



Office of Inspector General U.S. Department of Labor

Fiscal Year 2020 Annual Performance Report & Fiscal Year 2022 Annual Performance Plan



TABLE OF CONTENTS

LETTER FROM THE ACTING INSPECTOR GENERAL	i
THE OIG AND FISCAL YEAR 2020 PERFORMANCE HIGHLIGHTS	1
THE OIG AND FY 2020 SNAPSHOT.....	2
TOP MANAGEMENT AND PERFORMANCE CHALLENGES FOR DOL.....	3
RESPONSE TO THE COVID-19 PANDEMIC	3
DOL-OIG PANDEMIC RESPONSE OVERSIGHT PLAN	3
PANDEMIC RESPONSE ACCOUNTABILITY COMMITTEE	4
PRAC SEMI-ANNUAL REPORT—DOL-OIG ACCOMPLISHMENTS.....	4
TOP PANDEMIC CHALLENGES FOR DOL	5
EVIDENCE-BASED PERFORMANCE AND PROGRESS MANAGEMENT.....	5
FYs 2020 AND 2021 MEASURE CHANGES, AND FY 2022 MEASURE DEVELOPMENT.....	6
STRATEGIC GOALS AND OBJECTIVES.....	7
STRATEGIC GOAL ALIGNMENT	7
OVERVIEW OF FY 2020 PERFORMANCE	8
STRATEGIC GOAL 1—DELIVER TIMELY, RELEVANT, AND HIGH-IMPACT RESULTS.....	9
STRATEGIC GOAL 1.....	10
GOAL 1 STRATEGIC OBJECTIVES	10
GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF AUDIT.....	10
GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF INVESTIGATIONS	11
GOAL 1 PERFORMANCE RESULTS	13
GOAL 1 PERFORMANCE IMPROVEMENT PLAN.....	20
STRATEGIC GOAL 2—FOSTER AN INTERNAL OIG CULTURE THAT DRIVES HIGH PERFORMANCE AND ENGAGEMENT	22
STRATEGIC GOAL 2.....	23
GOAL 2 STRATEGIC OBJECTIVES	23
GOAL 2 SELECTED EXAMPLES.....	23
GOAL 2 PERFORMANCE RESULTS	24
GOAL 2 PERFORMANCE IMPROVEMENT PLAN.....	26
STRATEGIC GOAL 3—PROMOTE RESPONSIBLE STEWARDSHIP OF OIG FINANCIAL AND NON-FINANCIAL RESOURCES.....	27
STRATEGIC GOAL 3.....	28
GOAL 3 STRATEGIC OBJECTIVES	28

GOAL 3 SELECTED EXAMPLES	28
GOAL 3 PERFORMANCE RESULTS	29
STRATEGIC PLANNING AND ACCOUNTABILITY	32
ENTERPRISE RISK MANAGEMENT	32
MEASUREMENT AND VALIDATION OF OIG PERFORMANCE AND PROGRESS	33
VERIFICATION AND VALIDATION	33
FY 2020 QUARTERLY PERFORMANCE REVIEW SUMMARY	34
CONCLUSION	35
APPENDIX A – STATUTORY RESPONSIBILITIES AND PROFESSIONAL STANDARDS	36
STATUTORY RESPONSIBILITIES, REGULATORY POLICIES, AND PROFESSIONAL STANDARDS	37
APPENDIX B – OIG ORGANIZATIONAL STRUCTURE AND COMPONENTS	40
OIG ORGANIZATIONAL STRUCTURE	41
OIG COMPONENTS	42
OFFICE OF AUDIT	42
OFFICE OF INVESTIGATIONS - LABOR RACKETEERING AND FRAUD	42
EXECUTIVE DIRECTION AND MANAGEMENT	42
APPENDIX C – FYs 2016 THROUGH 2020 MEASURES RETIRED	44
FYs 2016 THROUGH 2020 MEASURES RETIRED	45
FYs 2016 - 2020 TARGETS AND RESULTS FOR RETIRED KPIS	45
APPENDIX D – PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED AND INVESTIGATIONS PUBLICLY REPORTED BY DOL-OIG	52
PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED BY DOL-OIG	53
PANDEMIC-RELATED INVESTIGATIONS PUBLICLY REPORTED BY DOL-OIG	54
OIG HOTLINE	55

LETTER FROM THE ACTING INSPECTOR GENERAL

We are pleased to present the U.S. Department of Labor (DOL) Office of Inspector General's (OIG) fiscal year (FY) 2020 Annual Performance Report (APR) and FY 2022 Annual Performance Plan (APP). The results for FY 2020 demonstrate the OIG's commitment to the American people, DOL, and Congress by providing independent and objective oversight of departmental programs through our audit and investigative efforts, and by combatting the influence of labor racketeering and organized crime in the nation's labor unions.

The FY 2020 APR and FY 2022 APP presents the OIG's organizational performance results and plans based on the OIG's FY 2018 – 2022 Strategic Plan. This report highlights the OIG's: strategic goals with their related strategic objectives, organizational performance results against Key Performance Indicators (KPI), and our accomplishments.

FY 2020 was extremely challenging for the nation as we continued to combat the Coronavirus (COVID-19) Pandemic and its impact on the health, welfare, and safety of the workforce and the public. As the COVID-19 Pandemic evolved, the OIG rose to the challenge and accomplished our important mission despite significant obstacles.

We remain committed to achieving our strategic goals, promoting internal positive change, identifying improvements to DOL programs and operations, and protecting the interests and benefits of the nation's workers and retirees.



Larry D. Turner

Acting Inspector General

THE OIG AND FISCAL YEAR 2020 PERFORMANCE HIGHLIGHTS



DOL-OIG conducts audits to review the effectiveness, efficiency, economy, and integrity of all DOL programs and operations. The OIG also conducts investigations into alleged violations of federal laws relating to DOL programs, operations, and personnel. In addition, the OIG conducts criminal investigations to combat the influence of labor racketeering and organized crime in the nation's labor unions. The OIG also works with other law enforcement partners on human trafficking matters.

In FY 2020, the OIG:

- Issued 33 audit and other reports that resulted in \$5.6 million in funds put to better use and more than \$95 thousand in questioned costs.
- Reviewed 134 single audit reports covering DOL expenditures of more than \$22 billion. We referred DOL-related recommendations from 61 audit reports to the appropriate agencies for action. Those recommendations included more than \$1.5 million in questioned costs.
- Conducted investigative work that resulted in 304 indictments, 142 convictions, and more than \$137 million in monetary accomplishments.
- Issued the *DOL-OIG Pandemic Response Oversight Plan – April 2020*.¹
- Issued, as a member of the Pandemic Response Accountability Committee (PRAC), the first *PRAC Semiannual Report to Congress*.²
- Identified 14 significant concerns and 9 top management and performance challenges, and two COVID-19 Pandemic related challenges facing DOL.
- Received an appropriation of \$26 million to carry out oversight activities of DOL's response to the COVID-19 Pandemic.
- Developed and launched the project and performance management sub-systems of OIG's enterprise system/solution to improve our ability to monitor, measure, and report our performance against meeting our strategic goals.
- Received two awards from Council of the Inspectors General on Integrity and Efficiency (CIGIE) for exemplary work identifying fraud and weaknesses in DOL and other federal programs.
- Earned seven awards from the Secretary of Labor for achievements in uncovering fraud and inefficiencies in DOL programs, as well as exceptional service.
- Received an opinion from peer reviews conducted by other OIGs that DOL-OIG's systems of quality control for audit and investigative functions were suitably designed and provided reasonable assurance of DOL-OIG's conformance to professional standards.

¹ For the *DOL-OIG Pandemic Response Oversight Plan – April 2020*, please visit our website at <https://www.oig.dol.gov/public/oaprojects/DOL-OIG%20Pandemic%20Response%20Oversight%20Plan.pdf>.

² For the PRAC's *Semiannual Report to Congress* covering the period from April 1, 2020 through September 30, 2020 please visit <https://www.oversight.gov/report/prac/prac-semiannual-report-2020>.

- Testified before Congress on unemployment insurance (UI) during the COVID-19 Pandemic, and delivered a briefing to Congress that provided insight into the work of the DOL-OIG in uncovering and investigating UI fraud schemes and ensuring best practices in DOL’s setting of workforce safety guidelines and standards.³

THE OIG AND FY 2020 SNAPSHOT

Figure 1: FY 2020 Office of Investigations Selected Accomplishments

Investigative recoveries, cost-efficiencies, restitutions, fines and penalties, forfeitures, and civil monetary action.....	\$137.9 million
Investigative cases opened.....	279
Investigative cases closed/reports issued.....	277
Investigative cases referred for prosecution.....	244
Investigative cases referred for administrative/civil action.....	122
Indictments.....	304
Convictions.....	142
Statutory debarments.....	15

Figure 2: FY 2020 Office of Audit Selected Accomplishments

Funds Put to Better Use ⁴	\$5.6 million
Questioned Costs ⁵	\$95,699
Audits and other reports issued.....	33
Recommendations for corrective action.....	102
Single Audits with Recommendations Referred to Department.....	61

Figures 1 and 2 above also include the OIG’s COVID-19 audit and investigative activities.

³ Please see *Statement for the Record of Scott S. Dahl, Inspector General, U.S. Department of Labor, for the Senate Committee on Finance*, (June 9, 2020) found at <https://www.oig.dol.gov/public/testimony/20200609.pdf> and *Statement of Scott S. Dahl, Inspector General, U.S. Department of Labor, for the House Committee on Oversight and Reform; Subcommittee on Government Operations*, (June 1, 2020) found at <https://www.oig.dol.gov/public/testimony/20200601.pdf>.

⁴ The term “recommendation that funds be put to better use” (FPTBU) means a recommendation by the OIG that funds could be used more efficiently or achieve greater program effectiveness if management took actions to implement and complete the recommendation. This term is defined by the Inspector General Act and includes, among other things, reductions in future outlays; deobligation of funds from programs or operations; costs not incurred in the future by implementing recommended improvements related to the operations of the establishment, a contractor, or a grantee; and any other savings specifically identified, including reverting funds to the U.S. Treasury to be used for other purposes.

⁵ As defined by the Inspector General Act, questioned costs include alleged violations of law, regulations, contracts, grants, or agreements; costs not supported by adequate documentation; or the expenditure of funds for an intended purpose that was unnecessary or unreasonable.

TOP MANAGEMENT AND PERFORMANCE CHALLENGES FOR DOL

The OIG identified the most serious management and performance challenges facing DOL.⁶ These challenges are included in DOL's "Agency Financial Report" for FY 2020. The 9 challenges we identified are:

- Identifying and Reducing Unemployment Insurance Improper Payments;
- Protecting the Safety and Health of Workers;
- Helping Adults and Youth Succeed in the Labor Market;
- Providing a Safe and Healthy Learning Environment at Job Corps Centers;
- Integrity of DOL Rulemaking Processes;
- Maintaining the Integrity of Foreign Labor Certification Programs;
- Protecting Retirement, Health, and Other Benefit Plans for Workers, Retirees, and Their Families;
- Managing Medical Benefits in OWCP Programs, Including Opioids; and
- Securing and Managing Information Systems.

We summarize these challenges, significant DOL progress to date, and what remains to be done in our *Top Management and Performance Challenges Facing the Department of Labor – November 2020* report.⁷

RESPONSE TO THE COVID-19 PANDEMIC

DOL-OIG received an appropriation of \$26 million to carry out oversight activities of DOL's response to the COVID-19 Pandemic under the Coronavirus Aid, Relief, and Economic Security Act (CARES Act).⁸ Specifically, we received \$25 million to oversee the unprecedented expansion of the UI programs provisioned by the Act and \$1 million for oversight of DOL activities supported with funds appropriated to prepare for and respond to the COVID-19 Pandemic.

DOL-OIG PANDEMIC RESPONSE OVERSIGHT PLAN

Our oversight has focused on the Department's response to the COVID-19 Pandemic, particularly under the CARES Act. The OIG is conducting our oversight work in four phases covering the allocation periods for CARES Act funds and post-allocation:

⁶ The Reports Consolidation Act of 2000 requires OIG to identify the most serious management and performance challenges facing DOL.

⁷ For the *Top Management and Performance Challenges Facing the Department of Labor – November 2020* report, please visit our website at

<https://www.oig.dol.gov/public/DOL%202020%20Top%20Management%20and%20Performance%20Challenges.pdf>

⁸ Public Law No. 116-136. For full text of the CARES Act, please visit

<https://www.congress.gov/116/plaws/publ136/PLAW-116publ136.pdf>

- **Phase 1:** Addressed DOL’s plans for administration and oversight and included the issuance of “advisory reports” to aid in DOL’s administration and oversight planning. The OIG also issued fraud alerts to both DOL and to the state workforce agencies to highlight areas susceptible to fraud and abuse.
- **Phase 2:** Focused on DOL’s initial implementation of its administration and oversight activities. The OIG’s oversight focus included both audit and investigative activities.
- **Phase 3:** Will focus on after-the-fact reviews of DOL’s administration and oversight, lessons learned, and how DOL’s response to the COVID-19 Pandemic affected normal operations. The OIG’s oversight focus will include both audit and investigative activities.
- **Phase 4:** Will continue monitoring and assessing DOL’s actions relating to the COVID-19 Pandemic in response to any new legislation enacted by Congress, as well as continue our investigative efforts. This phase will also include roll-up reports of all OIG work conducted to present overall results of program achievement in responding to the COVID-19 Pandemic, impact on agencies’ operations, and lessons learned. The OIG’s oversight focus will include both audit and investigative activities.

This plan is subject to change as the OIG continues to conduct risk assessments to identify specific areas for review. Funding for oversight related to activities other than UI programs is provided by the \$1 million CARES Act funding, as appropriate, or by reprioritization of existing OIG resources.

PANDEMIC RESPONSE ACCOUNTABILITY COMMITTEE

Established in March 2020 by the CARES Act, the PRAC is a CIGIE Committee.⁹ The CARES Act specifically identifies Inspectors General (IGs) from nine agencies, including DOL-OIG, as members of the PRAC.

The PRAC released its Strategic Plan for 2020 through 2025 in July 2020.¹⁰ The plan identifies four goals to carry out the PRAC’s mission and vision:

- Promote transparency;
- Promote coordinated, comprehensive oversight;
- Prevent and detect fraud, waste, abuse, and mismanagement; and
- Ensure effective and efficient PRAC operations.

PRAC SEMI-ANNUAL REPORT—DOL-OIG ACCOMPLISHMENTS

The PRAC issued its first Semiannual Report to Congress, covering the period from April 1, 2020, through September 30, 2020.¹¹ A total of 12 OIGs have publicly reported investigations,

⁹ CIGIE is an independent entity established within the executive branch by the Inspector General Act of 1978, as amended, which includes the 75 statutorily created federal IGs who share a mission to address integrity, economy, and effectiveness issues transcending individual government agencies.

¹⁰ For the full strategic plan, please visit the PRAC’s website at

<https://www.pandemicoversight.gov/sites/default/files/2020-09/PRAC-Strategic%20Plan-July-2020.pdf>

¹¹ For the *PRAC Semiannual Report to Congress* covering the period from April 1, 2020 through September 30, 2020 please visit <https://www.oversight.gov/report/prac/prac-semiannual-report-2020>.

indictments/complaints, arrests, and/or convictions, and DOL-OIG completed 96 oversight and investigative activities related to the Federal Government's COVID-19 Pandemic response.

Table 1: DOL-OIG COVID-19 Audit and Investigative Activities from April 1 through September 30, 2020¹²

Audit Activities	
Oversight Reports	10
Investigative Activities	
Publicly Reported Investigations	10
Indictments/Criminal Complaints (# of Defendants)	58
Arrests	18
Convictions	-

Appendix D contains additional information and details for the 10 COVID-19 Pandemic-related oversight reports issued and 10 investigations publicly reported by DOL-OIG. We will continue to work with our OIG partners to identify major risks that cut across DOL programs and agency boundaries.

TOP PANDEMIC CHALLENGES FOR DOL

As a member of the PRAC, the OIG identified the top COVID-19 Pandemic related challenges facing DOL. The two challenges we identified are:

- Responding Expeditiously to the COVID-19 Pandemic while Protecting the Integrity of the UI program; and
- Protecting the Safety and Health of Workers.

We summarize these challenges in our *Top Pandemic Challenges Facing the Department of Labor – June 2020* report.¹³ The PRAC also published a *Top Challenges Facing Federal Agencies: COVID-19 Emergency Relief and Response Efforts – June 2020* report containing submission from OIGs overseeing agencies involved in the COVID-19 Pandemic response, including DOL-OIG.¹⁴

EVIDENCE-BASED PERFORMANCE AND PROGRESS MANAGEMENT

The OIG is a performance-based organization, as defined and described by the Office of Management and Budget's (OMB) Circular A-11. A performance-based organization commits to

¹² Data assembled by the PRAC from the U.S. Department of Justice RSS feed.

¹³ For the *Top Pandemic Challenges Facing the Department of Labor – June 2020* report, please visit our website at <https://www.oig.dol.gov/public/Top%20Pandemic%20Challenges%20June%202020.pdf>.

¹⁴ For the *Top Challenges Facing Federal Agencies: COVID-19 Emergency Relief and Response Efforts – June 2020* report, please visit <https://www.oversight.gov/report/prac/top-challenges-facing-federal-agencies-covid-19-emergency-relief-and-response-efforts>.

manage towards specific, measurable goals derived from a defined mission, using performance data to enhance operations. The concept of a performance-based organization was codified in the Government Performance and Results Act of 1993 (GPRA) and updated by the Government Performance and Results Act Modernization Act in 2010 (GPRAMA).

The OIG complies with various laws and their implementing regulations, instructions, or information provided to agencies by OMB, as well as federal law enforcement and auditing policies, guidance, and professional standards.¹⁵

FYs 2020 AND 2021 MEASURE CHANGES, AND FY 2022 MEASURE DEVELOPMENT

The OIG assesses the achievement of its strategic goals by leveraging Enterprise Risk Management (ERM) assessments and using KPIs for each OIG component.¹⁶ In collaboration with the IG, Deputy Inspector General (DIG), and the Chief Performance and Risk Management Officer (CPRMO), each Assistant Inspector General (AIG) and the Counsel to the IG defines parameters for the success criteria during the development of their component's performance measures.

The OIG continuously improves its measurement strategies by providing clear definitions for strategic objectives and performance indicators, and by leveraging verification and validation techniques. The OIG used these strategies to enhance the accuracy and data quality of performance and progress reported in this APR for FY 2020 and will continue employing these strategies in future FYs.

The OIG refined and in some cases retired measures between FYs and APRs, as well as developed new measures for FYs 2021 and 2022, to enhance organizational performance and improve the accuracy and quality of performance data and progress:

Table 2: OIG Measurement Strategy and Performance Framework

	Number of KPIs	Number of Strategic Objectives
FY 2017	56	18
FY 2018	56	13
FY 2019	56	13
FY 2020	60	13
FY 2021	65	13

Appendix C contains the targets and results for FYs 2016 through 2020 measures that the OIG retired in FYs 2018 through 2021.

The OIG leveraged FYs 2016 through 2020 baseline data and benchmarks to set performance targets for FYs 2021 and 2022. Going forward, the OIG may update FYs 2021 and 2022 performance indicators to incorporate risk mitigation plans, best practices, and lessons learned, as well as to improve data accuracy and quality.

¹⁵ See Appendix A for an overview of some of the statutory laws with provisions affecting the OIG's mission and work.

¹⁶ See Appendix B for OIG's organizational structure and an overview of OIG organizational components.

STRATEGIC GOALS AND OBJECTIVES

Three strategic goals guide our work and focus on ensuring sustainability, accountability, and transparency in our operations:

Table 3: OIG Strategic Goals

Strategic Goal 1	Deliver timely, relevant, and high-impact results.
Strategic Goal 2	Foster an internal OIG culture that drives high performance and engagement.
Strategic Goal 3	Promote responsible stewardship of OIG financial and non-financial resources.

STRATEGIC GOAL ALIGNMENT

The OIG strategic goals generally align with those of DOL, as indicated below:

Table 4: OIG Goals Alignment with DOL Goals

OIG GOALS	DOL STRATEGIC GOALS ¹⁷			DOL MANAGEMENT GOAL
	Support the Ability of All Americans to Find Good Jobs	Promote Safe Jobs and Fair Workplaces for All Americans	Administer Strong Workers' Compensation and Benefits Programs	Optimize DOL's Enterprise Services' Opportunities
<i>Goal 1: Deliver timely, relevant, and high-impact results</i>	X	X	X	X
<i>Goal 2: Foster an internal OIG culture that drives high performance and engagement</i>	X	X	X	X
<i>Goal 3: Promote responsible stewardship of OIG financial and non-financial resources</i>				X

¹⁷ The OIG develops strategic plans and priorities through consultations with its stakeholders, administration officials, and Congress. For more information on the OIG's FY 2018 – 2022 Strategic Plan, please visit our website at <https://www.oig.dol.gov/public/reports/OIG%20Strategic%20Plan%202018-2022.pdf>

OVERVIEW OF FY 2020 PERFORMANCE

To present the most current information, this FY 2020 APR and FY 2021 – FY 2022 APP integrates reporting of OIG's FYs 2016 through 2020 performance with its updated performance plan for the current fiscal year (FY 2021) and next fiscal year (FY 2022). This combined approach provides a retrospective and prospective view of OIGs performance, consistent with OMB guidelines.

Table 5: Overview of OIG's FY 2020 Performance

	Missed Target	Met Target	Exceeded Target	N/A	Total KPIs for FY 2020	New FY 2021 and (Retired) FY 2020 KPIs	Total KPIs for FY 2021
Strategic Goal 1	5	0	26	1	32	4 (2)	34
<i>Objective 1.1</i>	2	0	6	0	8	1 (0)	9
<i>Objective 1.2</i>	3	0	12	1	16	1 (1)	16
<i>Objective 1.3</i>	0	0	3	0	3	1 (0)	4
<i>Objective 1.4</i>	0	0	2	0	2	0 (0)	2
<i>Objective 1.5</i>	0	0	3	0	3	1 (1)	3
Strategic Goal 2	1	1	9	1	12	4 (3)	13
<i>Objective 2.1</i>	0	1	0	0	1	2 (1)	2
<i>Objective 2.2</i>	1	0	2	0	3	0 (0)	3
<i>Objective 2.3</i>	0	0	5	0	5	2 (2)	5
<i>Objective 2.4</i>	0	0	2	1	3	0 (0)	3
Strategic Goal 3	0	3	13	0	16	4 (2)	18
<i>Objective 3.1</i>	0	1	3	0	4	2 (0)	6
<i>Objective 3.2</i>	0	0	2	0	2	2 (2)	2
<i>Objective 3.3</i>	0	1	6	0	7	0 (0)	7
<i>Objective 3.4</i>	0	1	2	0	3	0 (0)	3
Total	6	4	48	2	60	12 (7)	65

The following sections present the three OIG strategic goals with their related strategic objectives, selected accomplishments and examples of our work, organizational performance results against KPIs, and performance improvement plans for KPIs the OIG did not meet (highlighted in red):

- Strategic Goal 1—Deliver timely, relevant, and high-impact results;
- Strategic Goal 2—Foster an internal OIG culture that drives high performance and engagement; and
- Strategic Goal 3—Promote responsible stewardship of OIG financial and non-financial resources.

Appendix C contains the targets and results for FYs 2016 through 2020 measures that OIG retired from FY 2018 through 2021.

STRATEGIC GOAL 1—DELIVER TIMELY, RELEVANT, AND HIGH-IMPACT RESULTS

STRATEGIC GOAL 1

Deliver timely, relevant, and high-impact results

The OIG seeks to strengthen DOL key programs and operations through its work. The OIG does this by employing risk-based approaches to prioritize and target audits and investigations on areas that provide the greatest impact and address the highest risks. Goal 1 includes proactively engaging key OIG stakeholders to seek their input for identifying potential audits and investigations.

GOAL 1 STRATEGIC OBJECTIVES

Table 6: Strategic Objectives for Goal 1

1.1	Strengthen DOL's key programs and operations through our work and other deliverables.
1.2	Improve our work processes to drive the timely completion of relevant and impactful audits and investigations.
1.3	Employ a risk-based approach to prioritize and target audits and investigations on areas that provide the greatest impact and address the highest risks.
1.4	Timely articulate to our external stakeholders the relevance, impact, and value of our work in each product.
1.5	Proactively engage our key stakeholders to seek their input for identifying potential audits and investigations.

GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF AUDIT

- The OIG found that the Employment and Training Administration's (ETA) oversight of states vulnerable to major disasters was inadequate. ETA did not establish adequate controls to ensure states paid Disaster Unemployment Assistance (DUA) benefits only to eligible individuals and paid them as promptly as administratively feasible. In addition, the OIG found that ETA did not have specific policies and procedures in place that required states to have periodic training or to ensure regional office officials make timely monitoring visits. As a result, Florida Department of Economic Opportunity (FLDEO) and USVI Department of Labor (VIDOL) officials could not substantiate eligibility for 23 percent of the claims we tested. The OIG estimated that \$5.6 million of paid claims could have been put to better use, and recommended recovery of the \$95,699 in questioned costs from the FLDEO and VIDOL for participants whose eligibility they could not substantiate. Further, the OIG found that ETA did not provide adequate oversight to ensure VIDOL provided DUA training, developed standard operating procedures, or took the necessary measures to reduce its backlog of claims.¹⁸

¹⁸ Report Number 04-20-002-03-315, *ETA Should Do More to Assist Vulnerable States Prepare for Disaster Unemployment Assistance Program Implementation*, (September 29, 2020) found at <https://www.oig.dol.gov/public/reports/oa/viewpdf.php?r=04-20-002-03-315&y=2020>.

- The OIG determined that DOL did not effectively manage its E2 Solutions (E2) travel system to prevent unnecessary access to DOL employees' personally identifiable information (PII), as the Office of the Chief Financial Officer (OCFO) did not manage E2 user accounts according to DOL information security policies. The OIG found that the OCFO had not provided sufficient guidance to agencies' personnel for securing E2 user accounts during creation and account maintenance. Additionally, the OCFO had not performed the oversight necessary to ensure E2 user accounts were appropriately created and maintained. Furthermore, the OIG found the OCFO had not fully implemented E2's contractual security requirements and deliverables.¹⁹
- The OIG found that Office of Federal Contract Compliance Programs (OFCCP) did not adequately enforce Equal Employment Opportunity (EEO) requirements on federal construction contracts. Though OFCCP said its outdated computer system prevented it from selecting contractors for EEO compliance evaluations using a risk-based approach, the OIG identified data in OFCCP's computer system and processes that could have been used to measure contractor risk. Federal regulations requires OFCCP to update affirmative action goals using relevant workforce data and yet, the OIG found that minority and female participation goals were based on 1970 Census data.²⁰
- DOL did not implement sufficient control activities to monitor and secure its publicly accessible web applications because DOL did not maintain a website inventory, remediate security vulnerabilities in a timely way, and implement security best practices. We determined that DOL did not identify web applications as distinct system components to be inventoried for security purposes. In addition, one DOL agency did not remediate its highly-critical security weaknesses in a timely way, and canceled and reissued its corrective action plan. Lastly, DOL did not ensure its agencies utilized common government best practices for securing web applications.²¹

GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF INVESTIGATIONS

- Alia Al Hunaity was sentenced to 70 months in prison and 3 years of supervised release and was ordered to pay more than \$1.2 million in restitution for her conviction on charges of forced labor, alien harboring for financial gain, and marriage fraud. Al Hunaity brought the victim, a Sri Lankan national, to the United States on a temporary visa in 2009 to perform domestic work. Al Hunaity caused the victim to overstay her visa and illegally remain in the United States for more than 9 years. Al Hunaity forced the victim to cook and clean Al Hunaity's homes in Woodland Park and Secaucus, New Jersey, and to care for her three children, all without pay. Al Hunaity required the victim to sleep on beds in public spaces in Al Hunaity's homes, including in the kitchens. Al Hunaity limited the interactions the victim had outside of her homes. In

¹⁹ Report Number 23-20-003-13-001, *DOL Needs to Do More to Secure Employees' Personally Identifiable Information in the Travel Management System*, (September 10, 2020) found at <https://www.oig.dol.gov/public/reports/oa/viewpdf.php?r=23-20-003-13-001&y=2020&t=b>.

²⁰ Report Number 04-20-001-14-001, *OFCCP Did Not Show It Adequately Enforced Equal Employment Opportunity Requirements on Federal Construction Contracts*, (March 27, 2020) found at <https://www.oig.dol.gov/public/reports/oa/viewpdf.php?r=04-20-001-14-001&y=2020>.

²¹ Report Number 23-20-001-07-725, *Stronger Controls Needed Over Web Application Security*, (November 14, 2019) found at <https://www.oig.dol.gov/public/reports/oa/viewpdf.php?r=23-20-001-07-725&y=2020>

addition, the victim was forced to marry Al Hunaity to obtain legal residence so Al Hunaity could continue forcing her to work without fear of the victim being deported.²²

- Frank Giovinco was sentenced to 48 months' incarceration and was ordered to pay \$135,000 in restitution, jointly and severally, as well as a forfeiture of \$5,000. Giovinco was convicted at trial of conspiring to commit extortion and racketeering offenses with members and associates of the Genovese Crime Family of La Cosa Nostra. The jury found Giovinco responsible for acts involving extortion, honest services fraud, and unlawful kickback payments related to the Genovese Crime Family's control of two local chapters of a labor union. Giovinco extorted a financial adviser and a labor union official for a cut of commissions made from union investments. Giovinco also participated in the long-running extortion of a union president for annual tribute payments of more than \$10,000 and sought a job at the union for the purpose of exerting control over the official and union on behalf of the Genovese Crime Family.²³
- Anna Vishnevsky, the former owner of Atlas Diagnostic Services, Inc., was sentenced to 37 months in federal prison for causing more than \$11.5 million to be submitted for reimbursement to health care benefit programs for unnecessary—and sometimes nonexistent—sleep studies, primarily for employees of United Parcel Service, Inc., and Costco Wholesale Corp. Vishnevsky was ordered to pay more than \$2.5 million in restitution. From March 2014 until June 2016, Vishnevsky participated in a scheme to defraud health care benefit plans. Vishnevsky and others working at her direction recruited patients and offered them money to participate in medically unnecessary sleep study testing at Atlas. She offered them additional money to bring in other sleep study participants, including their co-workers and relatives. Vishnevsky submitted insurance claims for sleep study testing performed on the recruited patients, listing physicians who had never treated the patients. She billed not only for the one night of sleep study testing that the patients had purportedly undergone, but also for an additional, consecutive night of sleep study testing that was never performed.²⁴
- Kevin Otto, owner of Atlantic Drain Service, Inc., was sentenced to 24 months in prison on two counts of manslaughter and witness intimidation. Otto also must serve 36 months of probation following his sentence. Otto was convicted in October 2019 of manslaughter for the deaths of two workers who were in a trench in Boston's South End when a fire hydrant collapsed and flooded the 14-foot-deep hole with water. Both drowned despite frantic rescue efforts. The witness intimidation charge resulted from Otto's attempts to mislead and obstruct OSHA during the investigation of the collapse.²⁵

²² This was a joint investigation with the Department of Homeland Security—Homeland Security Investigations (HSI). *United States v. Alia Al Hunaity* (D. New Jersey).

²³ This is a joint investigation with the FBI, New York City Police Department, and Office of Labor–Management Standards. *United States v. Frank Giovinco* (S.D. New York).

²⁴ This was a joint investigation with the Employee Benefits Security Administration (EBSA), the FBI, and the Office of Personnel Management–OIG. *United States v. Vishnevsky et al.* (C.D. California).

²⁵ This was a joint investigation with OSHA, the Suffolk County District Attorney's Office, and the Boston Police Department's Homicide Unit. *Commonwealth of Massachusetts v. Kevin Otto and Atlantic Drain Services Company Inc.* (Suffolk County Superior Court).

GOAL 1 PERFORMANCE RESULTS



Table 7: Performance Results for Goal 1

Strategic Objective	FY 2020 Performance Indicators	Responsible Component ²⁶	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
1.1	Percentage of audit recommendations accepted by DOL within 12-months of issuance of final audit report.	OA	90%	87%	90%	87%	90%	93%	90%	86%	90%	92%	90%	90%
	Percentage of audit recommendations stemming from discretionary audits that address the risks impacting DOL's missions.	OA	50%	84%	70%	91%	70%	95%	80%	89%	80%	93%	80%	85%
	Percentage of investigations closed in the fiscal year that resulted in a criminal, civil, administrative action, or monetary outcome.	OI	70%	53%	70%	69%	60%	67%	60%	60%	60%	58%	60%	60%
	Percentage of formal Congressional requests acknowledged within 5 business days.	OCPR	90%	100%	90%	100%	90%	100%	90%	100%	95%	100%	95%	95%
	Percentage of simple Freedom of Information Act (FOIA) and Privacy Act requests for OIG records completed within 20 working days.	OLS	90%	83%	90%	94%	90%	100%	90%	100%	90%	100%	90%	90%

²⁶ OA = Office of Audit, OCPR = Office of Congressional and Public Relations, OI = Office of Investigations, OLS = Office of Legal Services, OMAP = Office of Management and Policy, and OSI = Office of Special Investigations.

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
1.1 continued	Percentage of complex FOIA and Privacy Act requests that are acknowledged in writing while providing an anticipated completion date to the requestor within 20 working days.	OLS	90%	80%	90%	96%	90%	69%	90%	100%	90%	98%	90%	90%
	Percentage of audit recommendations implemented within 5 years.	OA	New FY 2019 Measure						85%	75%	85%	89%	85%	85%
	Reduce backlog of outstanding audit reports.	OA	New FY 2019 Measure						10%	59%	75%	59%	75%	75%
	Percentage of COVID-19 related recommendations implemented within 2 years of final report issuance.	OA	New FY 2021 Measure										70%	70%
1.2	Percentage of draft audit reports approved by the Assistant Inspector General within 90 days following audit field work.	OA	75%	71%	75%	68%	75%	76%	75%	78%	75%	87%	80%	80%
	Percentage of referrals from the OWCP Integrity Unit, the WHD and the OFLC that are reviewed, evaluated, and closed to a final disposition or converted to an investigation within 90 days of receipt by the investigating field office.	OI	New FY 2018 Measure				80%	100%	80%	94%	80%	83%	80%	80%
	Percentage of allegations that are either closed or converted to full investigations within 90 days of receipt.	OSI	70%	95%	88%	99%	88%	98%	88%	90%	88%	90%	88%	88%

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets				FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Results	FY 2022 Targets
1.2 continued	Percentage of Tier 1 investigations completed (referred for prosecution / administrative / civil proceedings) within 24 months of case opening.	OI	New FY 2018 Measure				50%	73%	50%	82%	65%	71%	65%	65%
	Percentage of Tier 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2018 Measure				60%	68%	60%	88%	65%	71%	65%	65%
	Percentage of investigations completed (referred for prosecution / administrative / civil proceedings, or closed) within 12 months of case opening.	OSI	70%	68%	70%	98%	70%	92%	80%	80%	85%	88%	OSI	70%
	Percentage of subpoena requests reviewed by OLS within 3 business days.	OLS	New FY 2018 Measure				90%	97%	90%	73%	90%	94%	90%	90%
	Percentage of mission support improvement activities that are completed based on OMAP's biennial customer satisfaction survey results action plan.	OMAP	New FY 2018 Measure				60%	75%	N/A	N/A	60%	100%	N/A	80%
	Percentage of Complaints referred from the Complaint Analysis Office (CAO) that are evaluated and closed to a final disposition or converted to an investigation within 180 days of receipt by the investigating field office.	OI	New FY 2018 Measure				80%	96%	80%	90%	80%	87%	80%	80%

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
1.2 continued	Percentage of separating OIG employees who are provided a Records Management Exit Check List within 7 business days of the Records Management Office receiving notice of the employee's impending separation. ²⁷	OLS	New FY 2018 Measure				90%	75%	80%	96%	80%	96%	90%	90%
	Number of biennial OMAP Customer Satisfaction Surveys to seek stakeholder feedback and assess the effectiveness of mission support activities within the OIG. ²⁸	OMAP	New FY 2021 Measure									1	N/A	
	Percentage of audits completed within 12 months of initiation during the Fiscal Year. ²⁹	OA	New FY 2020 Measure							70%	86%	75%	75%	
	Percentage of all Hotline complaints that are reviewed and logged within 10 calendar days from receipt. ³⁰	OI	90%	87%	90%	95%	90%	92%	90%	100%	90%	89%	90%	90%
	Percentage of all Hotline complaints that are acknowledged in writing, as well as reviewed and referred to the appropriate OIG Office or DOL component within 35 calendar days. ³¹	OI	90%	98%	90%	84%	90%	92%	90%	95%	90%	83%	90%	90%

²⁷ Previous measurement stated "...who received a Records Management Exit Check List within 72 hours ..." Refinement made prior to the beginning of FY 2018.

²⁸ OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019. In FY 2021, OIG updated the measuring scheme from a date to a percentage.

²⁹ Previous FYs measurement stated "...within 12 months of initiation (date of engagement letter)"; as such, prior results are not directly comparable. However, OA continues to develop Standard Operating Procedures to reduce the duration (project cycle time) of audits. Please see Appendix C for historical results of previous KPI, and applicable performance improvement plans.

³⁰ Previous FYs measurement stated "10 business" days. Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter. Prior to FY 2020, OLS was responsible for this KPI.

³¹ Previous FYs measurement stated "35 working days." Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter. Prior to FY 2020, OLS was responsible for this KPI.

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets	
1.2 continued	Percentage of all Hotline complaints that are acknowledged in writing, as well as reviewed and referred to the appropriate OIG Office or DOL component within 35 calendar days. ³²	OI (Transferred from OLS)	90%	98%	90%	84%	90%	92%	90%	95%	90%	83%	90%	90%	
	Percentage of the 10 oldest FOIA requests closed during the fiscal year.	OLS	New FY 2020 Measure									60%	0%	60%	60%
	Provide legal guidance and assistance for routine audit and investigative requests for legal support within 20 business days from receipt of the request. ³³	OLS	New FY 2020 Measure									60%	92%	70%	75%
	Percentage of Complaints referred from the Complaint Analysis Office (CAO) that are evaluated and closed to a final disposition or converted to an investigation within 180 days of receipt by the investigating field office.	OI	New FY 2018 Measure					80%	96%	80%	90%	80%	87%	80%	80%

³² Previous FYs measurement stated “35 working days.” Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter.

³³ Previous measurement stated “...or within agreed upon timelines...”; as such, prior results are not directly comparable.

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
1.3	Percentage of discretionary audits designed to address significant risks impacting DOL's missions.	OA	75%	75%	75%	88%	75%	90%	85%	90%	85%	89%	85%	85%
	Percentage of new investigative cases that are considered Tier 1.	OI	New FY 2018 Measure				50%	87%	65%	81%	75%	86%	75%	75%
	Percentage of new investigative cases that are considered Tier 1.	OSI	New FY 2018 Measure				75%	87%	75%	94%	85%	95%	90%	90%
	Percentage of COVID-19 related engagements completed within 12 months of initiation during the Fiscal Year (entrance conference).	OA	New FY 2021 Measure										70%	70%
1.4	Percentage of non-mandatory OIG publications (e.g. Investigations Newsletters, Audit Workplans, Highlights of the Semiannual Report to Congress) provided to stakeholders and made publicly available within agreed upon timeframes.	OCPR	New FY 2019 Measure						90%	100%	95%	100%	95%	95%
	Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within three business days after receiving final, approved versions.	OCPR	New FY 2019 Measure						90%	100%	95%	100%	95%	95%

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
1.5	At least one meeting with each major component within the Department to solicit ideas regarding areas of potential audit.	OA	New FY 2019 Measure						80%	82%	80%	91%	85%	85%
	Number of outreach, liaison, and educational sessions with internal and external stakeholders to identify areas of high risk that could lead to potential investigations.	OI	370	370	370	607	370	702	370	691	450	771	450	675
	Number of formal briefings and consultations per year offered to cognizant Senate and House committees regarding OIG work priorities and areas of Congressional interest to inform the development of the OIG's Audit Workplan. ³⁴	O CPR	New FY 2021 Measure									12	12	

³⁴ Previous FYs measurement did not capture the breadth and depth of Congressional interactions; as such, prior results are not directly comparable.

GOAL 1 PERFORMANCE IMPROVEMENT PLAN

Table 8: Performance Improvement Plan for Goal 1 KPIs Not Met

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2020 Targets	FY 2020 Results	Performance Improvement Plan
1.1	Percentage of investigations closed in the fiscal year that resulted in a criminal, civil, administrative action, or monetary outcome.	OI	60%	58%	<p>As a direct result of COVID-19 and increased workload, OI Headquarters allowed Regional Offices to close any open investigations that would likely not result in enforcement actions to focus on higher priority UI fraud cases. This decision resulted in the closing of numerous investigations this reporting period without enforcement actions, which directly contributed to OI not meeting its FY 2020 Target.</p> <p>OI will closely monitor investigations, but anticipates the vast majority of current open investigations will result in enforcement actions.</p>
1.1	Reduce backlog of outstanding audit reports.	OA	75%	59%	<p>FY 2020 backlog was 17 reports and the remainder of these reports should be issued during 2nd or 3rd quarters of FY 2021; however OA will continue to maintain focus on achieving a 12-month reporting cycle.</p>
1.2	Percentage of all Hotline complaints that are reviewed and logged within 10 calendar days from receipt. ³⁵	OI	90%	89%	<p>As a direct result of COVID-19, OI has received an unprecedented and extraordinary increase in referrals to the OIG Hotline. The vast majority of these referrals are individuals who had their PII compromised and unemployment claims submitted to State Workforce Agencies using their identity.</p> <p>OI established new procedures to quickly prioritize these complaints and refer the most serious offenders to OIG Regional Offices for evaluation and potential investigation.</p> <p>OI will closely monitor Hotline complaints and anticipates the new procedures in place will streamline the processing of complaints received by Hotline.</p>

³⁵ Previous FYs measurement stated “10 business” days. Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter.

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2020 Targets	FY 2020 Results	Performance Improvement Plan
1.2	Percentage of all Hotline complaints that are acknowledged in writing, as well as reviewed and referred to the appropriate OIG Office or DOL component within 35 calendar days ³⁶	OI	90%	83%	<p>As a direct result of COVID-19, OI has received an unprecedented and extraordinary increase in referrals to the OIG Hotline. The vast majority of these referrals are individuals who had their PII compromised and unemployment claims submitted to State Workforce Agencies using their identity.</p> <p>OI reassigned two additional analysts and a desk officer to process incoming Hotline complaints which includes contacting the complainants regarding the status of their referral. OI also established procedures to provide complainants with information regarding victims of stolen identity and how they can mitigate the impacts of their identity being stolen.</p>
1.2	Percentage of the 10 oldest FOIA requests closed during the fiscal year.	OLS	60%	0%	<p>OLS received approval to retain a contractor to assist the FOIA Officer and proposed an additional position to process FOIA requests.</p> <p>The selected contractor is undergoing the PECL process. With this contractor the FOIA program will be able to focus on the 10 oldest FOIA requests, which are quite complex.</p>

³⁶ Previous FYs measurement stated “35 working days.” Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter.

STRATEGIC GOAL 2—FOSTER AN INTERNAL OIG CULTURE THAT DRIVES HIGH PERFORMANCE AND ENGAGEMENT

STRATEGIC GOAL 2

Foster an internal OIG culture that drives high performance and engagement

The OIG recognizes that a high-performing culture relies on a highly engaged workforce. The OIG is focusing on developing a culture that enables a high-performing, optimized, and mission-driven workforce, by providing developmental tools that OIG staff and leaders need to grow and succeed, and by creating an environment of openness, engagement, and collaboration. This important investment creates a workplace culture and environment that encourages enhanced employee engagement, increased employee morale and satisfaction, continuous learning and development, and shared institutional knowledge. Collectively, these efforts leverage principles of organizational development focusing on activities that will impact not only OIG staff but also indirectly, all OIG stakeholders and taxpayers.

GOAL 2 STRATEGIC OBJECTIVES

Table 9: Strategic Objectives for Goal 2

2.1	Create a culture of civility, respect, and inclusiveness at all levels by fostering transparency and timely communications.
2.2	Meet current and future OIG mission needs through continuous development and professional growth.
2.3	Enhance OIG human capital by developing and implementing strategic recruitment, succession, and retention plans.
2.4	Increase management and leadership effectiveness, including seeking staff feedback.

GOAL 2 SELECTED EXAMPLES

- Implemented the OIG's Reasonable Accommodations (RA) Procedures & Tracking System online to enable the electronic submission of all RA requests.
- Reengineered the OIG hiring processes that resulted in the OIG completing double the number of hires after moving to a virtual operating paradigm.
- Launched a new OIG Intranet site to provide a more dynamic and valuable knowledge base of information and improved user experience.
- Hosted a Success Chat which focused on organizational performance and risk management, the relationship between various employee roles within the OIG, and how those roles impact our success in meeting the mission.
- Developed an internal *OIG Newsletter* in an effort to keep staff and management informed about major developments involving the work of the OIG.
- Relunched the OIG Mentoring program to provide continuous development and professional growth opportunities for OIG employees to enhance their careers.

GOAL 2 PERFORMANCE RESULTS



Table 10: Performance Results for Goal 2

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
2.1	By March 31, 2021, complete a Component-specific OIG Cultural Transformation Action Plan for the period of 2021-2023. The plan should include activities to improve communications, collaboration, accountability, training and development.	OIG	New FY 2021 Measure										100%	100%
	Percentage of employee engagement improvement activities completed that are based on OIG EVS action plans.	OIG	New FY 2021 Measure										60%	60%
2.2	Percentage of both employees and supervisors participating in the OIG mentoring program. ³⁷	OIG	15%	13%	15%	12%	15%	6.2%	15%	20%	8%	33%	15%	20%
	Percentage of supervisors who initiate conversations with at least 90 percent of the employees who report to them regarding developmental opportunities for the employees.	OIG	New FY 2018 Measure				95%	99.5%	95%	96%	95%	92%	95%	95%
	Make hiring selections or non-selections on General Schedule certificates within 25 days.	OIG	New FY 2020 Measure								85%	90%	85%	85%
2.3	Percentage of Non-SES/SL vacancies filled within 90 days from posting date to selection.	OMAP	90%	61%	90%	97%	90%	95.2%	90%	100%	90%	100%	90%	90%
	Percentage of quarterly summary exit survey feedback reports to Senior Managers and Executives. ³⁸	OMBUDSMAN	New FY 2021 Measure										75%	75%

³⁷ OIG reassigned “Percentage of both employees and supervisors participating in the OIG mentoring program” from an OMAP goal to an OIG-wide goal beginning in FY 2019.

³⁸ In FY 2021, OIG updated the measuring scheme to allow for combined quarterly meetings to reflect changing environments.

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets	
2.3 continued	Percentage of climate surveys or team building facilitations during the Fiscal Year.	OMBUDSMAN	New FY 2021 Measure										75%	75%	
	At least two briefings of exit survey trends provided to Senior Managers and Executives.	OMBUDSMAN	New FY 2020 Measure									90%	100%	90%	90%
	Respond to employee inquiries within 48 hours.	OMBUDSMAN	New FY 2020 Measure									90%	100%	90%	90%
2.4	Percentage of OIG supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff. ³⁹	OIG	New FY 2018 Measure				80%	98.5%	80%	81%	N/A	N/A	80%	N/A	
	Percentage of OIG supervisors that take supervisory training.	OIG	New FY 2018 Measure				95%	100%	95%	99%	95%	99%	95%	95%	
	Percentage of OIG GS-14, GS-15, Senior Leaders, and Senior Executives that take Treasury Executive Institute (TEI)'s or other AIG-approved training provider's leadership development courses. ⁴⁰	OIG	New FY 2018 Measure				75%	77.58%	75%	83%	75%	99%	75%	75%	

³⁹ OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019.

⁴⁰ Previous FYs measurement stated "IG." Refinement made to state "AIG." This refinement did not affect prior FY performance results.

GOAL 2 PERFORMANCE IMPROVEMENT PLAN

Table 11: Performance Improvement Plan for Goal 1 KPIs Not Met

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2020 Targets	FY 2020 Results	Performance Improvement Plan
2.2	Percentage of supervisors who initiate conversations with at least 90 percent of the employees who report to them regarding developmental opportunities for the employees.	OIG	95%	92%	Components will ensure all managers have discussed developmental opportunities their subordinates, including addressing opportunities in all-hands meetings.

STRATEGIC GOAL 3—PROMOTE RESPONSIBLE STEWARDSHIP OF OIG FINANCIAL AND NON- FINANCIAL RESOURCES

STRATEGIC GOAL 3

Promote responsible stewardship of OIG resources

The OIG strives for organizational excellence by improving the efficiency and effectiveness of all functions. This includes: engaging in robust planning to anticipate future mission needs and maximize the use of limited resources; developing sound budget forecasts for audit and investigative activities; improving performance; increasing accountability; and reducing costs. The OIG leverages technology to enhance audit, investigative, and business processes in an effort to ensure the most effective use of limited resources. Good stewardship of OIG resources further enables the achievement of Goal 3, as well as other OIG strategic objectives and priorities. This allows the OIG to effectively prioritize critical work such as: auditing DOL financial statements, conducting work under the Federal Information Security Management Act (FISMA) to ensure that DOL information technology (IT) systems are secure, identifying DOL's Top Management and Performance Challenges, and helping ensure that DOL administrative processes comply with various regulations and laws.

GOAL 3 STRATEGIC OBJECTIVES

Table 12: Strategic Objectives for Goal 3

3.1	Develop an OIG budget based on strategic mission priorities, areas of risk, operational needs, and cost effectiveness.
3.2	Ensure proper oversight of resources through effective internal controls.
3.3	Improve mission achievement and increase efficiency through technology.
3.4	Enhance the effectiveness, quality, and customer service of mission support activities.

GOAL 3 SELECTED EXAMPLES

- Launched the *Pandemic Response Online Portal* on the OIG's external website to provide a centralized location for COVID-19 Pandemic-related oversight reports, publicly reported investigations, and other published DOL-OIG COVID-19 Pandemic-related activities.⁴¹
- Developed the *OIG Pandemic Response Action Plan* that links financial resources to the critical oversight and investigative work of the OIG as part of the nation's response to the COVID-19 Pandemic.
- Introduced new communication tools to address the needs of staff, allow for face-to-face interaction between colleagues at their home worksites, improve efficiency, and enhance mission activities through the use of technology.
- Implemented the design plan to build the risk-management subsystem of OIG's enterprise system/solution to launch in FY 2021 that will enhance our ability to identify and adapt to threats and seize opportunities that could affect OIG operations and achievement of goals.

⁴¹ The DOL-OIG's *Pandemic Response Online Portal* is available on our website at https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm.

GOAL 3 PERFORMANCE RESULTS



Table 13: Performance Results for Goal 3

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
3.1	Percentage of audit projects that do not exceed planned hours.	OA	80%	57%	80%	83%	80%	81%	80%	77%	80%	81%	80%	80%
	Percentage of employee hours charged to audit activities compared to administrative time.	OA	75%	74%	75%	79%	75%	79%	75%	77%	75%	75%	75%	75%
	Percentage of employee hours charged to investigative activities compared to administrative time.	OI	90%	91%	90%	93%	90%	94.64%	90%	95%	90%	95%	90%	90%
	Percentage of employee hours charged to investigative activities compared to administrative time.	OSI	75%	94%	95%	63%	75%	82%	75%	94%	80%	88%	85%	85%
	Percentage of employee hours charged to COVID-19 related audit activities compared to non COVID-19 audit activities.	OA	New FY 2021 Measure										30%	30%
	Percentage of employee hours charged to COVID-19 related investigative activities compared to non COVID-19 investigative activities.	OI	New FY 2021 Measure										30%	30%
3.2	Support no less than two Risk Management Council meetings to monitor Active ERM mitigation activities and internal controls.	OIG	New FY 2021 Measure										100%	100%

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
3.2 continued	Conduct internal control reviews required by OMB Circular A-123 and submit all reports within OMB and DOL prescribed timeframes, and all remedial action plans when control deficiencies are identified within 60 days of the report finding. ⁴²	OMAP	New FY 2021 Measure										100%	100%
3.3	Percentage availability during business hours of internal IT network resources such as applications, networks, email, e-OIG, remote access and servers. ⁴³	OMAP	90%	100%	Retired		90%	98.7%	90%	99%	94%	99%	94%	94%
	Percentage of audit projects that leverage data analytics to maximize the impact of the audit.	OA	New FY 2018 Measure				25%	36%	40%	48%	50%	50%	60%	60%
	Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 25 days of the service request. ⁴⁴	OI	New FY 2020 Measure								85%	89%	85%	85%
	Percentage of investigative requests for digital evidence acquisitions are completed (processed and available for examination by requesting party) within 30 days of the forensic acquisition. ⁴⁵	OI	New FY 2018 Measure				85%	85.99%	85%	87%	85%	91%	85%	85%
	Percentage of investigative requests for digital media extractions are completed (available to requesting party) within 60 days of the service request. ⁴⁶	OI	New FY 2018 Measure				85%	88.89%	85%	91%	85%	89%	85%	85%

⁴² In FY 2021, OIG updated the measuring scheme to allow for combined quarterly meetings to reflect changing environments.

⁴³ OIG retired this KPI in FY 2017; however, OIG reinstated this KPI for FYs 2018 and 2019.

⁴⁴ Previous FYs measurement stated "...within 25 days of the service request"; as such, prior results are not directly comparable.

⁴⁵ Previous FYs measurement stated "forensic acquisitions..." and this refinement did not affect prior FY performance results.

⁴⁶ Previous FYs measurement stated "forensic examinations..." and this refinement did not affect prior FY performance results.

Strategic Objective	FY 2020 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2022 Targets
3.3 continued	Percentage of availability of the Digital Forensic Network and its services by ensuring security protocols, redundancy, data/system backups, and load balancing are enforced through regularly scheduled maintenance.	OI	New FY 2018 Measure				85%	100%	85%	100%	85%	100%	90%	90%
	Percentage of requests for reports of digital media analysis are completed (available to requesting party) within 45 days.	OI	New FY 2019 Measure						85%	96%	85%	86%	85%	85%
3.4	Percentage of audit projects that do not exceed planned travel costs.	OA	80%	83%	80%	83%	80%	86%	80%	100%	80%	97%	90%	90%
	Percentage of quarterly executive budget review sessions conducted to ensure proper budget planning and expenditures tracking, including human capital, procurement, facilities and IT activities.	OMAP	New FY 2017 Measure			100%	100%	100%	100%	100%	100%	100%	100%	100%
	OIG Financial resource utilization rate in accordance with detailed budget allocation.	OIG	New FY 2018 Measure				95%	99.9%	95%	99% ⁴⁷	97%	100%	97%	97%

⁴⁷ Technical correction made from 95% to 99%. OIG remained in the “Exceeded Target” range for this KPI.

STRATEGIC PLANNING AND ACCOUNTABILITY

OIG's FY 2018 – 2022 Strategic Plan outlines the OIG's vision for the future and provides a clear, unified, and enduring direction for all of our activities. This plan is the foundation on which we will build and measure the success of our activities, and we will use this plan to align resources to accomplish our goals in the best way possible.⁴⁸

The OIG measures its success in achieving its strategic goals in terms of how well OIG work products effect positive change. Positive change includes improving program effectiveness at DOL, reducing vulnerabilities that make programs susceptible to abuse, achieving savings, reducing criminal activity in the form of fraud and labor racketeering, and optimizing OIG's organizational performance, including the use of resources.

The OIG implemented a continuous cycle of OIG organizational performance, ERM, and other improvement activities that promote strategic management and accountability, including:

- Enhancing our performance measurement strategy and framework, including verification and validation, to measure organizational performance against strategic objectives;
- Evaluating progress towards achieving performance plans and engaging stakeholders at all levels;
- Identifying and responding to high-priority risks, including aligning resources to address risks; and
- Reporting performance information to OIG leaders and external stakeholders.

ENTERPRISE RISK MANAGEMENT

ERM has grown across the evolving landscapes of both the private and public sectors as each seeks to identify and adapt to threats and take advantage of opportunities that could affect operations and the achievement of goals. ERM refers to the culture, capabilities, and practices that organizations rely on to manage risk in creating, preserving, and realizing public value. ERM is also essential to achieving an open, efficient, resilient, and transparent government. Failure to address both simple and complex risks—exposure to uncertainty—and how these risks interact at both the component and enterprise level can have increasingly negative impacts on compliance, internal controls, operations, reporting, strategic objectives, and ultimately mission accomplishment.

The ERM approach is an important step in OIG's growth and evolution toward maturity and becoming a resilient organization that successfully addresses challenges due to an ever-changing federal landscape and also takes advantage of opportunities when presented. OMB emphasized the importance of having appropriate risk management processes and systems to identify challenges early, bring them to the attention of agency leadership, and develop solutions. By maturing our ERM program, we expect to improve mission delivery, reduce costs, and focus corrective actions towards key risks.⁴⁹

⁴⁸ The OIG develops strategic plans and priorities through consultations with its stakeholders, administration officials, and Congress. For more information on the OIG's FY 2018 – 2022 Strategic Plan, please visit our website at <https://www.oig.dol.gov/public/reports/OIG%20Strategic%20Plan%202018-2022.pdf>

⁴⁹ For more information on the OIG's Framework for ERM, please visit our website at <https://www.oig.dol.gov/public/OIG%20DOL%20ERM%20Framework.pdf>

MEASUREMENT AND VALIDATION OF OIG PERFORMANCE AND PROGRESS

The OIG monitors and evaluates performance toward its plans and commitments using ongoing, periodic, and one-time assessments, through which OIG senior leadership identifies issues, measures OIG component-specific and overall organizational health, and provides appropriate data and evidence to the IG, DIG, CPRMO, AIGs and the Counsel to the IG. The OIG uses these assessments, combined with explanations of the ratings and sources provided by each component, to review and validate each rating.

Beginning in FY 2018, the OIG internally evaluated progress towards achieving its annual performance targets each quarter using a Quarterly Performance Review (QPR) process as part of our efforts to continue optimization of our performance measurement strategy. These QPRs leveraged a traffic light rating system—green (met), yellow (in-process/on track), and red (not met) color ratings—and integrated key activities such as priority goals and risk mitigation activities.

VERIFICATION AND VALIDATION

Verification and validation of performance and progress assessments include the following:

Table 14: OIG Verification and Validation Activities

Activity	Description
Weekly Activity and Project Reports	OA provides a weekly project inventory that is distributed to the IG and all of OA. OI leverages weekly significant activities reports provided to management and leadership for internal tracking of activities. OMAP provides weekly significant activity reports outlining significant budgetary, staffing, and operational issues. Senior leadership regularly reviews activities reported.
Stakeholder Outreach and Engagement	Staff from OCPR document the number of congressional meetings and briefings, and other presentations and speeches for key mission areas, which the AIG for OCPR reviews and reports. OIG components provide travel and training data based upon selected time and effort reporting software and financial data reports. Both OA and OI track stakeholder outreach and engagement activities, and senior leadership regularly reviews activities reported. OMAP validates financial information.
OA Functions	OA leverages the TeamMate suite of modular applications for staff management, data processing, evidence collection, reference, and reporting; and to meet the U.S. Government Accountability Office’s (GAO) Government Auditing Standards (“Yellow Book”), peer review needs, and records retention requirements. OA management has ready visibility into all TeamMate project files, and regularly reviews work completed and reports produced by staff. OA management reports aggregate data for sharing with senior leadership and making critical decisions in the time and effort placed into various OA functions. For risk assessments and management planning, OA uses the TeamRisk component of TeamMate to perform risk assessments of major DOL program areas, and contributes to the development of Top Management and Performance Challenges reported annually in the Agency Financial Report as well as the significant concerns reported in Semiannual Reports to Congress. For audit resolution and post-report tracking, OA uses TeamCentral, another component of TeamMate.

Activity (cont'd)	Description (cont'd)
OI Functions	OI leverages data housed and reported from their Labor OIG Case Activity Tracking system (LOCATS), which OI management analyzes and reviews on a regular basis. OI investigations are prioritized based on documented criteria which includes two categories (Tier 1 and Tier 2). OI management and OIG senior officials also validate investigative priorities, and selected statistics are included in OIG's Semiannual Reports to Congress.
OMAP Functions	OMAP leverages a variety of data and reports housed in the New Core Financial Management System (NCFMS), human resource tracking databases, and centralized procurement systems. OMAP uses these sources to ensure that OIG spending is in alignment with its operating plan, to ensure compliance with the Anti-deficiency Act, and to recommend operational adjustments based on available funding and staffing levels.
OIG Quarterly Performance	The OIG internally evaluates progress towards achieving its annual performance measures on a traffic light rating system— green (met), yellow (in-process/on track), and red (not met) color ratings—and provides summary information of these quarterly results in APRs.

FY 2020 QUARTERLY PERFORMANCE REVIEW SUMMARY

The OIG measured each KPI on a cumulative, or as of, basis each quarter. Narratives supplied by each OIG component accompanied the quarterly cumulative progress for each KPI to describe achievements, challenges, and risks, as well as factors (in- and out of control) and trends for these challenges and risks.

For each KPI where an OIG component did not meet their cumulative quarterly performance progress target, AIGs and responsible OIG senior executives and senior managers submitted ongoing corrective action plans that integrated key activities such as priority goals and risk mitigation activities.

In FY 2020, the QPR process resulted in enhanced organizational performance management, refinement and in some cases retirement of existing KPIs, and development of new KPIs for FYs 2021 and 2022. In addition, our results show that in its second year of operation, the QPR process has improved our cumulative quarterly progress towards achieving annual performance targets.

OIG improved throughout FY 2020 with 72 percent of KPI cumulative quarterly targets met at the end of the first quarter to closing FY 2020 (cumulative 4 quarters) with 80 percent of KPIs exceeding annual targets.

Table 15: FY 2020 QPR Results Summary

Cumulative Rating	Quarter 1	Quarter 2	Quarter 3	Quarter 4 (FY 2020)
Exceeded (4th Quarter Only)	-	-	-	80%
Met—Green (Quarters 1 – 4)	72%	72%	83%	7%
In Process/On-Track—Yellow (Quarters 1 – 3)	8%	17%	5%	-
Not Met—Red (Quarters 1 – 4)	12%	3%	3%	10%
N/A⁵⁰ (Quarters 1 – 4)	8%	8%	8%	3%

⁵⁰ Some KPIs were N/A in FY 2020 for some quarters given pre-existing timeframes and normal lifecycles for related activities to occur.

CONCLUSION

The COVID-19 Pandemic has been extremely challenging on a global scale. DOL programs, such as UI and occupational health and safety protection, play a vital role in securing the financial well-being, health, and safety of all Americans. It is imperative that these programs continue to deliver on their essential missions effectively and efficiently.

As the federal agency with primary oversight of DOL, the OIG remains committed to meeting these challenges head-on and assisting DOL and Congress in protecting the American workforce. We are diligently focused on limiting the negative impacts of the COVID-19 Pandemic as the nation continues to combat this disease.

In addition to our extensive work relating to the COVID-19 Pandemic, the OIG contributes significantly towards the achievement of DOL's mission and goals through improved efficiency, effectiveness, and integrity of DOL programs and operations, reduced vulnerabilities, and identified cost savings. The OIG's results for FY 2020 continue to demonstrate its commitment to the American people, DOL, and Congress by providing independent and objective oversight of DOL programs through our auditing and investigative efforts, and by combatting the influence of labor racketeering and organized crime in the nation's labor unions.

The OIG is a performance-based organization committed to managing towards specific, measurable goals derived from the OIG's mission, using performance data to continually improve operations, as well as continuing to cultivate a culture of engagement that values our employees.

Enhancing the OIG's internal capabilities and practices to proactively manage risks and create public value are of critical importance, and the OIG will continue to use and leverage ERM and emerging technologies, such as predictive data analytics, to transform the way the OIG initiates and conducts investigations and audits, focusing on high-impact issues, including existing and emerging risks facing DOL.

APPENDIX A – STATUTORY RESPONSIBILITIES AND PROFESSIONAL STANDARDS

STATUTORY RESPONSIBILITIES, REGULATORY POLICIES, AND PROFESSIONAL STANDARDS

The OIG complies with laws and their implementing regulations, instructions or information provided by OMB, as well as federal law enforcement and auditing policies, guidance, and professional standards.⁵¹ The following tables present some of the laws and professional standards with provisions affecting the OIG's mission and work:

STATUTORY RESPONSIBILITIES

Table 16: Statutory Responsibilities

Legislation	Requirements
Inspector General Act of 1978, as amended	The IG Act established OIGs across the executive branch to conduct audits and investigations; to promote economy, efficiency, and effectiveness; and to prevent waste, fraud, and abuse. Among other things, the Act requires the Inspector General to prepare and submit to the Secretary of Labor semiannual reports summarizing our activities for the preceding six-month period, which the Secretary is required to transmit to Congress within thirty days. The OIG follows the Attorney General's Guidelines for OIGs with Statutory Law Enforcement Authority. ⁵²
Federal Managers' Financial Integrity Act of 1982	Requires Executive agencies to establish internal accounting and administrative controls which include standards to ensure the prompt resolution of all audit findings; take corresponding corrective actions, and report annually on its evaluation of such controls.
Chief Financial Officers Act of 1990	Requires IGs to annually submit to Congress, the Director of OMB, and the head of the agency an audited financial statement for the preceding fiscal year covering all account associated activities of the agency.
Government Performance and Results Act of 1993	Requires the assessment of the internal control environment over DOL's performance measures.
Government Management Reform Act of 1994	Requires an assessment and evaluation of the 1) reliability of DOL's performance data and 2) extent to which DOL's performance plan meaningfully describes its planned and actual performance.
Federal Financial Management Improvement Act of 1996	Requires the IG to evaluate DOL's financial systems compliance with federal standards.
Reports Consolidation Act of 2000	Requires the IG to provide a summary and assessment of the most serious management and performance challenges facing federal agencies and their progress in addressing them.
Federal Information Security Management Act of 2002	Requires the IG to evaluate the effectiveness of DOL's overall information security program and practices.
Digital Accountability and Transparency Act of 2014	Requires detailed disclosure on agency websites of funds made available to an agency, and amounts expended. Requires the Inspector General to (1) review a statistically valid sampling of the spending data submitted under this Act by DOL; and (2) submit to Congress and make publicly available a report assessing the completeness, timeliness, quality, and accuracy of the data sampled and the implementation and use of data standards by DOL.

⁵¹ For more information on IGs in the federal government, please visit the CIGIE website at: <https://www.ignet.gov/> and <https://www.oversight.gov/>

⁵² These guidelines are required by section 6(e)(4) of the IG Act, as amended, and govern the exercise of law enforcement authorities for those OIGs that have been granted statutory law enforcement authorities pursuant to that Act.

Legislation (cont'd)	Requirements (cont'd)
<p>Improper Payments Information Act of 2002 (IPIA), as amended by the Improper Payments Elimination and Recovery Act of 2010 and the Improper Payments Elimination and Recovery Improvement Act of 2012, including Executive Order 13520</p>	<p>Requires agencies to conduct a risk assessment and identify programs having a significant risk of improper payments, as well as develop corrective action plans for reducing estimated improper payments based on root causes identified. In addition, requires agencies to report, on a quarterly basis, (1) the total amount of high-dollar overpayments made by the agency, (2) any actions the agency has taken or plans to take to recover high-dollar overpayments, and (3) any actions the agency will make to prevent overpayments from occurring in the future.</p> <p>Requires the IG to review the reports provided by the agencies. The Inspector General shall assess the level of risk associated with the applicable programs, determine the extent of oversight warranted, and provide the agency head with recommendations. The IG will determine whether the agencies complied with IPIA, as amended, and may also evaluate the accuracy and completeness of reporting and performance in reducing and recapturing improper payments.</p>
<p>Death in Custody Reporting Act (DCRA) of 2013</p>	<p>Requires the head of each Federal law enforcement agency to report to the Attorney General on an annual basis information regarding the death of any person who is (1) detained, under arrest, or is in the process of being arrested by any officer of such Federal law enforcement agency; (2) en route to be incarcerated or detained, or is incarcerated or detained at any facility (including any immigration or juvenile facility) pursuant to a contract with such Federal law enforcement agency; or any State or local government facility used by such Federal law enforcement agency; or (3) incarcerated in any Federal correctional facility or Federal pre-trial detention facility located within the United States.</p>
<p>Foundations for Evidence-Based Policymaking Act of 2018 (“Evidence Act”)</p>	<p>Mandates Federal evidence-building activities, open government data, and confidential information protection and statistical efficiency. Requires agencies to make any data asset maintained by the agency available, upon request, to any statistical agency or unit for purposes of developing evidence.⁵³</p>
<p>Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”)</p>	<p>Mandates 9 Federal Inspectors General to carry out oversight activities of their respective agency’s response to the COVID-19 Pandemic. Requires DOL OIG to oversee the expansion of the UI programs provisioned by the Act and oversight of DOL activities supported with funds appropriated to prepare for and respond to the coronavirus Pandemic.</p>

⁵³ The Evidence Act broadly defines “evidence” and includes four interdependent components of evidence: foundational fact finding, performance measurement, policy analysis, and program evaluation.

REGULATORY POLICIES

Table 17: Regulatory Policies

Regulatory Policies	Requirements
OMB Circular No. A-123	<p>Defines management's responsibility for enterprise risk management and internal control in federal agencies. Provides guidance to Federal managers on improving the accountability and effectiveness of Federal programs and operations by establishing, assessing, correcting, and reporting on internal control.</p> <p>Provides specific requirements for assessing and reporting on controls in the federal government.</p>
OMB Circular No. A-11, Part 6	Requires agencies are required to submit strategic plans, annual performance budgets, and annual program performance reports to the President, Congress, and OMB. ⁵⁴
Special Deputation Agreement with the United States Department of Justice and the Federal Bureau of Investigation	Gives the OIG the authority to investigate Organized Crime/Labor Racketeering cases and labor trafficking cases. ⁵⁵

PROFESSIONAL STANDARDS

Table 18: Professional Standards

Professional Standards	Requirements
GAO, Government Auditing Standards ("Yellow Book") ("Generally Accepted Government Auditing Standards") ⁵⁶	<p>Provides a framework for conducting high quality audits with competence, integrity, objectivity, and independence.</p> <p>Provides uniform rules and standards for federal government audits.</p>
GAO, Standards for Internal Control in the Federal Government ("Green Book")	<p>Provides the standards for an effective internal control system for federal agencies.</p> <p>Provides the overall framework for designing, implementing, and operating an effective internal control system.</p>
CIGIE, Quality Standards for Inspection and Evaluation ("Blue Book")	Establishes standards for inspections and evaluations conducted by federal agencies.
CIGIE, Quality Standards for Federal Offices of Inspector General ("Silver Book")	Provides the overall quality framework for managing, operating, and conducting the work of IGs.

⁵⁴ OMB rescinded Circular A-11, Part 6 in its entirety effective December 23, 2020.

⁵⁵ The authority derived from the Agreement is different than, and in addition to, the authority derived from the IG Act, as amended. The agreement is not public.

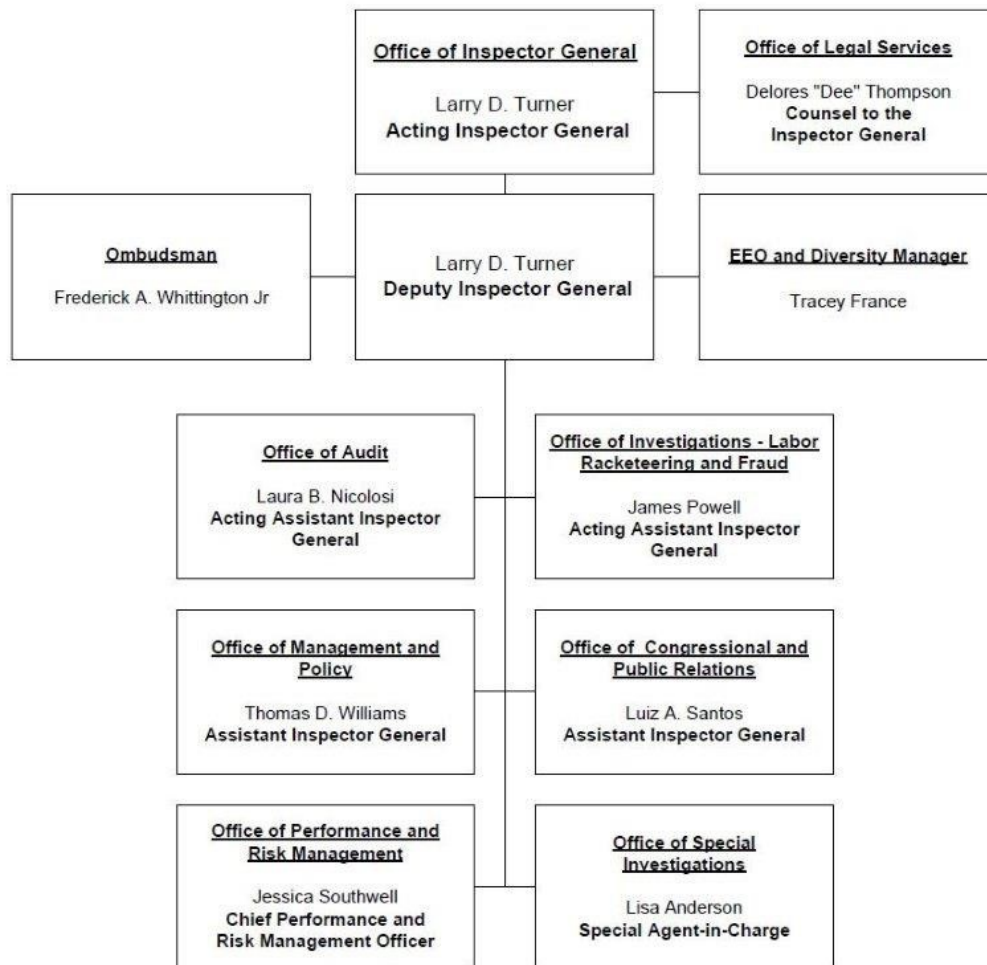
⁵⁶ For more information on the GAO, please visit GAO's website at www.gao.gov/

APPENDIX B – OIG ORGANIZATIONAL STRUCTURE AND COMPONENTS

OIG ORGANIZATIONAL STRUCTURE

The OIG offices are located in Washington, D.C. (Headquarters), and several field and regional locations across the United States and Puerto Rico.

Figure 3: OIG Organization Chart



The OIG workforce is comprised of more than 300 employees with expertise in accounting, auditing, criminal justice, economics, finance, information technology, law, public and business administration, risk and performance management, and social and physical sciences, among other fields.

OIG COMPONENTS

In carrying out its statutory responsibility to conduct and supervise audits and investigations relating to the programs and operations of the DOL, the IG provides program direction over: the Office of Audit, the Office of Investigations, and the Executive Direction and Management function.

OFFICE OF AUDIT

The Office of Audit is responsible for conducting and supervising audits and other reviews relating to the Department's programs and operations; recommending policies for activities designed to promote economy, efficiency, and effectiveness in the administration of the Department's programs and operations preventing and detecting fraud, waste, abuse, and mismanagement in these programs and operations.

OFFICE OF INVESTIGATIONS - LABOR RACKETEERING AND FRAUD

The Office of Investigations – Labor Racketeering and Fraud is responsible for conducting criminal, civil, and administrative investigations relating to violations of Federal laws, rules, or regulations as they pertain to DOL programs, grants, contracts, and operations, as well as allegations of criminal activity and serious misconduct on the part of DOL employees. In addition, the Office of Investigations has the responsibility to investigate labor racketeering and organized crime influence involving unions, employee benefit plans, and labor-management relations.

EXECUTIVE DIRECTION AND MANAGEMENT

This function provides the overall direction, planning, management, and administration necessary to independently carry out the OIG's nationwide mission, supplying centralized management of OIG headquarters and regional staff. The major components of the Executive Direction and Management function include:

EQUAL EMPLOYMENT OPPORTUNITY AND DIVERSITY

The EEO and Diversity Manager is an advisor to the Office of Audit, the Office of Investigations, and the Executive Direction and Management functions, and a resource to all OIG employees on equal opportunity and workforce diversity matters. Works throughout OIG to provide training and promote the understanding of rights and responsibilities in the EEO process, facilitate early resolution of EEO complaints, and evaluate the diversity impact of workforce planning and other human resource decisions.

OFFICE OF CONGRESSIONAL AND PUBLIC RELATIONS

The Office of Congressional and Public Relations carries out liaison functions with respect to Congress, the media, other governmental agencies, the public, DOL, and internally within the OIG; prepares statutorily mandated reports such as the Semiannual Report to Congress; and coordinates all legislative review activities.

OFFICE OF LEGAL SERVICES

The Office of Legal Services provides legal services to the IG, OIG leadership, and OIG components. This includes providing counsel to the IG and advisory, transactional, and representational services to the: Office of Audits (OA); the Office of Investigations (OI); Office of Special Investigations (OSI); Office of Management and Policy Administration; Office of Congressional and Public Relations (OCPR); and the Office of Performance and Risk Management (OPRM). The Office also manages the DOL Whistleblower Protection program, the OIG Information Disclosure (FOIA and Privacy Act) program, and the OIG Records Management program.

OFFICE OF MANAGEMENT AND POLICY

The Office of Management and Policy provides for overall direction, planning, management, and administration necessary to carry out the nationwide responsibilities of the OIG. This includes providing the full range of human resources, information technology, budget, and procurement services.

OFFICE OF PERFORMANCE AND RISK MANAGEMENT

The Office of Performance and Risk Management conducts a variety of organizational performance and risk management activities across the OIG, working closely with the AIGs and senior leadership to improve how OIG manages performance and risks to the OIG mission.

OFFICE OF SPECIAL INVESTIGATIONS

The Office of Special Investigations conducts employee integrity investigations involving allegations of fraud and wrongdoing by OIG employees and high-level DOL employees.

OMBUDSMAN

The Ombudsman is an independent, neutral, confidential, and informal resource to all OIG employees. Increases organizational focus on mission critical activities by helping senior leaders, managers, supervisors, and staff minimize unwarranted distractions in the workplace, increase employee engagement, and address individual and organizational matters.

APPENDIX C – FYs 2016 THROUGH 2020 MEASURES RETIRED

FYs 2016 THROUGH 2020 MEASURES RETIRED

The OIG retired strategic objectives and KPIs between fiscal years and APRs to enhance organizational performance and the accuracy and data quality of performance and progress. KPI changes may include text edits that while minor, may constitute material modifications to performance measurement. Finally, KPI may also be retired due to comprising activities being completed within one fiscal year.

FYs 2016 - 2020 TARGETS AND RESULTS FOR RETIRED KPIS

For those KPIs that the OIG presented as consolidated summaries with OIG component detail, the OIG provides solely the detail for each OIG component below in Table 19.



Table 19: Performance Results for FYs 2016 through 2020 Retired KPIs

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results
1.2	Percentage of audits completed within 12 months of initiation, or as prescribed by OIG leadership.	OA	70%	59%	70%	61%	70%	68%	Retired			
	Percentage of audits completed within 12 months of initiation (date of engagement letter). ⁵⁷	OA	New FY 2019 Measure						70%	48%	Retired	
	Percentage of allegations that are either closed or converted to a full investigation within 90 days of receipt.	OI	70%	79%	65%	94%	Retired					
	Percentage of Priority 1 and 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2017 Measure		50%	46%	Retired					

⁵⁷ Previous FYs measurement stated "...or as prescribed by OIG leadership ..."; as such, prior results are not directly comparable. However, OA is in the process of developing Standard Operating Procedures to reduce the duration (project cycle time) of audits.

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	
1.2 continued	Percentage of Priority 3 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2017 Measure		75%	81%	Retired						
	Percentage of OMAP IG Directives that are updated to reflect current regulations, and operational mission requirements.	OMAP	New FY 2017 Measure		50%	64%	Retired						
	Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	O CPR	New FY 2018 Measure				1	1	Retired				
		OI	New FY 2018 Measure				4	4	Retired				
		OLS	New FY 2018 Measure				2	4	Retired				
		OMAP	New FY 2018 Measure				10	28	Retired				
	Percentage of OIG new hires trained on employee records management requirements within 45 days of their onboarding with the OIG. ⁵⁸	OLS	New FY 2018 Measure				90%	32%	Retired				
	Provide legal guidance and assistance for routine audit and investigative requests for legal support within 20 business days from receipt of the request, or within agreed upon timelines. ⁵⁹	OLS	90%	90%	Retired				70%	98%	Retired		
Issue a biennial OMAP Customer Satisfaction Survey to seek stakeholder feedback and assess the effectiveness of mission support activities within the OIG. ⁶⁰	OMAP	New FY 2017 Measure		30-Sep	24-Aug	N/A	N/A	30-Sep	4-April	N/A	N/A		
1.3	Percentage completion of a new, repeatable audit workplan process that leverages the use of survey instruments to key stakeholders.	OA	New FY 2017 Measure		100%	100%	Retired						
	Percentage of new cases that are considered Critical Risk (priority 1) or High Risk (priority 2).	OI	75%	88%	75%	88%	Retired						

⁵⁸ Training slides are provided by OMAP rendering this KPI redundant for FY 2019.

⁵⁹ OIG retired this KPI in FY 2017; however, OIG reinstated this KPI for FY 2019.

⁶⁰ OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019. In FY 2021, OIG updated the measuring scheme from a date to a number.

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results
1.3 continued	Percentage of new investigative cases that are considered Critical Risk (priority 1), or High Risk (priority 2) due to potential impact to the DOL.	OSI	75%	71%	75%	87%	Retired					
	Adopt and build on the existing risk-based annual workplan development process within the TeamRisk module of TeamMate.	OA	New FY 2018 Measure				8/31/2018	6/28/2018	Retired			
1.4	Percentage of congressionally-mandated OIG reports, including the Semiannual Reports to Congress, provided to stakeholders within statutory or agreed upon timeframes.	OCPR	100%	100%	100%	100%	100%	100%	Retired			
	Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within two business days after receiving final, approved versions.	OCPR	90%	100%	90%	100%	90%	100%	Retired			
1.5	Number of meetings or focus groups with DOL or OIG community regarding areas of potential audit risks.	OA	32	31	32	32	32	82	Retired			
	Number of briefings and consultations per year offered to cognizant Senate and House committees regarding OIG work priorities and areas of Congressional interest.	OCPR	12	13	12	15	12	12	12	19	12	13
2.1	Complete an OMAP EVS action plan to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OMAP	New FY 2017 Measure		February 2017	February 2017	Retired					
	Complete component-specific EVS action plan to increase employee engagement index scores.	OIG	New FY 2018 Measure				28-Feb	28-Feb	28-Feb	21-Jan	27-Dec	27-Dec

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results
2.1 continued	Complete an OI EVS action plan to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors	OI	New FY 2017 Measure		February 2017	February 2017	Retired					
	Complete an OA EVS action plan to increase engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OA	New FY 2017 Measure		February 2017	February 2017	Retired					
2.2	Percentage of OIG training funds obligated.	OIG (Reported by OMAP)	95%	94%	95%	95.5%	90%	79%	Retired			
2.3	Develop a framework for an "OIG Strategic Human Capital Plan" that includes strategies for recruitment, talent development, and succession planning.	OMAP	New FY 2017 Measure		Sep 2017	July 2017	Retired					
	Percentage of departing employees who complete exit interviews.	OMBUDSMAN	65%	18%	65%	17%	65%	52%	Retired			
	Percentage of departing employees informed of the exit survey.	OMBUDSMAN	New FY 2019 Measure						90%	100%	Retired	
	Provide summary exit survey feedback reports to Senior Managers and Executives at least once quarterly. ⁶¹	OMBUDSMAN	New FY 2020 Measure								80%	100%
	Conduct a total of eight climate surveys or team building facilitations during FY 2020.	OMBUDSMAN	New FY 2020 Measure								80%	100%
2.5	Percentage of auditors in compliance with mandatory professional training within prescribed timelines.	OA	100%	100%	100%	100%	Retired					
	Percentage of investigators completing mandatory professional training within prescribed timelines.	OI	100%	100%	100%	100%	Retired					

⁶¹ In FY 2021, OIG updated the measuring scheme to allow for combined quarterly meetings to reflect changing environments.

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results
2.5 continued	Percentage of investigators completing mandatory professional training within prescribed timelines.	OSI	100%	100%	100%	100%				Retired		
	Percentage of OA employees who have employee development plans.	OA	100%	100%	100%	100%				Retired		
	Percentage of OI employees who have employee development plans.	OI	70%	45%	70%	78%				Retired		
	Percentage of OSI employees who have employee development plans.	OSI	70%	50%	70%	75%				Retired		
	Percentage of OMAP employees who have employee development plans.	OMAP	70%	0%	70%	51%				Retired		
	Percentage of OLS employees who have employee development plans.	OLS	70%	70%	70%	0%				Retired		
	Percentage of OCPR employees who have employee development plans.	OCPR	70%	100%	70%	100%				Retired		
2.7	Percentage of OMAP supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OMAP	100%	100%	100%	100%				Retired		
	Percentage of OA supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OA	100%	100%	100%	100%				Retired		
	Percentage of OI supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OI	100%	100%	100%	100%				Retired		
	Percentage of OSI supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OSI	100%	Result Not Received	100%	0%				Retired		

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	
2.7 continued	Percentage of OLS supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OLS	100%	100%	100%	100%	Retired						
	Percentage of OCPR supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OCPR	100%	0%	100%	100%	Retired						
2.8	Percentage completion of OIG-wide mandatory on-line annual training.	OMAP	90%	100%	100%	94%	Retired						
3.2	Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OA	New FY 2018 Measure				9/30/2018	April 2018	Retired				
		OCPR	New FY 2018 Measure				9/30/2018	9/30/2018	Retired				
		OI	New FY 2018 Measure				9/30/2018	9/30/2018	Retired				
		OLS	New FY 2018 Measure				9/30/2018	9/30/2018	Retired				
		OMAP	New FY 2018 Measure				9/30/2018	9/19/2018	Retired				
		OSI	New FY 2018 Measure				9/30/2018	9/30/2018	Retired				
	Percentage completion of planned milestones to re-engineer the Audit Work plan Development process based on a risk-informed methodology.	OA	New FY 2017 Measure			100%	100%	Retired					
	Percentage completion of an OA-specific risk inventory based on OIG's ERM Framework.	OA	New FY 2017 Measure			100%	100%	Retired					
	Percentage completion of an OI-specific risk inventory based on OIG's ERM Framework.	OI	New FY 2017 Measure			100%	100%	Retired					
	Percentage completion of an OMAP-specific risk inventory based on OIG's ERM Framework.	OMAP	New FY 2017 Measure			100%	100%	Retired					
	Percentage of ERM mitigation plan activities completed (Tier 1).	OIG	New FY 2019 Measure							70%	90%	Retired	

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results
3.2 continued	Percentage of ERM mitigation plan activities completed (Tier 2).	OIG	New FY 2020 Measure								70%	81%
	Conduct internal control reviews required by OMB Circular A-123 and submit all reports within OMB and DOL prescribed timeframes, and all remedial action plans when control deficiencies are identified within 60 days of the report finding. ⁶²	OMAP	New FY 2018 Measure			30-Sep	26-July	30-Sep	9-July	30-Sep	1-July	
3.3	Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 30 days of the service request. ⁶³	OI	New FY 2018 Measure			85%	94.93%	85%	91%	Retired		
3.4	Develop an "OIG IT Strategic Plan" that provides a roadmap to use IT strategically to optimize capabilities, adapt to change, and support initiatives that demonstrably support the OIG mission and improve IT performance.	OMAP	New FY 2017 Measure	Sep 2017	July 2017	Retired						
	Ensure at least 90 percent integrity and accuracy of acquisition data submitted to the Federal Procurement Data System (FPDS) through the results of the FPDS system.	OMAP	New FY 2018 Measure			100%	N/A ⁶⁴	100%	N/A ⁶⁵	Retired		

⁶² In FY 2021, OIG updated the measuring scheme from a date to a percentage.

⁶³ OIG refined this KPI to define "completed."

⁶⁴ DOL did not identify the cohort of contracts to be included in the FY 2018 FPDS audit prior to the close of FY 2018.

⁶⁵ DOL did not identify the cohort of contracts to be included in the FY 2019 FPDS audit prior to the close of FY 2019.

APPENDIX D – PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED AND INVESTIGATIONS PUBLICLY REPORTED BY DOL-OIG

PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED BY DOL-OIG

A key role of OIGs is to provide oversight of Federal Government funds and programming and to issue corresponding oversight reports. DOL-OIG issued a total of 10 COVID-19 Pandemic-related oversight reports in FY 2020.⁶⁶

Table 20: DOL-OIG Pandemic-Related Oversight Reports

Oversight Report	Issue Date
Report Number 19-20-010-10-105, <i>COVID-19: OSHA Needs to Improve Its Handling of Whistleblower Complaints During the Pandemic</i>	August 14, 2020
Report Number 19-20-009-15-001, <i>COVID-19: WHD Needs To Closely Monitor The Pandemic Impact On Its Operations</i>	August 7, 2020
Report Number 19-20-008-03-315, <i>COVID-19: More Can Be Done to Mitigate Risk to Unemployment Compensation Under the CARES Act</i>	August 7, 2020
Report Number 19-20-007-03-370, <i>COVID-19: ETA Should Continue To Closely Monitor Impact On Job Corps Program</i>	July 28, 2020
Report Number 19-20-006-06-001, <i>COVID-19: MSHA Faces Multiple Challenges in Responding to the Pandemic</i>	July 24, 2020
Report Number 19-20-004-04-001, <i>COVID-19: OWCP Should Continue to Closely Monitor Impact on Claims Processing</i>	July 6, 2020
Report Number 19-20-005-03-391, <i>CARES Act: Key Areas of Concern Regarding Implementation of Dislocated Worker Grant Provisions</i>	June 23, 2020
Report Number 19-20-002-03-315, <i>Alert Memorandum: The Pandemic Unemployment Assistance Program Needs Proactive Measures to Detect and Prevent Improper Payments and Fraud</i>	May 26, 2020
Report Number 19-20-003-03-001, <i>Alert Memorandum: ETA Needs to Improve its Plans for Providing Administrative, Financial Management, and Audit Requirements Relief to Grant Recipients Impacted by the Novel Coronavirus (COVID-19)</i>	May 19, 2020
Report Number 19-20-001-03-315, <i>CARES Act: Initial Areas of Concern Regarding Implementation of Unemployment Insurance Provisions</i>	April 21, 2020

Note: Table 20 excludes the *Top Challenges Facing Federal Agencies: COVID-19 Emergency Relief and Response Efforts – June 2020* report.

⁶⁶ For copies of these COVID-19 Pandemic-related oversight reports and other published DOL-OIG COVID-19 Pandemic-related activities, please visit DOL-OIG's *Pandemic Response Online Portal* on our website at https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm.

PANDEMIC-RELATED INVESTIGATIONS PUBLICLY REPORTED BY DOL-OIG

A key role of OIGs is to support law enforcement in pursuing fraud investigations and criminal enforcement. DOL-OIG publicly reported a total of 10 COVID-19 Pandemic-related investigations in FY 2020.⁶⁷

Table 21: DOL-OIG Pandemic-Related Investigations Publicly Reported

Investigations Publicly Reported	Reported Date
Four Chester County Residents Charged with COVID-19 Related Unemployment Fraud (USAO ED-PA)	September 1, 2020
Two Charged in \$1.8 Million Unemployment Insurance Scam (USAO ED-MI)	August 25, 2020
Melrose Man Indicted for Unemployment Insurance Scam (USAO D-MA)	August 24, 2020
Southfield Man Charged in Multi-State Identity Theft and Unemployment Fraud Scheme (USAO ED-MI)	August 19, 2020
State Contractor Charged in \$2 million Unemployment Fraud Scheme (USAO ED-MI)	July 17, 2020
Maryland Department of Labor Uncovers Massive Criminal Fraud Scheme (Maryland Dept. of Labor)	July 15, 2020
8 Arrested on Federal Indictment Alleging Scheme to Obtain \$1.1 Million in Unemployment Benefits Through Sham Companies (USAO CD-CA)	July 7, 2020
Nearly 3,800 Fraudulently Filed Unemployment Insurance Claims Blocked by the U.S. Department of Labor (USAO ND-OK)	June 29, 2020
Attorney General Nessel Establishes Unemployment Insurance Fraud Task Force To Pursue Bad Actors (MI Attorney Gen. News Release)	June 5, 2020
State and Federal Officials Urge Mainers to Report Unemployment Fraud (USAO D-ME)	May 26, 2020

⁶⁷ For copies of these COVID-19 Pandemic-related, publicly reported investigations and all published DOL-OIG COVID-19 Pandemic-related activities, please visit DOL-OIG's *Pandemic Response Online Portal* on our website at https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm

OIG HOTLINE

The OIG operates a hotline to receive and process allegations of fraud, waste, and abuse concerning DOL grants, contracts, programs and operations. The OIG also addresses allegations of criminal activity and serious misconduct involving DOL employees. Moreover, the OIG has jurisdiction to investigate allegations of labor racketeering and organized crime influence in the workplace, including the misuse of union benefit plan assets or power, labor-management relations, and internal union affairs.

TO REPORT FRAUD, WASTE, OR ABUSE, PLEASE CONTACT:

Online: <https://www.oig.dol.gov/hotline.htm>

Telephone: 1-800-347-3756
202-693-6999

Fax: 202-693-7020

Address: Office of Inspector General
U.S. Department of Labor
200 Constitution Avenue, N.W.
ATTN: Hotline Program
Washington, D.C. 20210