, From July 1, 2009, Through June 30, 2011 (11/28/2012)  
Resolved: 1

**R-GR-FWS-0011-2013**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Montana, Department of Fish, Wildlife and Parks, From July 1, 2010, Through June 30, 2012 (02/24/2014) Resolved: 2

**R-GR-FWS-0011-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of Pennsylvania Game Commission From July 1, 2011, Through June 30, 2013 (05/05/2016) Resolved: 15 Questioned Costs: \$1,508,801

**R-GR-FWS-0012-2010**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Commonwealth of Kentucky, Department of Fish and Wildlife Resources, From July 1, 2007, Through June 30, 2009 (11/29/2010) Resolved: 1

**R-GR-FWS-0012-2011**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Maine, Department of Inland Fisheries and Wildlife, From July 1, 2008, Through June 30, 2010 (03/01/2012) Resolved: 1

**R-GR-FWS-0012-2012**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the Government of Guam, Department of Agriculture, From October 1, 2009, Through September 30, 2011 (11/14/2012) Resolved: 1

**R-GR-FWS-0012-2013**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Idaho, Department of Fish and Game, From July 1, 2010, Through June 30, 2012 (05/19/2014) Resolved: 3 Questioned Costs: \$564,627

**R-GR-FWS-0013-2013**

U.S. Fish and Wildlife Service Sport Fish Restoration Program Grants Awarded to the State of North Carolina, Division of Marine Fisheries, From July 1, 2010, Through June 30, 2012 (03/27/2014) Resolved: 2

**R-GR-FWS-0013-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of West Virginia, Division of Natural Resources, From July 1, 2011, Through June 30, 2013 (12/17/2015) Resolved: 11 Questioned Costs: \$295,812

**R-GR-FWS-0014-2005**

U.S. Fish and Wildlife Service Federal Assistance Grants Awarded to the State of Texas, Parks and Wildlife Department, From September 1, 2002, Through August 31, 2004 (01/30/2007) Resolved: 4 Questioned Costs: \$2,461,399

**R-GR-FWS-0014-2014**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Grants Awarded to the State of Colorado, Division of Parks and Wildlife, From July 1, 2011, Through June 30, 2013 (07/21/2015) Resolved: 7 Questioned Costs: \$696,955

**R-GR-FWS-0016-2005**

U.S. Fish and Wildlife Service Federal Assistance Program Grants Awarded to the State of Maine, Department of Inland Fisheries and Wildlife, From July 1, 2003, Through June 30, 2005 (12/11/2007) Resolved: 1

**R-GR-FWS-0025-2005**

U.S. Fish and Wildlife Service Federal Assistance Grants Awarded to the State of Maryland, Department of Natural Resources, From July 1, 2003, Through June 30, 2005 (02/08/2007) Resolved: 2

**X-CX-FWS-0002-2014**

Interim Costs Claimed by Coastal Environmental Group, Under Contract Nos. INF13PC00214 and INF13PC00195 With the U.S. Fish and Wildlife Service (05/04/2016) Resolved: 1  
Questioned Costs: \$2,009,036

**Other Assignment Types*****Office of the Secretary*****2016-WR-022**

Management Advisory – Office of Aviation Services' Maintenance System Presents a Threat to Public Health and Safety (06/29/2016) Resolved: 3

**ISD-IN-MOA-0004-2014-H**

Management Advisory – Failure To Adequately Protect Sensitive Data on Thousands of U.S. Department of the Interior Laptop Computers (12/21/2015) Resolved: 1

***Bureau of Reclamation*****2015-WR-080-B**

Management Advisory – Operations and Maintenance Cost Allocation for the Klamath Project Reserved Works (09/27/2016) Disagreed: 1

**2015-WR-080-C**

Management Advisory – Reimbursement of A-Canal Head Gates and Fish Screens on the Klamath Project (09/27/2016) Resolved: 4

***U.S. Fish and Wildlife Service*****2015-ER-022-A**

Management Advisory – Issues Identified During our Audit of Interim Costs Claimed by Donjon Marine Company, Inc., Under Contract No. INF14PD01909 and our Audit of Interim Costs Claimed by Clean Venture Inc., Under Contract No. INF14D01910 with the Fish and Wildlife Service (08/03/2016) Resolved: 2

**2016-CG-031-A**

Management Advisory – Issues Identified During Our Audit of Interim Costs Claimed by Dewberry and Davis on Contract Nos. INF15PB000057 and INF15PB000059 With the U.S. Fish and Wildlife Service (08/10/2016) Resolved: 2

**X-CX-FWS-0003-2014**

Management Advisory – Issues Identified During Our Audit of Interim Costs Claimed by Coastal Environmental Group, Under Contract Nos. INF13PC00214 and INF13PC00195 With the U.S. Fish and Wildlife Service (05/04/2016) Resolved: 1



## PEER REVIEWS COMPLETED

Government auditing and investigative standards require each statutory OIG to receive an independent, comprehensive peer review of its audit and investigative operations once every 3 years, consistent with applicable standards and guidelines. In general, these peer reviews determine whether the OIG's internal quality control system is adequate as designed and provides reasonable assurance that the OIG follows applicable standards, policies, and procedures. The Inspector General Act of 1978 requires that OIGs provide in their semiannual reports to Congress information about peer reviews of their respective organizations and their peer reviews of other OIGs.

Peer reviews are conducted in accordance with the Council of the Inspectors General on Integrity and Efficiency's "Guide for Conducting External Peer Reviews of the Audit Organizations of Federal Offices of Inspector General," based on requirements in the "Government Auditing Standards." Federal audit organizations can receive a rating of pass, pass with deficiencies, or fail.

### **Audit Peer Reviews**

In the most recent peer review of our audit organization, the National Railroad Passenger Corporation (Amtrak) OIG reviewed the system of quality control for our Office of Audits, Inspections, and Evaluations (AIE) for the 3-year period ending September 30, 2013. Based on its review, AMTRAK determined that AIE's system of quality control provided reasonable assurance that AIE conforms to applicable professional standards in all material respects, and we received a peer review rating of pass.

We are currently undergoing a peer review by the Small Business Administration OIG for the 3-year period ending September 30, 2016. That review will be completed during the next semiannual reporting cycle.

### **Investigative Peer Reviews**

During this reporting period, our Office of Investigation underwent a peer review by the U.S. Environmental Protection Agency OIG, and peer reviewed Amtrak OIG. Each review was conducted without incident or negative findings.

## INVESTIGATIONS INVOLVING SENIOR GOVERNMENT OFFICIALS

**OI-PI-15-0768-I**

Investigation of Ethical Misconduct and Violations by BLM Supervisory Agent (see page 8 of this report)

**OI-MT-11-0192-I**

Investigation of Alleged Theft from the Northern Arapahoe Tribe (see page 19 of this report)

**OI-MT-12-0355-I**

Investigation of Theft from the Eastern Shoshone Tribe (see page 21 of this report)

**OI-PI-16-0300-I**

Allegation of Travel Fraud by NPS Northeast Regional Director (see page 30 of this report)

**OI-PI-16-0240-I**

Investigation of Alleged Off-Duty Misconduct by an Official at Denali National Park (see page 29 of this report)

**OI-PI-16-0530-I**

Allegation of Sexual Harassment by NPS Law Enforcement Supervisor (see page 31 of this report)

**OI-PI-16-0529-I**

Falsification of Employment Records by the Deputy Director of the Office of Acquisition and Property Management (see page 38 of this report)

**OI-PI-16-0029-I**

Investigation of Alleged Retaliation by a Manager with Office of Civil Rights (see page 39 of this report)

**OI-PI-16-0806-I**

Investigative Report of Alleged Inappropriate Behavior by the Director of the Office of Law Enforcement and Security (see page 40 of this report)

**OI-PI-16-0163-I**

Alleged Endangered Species Act Violation of the Masked Bobwhite Quail Program (see page 47 of this report)

**OI-PI-16-0175-I**

Allegations of Retaliation Against an FWS Region 4 Employee (see page 48 of this report)

**OI-PI-16-0114-I**

Alleged Improper Award of FWS Grant to Partner-Impact, LLC (see page 48 of this report)

**OI-PI-16-0435-I**

Investigative Report of Potential Mismanagement by a U.S. Fish and Wildlife Service Assistant Director (see page 48 of this report)

**OI-PI-16-0929-I**

Allegations of Hostile Work Environment at Yosemite National Park (see page 26 of this report)

**OI-PI-16-0900-I**

Alleged Sexual Misconduct and Reprisal at Yellowstone National Park (see page 27 of this report)

**OI-NM-16-0273-I**

Investigation of Alleged Misconduct by a BIA Employee and Alleged Misuse of a CDIB Card (see page 19 of this report)

**OI-GA-16-0706-I**

Investigation of De Soto National Memorial Sexual Harassment Complaint (see page 28 of this report)

**OI-PI-16-0650-I**

Alleged Favoritism by an ONRR Supervisor (see page 33 of this report)

## **INSTANCES OF AGENCY INTERFERENCE**

There have been no instances during this reporting period in which DOI or its bureaus or offices interfered with an audit, inspection, evaluation, investigation, or other OIG project.

## **SUSPENSIONS AND DEBARMENTS**

Our Administrative Remedies Division (ARD) continued to provide training and outreach on administrative remedies. The ARD director and the DOI debarment program manager provided training at a DOI acquisition conference on suspension and debarment and referrals to ARD and a separate training to DOI OIG auditors during this period. ARD continued to assist Federal agencies in implementing effective suspension and debarment programs.

During this period, the ARD director moderated a panel discussion for about 50 attorneys at an American Bar Association Suspension and Debarment Subcommittee meeting on how suspending and debarring officials (SDO) assess the present responsibility of individuals. ARD also assisted the U.S. General Services Administration's SDO in providing information to Canadian officials on suspension and debarment best practices and Federal fraud analytics.

The Assistant Inspector General for Investigations and ARD staff participated in panel discussions and provided training to approximately 300 attendees at a suspension and debarment workshop that was jointly sponsored by the Council of the Inspectors General on Integrity and Efficiency and the Interagency Suspension and Debarment Committee. Presentations addressed a general primer, triggers for suspension and debarment referrals, and how to address fact-based and indictment-based suspension actions.

## **INSTANCES OF NONREMEDIATION**

There have been no major Federal Financial Management Improvement Act weaknesses reported during this period.

## **ALLEGED WHISTLEBLOWER RETALIATION**

In accordance with the National Defense Authorization Act of 2013 (NDAA), we transmitted these reports of investigation to the Secretary of the Interior to make a determination about whether reprisal occurred.

### **Whistleblower Retaliation Allegation by a Contract Employee**

We investigated allegations that a contract employee was reprimed against by DOI and contract officials after the employee raised concerns about unresolved information technology issues—a disclosure protected under the NDAA.

We found that the contract employee did make a whistleblower disclosure, but despite being removed from the contract, we did not find conclusive evidence that the employee was reprimed against. DOI officials denied they asked the contractor to remove the employee. The contractor claimed they were concerned about the employee's working relationship with DOI and reassigned the employee to another contract at the same pay rate.

### **Whistleblower Retaliation Allegation by Contract Employee**

We investigated allegations that a contract employee was reprimed against by DOI and contract officials after disclosing alleged gross mismanagement and waste of Federal funds related to a construction project—a disclosure protected under the NDAA.

We found that the contract employee did make a whistleblower disclosure. We also found that subsequent to that disclosure, DOI did not extend the contract the employee was working under beyond its expiration date, and that the contractor terminated the contract employee from the company. DOI officials claimed there was not enough work left on the contract to warrant an extension and denied that the contract employee's disclosures were the reason for their decision. The contractor also denied that the contract employee's disclosures were the reason the employee was released from the company and explained that once the DOI contract ended, they had no suitable positions for the contract employee.

### **Alleged Endangered Species Act Violation of the Masked Bobwhite Quail Program**

(see summary on page 47)

## **CROSS REFERENCES TO THE INSPECTOR GENERAL ACT**

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\*N/A: Not applicable to this reporting period.

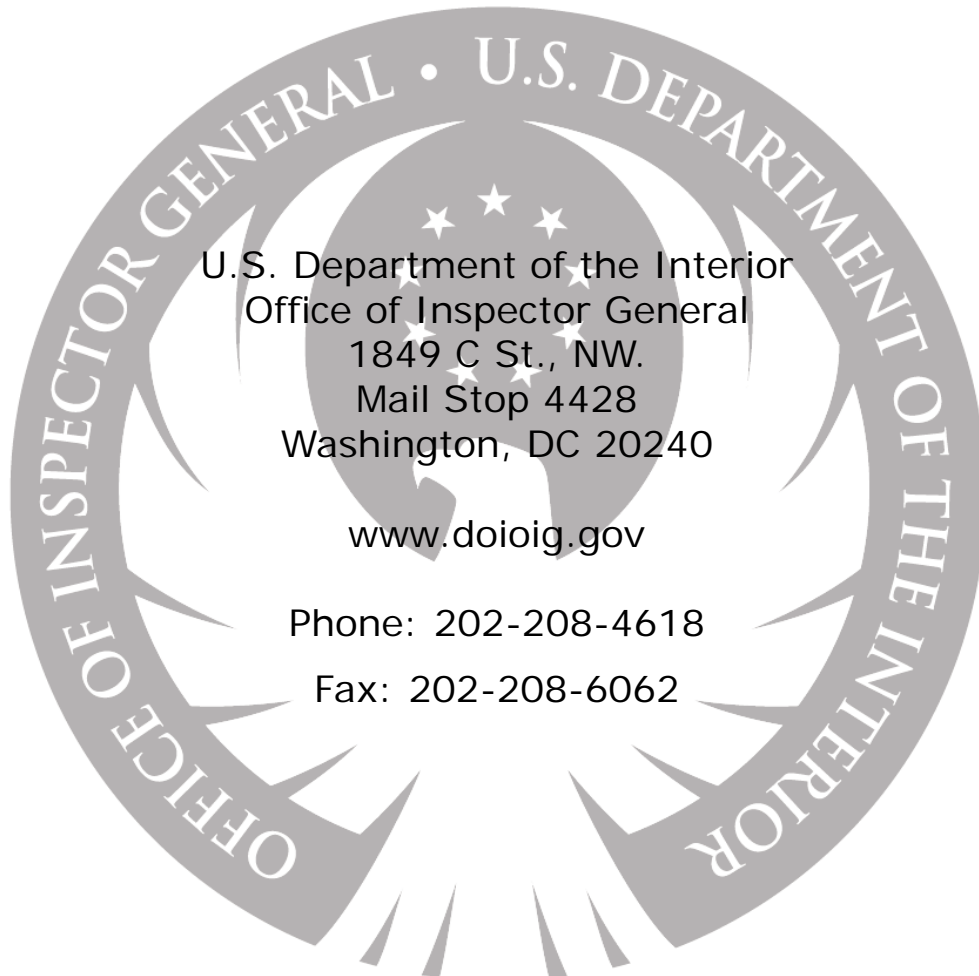


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\*N/A: Not applicable to this reporting period.

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