



Smithsonian Institution  
Office of the Inspector General

# SEMIANNUAL REPORT TO THE CONGRESS

October 1, 2017 – March 31, 2018



Cover: Foldhaus, *Shrumen Lumen*, 2016. Photo by Ron Blunt. "No Spectators: The Art of Burning Man" opened March 30 at the Smithsonian American Art Museum's Renwick Gallery.

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## Abbreviations

CIGIE	Council of the Inspectors General on Integrity and Efficiency
CBSC	Carolina Biological Supply Company
CIO	Chief Information Officer
FBI	Federal Bureau of Investigation
FISMA	Federal Information Security Modernization Act
FFMIA	Federal Financial Management Improvement Act of 1996
NASA	National Aeronautics and Space Administration
NASM	National Air and Space Museum
OCIO	Office of the Chief Information Officer
OIG	Office of the Inspector General
PII	personally identifiable information
PIA	privacy impact assessment
Smithsonian	Smithsonian Institution
Sodexo	Sodexo Operations Limited Liability Corporation

Table 1: Semiannual Reporting Requirements of the Inspector General Act of 1978, as amended

Public Law Section	Reporting requirement	Page number
Section 4(a)(2)	Review of legislation and regulations	15
Section 5(a)(1)	Significant problems, abuses, and deficiencies	None
Section 5(a)(2)	Significant recommendations for corrective action	None
Section 5(a)(3)	Reports with corrective action not completed	9
Section 5(a)(4)	Matters referred to prosecutive authorities	14
Section 5(a)(5)	Information or assistance refused	None
Section 5(a)(6)	List of reports issued with dollar value of questioned costs and recommendations that funds be put to better use	5
Section 5(a)(7)	Summaries of significant reports	5
Section 5(a)(8)	Audit, inspection, and evaluation reports—questioned costs	None
Section 5(a)(9)	Audit, inspection, and evaluation reports—funds to be put to better use	None
Section 5(a)(10)(A)	Audit, inspection, and evaluation reports issued before the commencement of the reporting period with no management decision	None
Section 5(a)(10)(B)	Audit, inspection, and evaluation reports issued before the commencement of the reporting period with no management comment within 60 days	None
Section 5(a)(10)(C)	Audit, inspection, and evaluation reports issued before the commencement of the reporting period with unimplemented recommendations	9
Section 5(a)(11)	Significant revised management decisions	None
Section 5(a)(12)	Significant management decisions with which the Office of the Inspector General (OIG) disagreed	None
Section 5(a)(13)	Information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 (FFMIA)	None
Section 5(a)(14-16)	Peer reviews	10,13
Section 5(a)(17-18)	Investigative tables	14
Section 5(a)(19)	Reports on investigations with substantiated allegations involving senior employees	11-12
Section 5(a)(20)	Whistleblower retaliation	None
Section 5(a)(21)	Attempts to interfere with OIG independence	None
Section 5(a)(22)(A)	Inspections, evaluations, and audits that were closed and not disclosed to the public	None
Section 5(a)(22)(B)	Investigations involving senior employees that were closed and not disclosed to the public	None

## Message from the Inspector General

On behalf of the Smithsonian Institution's Office of the Inspector General (OIG), I am pleased to submit this semiannual report to the Congress. This report highlights our audit and investigative activities for the 6-month period ending March 31, 2018.

Throughout this semiannual period, our audit work addressed issues intended to improve the efficiency and effectiveness of the Smithsonian's programs and operations. Our office issued five reports and an annual risk-based audit plan, conducted work on nine ongoing audits, and closed five recommendations. In addition, OIG made three recommendations to strengthen information security at the Smithsonian. For example, OIG reported that the Smithsonian's information security program was not fully effective in reducing information security risks in fiscal year 2016. Specifically, the Smithsonian was operating at the lowest maturity level for two of the five cybersecurity functional areas. More details on this report can be found in the "Audits" section of this report.

Our investigative activities continued to focus on and hold accountable those individuals whose actions could harm the Smithsonian's programs and operations. For example, in response to our December 2016 management advisory, Smithsonian Enterprises (SE) management identified several suspicious cash transactions by SE employees. OIG investigated and obtained evidence to support arrest warrants for 7 employees. Additionally, SE terminated 9 employees, and 10 others resigned.

In addition, OIG, with the assistance of the Federal Bureau of Investigation, recovered a collection object, an Omega watch worn in space in 1968 by Apollo 7 astronaut Donn Eisele. The watch, worth an estimated \$400,000, had been reported stolen from the Smithsonian collection when on loan to another museum in 1989. More details on this recovery can be found in the "Investigations" section of this report.

In the months ahead, our office will continue to conduct audits and investigations that help the Smithsonian Board of Regents and management meet their stewardship and fiduciary responsibilities, support congressional oversight, and provide information to the public.



Cathy L. Helm  
Inspector General

# Introduction

## The Smithsonian Institution

The Smithsonian Institution (Smithsonian) was created by Congress in 1846 to carry out the provisions of the will of James Smithson, an English scientist who left his estate to the United States to found “an establishment for the increase and diffusion of knowledge.”

The Smithsonian includes 19 museums, the National Zoological Park, 9 research centers, and numerous research programs carried out in the museums and other facilities around the world. In fiscal year 2017, there were more than 30 million visits to the Smithsonian museums and the zoo. In addition, more than 150 million people visited the Smithsonian's public websites.

The Smithsonian is the steward of an extensive collection of artifacts, works of art, and specimens. The Smithsonian's collections are estimated to include nearly 155 million, more than 145 million of which are scientific objects and specimens found at the National Museum of Natural History. The collections form the basis of world-renowned research, exhibitions, and public programs in the arts, culture, history, and the sciences. The Smithsonian Affiliations program brings its collections, scholarship, and exhibitions to almost all states, Puerto Rico, and Panama.



The Smithsonian Institution Building ("The Castle") in Washington, D.C., at dusk. Photo: Ken Rahim, Smithsonian Institution.

The funding for a substantial portion of the Smithsonian's operations comes from annual federal appropriations. The Smithsonian also receives federal appropriations for the construction, repair, and restoration of its facilities. Some construction and repair projects are funded entirely by federal appropriations, while others are financed by a combination of federal and private funds.

The Smithsonian also receives private support and government grants and contracts, and it earns income from investments and various business activities. Business activities include subscriptions to Smithsonian magazines and other publications; online catalogs; and sales at theaters, shops, and food services in its museums and centers.

## Office of the Inspector General

The Inspector General Act of 1978, as amended in 1988, created the Office of the Inspector General (OIG) as an independent entity within the Smithsonian. OIG reports directly to the Smithsonian Board of Regents and to the Congress. OIG's organizational structure is described below.

### Office of Audits

The Office of Audits conducts audits of the Smithsonian's programs and operations to improve their efficiency and effectiveness. The office is guided by an annual audit plan that identifies high-risk areas for review. The Office of Audits also monitors the external audits of the Smithsonian's financial statements and of the Smithsonian's information security practices.

### Office of Investigations

The Office of Investigations pursues allegations of waste, fraud, abuse, gross mismanagement, employee and contractor misconduct, and criminal violations of law that have an impact on the Smithsonian's programs and operations. It refers matters to federal, state, and local prosecutors for action whenever OIG has reasonable grounds to believe there has been a violation of criminal law. The Office of Investigations also presents any administrative misconduct to management for possible disciplinary action.

### Office of Operations

The Office of Operations provides technical and administrative support to OIG. It is responsible for OIG administrative matters, such as budgeting, procurement, human resources, and information technology.

### Counsel

The Counsel to the Inspector General provides independent legal advice to the Inspector General and OIG staff.

## Audits

Audit work focuses on improving the efficiency and effectiveness of the Smithsonian's programs and operations. During this semiannual period, OIG issued five reports, conducted work on nine ongoing audits, and closed five recommendations. OIG also issued its annual audit plan and a peer review report.

### Summary of Issued Audit Reports

Below are summaries of the reports that OIG issued during this reporting period.

*Independent Auditor's Fiscal Year 2017 Closing Package Financial Statement Report of the Smithsonian Institution Federal Appropriated Funds (OIG-A-18-01, November 16, 2017)*

An independent public accounting firm, KPMG LLP (KPMG), submitted the first of three reports on the Smithsonian's fiscal year 2017 financial statement audits. This report covers the audit of Smithsonian's federal closing package financial statements. KPMG said these financial statements present fairly, in all material respects, the financial position of the Smithsonian's federally appropriated funds as of September 30, 2017, and its net cost and changes in net position for the fiscal year, in accordance with U.S. generally accepted accounting principles.

*Fiscal Year 2016 Independent Evaluation of the Smithsonian Institution's Information Security Program (OIG-A-18-02, November 21, 2017)*

The Smithsonian's Office of the Inspector General contracted with Williams, Adley & Company-DC, LLP (Williams Adley) to conduct an audit of the effectiveness of the Smithsonian's information security program in fiscal year 2016 and to support the Office of the Inspector General's annual report under the Federal Information Security Modernization Act (FISMA).

The auditors determined that the Office of the Chief Information Officer (OCIO) implemented key elements of the Smithsonian's information security program such as vulnerability management, incident response, configuration management, and security training. However, Williams Adley also found that OCIO did not have an effective risk-based process to target resources on the highest-risk vulnerabilities for the two information systems that were tested. One of the two tested information systems provides the network infrastructure for most of the Smithsonian.

In addition, Williams Adley concluded that OCIO had neither established nor implemented an enterprise information security architecture to secure the Smithsonian's operating environment. Furthermore, by end of fiscal year 2016, OCIO had not resolved significant issues found in prior audits, such as the overdue implementation of an information security continuous monitoring program that helps assess the ongoing risks in the information security environment.

Based on the deficiencies found during this audit and the significant unresolved issues from prior audits, Williams Adley determined that the Smithsonian did not meet its



information security program goals. In addition, the Smithsonian was operating at the lowest FISMA metrics maturity level—Level 1: Ad hoc—for two of the five FISMA cybersecurity framework security functions, detect and respond. As a result, the Smithsonian’s information security program was not fully effective in reducing information security risks in fiscal year 2016.

Williams Adley made three recommendations to enhance information security at the Smithsonian. Management concurred with two of the three recommendations and partially concurred with the third recommendation. For the partially concurred recommendation, management agreed with the key aspects of the recommendation and provided an explanation for why they could not apply it in all cases.

*Independent Accountant’s Report on the Smithsonian Enterprises’ Net Gain for Fiscal Year 2017 (OIG-A-18-03, January 10, 2018)*

On January 10, 2018, KPMG reported the results of its Smithsonian Enterprises’ net gain review for fiscal year 2017. KPMG concluded that no material modifications should be made to the Statement of Net Gain to be in accordance with U.S. generally accepted accounting principles.

*Independent Auditor’s Report on the Smithsonian Institution’s Fiscal Year 2017 Financial Statements (OIG-A-18-04, January 22, 2018)*

KPMG submitted the second of three reports on the fiscal year 2017 financial statement audits on January 22, 2018. KPMG reported that as of September 30, 2017, the Smithsonian’s financial position and the related statements of financial activity and cash flows were presented fairly, in all material respects, in accordance with the applicable financial reporting standards.

*Independent Auditors’ Report on Compliance for the Major Federal Program; Report on Internal Control Over Compliance; and Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance for Fiscal Year 2017 (OIG-A-18-05, February 26, 2018)*

On February 26, 2018, KPMG submitted the third and final report of the fiscal year 2017 financial statement audits of the Smithsonian. KPMG expressed two unmodified opinions. First, KPMG opined that the Smithsonian complied, in all material respects, with compliance requirements for the major federal program, research and development. Second, KPMG opined that the Smithsonian’s expenditures of federal awards are fairly stated in all material respects in relation to the financial statements as a whole.

## Work in Progress

At the end of the period, OIG had nine audits in progress, as described below.

### Employee Background Investigations

OIG auditors are determining the extent to which the Smithsonian ensures that appropriate background investigations are promptly conducted on employees and affiliated individuals.

### Smithsonian Astrophysical Observatory's Grants Management

OIG auditors are assessing to what extent the Smithsonian Astrophysical Observatory (1) manages grants and contracts it receives in accordance with written policies and procedures and (2) has effective controls over administering grants it awards under a National Aeronautics and Space Administration (NASA) contract.

### Emergency Preparedness Program

OIG auditors are assessing to what extent the Smithsonian has effective emergency preparedness policies and procedures in place to protect life and property and to perform essential functions during circumstances that disrupt normal operations.

### Travel Expenses of the Board of Regents for Fiscal Year 2016

OIG auditors are determining whether the reimbursements for fiscal year 2016 complied with the Office of the Regents' *Reimbursement of Regents' Meeting Expenses* policy.

### Fiscal Year 2017 Review of the Smithsonian's Information Security Program

Williams Adley is reviewing the Smithsonian's information security program for fiscal year 2017. An OIG auditor serves as the contracting officer's technical representative for this audit.

### Management of Revenue-generating Contracts

OIG auditors are evaluating to what extent the Smithsonian has key controls to manage its revenue-generating contracts, such as licensing and royalty agreements, restaurants, and other concessions.

### Audit of Sodexo Operations Limited Liability Corporation's Revenue-generating Contract

Ahmad Associates Limited is performing an independent audit of the revenue-generating contract between the Smithsonian and Sodexo Operations Limited Liability Corporation (Sodexo). This audit will examine to what extent Sodexo (1) complied with the terms and conditions of its contract and (2) paid the Smithsonian in accordance with the contract in calendar year 2016. An OIG auditor serves as the contracting officer's technical representative for this audit.

## Audit of the Carolina Biological Supply Company Revenue-generating Contract

Ahmad Associates Limited is performing an independent audit of the revenue-generating contract between the Smithsonian and Carolina Biological Supply Company (CBSC). For calendar year 2016, this audit will determine to what extent CBSC (1) complied with the terms and conditions of its contract and (2) paid the Smithsonian in accordance with the contract. An OIG auditor serves as the contracting officer's technical representative for this audit.

## Assessment of Smithsonian's Detection and Response Capabilities for Information Security Incidents

OIG auditors are evaluating the Smithsonian's capabilities to prevent, detect, and respond to information security incidents.

## Other Audit Activities

### Status of Recommendations

As shown in table 2, Smithsonian management made progress in implementing recommendations from audit reports that OIG had issued in previous semiannual reporting periods. As a result, OIG closed five recommendations during the past 6 months.

Table 2: Summary of Audit Recommendation Activity during the Semiannual Reporting Period Ending March 31, 2018

Status of recommendations	Number of recommendations
Open at the beginning of the period	13
Issued during the period	3
<i>Subtotal</i>	16
Closed during the period	5
Open at the end of the period	11

Source: OIG assessment as of March 31, 2018.

Table 3 summarizes the audit reports from previous periods that have unimplemented recommendations. None of these recommendations involve any cost savings.

Table 3: Reports from Previous Periods with Unimplemented Recommendations

Report summary	Unimplemented recommendations
<p><i>Fiscal Year 2014 Independent Evaluation of the Smithsonian Institution's Information Security Program</i> (OIG-A-16-02, December 14, 2015)</p> <p>The OCIO continued to make progress in improving controls over information technology resources. However, OCIO needed to do additional work to ensure controls were in place and operating effectively. In addition, there were some control weaknesses because OCIO was not implementing security patches or software updates in a timely manner. Also, some system managers were not consistently submitting quarterly monitoring reports or remediating security vulnerabilities within established time frames. The report made 17 recommendations, and 1 remains unimplemented.</p>	<p>The Chief Information Officer (CIO) should strengthen the security assessment and authorization process to align with updated National Institute of Standards and Technology requirements.</p> <p>Target completion date: August 31, 2018.</p>
<p><i>Audit of the Smithsonian Institution's Privacy Program</i> (OIG-A-16-04, March 14, 2016).</p> <p>The Smithsonian has made progress in privacy management since the previous OIG privacy audit in May 2009. However, significant work was still needed to institute key privacy processes and controls. For example, key activities that have not been completed include developing an organization-wide privacy strategic plan and documenting a comprehensive list of personally identifiable information (PII) being collected, processed, and stored throughout the Smithsonian. Without a clear understanding of the types of PII being handled, management officials do not have reasonable assurance that they are collecting only the information needed to carry out the Smithsonian's mission and are adequately protecting that information. In addition, the Smithsonian's privacy impact assessment (PIA) process needs improvement. Eleven recommendations were made, and five remain unimplemented.</p>	<p>The Privacy Officer (1) should strengthen management of the Smithsonian's PII holdings by developing a formal process to periodically conduct and document a comprehensive inventory of PII used by the Smithsonian, (2) develop and implement a plan to reduce PII holdings where possible, (3) strengthen policies and procedures to identify systems requiring a PIA, (4) ensure that a PIA is completed for all systems containing PII, and (5) implement controls to ensure that the Smithsonian's breach notification policy is updated as necessary.</p> <p>Target completion date: August 1, 2018.</p>
<p><i>Information Security: Opportunities to Reduce the Risk of Unauthorized Access to the Smithsonian Institution's Publicly Accessible Websites</i> (OIG-A-17-05, September 27, 2017).</p> <p>The OIG determined that the Smithsonian had elements of the key processes in place to prevent, detect, and resolve website vulnerabilities. However, the Smithsonian needs to consistently apply those processes to resolve vulnerabilities, maintain its website inventory, and monitor websites for new threats. The auditors made four recommendations to enhance website security, of which three remain unimplemented.</p>	<p>The CIO (1) should determine the root cause of the untimely resolution of vulnerabilities that has created a backlog and then develop and implement a plan to resolve the problem, and address the existing backlog with a focus on resolving critical and high vulnerabilities; (2) ensure that individual website owners configure their systems to meet Smithsonian password complexity standards or, work with the website owners to reduce the risk of weak passwords and password storage; and, (3) develop and implement a plan to include website security logs in the automated log monitoring tool and configure the tool to alert security staff when suspicious website activity occurs.</p> <p>Target completion date: August 31, 2018.</p>

Source: OIG assessment as of March 31, 2018.

## Audit Peer Review

Government Auditing Standards require audit organizations to (1) establish and maintain a system of quality control that is designed to provide the audit organization with reasonable assurance that the organization and its personnel comply with professional standards and applicable legal and regulatory requirements, and (2) undergo external peer reviews by independent reviewers every 3 years. On September 22, 2017, the Amtrak Office of Inspector General completed the most recent peer review of the office, giving the Smithsonian OIG a rating of pass, the highest rating.

During this reporting period, OIG conducted a peer review and issued a peer review report on the quality control system for audits at the National Science Foundation's Office of Inspector General.

## Investigations

At the start of the reporting period, OIG had 31 open complaints and 12 ongoing investigations. During the reporting period, OIG received 37 new complaints, closed 40 complaints, opened 17 investigations, and completed 9 investigations. At the end of the reporting period, there were 14 open complaints and 20 ongoing investigations.

### Highlights of Investigative Actions

#### Recovery of National Collection Item Valued at \$400,000

OIG received information that an individual in Texas claimed to be in possession of the Omega watch once worn by Apollo 7 astronaut Donn Eisele while he was in space in 1968. NASA had purchased Omega watches for all astronauts for their use in space. The Omega watches remained the property of NASA and were returned to NASA by the astronauts upon their departure from the space program. NASA transferred this watch to the Smithsonian, and it became part of the National Air and Space Museum (NASM) collection. The watch was reported stolen from the Smithsonian collections while on loan to another museum in 1989.



Donn Eisele's Apollo 7 Omega Speedmaster 1  
(collectSPACE)

With the assistance of the Federal Bureau of Investigation (FBI), OIG identified the person who claimed to be in possession of the watch. Then, with the assistance of personnel from NASM, OIG was able to verify that the item was the stolen Omega watch. OIG, in coordination with FBI agents, recovered the Omega watch and returned it to NASM. The Omega watch has an estimated value of \$400,000 based on its historical provenance.

#### Time and Attendance Violation by Senior Employee

OIG determined that a senior Smithsonian employee recorded 60 hours as work hours when the employee was actually on leave, violating Smithsonian time and attendance policies. This inaccurate reporting represented an estimated loss of approximately \$6,267 to the Smithsonian. The employee said many other hours were worked that were not claimed. Nonetheless, Smithsonian policy does not allow any inaccurate time recording by employees. The employee's official time and attendance record was corrected to indicate that 60 hours of sick leave were used. The employee received verbal counseling on the importance of documenting time and attendance correctly.

### Misuse of Transit Benefits by Senior Employee

OIG determined that a senior Smithsonian employee obtained transit benefit funds despite using a personal vehicle to commute to work. In doing so, the employee violated Smithsonian policy and the terms of Smithsonian's transit benefit. The employee received verbal counseling for misuse of transit benefits. The remaining balance of approximately \$2,050 was removed from the employee's transit benefit account and returned to the Smithsonian.

### Fraud by Smithsonian Contractor Employee

OIG determined that an employee of a Smithsonian contractor fraudulently billed the Smithsonian for approximately 500 hours of overtime. The Smithsonian ended its contract with the contractor, and the contractor terminated the employee who committed the fraud. The United States Attorney's Office declined to prosecute the case.

### Time and Attendance Fraud, Misuse of Government Equipment

OIG determined that an employee violated Smithsonian policies by spending an excessive amount of time on personal calls using a Smithsonian-furnished telephone. Over a 9-month period, the employee spent a cumulative amount of 18 work days on personal calls, which has an estimated monetary loss of \$5,427. OIG also found that the employee misused the Smithsonian computer system by conducting personal business activities during Smithsonian duty hours and using Smithsonian-furnished equipment. The employee accessed numerous websites for the personal business for a total amount of 11 hours over a 9-month period, which resulted in a cost to the Smithsonian of approximately \$400, and saved personal business documents to the employee's Smithsonian computer. The employee received a 9-day suspension without pay.

### Time and Attendance Violation by Senior Employee

OIG determined that a senior Smithsonian employee violated the time and attendance policies by recording 40.5 hours as work hours when the employee was actually on leave. This inaccurate reporting represented an estimated loss of approximately \$4,376 to the Smithsonian. The employee's official time and attendance record was corrected by 30.5 hours of annual leave used and 10 hours of sick leave used. The employee said substantial overtime was worked that was not recorded. The employee received verbal counseling on the importance of documenting time and attendance correctly.

### Theft of \$200 from Museum Visitor

OIG determined that an employee created an appearance of violating Smithsonian policy and was less than candid in connection with a purse that was lost by a museum visitor. The employee found a visitor's lost purse in a museum gallery but did not follow the required lost-and-found procedures. When the purse was eventually returned to the museum visitor, the visitor claimed that \$200 was missing. The employee was terminated, and the employee's appeal to the Merit System Protection Board was denied.

### Theft of \$6,000 in Parking Lot Revenue

OIG found that an employee stole approximately \$6,000 in parking fee revenue. Based on the evidence found during OIG's investigation, the employee was terminated. The United States Attorney's Office declined to prosecute the case.

### Misuse of Smithsonian Equipment, Providing False Information

OIG determined that an employee violated Smithsonian policies by using Smithsonian-furnished equipment to transmit inappropriate nude images and by providing false information on a Declaration for Federal Employment. The employee was terminated.

### Theft of \$3,000 of Cash from Museum Store

OIG determined that an employee stole approximately \$3,000 from a museum store. The Smithsonian terminated the employee, and an arrest warrant was served on the employee. Subsequent to arrest, the employee entered into a deferred prosecution agreement with the United States Attorney's Office. The employee agreed to pay \$1,000 in restitution and served 8 hours of community service.

## Other Investigative Activities

### Fraud Awareness Program

OIG investigators continued efforts to reach out to Smithsonian staff and provide information on fraud awareness in Smithsonian programs and operations. During this reporting period, OIG investigators made fraud awareness presentations to 239 new employees during their orientation sessions.

### Investigative Peer Review

The Office of Investigations complies with guidelines established by the U.S. Attorney General. On February 27, 2015, the Government Publishing Office's OIG completed a peer review of the Smithsonian's OIG investigative program based on the *Quality Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General*. The Smithsonian received a peer review rating of "compliant," the highest rating.



Table 4 contains a statistical summary of OIG's investigative results during the semiannual reporting period.

Table 4: Statistical Summary of the Office of the Inspector General's Investigative Results during the Semiannual Reporting Period Ending March 31, 2018

Investigative activity or result	Number or amount
<b>Caseload</b>	
Cases pending at beginning of reporting period	12
Cases opened during the reporting period	17
<i>Subtotal</i>	29
Cases closed during the reporting period	9
Investigative reports issued	9
Cases carried forward	20
<b>Referrals for prosecution</b>	
Referrals to the Department of Justice	6
Referrals to state and local prosecuting authorities	0
Indictments and criminal information from current period referrals	0
Indictments and criminal information from prior period referrals	0
<b>Successful prosecutions</b>	
Convictions	1
Fines	0
Probation	0
Confinement	0
Monetary restitutions	\$1,000
Forfeiture of assets and seized evidence	0
<b>Administrative actions</b>	
Terminations	9
Resignations	10
Reprimands or admonishments	0
Suspensions	1
Monetary loss prevented	\$12,668
Value of collection items recovered	\$400,000

Source: OIG investigative activity statistics as of March 31, 2018.

## Other OIG Activities

### Legislative and Regulatory Review

In accordance with the Inspector General Act of 1978, as amended, OIG monitored and reviewed legislative and regulatory proposals for their impact on the Smithsonian's programs and operations. Additionally, the Counsel to the Inspector General monitored congressional bills and issues relating to the Inspector General community. OIG also reviewed draft Smithsonian policies for their impact on OIG operations.

### Other Activities

OIG remained actively involved with the Council of the Inspectors General on Integrity and Efficiency (CIGIE), a group of federal inspectors general that promotes collaboration on integrity, economy, and efficiency issues that transcend individual agencies. The Inspector General serves on five CIGIE committees and is the chair of the Small/Unique OIG Group, a group of inspectors general who meet quarterly and exchange ideas and practices. The OIG Counsel leads the Smaller OIG Counsel Working Group and serves on the steering committee for the OIG Freedom of Information Act Working Group.

In addition, OIG staff participated in the Metropolitan Area Fraud Task Force, the Association of Certified Fraud Examiners, the Institute of Internal Auditors, the Federal Audit Advisory Committee for Enterprise Technology Solutions, the Financial Statement Audit Network, and the Interagency Fraud Risk Data Mining Group.





Smithsonian Institution  
Office of the Inspector General

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The Office of the Inspector General investigates allegations of waste, fraud, abuse, gross mismanagement, employee and contractor misconduct, and criminal and civil violations of law that have an impact on the Smithsonian's programs and operations.

If requested, confidentiality is assured to the extent permitted by law. Although you may remain anonymous, we encourage you to provide us with your contact information. The ability to gather additional information from you may be the key to effectively pursuing your allegation.