



U.S. Department of Justice | Office of the Inspector General



SEMIANNUAL REPORT TO CONGRESS

October 1, 2019–March 31, 2020

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MESSAGE FROM THE INSPECTOR GENERAL



It is my pleasure to submit this Semiannual Report on the operations of the Office of the Inspector General (OIG), which covers the period from October 1, 2019, to March 31, 2020.

During this time, we completed reports pertaining to the Department and its law enforcement components, which include reviews of the Department's preparedness to respond to critical incidents under Emergency Support Function 13, four FISA applications and other aspects of the FBI's Crossfire Hurricane investigation, the FBI's management of its confidential human source validation processes, and the FBI's efforts to identify homegrown violent extremists through counterterrorism assessments. We also issued a memorandum to the FBI Director regarding the execution of its factual accuracy review procedures for certain applications filed with the Foreign Intelligence Surveillance Court.

In our ongoing commitment to identify whether federal funds are being used by the Department effectively and efficiently, we conducted multiple audits and reviews to fulfill this mission, and we recommended improvements to the Department's programs. In particular, we analyzed the Office of Justice Programs' corrective actions to address recommendations in 61 grant audit reports containing approximately \$45.5 million in dollar-related audit recommendations, and reviewed the United States Marshals Service's administration of Joint Law Enforcement Operations funds.

Additionally, we reviewed the Federal Bureau of Prisons' (BOP) monitoring of inmate communications to prevent radicalization within its inmate population, and the BOP's pharmaceutical drug costs and procurement process. As a result of issues identified during OIG investigations, we made several other recommendations to the BOP to address our concerns pertaining to appropriately informing contractor and grantee employees of their whistleblower protections, compliance with certain reporting requirements, procurement of food products, and compliance with DOJ requirements on the use and monitoring of computers, cybersecurity, and records retention.

Further, the OIG's Investigations Division closed 115 criminal or administrative misconduct cases, and its work resulted in 32 convictions or pleas and 89 terminations, administrative disciplinary actions, and resignations. The quality of the investigations described in this report demonstrates the importance of effective, fair, and objective investigative oversight conducted by our Office.

During this period, two distinguished senior executives retired from the OIG. Nina Pelletier served as the Assistant Inspector General of the Evaluation and Inspections Division with a career in the OIG and DOJ spanning nearly 31 years. Cindy Lowell served as the Deputy Assistant Inspector General of the Management and Planning Division and dedicated more than 44 years to serving in

the OIG and other positions within the federal government. I am grateful for their tireless service and leadership while at the OIG and dedication to the values of integrity and excellence we strive to uphold.

As always, the OIG remains committed to its mission to detect and deter waste, fraud, abuse, and misconduct related to DOJ programs, and to promote economy and efficiency in those programs—as is exemplified in our work over the past 6 months. As usual, the Semiannual Report reflects the exceptional work of OIG personnel and their dedication to the OIG's important mission.

Finally, on the cover of this report, you will see that the OIG has a new seal. The process to design a new seal began with an OIG-wide innovation initiative to solicit ideas from our staff. We received design submissions from staff in every division and from our field offices around the country. We then worked with graphic designers from the Government Publishing Office to create a polished final product. This was an agency-wide collaborative effort to create a design that is modern, unique, and represents our mission and values.



Michael E. Horowitz
Inspector General
April 30, 2020

HIGHLIGHTS

Statistical Highlights

The following summaries highlight some of the OIG's audits, evaluations, inspections, special reviews, and investigations, which are discussed further in this report. As the highlights illustrate, the OIG continues to conduct wide-ranging oversight of Department of Justice (DOJ or Department) programs and operations.

Investigations Division



6,962

Allegations Received by the Investigations Division¹



126/115

Investigations Opened/Closed



57

Arrests



31/32

Indictments & Informations/Convictions & Pleas



89

Administrative Actions



\$2,063,999.26²

Monetary Recoveries

Audit Division



29
Audit Reports Issued

\$1,283,749
Questioned Costs

\$9,351
Funds Recommended to Be Put to Better Use

140
Recommendations for Management Improvements



19
Single Audit Act Reports Issued

\$104,657
Questioned Costs

35
Recommendations for Management Improvements



3
Other Audit Division Reports Issued³

Audits, Evaluations, Inspections, and Special Reviews Highlights

Examples of OIG audits, evaluations, inspections, and special reviews completed during this semiannual reporting period are:

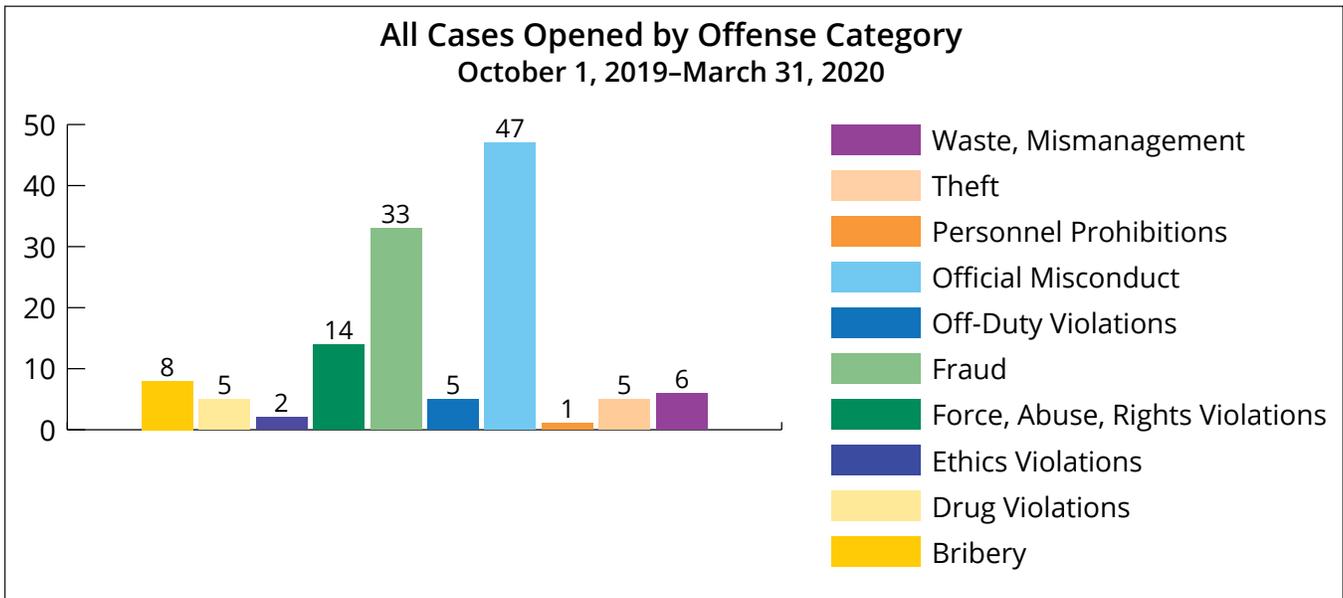
- **[Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation](#)**. The report examined various aspects of the Federal Bureau of Investigation's (FBI) Crossfire Hurricane investigation and four related individual investigations of current and former members of the Trump presidential campaign. The OIG found that the opening of the investigations complied with applicable FBI and Department policies, and did not find documentary or testimonial evidence that political bias or improper motivation influenced the decision to open the investigations. However, the OIG found significant inaccuracies and omissions in each of the four Foreign Intelligence Surveillance Act (FISA) applications the FBI filed with the Foreign Intelligence Surveillance Court (FISC) to obtain authorization to conduct surveillance of Carter Page that raised significant questions regarding the FBI chain of command's management and supervision of the FISA process.
- **[Audit of the BOP's Monitoring of Inmate Communications to Prevent Radicalization](#)**. The OIG issued a report on the Federal Bureau of Prisons' (BOP) monitoring of inmate communications to prevent radicalization within its institutions and found that the BOP did not identify all terrorist inmates admitted into its institutions; needs to improve monitoring of inmate communications; and the controls to prevent inmates from sharing potentially harmful discovery material are inadequate. The OIG made 19 recommendations and both the BOP and the Office of the Deputy Attorney General (ODAG) agreed with all of them.
- **[Review of the BOP's Pharmaceutical Drug Costs and Procurement](#)**. The OIG examined the BOP's pharmaceutical drug expenditures, procurement process, and efforts to control drug costs. The OIG found that DOJ is not prioritizing the BOP's efforts to obtain a certain discounted drug price, that the BOP is not ensuring the most cost-efficient drug procurement practices or collecting and effectively analyzing complete and accurate drug purchase data, and that the BOP does not test all inmates for Hepatitis C or treat it consistently.
- **[Audit of the FBI's Efforts to Identify Homegrown Violence Extremists through Counterterrorism Assessments](#)**. The OIG issued a report examining the FBI's efforts to identify homegrown violent extremists (HVE). During a 2017 FBI-wide review, certain field offices did not take action on closed assessments identified as needing additional investigative action. Additionally, the FBI has challenges integrating criminal threat matters into its system and determining whether threats by individuals with mental health issues pose a threat to national security. The OIG made seven recommendations, and the FBI agreed with all of them.
- **[Review of DOJ's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13](#)**. The OIG examined DOJ's preparedness to respond to critical incidents under Emergency Support Function 13 (ESF-13), which provides federal public safety and security. Although DOJ has improved its ESF-13 preparedness, the OIG concluded that

unclear and incomplete policies and guidance have led to overlapping response roles and responsibilities; funding and staffing have limited ESF-13's growth; and there is a need for greater situational awareness among the agencies and officers responding during an ESF-13 activation.

- [Audit of the FBI's Management of its Confidential Human Source Validation Processes.](#)**
 The OIG released a report examining the FBI's confidential human source (CHS) validation processes and identified issues with CHS communications. The FBI did not comply with the AG Guidelines and faces challenges in overseeing long-term CHSs. In addition, the OIG found that the FBI's current validation process lacks adequate controls, the FBI lacked clear guidance to inform its personnel of the acceptable platforms for communicating with CHSs, and the FBI had coverage gaps in its network of CHSs. The report made 16 recommendations, and the FBI and the Department agreed with all of them.
- [Review of OJP's Corrective Actions to Address Dollar-Related Audit Recommendations.](#)**
 The OIG issued a report examining the Office of Justice Programs' (OJP) corrective actions closing 61 grant audit reports identifying \$45.5 million in dollar-related recommendations. The OIG found \$19.7 million of these costs were "Compromised" and were not collected, \$8 million were "Adjusted Supported" and were not adequately supported at the time of the OIG audit, and \$7.1 million were "Adjusted Approved" and determined unallowable at the time of the audit. The OIG made three recommendations, and OJP agreed with all of them.

Investigative Highlights

As shown in the statistics at the beginning of this section and in the chart below, the OIG investigates many allegations of misconduct involving DOJ employees or contractors and grantees who receive DOJ funds.



Source: Investigations Data Management System

The following are examples of such investigations:

- **Former FBI Task Force Officer Arrested Subsequent to a 29-count Indictment.** On January 22, 2020, a former FBI Task Force Officer (TFO) was arrested following a 29-count Indictment for fraud, bribery, drug distribution, and false statements. According to the Indictment, the TFO allowed informants to retain drugs obtained during controlled buys, falsified law enforcement forms, used his official position to obtain sex from women in exchange for agreeing to take actions in prosecutions of the women's associates, distributed heroin, made false statements on a federal form, and made multiple false statements during an interview with OIG agents. The investigation is being conducted by the OIG's New Jersey Area Office and the FBI.
- **Former BOP Facilities Assistant Sentenced for Solicitation of Bribery and Obstruction.** On October 24, 2019, a former BOP Facilities Assistant assigned to the Federal Correctional Complex (FCC) in Tucson, Arizona, was sentenced to 5 years of incarceration for solicitation of bribery and obstruction of a federal investigation. According to the factual statement in support of the guilty plea, in March 2016, the Facilities Assistant solicited an inmate to kill her ex-husband in exchange for smuggling the inmate contraband. Furthermore, she created and submitted a false record to the BOP in an attempt to conceal handwritten items she provided the inmate to assist with the murder of her ex-husband. The investigation was conducted by the OIG's Denver Field Office with forensic assistance provided by the OIG's Cyber Investigations Office.
- **Two Individuals Sentenced for Conspiracy to Defraud the United States.** On February 13, 2020, two non-DOJ individuals were sentenced to over 3 years of incarceration each for one count of conspiracy to defraud the United States. According to the factual statements in support of the guilty pleas, the individuals sold approximately 775,000 pounds of uninspected, misbranded, or adulterated meat product to at least 32 BOP institutions, at a cost of over \$1 million, in violation of the Federal Meat Inspection Act. The investigation was conducted by the OIG's Fraud Detection Office, U.S. Department of Agriculture OIG, and the Food Safety and Inspection Service Compliance and Investigations Division.
- **Former DEA Special Agent Indicted and Arrested on Charges of Bribery, Obstruction, and Conspiracy.** On November 5, 2019, a retired Drug Enforcement Administration (DEA) Special Agent was indicted and arrested on charges of bribery, obstruction, and conspiracy. According to the Indictment, between 2008 and 2017, the Special Agent provided information to targets of criminal investigations that obstructed efforts to investigate those targets, assisted in shielding targets from investigations, and made false statements to the OIG. The investigation is being conducted by the OIG's New York Field Office with assistance from the Department of Homeland Security (DHS) Homeland Security Investigations (HSI); forensic assistance is being provided by the OIG's Cyber Investigations Office.

OIG PROFILE

The OIG is a statutorily created, independent entity whose mission is to detect and deter waste, fraud, abuse, and misconduct involving DOJ programs and personnel and promote economy and efficiency in DOJ operations. The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of DOJ employees in their numerous and diverse activities. The OIG also audits and inspects DOJ programs and assists management in promoting integrity, economy, efficiency, and effectiveness. The OIG has jurisdiction to review the programs and personnel of the FBI, Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), BOP, DEA, U.S. Attorneys' Offices (USAO), U.S. Marshals Service (USMS), and all other organizations within DOJ, as well as DOJ's contractors and grant recipients.

The OIG consists of the Immediate Office of the Inspector General and the following divisions and office:

- **Audit Division** is responsible for independent audits of DOJ programs, computer systems, and financial statements. The Audit Division has regional offices in the Atlanta, Chicago, Denver, Philadelphia, San Francisco, and Washington, D.C., areas. Its Financial Statement Audit Office and Computer Security and Information Technology (IT) Audit Office are located in Washington, D.C., along with Audit Headquarters. Audit Headquarters consists of the immediate office of the Assistant Inspector General for Audit, Office of Operations, Office of Policy and Planning, and Office of Data Analytics.
- **Investigations Division** is responsible for investigating allegations of bribery, fraud, abuse, civil rights violations, and violations of other criminal laws and administrative procedures governing DOJ employees, contractors, and grantees. The Investigations Division has field offices in Chicago, Dallas, Denver, Los Angeles, Miami, New York, and Washington, D.C. The Investigations Division has smaller, area offices in Atlanta, Boston, Detroit, El Paso, Houston, New Jersey, San Francisco, and Tucson. The Fraud Detection Office and the Cyber Investigations Office are co-located with the Washington Field Office. The Cyber Investigations Office also includes personnel in the Dallas and Los Angeles Field Offices. Investigations Headquarters in Washington, D.C., consists of the immediate office of the Assistant Inspector General for Investigations and the following branches: Operations I, Operations II, Investigative Support, and Administrative Support.

The map on the following page shows the locations for the Audit and Investigations Divisions.



Source: OIG

- **Evaluation and Inspections Division** conducts program and management reviews that involve on-site inspection, statistical analysis, interviews, and other techniques to review DOJ programs and activities and makes recommendations for improvement.
- **Oversight and Review Division** blends the skills of Attorneys, Investigators, Program Analysts, and Paralegals to conduct special reviews and investigations of sensitive allegations involving DOJ employees and operations.
- **Management and Planning Division** provides the Inspector General with advice on administrative and fiscal policy and assists OIG components by providing services in the areas of planning, budget, finance, quality assurance, personnel, communications, procurement, facilities, telecommunications, security, and general support.
- **Information Technology Division** executes the OIG's IT strategic vision and goals by directing technology and business process integration, network administration, implementation of computer hardware and software, cybersecurity, applications development, programming services, policy formulation, and other mission-support activities.

- **Office of General Counsel** provides legal advice to OIG management and staff. It also drafts memoranda on issues of law; prepares administrative subpoenas; represents the OIG in personnel, contractual, and legal matters; and responds to Freedom of Information Act requests.

The OIG has a nationwide workforce of more than 500 Special Agents, Auditors, Inspectors, Attorneys, and support staff. For Fiscal Year (FY) 2020, the OIG direct appropriation is \$105 million, and the OIG anticipates earning an additional \$18 million in reimbursements.

On March 27, 2020, the Coronavirus Aid, Relief, and Economic Security Act, or CARES Act, was enacted (Public Law No. 116-136). The CARES Act provided to the OIG \$2 million in no-year funding to use to “prevent, prepare for, and respond to the coronavirus, domestically or internationally, including the impact of coronavirus on the work of the Department of Justice and to carry out investigations and audits related to the funding made available to the Department of Justice in this Act.”

As required by Section 5 of the Inspector General Act of 1978 (IG Act), as amended, this Semiannual Report to Congress is reviewing the accomplishments of the OIG for the 6-month period of October 1, 2019, through March 31, 2020.

Additional information about the OIG and full-text versions of many of its reports are available at oig.justice.gov.

MULTICOMPONENT

While many of the OIG's activities are specific to a particular component of DOJ, other work covers more than one component and, in some instances, extends to DOJ contractors and grant recipients. The following describes OIG audits, evaluations, inspections, special reviews, and investigations that involve more than one DOJ component.

Reports Issued

[Review of DOJ's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13](#)

The OIG examined DOJ's preparedness to respond to critical incidents under ESF-13, which provides federal public safety and security. The OIG concluded that DOJ has enhanced its preparedness, but that improvements are needed to ensure that it can respond effectively during an ESF-13 activation. Specifically, unclear and incomplete policies and guidance have led to overlapping response roles and responsibilities; funding and staffing have limited ESF-13's growth; and there is a need for greater situational awareness among the agencies and officers responding during an ESF-13 activation. DOJ and ATF agreed with all seven of the OIG's recommendations.

The OIG released a [video message](#) to accompany this report.

Mobile Command Center Vans from the DEA, USMS, and FBI Provide Vital Communications during Hurricane Harvey Support, 2017



Source: FBI

Audit of DOJ's FY 2019 Compliance with the Digital Accountability and Transparency Act of 2014

The OIG issued an audit on DOJ's FY 2019 compliance with the Digital Accountability and Transparency Act of 2014 (DATA Act). The OIG found that DOJ generally submitted complete, timely, accurate, and quality data, and DOJ successfully implemented and used the government-wide data standards. However, the OIG identified a deficiency in internal controls that resulted in some reporting inaccuracies, instances of non-linkage between financial and award data, and system limitations. The OIG made six recommendations, four of which are repeat recommendations from a prior DATA Act compliance examination, and DOJ agreed with all of them.

Audits of DOJ and Select Components' Annual Financial Statements FY 2019

The OIG issued five audit reports on the FY 2019 annual financial statements for DOJ, Assets Forfeiture Fund and Seized Asset Deposit Fund (AFF/SADF), BOP, FBI, and Federal Prison Industries, Inc. (FPI). Under the direction of the OIG, KPMG performed the audits, which resulted in unmodified opinions. For the BOP, FBI, and FPI, no material weaknesses in internal control over financial reporting were identified. KPMG identified one material weakness in the Department's internal controls, noting that the financial statement compilation and review processes had not achieved the full level of rigor that is necessary to prepare timely, accurate, and reliable financial statements in accordance with applicable standards. The OIG made four recommendations to the Department, who agreed with the recommendations. Additionally, KPMG identified one material weakness in AFF/SADF's internal controls, noting improvements needed in controls over reporting budget-related information in financial statement notes. The OIG made two recommendations to the Asset Forfeiture Management Staff, who agreed with the recommendations. No instances of noncompliance or other matters were identified in the audits and KPMG's tests disclosed no instances in which financial management systems did not substantially comply with the Federal Financial Management Improvement Act of 1996.

Federal Information Security Modernization Act Audits

The Federal Information Security Modernization Act (FISMA) requires the Inspector General for each agency to perform an annual independent evaluation of the agency's information security programs and practices. The OIG submitted the FISMA metrics report for the National Security Systems within the FBI to the Intelligence Community Inspector General, which in turn forwarded the National Security Systems metrics to the Office of Management and Budget (OMB) by October 31, 2019.

For FY 2019, the OIG issued separate public summaries and non-public reports for its reviews of the FBI's information security program, Enterprise Application Service Program and Land Mobile Radio Network, and Legacy Pocatello Data Center; Tax Division's information security program and Office Automation System; and the INTERPOL Washington, United States National Central Bureau's information security program, and OA/Envoy System. The OIG is finalizing its FY 2019 reviews of the information security programs at the BOP, Justice Management Division (JMD), and OJP. Within these components, the OIG also selected for review three sensitive but unclassified systems: BOP's Sentry System; JMD's Personnel Accountability and Assessment System; and OJP's Denial of Federal Benefits and Defense Procurement Fraud Debarment Clearinghouse System. The OIG plans to issue reports in FY 2020 evaluating these systems.

Single Audit Act Reports

The Single Audit Act of 1984, as amended, promotes sound financial management of federal financial assistance provided to state, local, and tribal governments, colleges, universities, and nonprofit organizations. Under 2 C.F.R. 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, such entities that expend \$750,000 or more in federal funds in 1 year must have a “single audit” performed annually covering all federal funds expended that year. These audits are conducted by non-federal auditors, such as independent public accounting firms and state auditors. The OIG performs quality reviews of these audit reports when they pertain to DOJ funds and to determine whether they contain audit findings related to DOJ funds. The OIG’s oversight of non-federal audit activity informs federal managers about the soundness of the management of federal programs and identifies any significant areas of internal control weakness, noncompliance, and questioned costs for resolution or follow-up. As a result of the OIG’s review of the single audits during this semiannual period, the OIG transmitted to OJP 19 single audit reports encompassing approximately 99 grants and other agreements totaling more than \$263 million. To address these deficiencies, the auditors recommended 35 management improvements and questioned costs totaling \$104,657. The OIG also monitors these audits through the resolution and closure process.

Reviews of the Accounting of Drug Control Funds and Related Performance, FY 2019

The OIG issued reviews of DOJ’s detailed accounting of all funds expended for National Drug Control Program activities for FY 2019, and the results of performance measures that show the outcomes associated with those expenditures. The report contains the results of the 8 attestation reviews conducted by the OIG of the reported \$8.4 billion of drug control obligations and 29 related performance measures. The OIG reported that it is not aware of any material modifications that should be made to either the Detailed Accounting Submissions or the Performance Summary Reports.

Joint Report on the Implementation of the Cybersecurity Information Sharing Act of 2015

The OIG issued the biennial report of compliance with Section 107(b) of the Cybersecurity Information Sharing Act of 2015. The IG of the Intelligence Community, Commerce, Defense, Energy, Homeland Security, Justice, and Treasury jointly prepared this biennial report. The objective was to provide a joint report on actions taken during Calendar Year 2017 and Calendar Year 2018 to carry out the statutory requirements.

Civil Rights and Civil Liberties

Section 1001 of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (Patriot Act) directs the OIG to receive and review complaints of civil rights and civil liberty violations by DOJ employees, to publicize how people can contact the OIG to file a complaint, and to send a semiannual report to Congress discussing the OIG’s implementation of these responsibilities. In March 2020, the OIG released its most recent report, which summarized the OIG’s Section 1001 activities from July 1 through December 31, 2019. The report described the number of complaints the OIG received under this section, the status of investigations conducted by the OIG and DOJ components in response to those complaints, and an estimate of the OIG’s expenses for conducting these activities.

Reports with Outstanding Unimplemented Recommendations

Semiannually, the OIG publishes a list of recommendations from the OIG's reports that the OIG had not closed as of the end of the semiannual reporting period, because it had not determined that DOJ had fully implemented them. The list omits information that DOJ determined to be limited official use or classified, and therefore unsuitable for public release. The list includes the status and descriptions of these recommendations and the titles of and hyperlinks to the relevant reports.

The most recent list is accurate as of March 31, 2020, and is available on the OIG's [website](#). The recommendations in this report are associated with over \$132 million in questioned costs and approximately \$15 million in funds that the OIG recommends could be used more efficiently if repurposed by the agency. Although the DOJ may have taken steps to implement the recommendations listed in this report, including by partially remedying the questioned costs associated with a recommendation, a recommendation is not considered closed until it has been fully implemented.

Investigations

The following information about OIG investigations of allegations against senior governmental employees in several components in which the OIG determined the allegations were unsubstantiated is provided pursuant to the IG Act, Section 5, Paragraph (22)(B). The OIG closed these investigations without public disclosure during the reporting period:

- The OIG closed nine investigations of alleged misconduct by senior government employees that were ultimately unsubstantiated. These investigations included allegations of job performance failure, conflict of interest, misuse of position, contract fraud, release of information, inappropriate relationships, bribery, sexual assault, child abuse and pornography, domestic violence, off duty misconduct, and retaliation.

Management Advisory Memorandum

- [OIG Releases Management Advisory Memorandum of Concerns Identified in the Handling of Supervisor-Subordinate Relationships Across DOJ Components](#). The OIG released a Management Advisory Memorandum to the Deputy Attorney General regarding romantic or intimate relationships between supervisors and subordinates. During recent investigations, the OIG observed that most components have policies regarding supervisor-subordinate relationships, but that those policies substantially differ from one another. The OIG is concerned that these different policies could lead to inconsistent treatment of supervisor-subordinate relationships across the Department for similar or identical conduct. The OIG recommended the Department consider adopting consistent policy across all components, and assess whether subordinates should be required to report intimate relationships with their supervisors.

Ongoing Work

The OIG's ongoing work is available [here](#).

Examination of DOJ's FY 2019 Compliance under the Improper Payments Elimination and Recovery Act of 2010

Review of the Department's Planning and Implementation of Its Zero Tolerance Policy and Its Coordination with the Departments of Homeland Security and Health and Human Services

Review of the Institutional Hearing and Removal Program

Review of the Department's Violent Crime Initiatives

FEDERAL BUREAU OF INVESTIGATION

Reports Issued

[Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation](#)

The OIG released a report examining various aspects of the FBI's Crossfire Hurricane investigation and four related individual investigations of current and former members of the Trump presidential campaign. The OIG found that the opening of the investigations complied with applicable FBI and Department policies, and did not find documentary or testimonial evidence that political bias or improper motivation influenced the decision to open the investigations. However, the OIG found significant inaccuracies and omissions in each of the four FISA applications the FBI filed with the FISC to obtain authorization to conduct surveillance of Carter Page that raised significant questions regarding the FBI chain of command's management and supervision of the FISA process. The OIG made nine recommendations to the FBI and the Department to address these and other issues identified in this review.

[Audit of the FBI's Management of its Confidential Human Source Validation Processes](#)

The OIG released a report examining the FBI's confidential human source (CHS) validation processes and identified issues with CHS communications. The FBI did not comply with the AG Guidelines and faces challenges in overseeing long-term CHSs. In addition, the OIG found that the FBI's current validation process lacks adequate controls, the FBI lacked clear guidance to inform its personnel of the acceptable platforms for communicating with CHSs, and the FBI had coverage gaps in its network of CHSs. The report made 16 recommendations, and the FBI and the Department agreed with all of them.

The OIG released a [video message](#) to accompany this report.

[Audit of the FBI's Efforts to Identify Homegrown Violence Extremists through Counterterrorism Assessments](#)

The OIG issued a report examining the FBI's efforts to identify HVEs through counterterrorism assessments. Following several recent HVE attacks, the FBI reviewed its process for assessing HVE threats and identified necessary improvements. However, the OIG found that the FBI had not fully implemented these recommendations, which resulted in field offices conducting assessments that did not meet these new requirements or standards. The OIG found that during a 2017 FBI-wide review of closed counterterrorism assessments, certain field offices did not take action on closed assessments identified as needing additional investigative action and implemented divergent practices in their reviews. As a result, the FBI must determine if some field offices may have missed opportunities to identify HVEs, or if actions taken by other offices may have had implications for the civil liberties of subjects of previously closed assessments. The OIG further

identified that the FBI has faced challenges integrating criminal threat matters into its system for assessing counterterrorism threats and developing an effective approach to determine whether threats by individuals with mental health issues pose an actual threat to national security or public safety, and therefore warrant additional action by the FBI. The OIG made seven recommendations to the FBI and the FBI agreed with all of them.

The OIG released a [video message](#) to accompany this report.

[Audit of the FBI's Controls over Weapons, Munitions, and Explosives](#)

The OIG issued a report examining the FBI's controls over weapons, munitions, and explosives. The OIG found that the FBI generally has strong physical controls over its weapons, munitions, and explosives, including firearms and ammunition seized as evidence. However, the OIG found the FBI must continuously work toward reducing its monthly rate of lost and stolen firearms and identified weaknesses related to the FBI's tracking of ammunition, less lethal munitions, explosives, and firearm evidence sent to the FBI's Laboratory Division for destruction. The OIG made 13 recommendations to improve the FBI's controls over these items, and the FBI agreed with all of them.

[Audit of the FBI's Intermountain West Regional Computer Forensics Laboratory](#)

The OIG issued a report examining the operations of the FBI's Intermountain West Regional Computer Forensics Laboratory (IWRFCFL) located in Salt Lake City, Utah. The OIG found that the IWRFCFL's performance was generally efficient and effective, and partnering agencies were satisfied with the service received, although the OIG also identified opportunities to improve the IWRFCFL's management of its training program, and also the self-service kiosks that law enforcement personnel use to process digital evidence from cell phones, DVDs, and other loose media. The OIG made six recommendations to the FBI to improve the IWRFCFL's operations, and the FBI agreed with all of them.

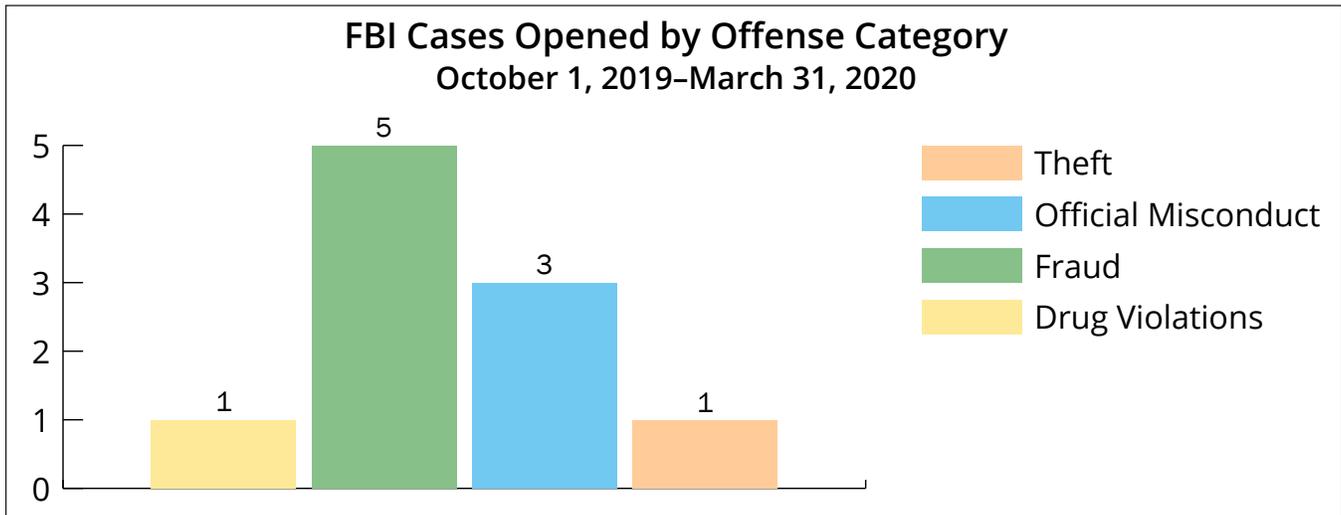
[Audit of the FBI's Western New York Regional Computer Forensic Laboratory](#)

The OIG issued a report examining the operations of the FBI's Western New York Regional Computer Forensics Laboratory (WNYRCFL) located in Buffalo, New York. The OIG found that the WNYRCFL did not meet its FYs 2015–2017 goals related to making progress towards ANSI National Accreditation Board accreditation, or its FY 2018 goal of completing the accreditation. As of September 2019, the WNYRCFL remained unaccredited. The OIG also found challenges related to how recruiting examiners and aging equipment have negatively impacted the efficiency of the WNYRCFL's operations, potentially putting it at risk for future backlogs. The OIG made one recommendation to the FBI to ensure that the WNYRCFL obtains its required accreditation, and the FBI agreed with it.

Investigations

During this reporting period, the OIG received 929 complaints involving the FBI. The most common allegations made against FBI employees were Official Misconduct; and Waste, Mismanagement. Most of the complaints received during this period were considered management issues and were provided to FBI management for its review and appropriate action.

The OIG opened 10 investigations and referred 80 allegations to the FBI's Inspection Division (INSD) for action or investigation with a requirement that the INSD report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 89 open criminal or administrative investigations of alleged misconduct related to FBI employees. The criminal investigations involved serious allegations of Official Misconduct; and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the FBI that the OIG conducted during this reporting period:

- Former FBI Task Force Officer Arrested Subsequent to a 29-count Indictment.** On January 22, 2020, a former FBI TFO was arrested following a 29-count Indictment for fraud, bribery, drug distribution, and false statements. According to the Indictment, the TFO allowed informants to retain drugs obtained during controlled buys, falsified law enforcement forms, used his official position to obtain sex from women in exchange for agreeing to take actions in prosecutions of the women's associates, distributed heroin, made false statements on a federal form, and made multiple false statements during an interview with OIG agents. The investigation is being conducted by the OIG's New Jersey Area Office and the FBI.
- Misconduct by an FBI Senior Official for Failing to Report an Intimate Relationship and to Avoid Creating the Appearance of Preferential Treatment.** The OIG initiated an investigation of an FBI senior official based on information that the senior official failed to report a romantic relationship with a subordinate and participated in decisions concerning the subordinate's temporary promotion. The OIG found that the senior official committed misconduct by failing to report the romantic relationship to appropriate personnel as required by FBI policy, and violated FBI ethics policy by creating the appearance of preferential treatment when the senior official participated in decisions regarding the subordinate's temporary promotion. The OIG has completed its investigation and provided its report to the FBI.

- **Findings of Misconduct by a then FBI Supervisory Intelligence Analyst for Knowingly Possessing Child Pornography.** On March 5, 2020, the OIG completed its report of investigation for an [investigation](#) initiated upon the receipt of information from the FBI's INSD alleging that a then FBI Supervisory Intelligence Analyst (SIA) had stated, during a routine FBI security inquiry, that the SIA had viewed and downloaded child pornography from the Internet several years earlier. The investigation was presented for prosecution and declined on June 18, 2019. The SIA was summarily dismissed by the FBI while the OIG investigation was pending. The OIG has completed its investigation and provided its report to the FBI.

Management Advisory Memorandum

- **[OIG Releases Management Advisory Memorandum for the Director of the FBI Regarding the Execution of Woods Procedures for Applications Filed with the FISC Relating to U.S. Persons.](#)** The OIG issued a Management Advisory Memorandum to the FBI Director identifying concerns with the FBI's execution of its Woods Procedures for applications filed with the FISC related to U.S. Persons. This memorandum arises out of an ongoing audit of the FBI's execution of its process for the verification of facts included in FISA applications the FBI submits to the FISC, which the FBI refers to as its Woods Procedures. Based upon the preliminary work conducted, the OIG does not have confidence that the FBI has executed its Woods Procedures in compliance with FBI policy. The OIG made two recommendations to the FBI, and the FBI agreed with both of them.

Ongoing Work

The OIG's ongoing work is available [here](#).

FBI's Adjudication of Misconduct Investigations

Review of Gender Equity in the FBI's Training and Selection Processes for New Special Agents and Intelligence Analysts at the FBI Academy

Audit of the FBI's Execution of its Woods Procedures for Applications Filed with the FISC Relating to U.S. Persons

Audit of Selected Aspects of the FBI's National Instant Criminal Background Check System

Audit of the FBI's Administration of Contract Awarded to Tuva, LLC

Audit of the FBI's National Security Undercover Operations

Audit of the FBI's Child Pornography Victim Assistance Program

Audit of the FBI's Covert Contracts

Audit of the FBI's Strategy and Efforts to Disrupt Illegal Dark Web Activities

Review of the DOJ's and FBI's Planning for a Future FBI Headquarters Facility

FEDERAL BUREAU OF PRISONS

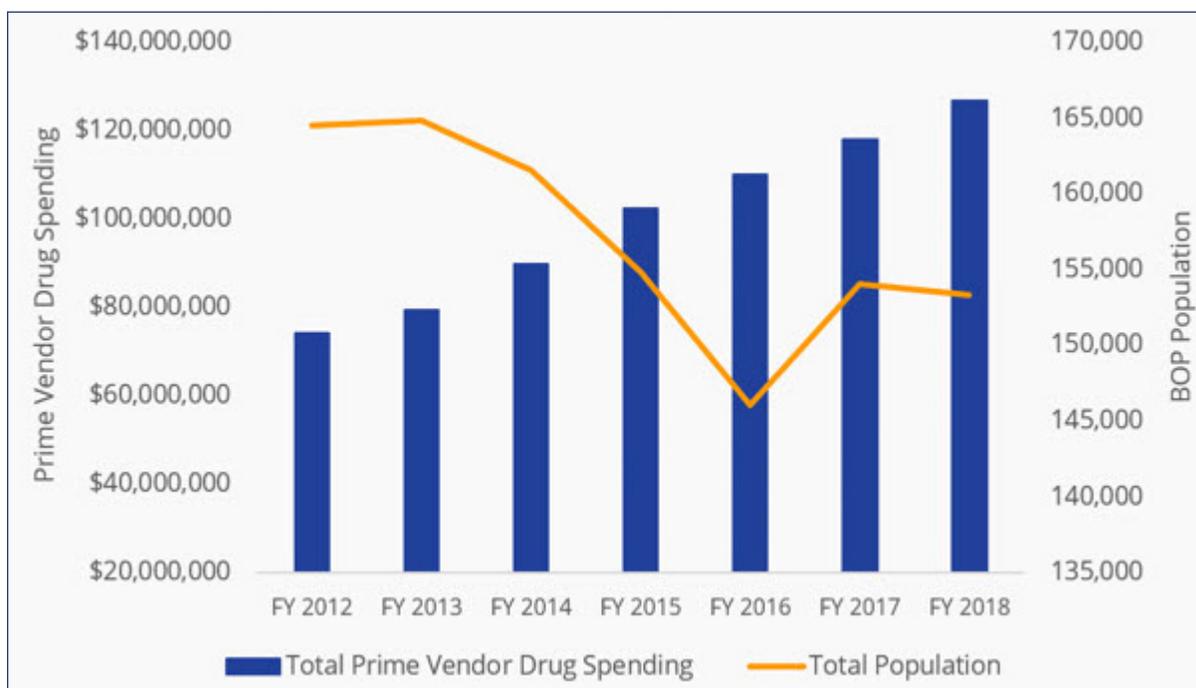
Reports Issued

[Review of the BOP's Pharmaceutical Drug Costs and Procurement](#)

The OIG examined the BOP's pharmaceutical drug procurement process, the prices it pays for drugs, and its efforts to control drug costs. The OIG found that DOJ is not prioritizing the BOP's efforts to obtain a certain discounted drug price, that the BOP is not ensuring the most cost-efficient drug procurement practices or collecting complete and accurate drug purchase data and analyzing it effectively, and that the BOP does not test all inmates for Hepatitis C or treat it consistently. The OIG made nine recommendations, and DOJ and the BOP agreed with all of their respective recommendations.

The OIG released a [video message](#) to accompany this report.

**BOP Annual Prime Vendor Drug Spending and Inmate Population,
FYs 2012–2018**



Note: The population figures pertain only to BOP-managed institutions.

Source: BOP data

Audit of the BOP's Monitoring of Inmate Communications to Prevent Radicalization

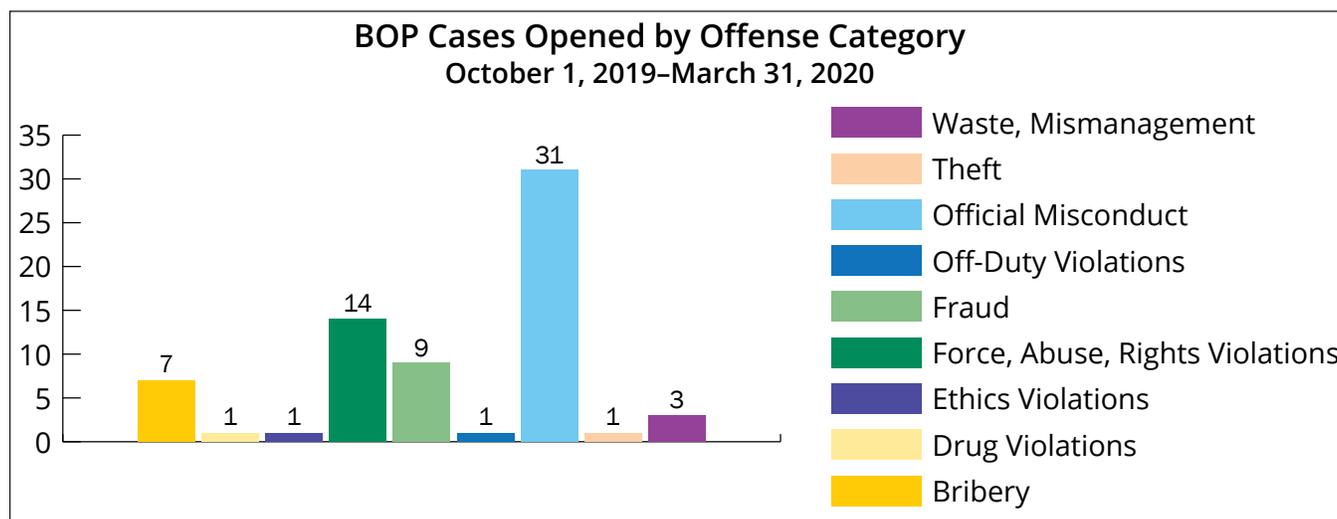
The OIG issued a report on the BOP's monitoring of inmate communications to prevent radicalization within its institutions. The OIG identified significant deficiencies with the BOP's monitoring of high-risk and terrorist inmates' communications. Specifically, the OIG found that the BOP did not identify all terrorist inmates admitted into its institutions; the BOP needs to improve its monitoring of inmate communications; the BOP's monitoring technology is inadequate for monitoring certain high-risk inmates; and the BOP's controls to prevent inmates from sharing potentially harmful discovery material are inadequate. The OIG made 17 recommendations to the BOP and 2 recommendations to ODAG that will strengthen the BOP's monitoring efforts, and the BOP and ODAG agreed with all of them.

The OIG released a [video message](#) to accompany this report.

Investigations

During this reporting period, the OIG received 4,108 complaints involving the BOP. The most common allegations made against BOP employees included Official Misconduct; and Force, Abuse, Rights Violations. The majority of complaints dealt with non-criminal issues that the OIG referred to the BOP's Office of Internal Affairs (OIA) for its review.

The OIG opened 68 investigations and referred 100 allegations to the BOP's OIA for action or investigation with a requirement that BOP OIA report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 285 open cases of alleged misconduct against BOP employees. The criminal investigations covered a wide range of allegations, including Official Misconduct; Force, Abuse, Rights Violations; and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the BOP that the OIG conducted during this reporting period:

- **Former BOP Correctional Officer Pleaded Guilty and Sentenced for Bribery and Permitting Escape.** On December 5, 2019, a former BOP Correctional Officer assigned to the FCC in Terre Haute, Indiana, pleaded guilty and was sentenced to 30 months of incarceration for one count each of conspiracy to bribe public officials, conspiracy for officer to permit escape, officer permitting escape, and public official accepting a bribe. According to the factual statement in support of the guilty plea, between September and December 2016, the Correctional Officer accepted bribes from inmates in exchange for allowing them to leave prison grounds without permission and spend time with acquaintances at nearby hotels. The investigation was conducted by the OIG's Chicago Field Office and the FBI.
- **Former BOP Facilities Assistant Sentenced for Solicitation of Bribery and Obstruction.** On October 24, 2019, a former BOP Facilities Assistant assigned to the FCC in Tucson, Arizona, was sentenced to 5 years of incarceration for solicitation of bribery and obstruction of a federal investigation. According to the factual statement in support of the guilty plea, in March 2016, the Facilities Assistant solicited an inmate to kill her ex-husband in exchange for smuggling the inmate contraband. Furthermore, she created and submitted a false record to the BOP in an attempt to conceal handwritten items she provided the inmate to assist with the murder of her ex-husband. The investigation was conducted by the OIG's Denver Field Office with forensic assistance provided by the OIG's Cyber Investigations Office.
- **Two Individuals Sentenced for Conspiracy to Defraud the United States.** On February 13, 2020, two non-DOJ individuals were sentenced to over 3 years of incarceration each for one count of conspiracy to defraud the United States. According to the factual statements in support of the guilty pleas, the individuals sold approximately 775,000 pounds of uninspected, misbranded, or adulterated meat product to at least 32 BOP institutions, at a cost of over \$1 million, in violation of the Federal Meat Inspection Act. The investigation was conducted by the OIG's Fraud Detection Office, U.S. Department of Agriculture OIG, and the Food Safety and Inspection Service Compliance and Investigations Division.
- **Former BOP Lieutenant Sentenced for Aiding and Abetting the Deprivation of Rights Under Color of Law.** On January 8, 2020, a former BOP Lieutenant assigned to the FCC in Beaumont, Texas, was sentenced to 24 months of incarceration for aiding and abetting the deprivation of rights under color of law. According to the factual statement in support of the guilty plea, in June 2017, the Lieutenant locked an inmate in a medical observation cell for suspicion of intoxication. When the inmate threw a food tray at the locked door, the Lieutenant told a senior Correctional Officer to "take care of it," and watched as the officer entered the cell and punched the inmate in the head three times without justification. The investigation was conducted by the OIG's Houston Area Office.
- **Findings that an Employee of a Contractor for the BOP Suffered Reprisal for Making a Protected Disclosure in Violation of Federal Law Protecting Contractor Whistleblowers.** On October 8, 2019, the OIG completed its report of investigation for an [investigation](#) initiated upon receipt of a complaint from a former employee of a contractor for the BOP, alleging that the employee suffered reprisal for making a protected disclosure under 41 U.S.C. § 4712(a), which extends whistleblower protections to and prohibits reprisal against employees of federal contractors and certain others who make protected disclosures as specified under the statute. Pursuant to 41 U.S.C. § 4712(b)(1), the OIG provided its report of investigation to the employee, the contractor, and the BOP. Corrective action is pending.

- **Findings of Misconduct by a BOP Supervisor for Engaging in an Inappropriate Sexual Relationship with a Subordinate and Related Misconduct.** On December 17, 2019, the OIG completed its report of investigation for an [investigation](#) initiated upon receipt of information from the BOP Office of Internal Affairs alleging that a BOP supervisor (since retired) had engaged in an inappropriate relationship with a subordinate. The investigation was first presented for prosecution and declined on July 28, 2017. It was presented a second time on July 31, 2017, and declined on October 10, 2017. The OIG has completed its investigation and provided its report to the BOP for appropriate action.
- **Findings of Misconduct by a BOP Warden for Acting Unprofessionally Toward a Subordinate, Abusing the BOP Awards Program, Violating BOP Alcohol Policy, and Directing a Subordinate Not to Follow BOP Policy on the Timely Reporting of Misconduct to BOP's Office of Internal Affairs.** On February 25, 2020, the OIG completed its report of investigation for an [investigation](#) initiated upon the receipt of information from a complainant alleging that a Warden at a Federal Correctional Institution of the BOP had acted unprofessionally toward a subordinate on one occasion; abused BOP's awards program by giving an unauthorized Quality Step Increase to another subordinate; and consumed alcohol in violation of BOP policy. The investigation was presented for prosecution on March 22, 2018, and declined on January 31, 2019. The OIG has completed its investigation and provided its report to the BOP for appropriate action.

Management Advisory Memoranda

- **[Procedural Reform Recommendation⁴ for the BOP on Ensuring that Contractor and Grantee Employees are Notified of Whistleblower Rights and Remedies.](#)** During a recent investigation in which it found reprisal against the former employee of a contractor, the OIG determined that the BOP and its contractor failed to comply with legal requirements to inform contractor employees “in writing of the rights and remedies provided under” 41 U.S.C. § 4712 (§ 4712), which provides whistleblower protections to employees of federal contractors and grantees. Accordingly, the OIG recommended that the BOP take steps to ensure that its contractors and any grantees are aware of the whistleblower protections that federal law provides, and that those contractors and any grantees take appropriate actions to notify their employees about whistleblower protections and to conform their internal policies to federal law.
- **[Management Advisory Memorandum Regarding Concerns Identified in the BOP Time-Sensitive Reporting Process.](#)** The OIG released a Management Advisory Memorandum to the Director of the BOP identifying concerns with BOP senior managers' compliance with time-sensitive reporting requirements in the BOP General Policy. This memorandum arose out of an ongoing OIG investigation of staff at a BOP Federal Correctional Institution. The OIG recommended that BOP consider how best to immediately reinforce BOP reporting requirements to management and staff agency-wide, and take appropriate steps to address any reporting requirement violations.
- **[Management Advisory Memorandum of Concerns Identified with the BOP's Procurement of Food Products.](#)** The OIG released a Management Advisory Memorandum to the Director of the BOP identifying concerns with BOP's procurement of food products. This memorandum arose out of multiple OIG investigations identifying instances in which

vendors have provided the BOP with substandard products. The OIG determined during the investigations that the BOP does not have protocols in place to ensure its food supply is safe and meets contractual requirements. The OIG made three recommendations to the BOP to help ensure that food products meet contract specifications and do not endanger the health of inmates and staff.

- **[Management Advisory Memorandum of Concerns Identified with the BOP's Compliance with DOJ Requirements on the Use and Monitoring of Computers.](#)** The OIG released a Management Advisory Memorandum to the Director of the BOP identifying concerns with the BOP's compliance with DOJ requirements on the use and monitoring of computers, cybersecurity, and records retention. This memorandum arose out of OIG investigations involving administrative misconduct by BOP personnel and misuse of their BOP-issued Samsung mobile devices. The OIG determined during the investigations that the BOP has not adhered to multiple DOJ policies regarding mobile devices and electronic systems. The OIG made four recommendations to the BOP to help ensure that BOP staff are compliant with DOJ policies.

Ongoing Work

The OIG's ongoing work is available [here](#).

Audit of the BOP's Management and Oversight of its Religious Services Program

Audit of the BOP's Contracts Awarded to the University of Massachusetts Medical School

Audit of the BOP's Compliance with the Government Charge Card Abuse Prevention Act of 2012

The BOP's Efforts to Address Inmate Sexual Harassment and Sexual Assault Against BOP Staff

Review of BOP Inmate Deaths in Custody

Review of the BOP's Policy Development Process

Audit of the BOP's Non-Lethal/Lethal Fence System Updates and Improvements Contract Awarded to DeTekion Security Systems, Inc.

Audit of DOJ's Efforts to Protect BOP Facilities Against Threats Posed by Unmanned Aircraft Systems

U.S. MARSHALS SERVICE

Report Issued

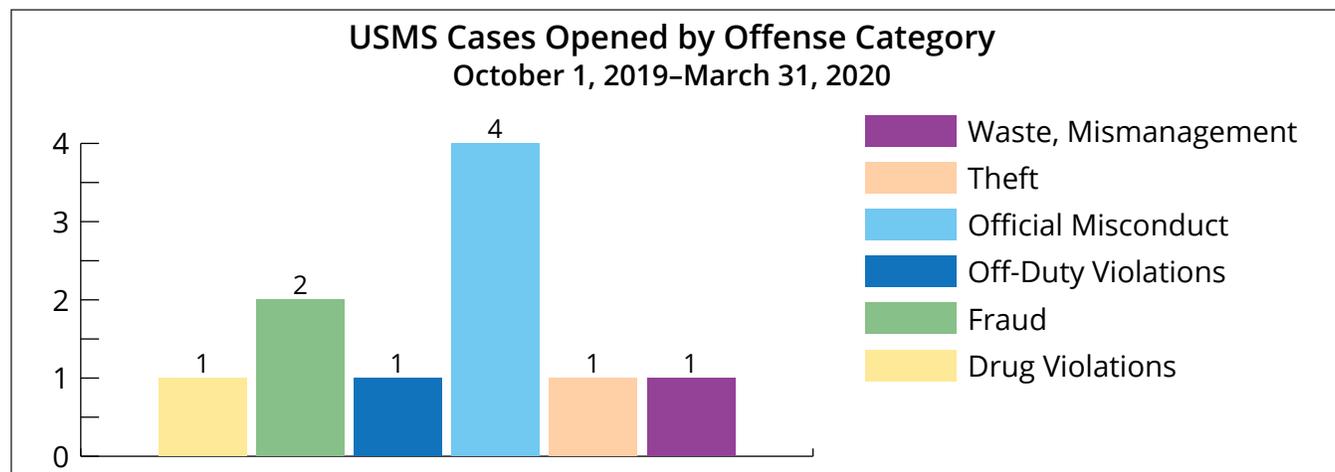
[Audit of the USMS's Administration of Joint Law Enforcement Operation Funds](#)

The OIG issued a report examining the USMS's administration of its Joint Law Enforcement Operation (JLEO) funds. From October 2015 to August 2019, the USMS expended \$97.5 million in JLEO funds, primarily for overtime reimbursements. The OIG found that the USMS generally had adequate internal controls and that it made additional improvements to those controls during and after the OIG's audit. However, the OIG identified areas for improvement, including: (1) the USMS did not always comply with its policies when reimbursing state and local law enforcement agencies for overtime, (2) the USMS could not determine whether all purchased vehicles were still in use for task force operations or properly returned to the USMS for disposition. The OIG made five recommendations to the USMS. The USMS's formal response described its planned actions to address each recommendation.

Investigations

During this reporting period, the OIG received 189 complaints involving the USMS. The most common allegations made against USMS employees were Official Misconduct; and Force, Abuse, Rights Violations. The majority of the complaints were considered management issues and were provided to the USMS's OIA for its review and appropriate action.

The OIG opened 10 investigations and referred 12 allegations to the USMS's OIA for its review with a requirement that OIA report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 48 open cases of alleged misconduct against USMS employees. The most common allegations were Official Misconduct; and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the USMS that the OIG conducted during this reporting period:

- **Former USMS Property Management Specialist Pleaded Guilty and Sentenced for Conspiracy to Steal Government Money.** On December 6, 2019, a former USMS Property Management Specialist was sentenced to 48 months of incarceration and restitution of \$150,720.52 for one count of conspiracy to steal government money. According to the factual statement in support of the guilty plea, the Property Management Specialist and others willfully and knowingly did combine, conspire and agree to steal funds administered by the Department of Defense (DOD) and the General Services Administration (GSA) for purchasing fuel for government vehicles. The investigation is being conducted by the OIG's Dallas Field Office, Defense Criminal Investigative Service, and the GSA, with assistance from the DOJ-OIG's Cyber Investigations and Fraud Detection Offices.
- **Former USMS Contract Commissary Officer Pleaded Guilty to Bribery of a Public Official.** On March 2, 2020, a former USMS Contract Commissary Officer assigned to the East Hidalgo Detention Center in La Villa, Texas, pleaded guilty to a single count of bribery of a public official. According to the factual statement in support of the guilty plea, from in or about January 2019 through on or about July 31, 2019, the Commissary Officer demanded and accepted U.S. currency in return for bringing in contraband into the correctional facility and distributing the contraband to federal inmates. The investigation is being conducted by the OIG's Houston Area Office, USMS, and FBI.

Ongoing Work

The OIG's ongoing work is available [here](#).

Audit of the USMS's Awarding and Administration of Sole-Source Contracts

Audit of the USMS Contract Awarded to the GEO Group, Incorporated to Operate the Robert A. Deyton Detention Center

Review of the USMS's Pharmaceutical Drug Costs for Detainees

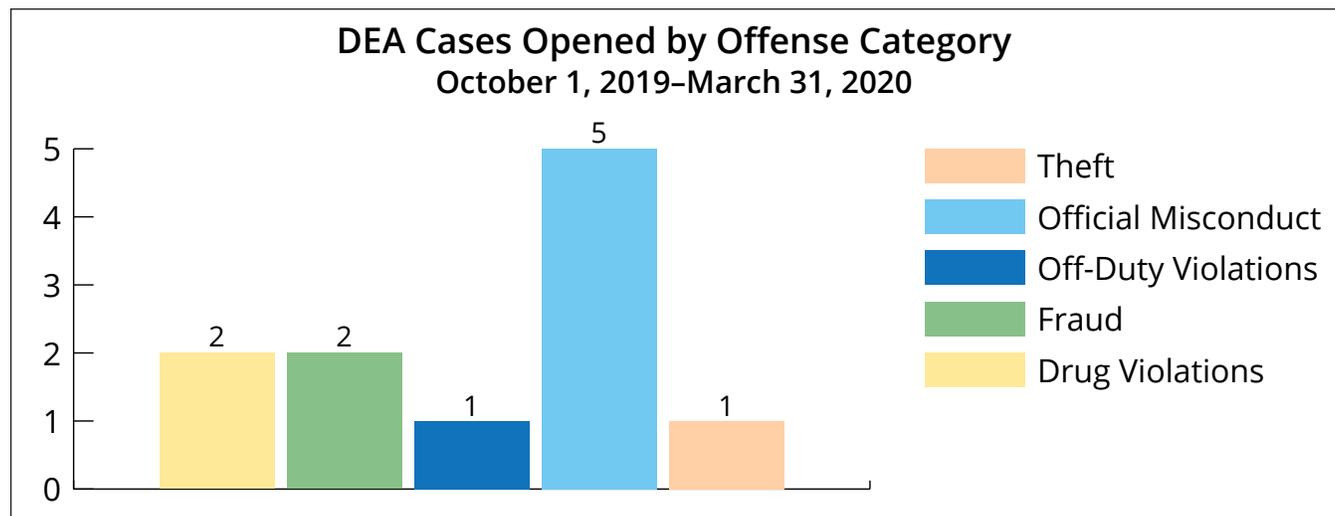
Review of the USMS's Tactical Training Officer Program

DRUG ENFORCEMENT ADMINISTRATION

Investigations

During this reporting period, the OIG received 296 complaints involving the DEA. The most common allegations made against DEA employees were Official Misconduct; and Off-Duty Violations. The majority of the complaints were considered management issues and were provided to the DEA for its review and appropriate action.

The OIG opened 11 cases and referred 49 allegations to the DEA's Office of Professional Responsibility (OPR) for action or investigation with a requirement that OPR report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 59 open cases of alleged misconduct against DEA employees. The most common allegations were Official Misconduct; and Fraud.



Source: Investigations Data Management System

The following are examples of investigations involving the DEA that the OIG conducted during this reporting period:

- Findings of Misconduct by a then DEA Section Chief for Misusing His Position.** On October 31, 2019, the OIG completed its report of investigation for an [investigation](#) initiated upon receipt of information from the U.S. Customs and Border Protection's OPR alleging misconduct by a then DEA Section Chief directed toward a U.S. Postal Service letter carrier. This investigation was not reported in the last semiannual to allow for additional administrative review. The investigation was presented for prosecution and declined on May 23, 2018. The OIG completed its investigation and provided its report to the DEA for its information.

- **Former DEA Special Agent Indicted and Arrested on Charges of Bribery, Obstruction, and Conspiracy.** On November 5, 2019, a retired DEA Special Agent was indicted and arrested on charges of bribery, obstruction, and conspiracy. According to the Indictment, between 2008 and 2017, the Special Agent provided information to targets of criminal investigations that obstructed efforts to investigate those targets, assisted in shielding targets from investigations, and made false statements to the OIG. The investigation is being conducted by the OIG's New York Field Office with assistance from the DHS HSI; forensic assistance is being provided by the OIG's Cyber Investigations Office.

Ongoing Work

The OIG's ongoing work is available [here](#).

Audit of the DEA's Establishment and Oversight of DEA Supported Foreign Law Enforcement Units

Audit of the DEA's Support Contracts for its Laboratory Information Management System

Audit of the DEA's Income-Generating Undercover Operations

Audit of the DEA's Prescription Drug Take Back Activities

Audit of the DEA's Community-Based Efforts to Combat the Opioid Crisis

BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES

Investigations

During this reporting period, the OIG received 207 complaints involving ATF personnel. The most common allegations made against ATF employees were Official Misconduct; and Waste, Mismanagement. The majority of the complaints were considered management issues and were provided to ATF for its review and appropriate action.

The OIG opened 3 cases (bribery, ethics violations, and official misconduct) and referred 21 allegations to OPR for action or investigation with a requirement that OPR report the results of its action or investigation to the OIG. At the close of the reporting period, the OIG had 20 open criminal or administrative investigations of alleged misconduct related to ATF employees. The investigations included Official Misconduct; and Off-Duty Violations.

Ongoing Work

The OIG's ongoing work is available [here](#).

Audit of ATF's Small Business Contracts Awarded to Shearwater Systems, LLC

Use of Government-Owned Vehicles for Home to Work Transportation by ATF Headquarters Officials

OFFICE OF JUSTICE PROGRAMS

Reports Issued

[Review of OJP's Corrective Actions to Address Dollar-Related Audit Recommendations](#)

The OIG issued a report examining corrective actions implemented by OJP to address OIG dollar-related recommendations in its grant audit reports closed during FY's 2015 through 2017. The OIG analyzed OJP's corrective actions to close 61 grant audit reports during FYs 2015 through 2017 that identified approximately \$45.5 million in dollar-related recommendations. Roughly, 43 percent (\$19.7 million) of these costs involved "Compromised" costs, which were not collected because of a court judgment, settlement, or legal agreement. The next largest category was "Adjusted Supported" (\$8 million) costs, which were not adequately supported at the time of the OIG audit, but were later supported by subsequent documentation provided to OJP by a grant recipient. The third largest category was "Adjusted Approved" (\$7.1 million) costs the OIG had determined were unallowable at the time of the audit but were retroactively approved by OJP. The OIG found that OJP employed a credible audit follow-up process to address the dollar-related recommendations, however, there are areas where OJP could strengthen its audit resolution processes related to accepting supporting documentation from grantees for previously unsupported costs and granting retroactive approvals on expenditures not in compliance with grant terms. The OIG made three recommendations to OJP, and OJP agreed with all of them.

Audits of Grants to State and Local Entities

During this reporting period, the OIG audited three external OJP grant recipients, including recipients receiving funds from multiple DOJ components, as described by the following examples.

- **Audit of OJP's Cooperative Agreements Awarded to Refugee Services of Texas, Inc., Dallas, Texas.** The OIG issued a report on four grants totaling over \$2.7 million awarded to [Refugee Services of Texas, Inc.](#) (RST). The OIG concluded that RST demonstrated adequate progress towards achieving the goals. However, the OIG identified \$24,969 in unallowable expenditures related to unauthorized personnel costs, contractor and consultant services, travel costs, shredding services, and other direct costs; and \$275,365 in unsupported expenditures related to personnel costs, contractor and consultant services, other direct costs, and matching costs. The OIG also found that progress reports were inaccurate or not supported, financial reports were inaccurate, RST was not in compliance with a special condition of the award, and RST did not have a reliable and documented methodology for allocating costs among awards prior to October 2018. The OIG made 10 recommendations to OJP, and OJP agreed with all of them.
- **Audit of OJP's Office for Victims of Crime Award to Pennsylvania State University, State College, Pennsylvania.** The OIG issued a report on a grant totaling \$4,143,143 to [Pennsylvania State University](#) (PSU). OJP awarded this grant in 2016 for developing or

enhancing statewide telemedicine programs to deliver expert Sexual Assault Nurse Examiner guidance to medical professionals conducting sexual assault forensic exams in state correctional facilities, institutions of higher education, and rural and tribal communities. The OIG found that PSU demonstrated adequate progress towards achieving the grant's stated goals. PSU's grant-related expenditures were allowable and supported. The OIG did not identify significant deficiencies related to PSU's grant administration functions including budget management, requests for grant funding, and reporting.

- **Audit of OJP's Grants Awarded to New Castle County Police Department, New Castle, Delaware.** The OIG issued a report on eight grants, totaling almost \$1.6 million, to [New Castle County](#). OJP awarded these grants, from 2013 through 2018, for the purposes of supporting the purchase of DNA processing equipment and body worn cameras for the county police department, as well as funding overtime and training for law enforcement officers. The OIG found that New Castle County demonstrated adequate progress towards achieving the grants' stated goals and objectives. The OIG made no recommendations to OJP.

Investigations

During this reporting period, the OIG received 43 complaints involving OJP. The most common allegation made against OJP employees, contractors, or grantees was Fraud.

The OIG opened four fraud cases. At the close of the reporting period, the OIG had 31 open criminal or administrative investigations of alleged misconduct related to OJP employees, contractors, or grantees. The most common allegation was grantee fraud.

Management Advisory Memorandum

- **[Management Advisory Memorandum of Concerns Identified in OJP's Regional Information Sharing Systems Grants](#).** The OIG issued a Management Advisory Memorandum to OJP identifying concerns involving its Regional Information Sharing Systems (RISS) program grants. The OIG's audit of OJP RISS grants awarded to the Rocky Mountain Information Network identified unallowable and unsupported professional dues paid to the RISS Directors Association (RDA). The OIG found that the RDA made expenditures using RISS grant funds not allowed under the RISS program. Assuming that the RISS Centers have been providing \$1,000 annually since the RDA was established, the unallowable expenditures using RISS funds could be in excess of \$100,000. The OIG made one recommendation, and OJP agreed with it.

CRIME VICTIMS FUND

The Crime Victims Fund (CVF) was established by the Victims of Crime Act of 1984 (VOCA) and serves as a major funding source for victim services throughout the country. The fund includes deposits from criminal fines, forfeited bail bonds, penalty fees, and special assessments collected by USAOs, U.S. Courts, and BOP. OJP's Office for Victims of Crime administers the CVF by sending states funding directly through the VOCA victim assistance and compensation formula grants and awarding discretionary grants to state and local public and private entities to support national-scope projects, training, and technical assistance that enhance the professional expertise of victim service providers. Since FY 2015, Congress substantially increased the amount of funding available from the CVF for these Department programs. From FY 2015 through 2019, DOJ has awarded more than \$13 billion in funding for CVF programs.

The OIG's audits of victims of crime programs have resulted in more than 100 recommendations to improve recipients' administration of CVF-funded grants, enhance program performance, improve monitoring of thousands of subrecipients, and help ensure accountability for billions of CVF dollars. During this semiannual reporting period, the Audit Division issued 3 reports and, at the end of the period, had 12 ongoing audits of OJP programs and grants that received CVF funds. Examples of the reports issued this period are described below.

Reports Issued

Audits of CVF Grants to State and Local Entities

During this reporting period, the OIG audited three CVF-funded grant recipients, as described by some of the following examples.

- **Audit of OJP's Victim Compensation Grants Awarded to the Connecticut Judicial Branch, Hartford, Connecticut.** The OIG issued a report on three grants totaling over \$2.3 million awarded to the [Connecticut Judicial Branch](#) (CJB). OJP awarded these grants between FYs 2015 and 2016 to provide financial support through the payment of compensation benefits to crime victims throughout Connecticut. As of September 2019, CJB drew down a cumulative amount of \$1.4 million. The OIG concluded that CJB used its grant funding to enhance its crime victim compensation program. However, the OIG found that CJB's policies for lost wage documentation could be strengthened. The OIG made one recommendation, and OJP and CJB agreed with it.
- **Audit of OJP's Victim Compensation Grants Awarded to the Oregon Department of Justice, Salem Oregon.** The OIG issued a report on four grants totaling over \$4.2 million awarded to the [Oregon Department of Justice](#) (OR DOJ). OJP awarded these grants between FYs 2015 and 2018 to provide financial support through the payment of compensation benefits to crime victims throughout Oregon. The OIG concluded that OR DOJ used its

grant funding to enhance its crime victim compensation program. However, OR DOJ did not maintain documentation supporting the performance measures, was not in compliance with one special condition tested, and did not have adequate controls to monitor and identify administrative costs. The OIG made three recommendations, and OJP agreed with all of them.

- **Audit of OJP's Victim Compensation Grants Awarded to the Wyoming Office of the Attorney General, Cheyenne, Wyoming.** The OIG issued a report on four grants totaling over \$2.4 million awarded to the [Wyoming Office of the Attorney General](#). The OIG concluded that the Wyoming Crime Victim Compensation Program (WCVCP) established an adequate program to compensate victims and survivors of criminal violence. However, the OIG identified issues with the lack of policies and procedures related to program performance reports. The OIG also identified errors in the state certification form for FYs 2013 through 2017, resulting in the WCVCP receiving \$822,000 in excess grant funds. Furthermore, the OIG identified \$16,345 in unsupported expenditures and \$1,791 in unallowable expenditures charged to the grant. The OIG made eight recommendations to OJP, and OJP agreed with all of them.

OTHER DEPARTMENT COMPONENTS

Environment and Natural Resources Division

Ongoing Work

The OIG's ongoing work is available [here](#).

Audit of the Environment and Natural Resources Division's Procurement and Administration of Expert Witness Contracts

Audit of the Superfund Activities in the Environment and Natural Resources Division for FY 2018

Executive Office for Immigration Review

Investigation

The following is an example of an investigation that the OIG conducted during this reporting period:

- **Misconduct by a Senior Official for Engaging in a Prohibited Personnel Practice.** The OIG initiated an investigation of a senior official in the Executive Office for Immigration Review (EOIR) upon receipt of information alleging that the senior official provided job applicants the interview questions in advance of their interviews. The OIG found that the senior official provided at least one Immigration Judge candidate with the interview questions before the candidate's interview in 2014, and that by doing so, committed misconduct by engaging in a prohibited personnel practice in violation of 5 U.S.C. § 2302(b)(6). The OIG completed its investigation and provided its report to EOIR.

Ongoing Work

The OIG's ongoing work is available [here](#).

Inspection and Review of EOIR Immigration Hearings Conducted via Video Teleconference

Audit of the EOIR Recognition and Accreditation Program

Audit of EOIR's Financial Management Practices

Executive Office for U.S. Attorneys

Investigations

The following are examples of investigations that the OIG conducted during this reporting period:

- Former AUSA Sentenced for Theft of Public Money.** On March 5, 2020, a former Assistant United States Attorney (AUSA) assigned to the USAO for the Western District of Tennessee was sentenced to 1 year of probation and ordered to pay \$10,000 in restitution for one count of theft of public money. The investigation was presented for prosecution on November 2, 2018, and accepted that same day. According to the factual statement in support of the guilty plea, from no later than June 12, 2018, through on or about June 11, 2019, the AUSA knowingly and intentionally misreported and falsely certified her time and attendance records, enabling her to accrue leave time to which she was not entitled from DOJ. The investigation was conducted by the OIG's Atlanta Area Office.
- Former EOUSA IT Specialist Sentenced For Possession Of Child Pornography.** On October 21, 2019, a former Executive Office for United States Attorneys (EOUSA) IT Specialist at the USAO in Jacksonville, Florida, was sentenced to 48 months of incarceration and ordered to pay \$15,000 in restitution; serve 10 years of supervised release; and register as a sex offender for possession of child pornography. According to the factual statement in support of the guilty plea, in November 2018, the IT Specialist possessed a laptop computer that had approximately 1630 images of child pornography, of which 270 were videos. The investigation was conducted by the OIG's Miami Field Office, HSI, and the Jacksonville Sheriff's Office.
- Findings of Misconduct by a then AUSA for Conduct Prejudicial to the Government and Attempted Misuse of Position.** On March 3, 2020, the OIG completed its report of investigation for an [investigation](#) initiated after receiving information from the EOUSA alleging that an AUSA, who has since resigned, was arrested for Driving Under the Influence while off-duty, and that the AUSA was extremely belligerent with law enforcement officials and tried to use the AUSA's official position to avoid any adverse action being taken by those law enforcement officials. The investigation was not presented for prosecution. The OIG completed its investigation and provided its report to EOUSA and DOJ OPR for appropriate action.

Justice Management Division

Investigation

The following is an example of an investigation that the OIG conducted during this reporting period:

- **Former JMD Contractor Charged and Arrested for Possession of Child Pornography.** On January 14, 2020, a former JMD Contract Network Administrator in Fayetteville, Arkansas, was charged with a single count of possession of child pornography and arrested on January 16, 2020. According to the Indictment, on or about April 13, 2018, through May 28, 2019, the Network Administrator knowingly accessed a server connected to the Internet with intent to view child pornography. The investigation is being conducted by the OIG's Dallas Field Office, with substantial forensic assistance from the OIG's Cyber Investigations Office.

Money Laundering and Asset Recovery Section

Ongoing Work

The OIG's ongoing work is available [here](#).

Audit of the Money Laundering and Asset Recovery Section's Administration of the Equitable Sharing Program

Office on Violence Against Women

Reports Issued

Audits of OVW Grants

The Office on Violence Against Women (OVW) administers financial and technical assistance to communities across the country for the development of programs, policies, and practices aimed at ending domestic violence, dating violence, sexual assault, and stalking. The OVW recipients include state and local governments, universities, non-profit agencies, and for-profit agencies. During this reporting period, the OIG conducted three audits of OVW grant recipients, as described by the examples below.

- **Audit of the OVW's Justice for Families Program Grant Awarded to the Arlington County Supervised Visitation and Safe Exchange Program Arlington, Virginia.** The OIG issued a report on a \$585,060 grant to the [Arlington County Supervised Visitation and Safe Exchange Program](#) (Safe Havens) to support supervised visitation and related services for families experiencing domestic violence, dating violence, sexual assault, stalking, or alleged

child abuse. The OIG found that Safe Havens was achieving its goals but needed to improve its reporting of grant-related service data; did not comply with grant expenditures and subrecipient monitoring requirements; and must improve financial management policies. The report made four recommendations to the OVW to assist Safe Havens, and the OVW agreed with all the recommendations while Safe Havens did not expressly agree or disagree with the recommendations.

- **Audit of the OVW's Grants to Encourage Arrest Policies and Enforcement of Protection Orders Awarded to the Fairfax County Domestic Violence Action Center, Fairfax, Virginia.** The OIG issued a report on two grants totaling \$1.8 million awarded to the [Fairfax County Domestic Violence Action Center](#) (DVAC). The OVW awarded the grants in 2014 and 2017 to enhance victim safety in cases of domestic violence, and to build partnerships between criminal justice agencies, victim services providers, and community organizations. The OIG found that the DVAC generally managed the grant funds appropriately. The OIG could not assess DVAC's progress towards the goals, DVAC's progress reports included unsupported and unverifiable data and found inaccuracies in some subrecipient invoices. The OIG made three recommendations, and both the OVW and the DVAC agreed with all of them.
- **Audit of the OVW's Grant Awarded to Life Span, Chicago, Illinois.** The OIG issued a report on a grant totaling \$600,000 to [Life Span](#). The OVW awarded this grant in 2017 for the purpose of providing legal services to victims of domestic and sexual violence. The OIG found that Life Span demonstrated adequate progress towards achieving the grant's stated goals but must enhance its process to adequately track and report its performance. Life Span must also improve its financial management structure and compliance with grant requirements. The OIG identified \$9,371 in unallowable costs. The OIG made seven recommendations, and both the OVW and Life Span agreed with all of them.

TOP MANAGEMENT AND PERFORMANCE CHALLENGES

The OIG has published a report on the top management and performance challenges facing DOJ annually since 1998. The report is based on the OIG's oversight work, research, and judgment. By statute, this report is required to be included in DOJ's annual Agency Financial Report.

This year's report identifies eight challenges that the OIG believes represent the most pressing concerns for DOJ. While the challenges are not rank-ordered, the OIG believes that challenges in three critical areas—prisons, national security, and cybersecurity—will continue to occupy much of DOJ's attention and require vigilance for the foreseeable future.

In addition, the OIG has identified one new challenge, the need for the Department to effectively manage and oversee its exercise of certain sensitive investigative authorities, such as the use of confidential sources and surveillance authorized under FISA, as an emerging issue that merits DOJ's continued attention. Meeting all of these challenges will require DOJ to develop innovative solutions and conduct careful monitoring of its efforts to achieve success.

Top Management and Performance Challenges for the Department of Justice–2019

- Managing a Safe, Secure, and Humane Prison System
- Safeguarding National Security and Countering Domestic and International Terrorism
- Protecting the Nation and the Department against Cyber-Related Threats
- Management of Sensitive Investigative Authorities
- Law Enforcement Coordination and Community Engagement
- Administering and Overseeing Contracts and Grants
- Using Performance-Based Management
- Fostering a Diverse, Highly-Skilled Workforce

Detailed information about DOJ's management and performance challenges is available online [here](#).

TESTIMONY/LEGISLATION AND REGULATIONS

Congressional Testimony

During this reporting period, the Inspector General testified on three occasions:

“Protecting Those Who Blow the Whistle on Government Wrongdoing” before the U.S. House of Representatives Committee on Oversight and Reform Subcommittee on Government Operations on [January 28, 2020](#).

“DOJ OIG FISA Report: Methodology, Scope, and Findings” before the U.S. Senate Committee on Homeland Security and Governmental Affairs on [December 18, 2019](#).

“Examining the Inspector General’s Report on Alleged Abuses of the Foreign Intelligence Surveillance Act” before the U.S. Senate Committee on the Judiciary on [December 11, 2019](#).

Legislation and Regulations

The IG Act directs the OIG to review proposed legislation and regulations relating to the programs and operations of DOJ. Although DOJ’s Office of Legislative Affairs reviews all proposed or enacted legislation that could affect DOJ’s activities, the OIG independently reviews proposed legislation that could affect its operations and legislation that relate to waste, fraud, or abuse in DOJ’s programs and operations. For example, during this period, the OIG reviewed legislation, including the National Defense Authorization Act for FY 2020, the CARES Act, and the Payment Integrity Information Act of 2019.

WHISTLEBLOWER PROTECTION COORDINATOR PROGRAM

Whistleblowers perform a critical role when they bring forward evidence of wrongdoing and they should never suffer reprisal for doing so. The OIG Whistleblower Protection Coordinator Program (the Whistleblower Program) works to ensure that whistleblowers are fully informed of their rights and protections from reprisal.

In testimony on January 28, 2020, before the House Committee on Oversight and Reform, Inspector General Horowitz reinforced these important principles at a hearing entitled, “Protecting Those Who Blow the Whistle on Government Wrongdoing.” In his prepared statement, Inspector General Horowitz noted:

For over 40 years, since enactment of the Inspector General Act in 1978, information provided by whistleblowers has played a central role in the ability of Inspectors General to conduct non-partisan, independent oversight of federal programs and operations. Accordingly, during my tenure as Inspector General of DOJ and Chair of the Council of the Inspectors General on Integrity and Efficiency (CIGIE), one of my highest priorities, and a critical CIGIE initiative, has been to educate federal employees about the importance of whistleblowing, and to ensure that those who blow the whistle are protected from retaliation.

The OIG’s Whistleblower Program appreciates the long-standing, bipartisan interest in Congress in the protection of government whistleblowers, and the opportunity to highlight their importance to the oversight work of the IG community.

October 1, 2019–March 31, 2020

Employee complaints received ⁵	234
Employee complaints opened for investigation by the OIG	75
Employee complaints that were referred by the OIG to the components for investigation	73
Employee complaint cases closed by the OIG ⁶	65

STATISTICS

Audit Overview

During this reporting period, the OIG's Audit Division issued 29 internal and external audit reports, which contained more than \$1.2 million in questioned costs, reported over \$9 thousand in funds recommended to be put to better use, and made 140 recommendations for management improvement.⁷ Specifically, the Audit Division issued 20 internal audit reports of DOJ programs; and 9 external audit reports of grants and other agreements funded at over \$16 million. The Audit Division also issued 19 Single Audit Act audits of programs funded at more than \$263 million and 3 other reports.⁸ In addition, the Audit Division issued two Management Advisory Memoranda and one Notification of Irregularity.⁹

Questioned Costs¹⁰

Reports	Number of Reports	Total Questioned Costs (including unsupported costs)	Unsupported Costs ¹¹
Audits			
No management decision made by beginning of period ¹²	0	\$0	\$0
Issued during period	6 ¹³	\$1,388,406	\$784,085
Needing management decision during period	6	\$1,388,406	\$784,085
Management decisions made during period:			
–Amount of disallowed costs ¹⁴	6	\$1,388,406	\$784,085
–Amount of costs not disallowed	0	\$0	\$0
No management decision at end of period	0	\$0	\$0

Funds Recommended to Be Put to Better Use¹⁵

Reports	Number of Reports	Unsupported Costs
Audits		
No management decision made by beginning of period ¹⁶	0	\$0
Issued during period	1	\$9,351
Needing management decision during period	1	\$9,351
Management decisions made during period:		
-Amount of disallowed costs ¹⁷	1	\$9,351
-Amount of costs not disallowed	0	\$0
No management decision at end of period	0	\$0

Significant Recommendations for Which Corrective Actions Have Not Been Completed

Reports	Report Title	Rec. No.	Recommendation
Audits			
20-047 (March 2020)	Management Advisory Memorandum for the Director of the FBI Regarding the Execution of Woods Procedures for Applications Filed with the FISC Relating to U.S. Persons	1	The OIG recommended that the FBI institute a requirement that it, in coordination with the National Security Division, systematically and regularly examine the results of past and future accuracy reviews to identify patterns or trends in identified errors so that the FBI can enhance training to improve agents' performance in completing the Woods Procedures, or improve policies to help ensure the accuracy of FISA applications.
		2	The OIG recommended that the FBI perform a physical inventory to ensure that Woods Files exist for every FISA application submitted to the FISC in all pending investigations.
20-030 (March 2020)	Audit of the FBI's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments	2	The OIG recommended that the FBI assess the legal, policy, and civil liberties issues implicated by the FBI's Office of General Counsel (OGC) guidance related to database checks during the Deputy Director's Closed Guardian Review, as well as Counterterrorism Division and field offices' execution of the review in contrast to this guidance, and determine, what, if any, follow-up action is necessary. If the FBI OGC's guidance was required by policy, determine whether it may be appropriate and consistent with applicable law to amend FBI policy to permit follow-up inquires of closed assessments in certain circumstances.

20-009 (November 2019)	Audit of the FBI's Management of its Confidential Human Source Validation Processes	8	The OIG recommended that the FBI reengineer its process for CHS validation to ensure that the CHSs with the greatest risk factors are selected, that those selections are independently assessed by headquarters, and that continued CHS use determinations receive appropriate headquarters scrutiny.
GR-60-15-015 (September 2015)	Audit of OJP's Correctional Systems and Correctional Alternatives on Tribal Lands Program Grants Awarded to the Navajo Division of Public Safety, Window Rock, Arizona	9	The OIG recommended that OJP remedy \$32,034,623 in unallowable expenditures associated with excessive building sizes for Grant Numbers 2009-ST-B9-0089 and 2009-ST-B9-0100.

Evaluations

20-027 (February 2020)	Review of the BOP's Pharmaceutical Drug Costs and Procurement	1	The OIG recommended that the Department, in consultation with the appropriate Department components and other federal stakeholders: formally assess the risks and benefits of seeking to obtain Big 4 pricing for pharmaceutical purchases, as well as the authority to cap reimbursement for outside medical care at the Medicare rate, for the Department and all of its components, and, if warranted by the assessments, develop a plan to obtain such pricing and/or authority, including timeframes and assignments of responsibility for pursuing the plan.
19-05 (October 2019)	Review of the DEA's Regulatory and Enforcement Efforts to Control the Diversion of Opioids	1	The OIG recommended that DEA develop a national prescription opioid enforcement strategy that encompasses the work of all DEA field divisions tasked with combating the diversion of controlled substances, and establish performance metrics to measure the strategy's progress.

19-01 (December 2018)	Review of DOJ's Implementation of the Death in Custody Reporting Act of 2013	4	The OIG recommended that OJP conduct a study on data collected under the Death in Custody Reporting Act of 2013 as described in the statute and submit a report on the study to Congress as soon as practicable.
17-05 (July 2017)	Review of the BOP's Use of Restrictive Housing for Inmates with Mental Illness	1	The OIG recommended that the BOP establish in policy the circumstances that warrant the placement of inmates in single-cell confinement while maintaining institutional and inmate safety and security and ensuring appropriate, meaningful human contact and out-of-cell opportunities to mitigate mental health concerns.
16-05 (June 2016)	Review of the BOP's Contraband Interdiction Efforts	3	The OIG recommended that the BOP develop uniform guidelines and criteria for conducting random staff pat searches across all institutions that require a minimum frequency and duration for search events to ensure that appropriate numbers of staff on each shift are searched with appropriate frequency.
15-3 (January 2015)	Review of the DEA's Use of Cold Consent Encounters at Mass Transportation Facilities	1	The OIG recommended that DEA consider how to determine if cold consent encounters are being conducted in an impartial manner, including reinstating the collection of racial and other demographic data and how it could be used to make that assessment.

Special Reviews

18-04 (June 2018)	A Review of Various Actions by the FBI and DOJ in Advance of the 2016 Election	1a	The OIG recommended that the Department consider developing practice guidance that would assist investigators and prosecutors in identifying the general risks with and alternatives to permitting a witness to attend a voluntary interview of another witness, in particular when the witness is serving as counsel for the other witness.
		2	The OIG recommended that the Department consider making explicit that, except in situations where the law requires or permits disclosure, an investigating agency cannot publicly announce its recommended charging decision prior to consulting with the Attorney General, Deputy Attorney General, U.S. Attorney, or his or her designee, and cannot proceed without the approval of one of these officials.
		3a	The OIG recommended that the Department consider adopting a policy addressing the appropriateness of Department employees discussing the conduct of uncharged individuals in public statements.
		3b	The OIG recommended that the FBI consider adopting a policy addressing the appropriateness of Department employees discussing the conduct of uncharged individuals in public statements.
		4	The OIG recommended that the Department consider providing guidance to agents and prosecutors concerning the taking of overt investigative steps, indictments, public announcements, or other actions that could impact an election.

Reports Without Management Decisions for More than 6 Months

The OIG did not have any this reporting period.

Description and Explanation of the Reasons for Any Significant Revised Management Decision Made During the Reporting Period

The OIG did not revise any significant management decisions this reporting period.

Significant Recommendations in Disagreement for More than 6 Months

The OIG did not make any significant management decisions with which the OIG disagreed this reporting period.

Audit Follow-up

OMB Circular A-50

OMB Circular A-50, *Audit Follow-up*, requires audit reports to be resolved within 6 months of the audit report issuance date. The Audit Division monitors the status of open audit reports to track the audit resolution and closure process. As of March 31, 2020, the Audit Division was monitoring the resolution process of 181 open reports and closed 65 reports this reporting period.

Evaluation and Inspections Workload and Accomplishments

The following chart summarizes the workload and accomplishments of the Evaluation and Inspections Division during the 6-month reporting period ending March 31, 2020.

Workload and Accomplishments	Number of Reviews
Reviews active at beginning of period	7
Reviews cancelled	0
Reviews initiated	5
Final reports issued	2
Reviews active at end of reporting period	10

Investigations Statistics

The following chart summarizes the workload and accomplishments of the Investigations Division during the 6-month period ending March 31, 2020.

Source of Allegations ¹⁸	
Hotline (Telephone, Mail, and Email)	3,337
Other Sources	3,625
Total Allegations Received	6,962
Investigative Caseload	
Investigations Opened this Period	126
Investigations Closed and Reports of Investigation Issued this Period ¹⁹	115
Investigations in Progress as of 3/31/20	602
Prosecutive Actions	
Criminal Indictments/Informations ²⁰	31
Arrests	57
Convictions/Pleas	32
Prosecutions Referred to the Department of Justice ²¹	137
Prosecutions referred to State and Local Prosecutors ²²	11
Administrative Actions	
Terminations	23
Resignations	35
Disciplinary Action	31
Monetary Results	
Fines/Restitutions/Recoveries/Assessments/Forfeitures	\$458,726.26
Civil Fines/Restitutions/Recoveries/Penalties/Damages/Forfeitures	\$0

Investigations Division Briefing Programs

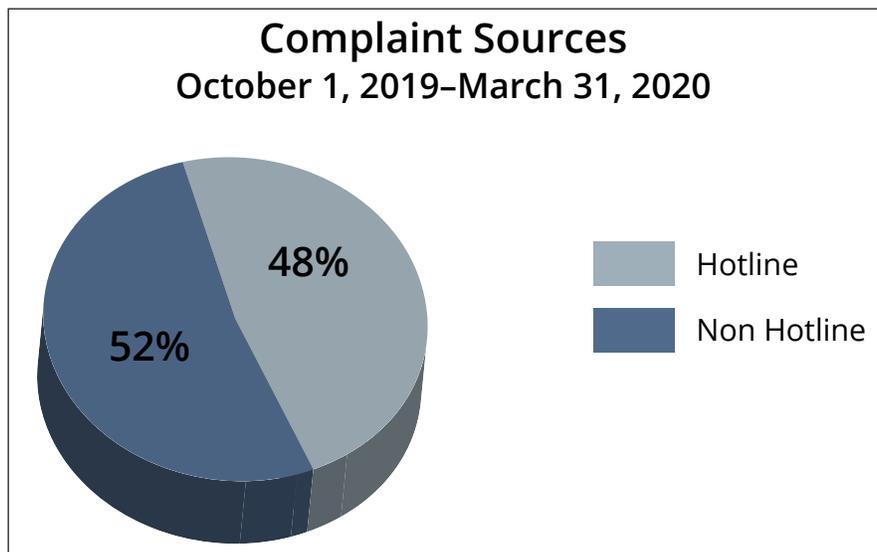
OIG investigators conducted 61 Integrity Awareness Briefings for DOJ employees and other stakeholders throughout the country. These briefings are designed to educate employees and other stakeholders about the misuse of a public official's position for personal gain and to deter employees and other stakeholders from committing such offenses. The briefings reached 3,833 employees.

OIG Hotline

During FY 2020, the OIG received the majority of its Hotline complaints through its electronic complaint form located [here](#).

In addition, DOJ employees and citizens are able to file complaints by telephone, fax, and postal mail. The online access, fax, and postal mail all provide the ability to file a complaint in writing to the OIG.

From all Hotline sources during the second half of FY 2020, 3,337 new complaints related to DOJ operations or other federal agencies were entered into the OIG's complaint tracking system. Of the new complaints, 1,866 were forwarded to various DOJ components for their review and appropriate action; 305 were filed for information; 929 were forwarded to other federal agencies; and 8 were opened by the OIG for investigation.



Source: Investigations Data Management System

Approximately, 29,000 additional Hotline email and phone contacts were processed and deemed non-jurisdictional and outside the purview of the federal government and therefore were not entered into the OIG's complaint tracking system.

APPENDICES

1 | Acronyms and Abbreviations

ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives
BOP	Federal Bureau of Prisons
CARES	Coronavirus Aid, Relief, and Economic Security Act
CHS	Confidential Human Source
CIGIE	Council of the Inspectors General on Integrity and Efficiency
CVF	Crime Victims Fund
DEA	Drug Enforcement Administration
DHS	U.S. Department of Homeland Security
DOD	U.S. Department of Defense
DOJ or Department	U.S. Department of Justice
DOL	U.S. Department of Labor
ESF-13	Emergency Support Function 13
FBI	Federal Bureau of Investigation
FCC	Federal Correctional Complex
FISA	Foreign Intelligence Surveillance Act of 1978
FISC	Foreign Intelligence Surveillance Court
FISMA	Federal Information Security Management Act
FPI	Federal Prison Industries, Inc.
FY	Fiscal Year
GSA	General Services Administration
HIS	Homeland Security Investigations
HVE	Homegrown Violent Extremists
IG Act	Inspector General Act of 1978
INSD	Inspection Division
IT	Information Technology
JMD	Justice Management Division
ODAG	Office of the Deputy Attorney General
OIA	Office of Internal Affairs
OIG	Office of the Inspector General

OJP	Office of Justice Programs
OMB	Office of Management and Budget
OPR	Office of Professional Responsibility
OVW	Office on Violence Against Women
Patriot Act	Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act
TFO	Task Force Officer
USAO	U.S. Attorney's Office
USMS	U.S. Marshals Service
VOCA	Victims of Crime Act of 1984

2 | Glossary of Terms

The following are definitions of specific terms as they are used in this report.

Cooperative Agreement: Term used to describe when the awarding agency expects to be substantially involved with the award's activities; often used interchangeably with "grant."

Disallowed Cost: The IG Act defines "disallowed cost" as a questioned cost that management, in a management decision, has sustained or agreed should not be charged to the government.

Diversion: When controlled substance transactions fall outside the congressionally mandated closed system of distribution, the activity constitutes diversion.

Emergency Support Function 13: ESF-13's mission is to provide federal public safety and security assistance to state, local, tribal, territorial, and other governmental organizations overwhelmed by the results of an actual or anticipated natural or manmade disaster.

External Audit Report: The results of audits and related reviews of expenditures made under DOJ contracts, grants, and other agreements. External audits are conducted in accordance with the Comptroller General's Government Auditing Standards and related professional auditing standards.

Funds Recommended to Be Put to Better Use: Recommendation by the OIG that funds could be used more efficiently if management of an entity took actions to start and complete the recommendation, including: (1) reductions in outlays; (2) deobligation of funds from programs or operations; (3) withdrawal of interest subsidy costs on loans or loan guarantees, insurance, or bonds; (4) costs not incurred by implementing recommended improvements related to the operations of the entity, a contractor, or grantee; (5) avoidance of unnecessary expenditures noted in pre-award reviews of contract or grant agreements; or (6) any other savings that specifically are identified.

Internal Audit Report: The results of audits and related reviews of DOJ organizations, programs, functions, computer security and information technology, and financial statements. Internal audits are conducted in accordance with the Comptroller General's Government Auditing Standards and related professional auditing standards.

Management Decision: The IG Act defines "management decision" as the evaluation by the management of an establishment of the findings and recommendations included in an audit report and the issuance of a final decision by management concerning its response to such findings and recommendations, including actions concluded to be necessary.

Questioned Cost: A cost that is questioned by the OIG because of: (1) an alleged violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the expenditure of funds; (2) a finding that, at the time of the audit, such cost is not supported by adequate documentation; or (3) a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable.

Single Audit Act Audits: Single Audit Act audits are performed by public accountants or a federal, state or local government audit organization in accordance with generally accepted government auditing standards. They are intended to determine whether the financial statements and schedule of expenditures of federal awards are presented fairly, to test internal controls over major programs, to determine whether the grant recipient is in compliance with requirements that may have a direct and material effect on each of its major programs, and to follow up on prior audit findings. These audits are required to be performed for organizations that expend \$750,000 or more in federal awards in accordance with the Single Audit Act of 1984, as amended, and 2 CFR part 200, subpart F, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

Supervised Release: Court-monitored supervision upon release from incarceration.

Unsupported Cost: A cost that is questioned by the OIG because the OIG found that, at the time of the audit, the cost was not supported by adequate documentation.

3 | Audit Division Reports

Internal Audit Reports

Multicomponent

Audit of DOJ's Annual Financial Statements FY 2019

Audit of DOJ's FY 2019 Compliance with the DATA Act of 2014

Federal Bureau of Investigation

Audit of the FBI's Annual Financial Statements FY 2019

Audit of the FBI's Enterprise Application Service Program and Land Mobile Radio Network Pursuant to the FISMA of 2014 FY 2019

Audit of the FBI's Information Security Program Pursuant to the FISMA of 2014 FY 2019

Audit of the FBI's Legacy Pocatello Data Center Pursuant to the FISMA of 2014 FY 2019

Audit of the FBI's Management of its Confidential Human Source Validation Processes

Audit of the FBI's Western New York Regional Computer Forensics Laboratory–Buffalo, New York

Audit of the FBI's Controls over Weapons, Munitions, and Explosives

Audit of the FBI's Efforts to Identify Homegrown Violent Extremists through Counterterrorism Assessments

Audit of the FBI's Intermountain West Regional Computer Forensics Laboratory–Salt Lake City, Utah

Federal Bureau of Prisons

Audit of the BOP's Annual Financial Statements FY 2019

Audit of the BOP's Monitoring of Inmate Communications to Prevent Radicalization

United States Marshals Service

Audit of the USMS's Administration of Joint Law Enforcement Operation Funds

Other Department Components

Audit of the Assets Forfeiture Fund and Seized Asset Deposit Fund Annual Financial Statements FY 2019

Audit of the Federal Prison Industries, Inc., Annual Financial Statements FY 2019

Audit of the Tax Division's Information Security Program Pursuant to the FISMA of 2014 FY 2019

Audit of the Tax Division's Tax Office Automation System Pursuant to the FISMA of 2014 FY 2019

Audit of the INTERPOL Washington, United States National Central Bureau's Information Security Program Pursuant to the FISMA of 2014 FY 2019

Audit of the INTERPOL Washington, United States National Central Bureau's OA/Envoy System Pursuant to the FISMA of 2014 FY 2014

External Audit Reports

Connecticut

Audit of OJP's Victim Compensation Grants Awarded to the Connecticut Judicial Branch, Hartford, Connecticut

Delaware

Audit of OJP's Grants Awarded to New Castle County Police Department, New Castle, Delaware

Illinois

Audit of the OVW's Grant Awarded to Life Span, Chicago, Illinois

Oregon

Audit of OJP's Victim Compensation Grants Awarded to the Oregon Department of Justice, Salem, Oregon

Pennsylvania

Audit of OJP's Office for Victims of Crime Award to Pennsylvania State University, State College, Pennsylvania

Texas

Audit of OJP's Cooperative Agreements Awarded to Refugee Services of Texas, Inc., Dallas, Texas

Virginia

Audit of the OVW's Grants to Encourage Arrest Policies and Enforcement of Protection Orders Awarded to the Fairfax County Domestic Violence Action Center, Fairfax, Virginia

Audit of the OVW's Justice for Families Program Grant Awarded to the Arlington County Supervised Visitation and Safe Exchange Program, Arlington, Virginia

Wyoming

Audit of OJP's Victim Compensation Grants Awarded to the Wyoming Office of the Attorney General, Cheyenne, Wyoming

Single Audit Act Reports of Department Activities

Abused Adult Resource Center, Bismarck, North Dakota FY 2018

The Center for Trauma & Resilience, Denver, Colorado FY 2018

CHRIS 180, Inc., Atlanta, Georgia FY 2018

City of Berwyn, Illinois FY 2018

City of Chicago, Illinois FY 2018

City of Duluth, Minnesota FY 2018

City of Edinburg, Texas FY 2018

City of Hobart, Indiana FY 2018

City of Inglewood, California FY 2018

City of Tulsa, Oklahoma FY 2018

County of Nassau, New York FY 2018

District Alliance for Safe Housing, Inc. and Subsidiary, Washington, D.C. FY 2018

Leadership Foundations, Tacoma, Washington FY 2018

Middle Atlantic-Great Lakes Organized Crime Law Enforcement Network, Newtown, Pennsylvania FY 2018

National Crime Victim Law Institute, Portland, Oregon FY 2019

South Brevard Women's Center, Inc., Melbourne, Florida FY 2018

State of California FY 2018

Strong Hearted Native Women's Coalition, Inc., Valley Center, California FY 2018

Washington Association of Sheriffs and Police Chiefs, Lacey, Washington FY 2018

Other Reports

Reviews of the Accounting of Drug Control Funds and Related Performance FY 2019

Review of OJP's Corrective Actions to Address Dollar-Related Audit Recommendations

Unclassified Joint Report on the Implementation of the Cybersecurity Information Sharing Act of 2015

4 | Quantifiable Potential Monetary Benefits

Audit Report	Questioned Costs	Unsupported Costs	Funds Recommended to Be Put to Better Use
Audits Performed by the DOJ OIG			
Audit of the USMS's Administration of Joint Law Enforcement Operation Funds	\$508,720	\$508,720	\$0
Audit of the OVW's Grant Awarded to Life Span, Chicago, Illinois	\$9,371	\$0	\$0
Audit of OJP's Cooperative Agreements Awarded to Refugee Services of Texas, Inc., Dallas, Texas	\$295,859	\$275,365	\$0
Audit of OJP's Victim Compensation Grants Awarded to the Wyoming Office of the Attorney General, Cheyenne, Wyoming	\$469,799	\$0	\$9,351
Subtotal (Audits Performed by the DOJ OIG)	\$1,283,749	\$784,085	\$9,351
Audits Performed by State/Local Auditors and Independent Public Accounting Firms Under the Single Audit Act²³			
CHRIS 180, Inc., Atlanta, Georgia FY 2018	\$45,840	\$0	\$0
Strong Hearted Native Women's Coalition, Inc., Valley Center, California FY 2018	\$58,817	\$0	\$0
Subtotal (Audits Performed by State/Local Auditors and Independent Public Accounting Firms Under the Single Audit Act)	\$104,657	\$0	\$0
Total	\$1,388,406	\$784,085	\$9,351

5 | Evaluation and Inspections/Oversight and Review Division Reports

Evaluation and Inspections Division Reports

Review of DOJ's Preparedness to Respond to Critical Incidents Under Emergency Support Function 13

Review of the BOP's Pharmaceutical Drug Costs and Procurement

Oversight and Review Division Reports

Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation

6 | Peer Reviews

Peer Reviews Conducted by another OIG

Audit Division

The most recent peer review of the Audit Division was performed by the Department of Labor (DOL) OIG. In its report issued March 27, 2019, the DOJ OIG received a peer review rating of pass for its system of quality control in effect for the year ended September 30, 2018. The DOL OIG did not make any recommendations.

Evaluation and Inspections Division

The Evaluation and Inspections Division did not undergo a peer review this reporting period. The most recent peer review was performed by a team of staff from the Treasury Inspector General for Tax Administration, the Federal Deposit Insurance Corporation OIG, and the Board of Governors of the Federal Reserve System and Bureau of Consumer Financial Protection Bureau OIG. In the report issued on August 8, 2018, the team determined that the Evaluation and Inspections Division generally met seven of the CIGIE's Quality Standards for Inspection and Evaluation (Blue Book standards) and generally complied with its own internal policies and procedures. There are no outstanding recommendations.

Investigations Division

The Investigations Division did not undergo a peer review this reporting period. The most recent peer review was performed by the DOD OIG in February 2017. The DOD OIG found that the DOJ OIG is in compliance with the quality standards established by the CIGIE and the Attorney General Guidelines for Inspectors General with Statutory Law Enforcement Authority. In an accompanying letter of observation, the DOD OIG suggested: 1) that the DOJ OIG monitor field office implementation of policy issued during the review requiring placement of FBI case notification letters in the official case files and 2) that DOJ OIG develop a standard method for recording when management case reviews have been performed. The DOJ OIG agreed with these suggestions and implemented corrective action. There are no outstanding recommendations.

Peer Reviews Conducted by the OIG

Audit Division

The DOJ OIG initiated a peer review of the Department of Interior OIG on October 4, 2019.

Investigations Division

The DOJ OIG last conducted a peer review of the Social Security Administration OIG for the period ending June 2016, and the compliance letter was issued on September 12, 2016.

7 | Reporting Requirements

The IG Act specifies reporting requirements for semiannual reports. The requirements are listed below and indexed to the applicable pages.

IG Act References	Reporting Requirements	Page
Section 4(a)(2)	Review of Legislation and Regulations	38
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	9-36
Section 5(a)(2)	Significant Recommendations for Corrective Actions	9-36
Section 5(a)(3)	Significant Recommendations for Which Corrective Actions Have Not Been Completed	42-45
Section 5(a)(4)	Matters Referred to Prosecutive Authorities	15-17, 20-22, 24-28, 30, 33-35
Section 5(a)(5)	Refusal to Provide Information	None
Section 5(a)(6)	Listing of Audit Reports	53-55
Section 5(a)(7)	Summary of Significant Reports	9-36
Section 5(a)(8)	Questioned Costs	40
Section 5(a)(9)	Funds Recommended to Be Put to Better Use	41
Section 5(a)(10)	Prior OIG Reports Unresolved, Uncommented Upon, or Recommendations Not Yet Implemented	12
Section 5(a)(11)	Description and Explanation of the Reasons for Any Significant Revised Management Decision Made During the Reporting Period	46
Section 5(a)(12)	Significant Management Decisions with Which the Inspector General Disagreed	None
Section 5(a)(14)	Peer Reviews Conducted by Another OIG	58
Section 5(a)(15)	Outstanding Recommendations from Peer Reviews of the OIG	58
Section 5(a)(16)	Outstanding Recommendations from Peer Reviews Conducted by the OIG	58
Section 5(a)(17)	Statistical Table Pertaining to OIG Investigations	47
Section 5(a)(18)	Description of Metrics for OIG Investigative Table	60-61
Section 5(a)(19)	Reports Involving Senior Government Employees Meeting Certain Criteria	17, 22, 26, 34
Section 5(a)(20)	Instance of Whistleblower Retaliation	None
Section 5(a)(21)	Attempts to Interfere with OIG Independence	None
Section 5(a)(22)	Inspections, Evaluations, Audits, and Investigations of Senior Government Employees Undisclosed to the Public	12

ENDNOTES

- 1 These figures represent allegations entered into the OIG's complaint tracking system. They do not include the approximate 29,000 additional Hotline, email, and phone contacts that were processed and deemed non-jurisdictional and outside the purview of the federal government.
- 2 Includes civil, criminal and non-judicial fines, restitutions, recoveries, assessments, penalties, and forfeitures.
- 3 These non-audit reports are the result of examinations and reviews of DOJ programs and functions.
- 4 In this reporting period, the OIG phased out the use of 'Procedural Reform Recommendations' as a document category distinct from 'Management Advisory Memoranda' and is issuing only 'Management Advisory Memoranda' going forward.
- 5 Employee complaint is defined as an allegation received from whistleblowers, defined broadly as complaints received from employees and applicants with the Department, or its contractors, subcontractors, or grantees, either received directly from the complainant by the OIG Hotline, the field offices, or others in the OIG, or from a Department component if the complaint otherwise qualifies and is opened as an investigation.
- 6 This number reflects cases closed during the reporting period regardless of when they were opened.
- 7 See glossary for definition of "Questioned Costs" and "Funds Recommended to Be Put to Better Use."
- 8 "Other Reports" are identified in Appendix 3.
- 9 Management Advisory Memoranda communicate concerns and issues to DOJ management outside of audit reports for immediate attention. Notifications of Irregularity include instances of Audit Division referrals to the OIG Investigations Division.
- 10 See glossary for definition of "Questioned Costs."
- 11 See glossary for definition of "Unsupported Costs."
- 12 Includes reports previously issued for which no management decision has been made. See glossary for definition of "Management Decision."
- 13 Of the audit reports issued during this period with questioned costs, two were Single Audit Act reports.
- 14 Includes instances in which management has taken action to resolve the issue and/or the matter is being closed because remedial action was taken. See glossary for definition of "Disallowed Costs."
- 15 See glossary for definition of "Funds Recommended to Be Put to Better Use."

- 16 Reports previously issued for which no management decision has been made.
- 17 Includes instances in which management has taken action to resolve the issue and/or the matter is being closed because remedial action was taken.
- 18 These figures represent allegations entered into the OIG's complaint tracking system. They do not include the approximate 29,000 additional Hotline, email, and phone contacts that were processed and deemed non-jurisdictional and outside the purview of the federal government.
- 19 At the conclusion of an investigation, one or more type of report is prepared. The prepared report may be an abbreviated report of investigation or a full report of investigation. In addition, an investigative summary for public posting on the OIG public website may be prepared for investigations involving senior government employees. The number of reports issued represents one report for each investigation.
- 20 The number of indictments reported include both sealed and not sealed.
- 21 This number includes all criminal and civil referrals to the DOJ for a prosecutorial decision whether they were ultimately accepted or declined with the caveat that if an investigation was referred to more than one DOJ office for a prosecutorial decision, the referral to DOJ was only counted once. The number reported as referred represents referrals for both individuals and or other legal entities.
- 22 The number reported as referred represents referrals for both individuals and or other legal entities.
- 23 These audits are reviewed by the OIG to assess the quality and the adequacy of the entity's management of federal funds. The OIG issues these audits to the responsible component and performs follow-up on the audit reports' findings and recommendations.

REPORT WASTE, FRAUD, ABUSE, OR MISCONDUCT

To report allegations of waste, fraud, abuse, or misconduct regarding Department of Justice programs, employees, contractors, or grants, please go to the DOJ OIG website at oig.justice.gov or call the OIG's Hotline at (800) 869-4499.

The OIG website has complaint forms that allow you to report the following to the OIG:

- General allegations of fraud, waste, and abuse in Department programs or by Department employees;
- Contract fraud, including mandatory disclosures required by contractors when they have credible evidence of violations of the civil False Claims Act or certain violations of criminal law;
- Grant fraud, including fraud, waste, or abuse related to the Department's award of Recovery Act funds; and
- Violations of civil rights or civil liberties by Department employees.

To give information by mail or facsimile, please send to:

U.S. Department of Justice
Office of the Inspector General
Investigations Division
ATTN: OIG Hotline
950 Pennsylvania Ave., N.W.
Washington, D.C., 20530
Fax: (202) 616-9881

For further information on how to report a complaint to the OIG, please call (800) 869-4499.