

# OFFICE OF THE INSPECTOR GENERAL

 Smithsonian



## SEMIANNUAL REPORT TO THE CONGRESS

April 1, 2019 –  
September 30, 2019

Smithsonian Institution Building  
(The Castle)

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

Public Law Section	Reporting Requirement	Page
Section 4(a)(2)	Review of legislation and regulations	14
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	8-10
Section 5(a)(4)	Matters referred to prosecutive authorities	13
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	None
Section 5(a)(7)	Summaries of significant reports	5-6
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	8-10
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	None
Section 5(a)(14-16)	Peer reviews	10,12
Section 5(a)(17-18)	Investigative tables	13
Section 5(a)(19)	Reports on investigations with substantiated allegations involving senior employees	None
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

Source: OIG assessment as of September 30, 2019.

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### Abbreviations

CIGIE	Council of the Inspectors General on Integrity and Efficiency
CIO	Chief Information Officer
COTR	Contracting Officer's Technical Representative
ISC	Interagency Security Committee
KPMG	KPMG LLP
OCIO	Office of the Chief Information Officer
OIG	Office of the Inspector General
OPM	Office of Personnel Management
OPS	Office of Protection Services
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PL	Public Law
Smithsonian	Smithsonian Institution
USC	United States Code
Williams Adley	Williams, Adley & Company–DC, LLP

## Message from the Inspector General

On behalf of the Office of the Inspector General (OIG), I am pleased to submit this semiannual report to the Congress. This report highlights the accomplishments achieved through our audit and investigative activities for the six-month period ending September 30, 2019.

Our office issued four audit reports, including one with nine recommendations to improve Smithsonian Institution's (Smithsonian) information security program. OIG reported that the Smithsonian made progress in improving its information security program, for example, by updating its incident response and disaster recovery policies and implementing a security information and event management tool. However, additional work is needed for the information security program to reach the level defined by the Department of Homeland Security as fully effective. In addition, our office conducted work on six ongoing audits and closed nine recommendations. At the end of the reporting period, 21 recommendations remained open. More details on our ongoing and completed audit work can be found in the Audits section of this report.

Our investigative activities continued to focus on and hold accountable those individuals whose actions harm the Smithsonian's programs and operations. During the reporting period, OIG received 73 new complaints, closed 46 complaints, converted 11 complaints to investigations, and completed 4 investigations. OIG substantiated allegations in two investigations. As a result, the Smithsonian reprimanded two senior employees, terminated a third employee's employment, and demoted a fourth employee. More details on these cases 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

## Smithsonian Institution Profile

In 1846, the Congress created the Smithsonian as a trust instrumentality of the United States 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.”<sup>1</sup>

Today, the Smithsonian consists of 19 museums, the National Zoological Park, 9 research centers, and other facilities around the world. The majority of Smithsonian locations are in Washington, D.C., but the Smithsonian also has facilities in 10 states (Arizona, California, Florida, Hawaii, Maryland, Massachusetts, New Jersey, New York, Pennsylvania, and Virginia), Belize, and Panama.

In fiscal year 2018, there were more than 28.8 million visits to the Smithsonian museums and the zoo. In addition, Smithsonian’s public websites logged more than 160 million visits, an increase from the previous year of almost 10 million. The Smithsonian employs more than 6,700 staff (including about 3,900 federal employees) and has approximately 7,300 on-site volunteers, 762 fellows, and numerous interns and contractors at its various locations.

The Smithsonian is the steward of an extensive collection. The total number of objects and specimens in the Smithsonian’s collections is estimated at 155 million, of which 146 million are scientific specimens 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. Only a small portion of the Smithsonian’s collections is on display in the museums at any given time. The Smithsonian’s Affiliations program has 208 members and brings its collections, scholarship, and exhibitions to most states, Puerto Rico, and Panama.

A substantial portion of the Smithsonian’s operations is funded by annual federal appropriations. Federal appropriations also are received for the construction or repair and restoration of its facilities. In addition to federal appropriations, the Smithsonian receives private gifts and revenue from grants and contracts, and also earns income from investments and its various business activities. Business activities include Smithsonian magazines and books, catalogs, licensing, the Smithsonian TV channel, and theaters, shops, and food services located in its museums.

### National Museum of the American Indian’s Water Feature

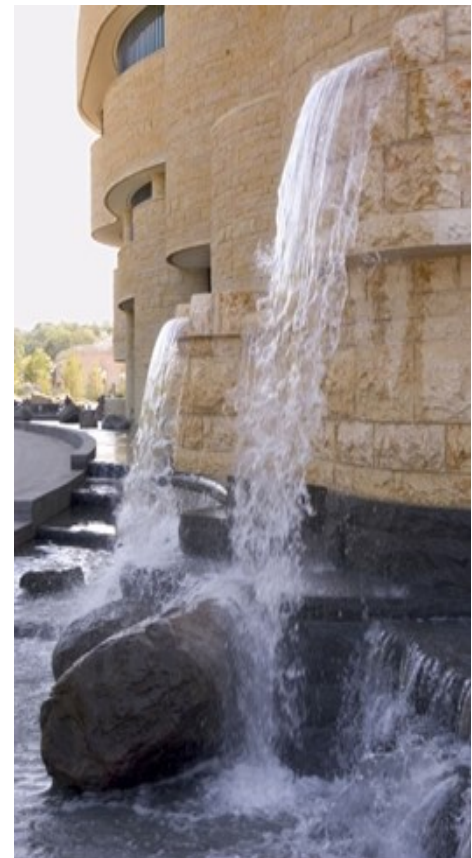


Photo: Katherine Fogden, Smithsonian.

<sup>1</sup> A trust instrumentality is a government agency or corporation that acts independently in carrying out work for the public good.

## Office of the Inspector General Profile

The Office of the Inspector General (OIG) is headed by the Inspector General, who is appointed by, reports to, and is under the general supervision of the Board of Regents. OIG is located in Washington, D.C. As of October 2019, OIG comprised 17 staff: the Inspector General, the Assistant Inspector General for Audits, the Assistant Inspector General for Investigations, Assistant Inspector General for Operations, Counsel to the Inspector General, 8 auditors, 3 investigators, and a mission support specialist.

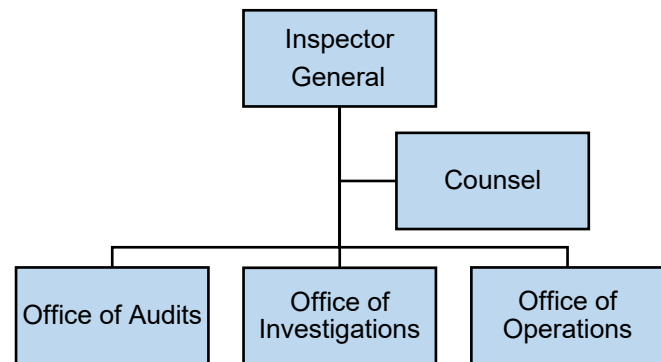
The OIG's organizational structure is described below.

### Audits

The Office of Audits conducts audits of the Smithsonian's existing and proposed programs and operations to help improve their efficiency and effectiveness. The office develops a risk-based annual audit plan to guide its work. The Office of Audits also actively monitors the external audits of the Smithsonian's financial statements.

### Counsel

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



### Investigations

The Office of Investigations pursues allegations of waste, fraud, abuse, and gross mismanagement; misconduct by employees, contractors, or others who affect the Smithsonian; 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 the Inspector General 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.

### Operations

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

OIG's vision, mission, authority, and core values are described below.<sup>2</sup>

## Vision

OIG's vision is to provide the highest quality oversight through timely action, independent and objective reporting, and an overall commitment to excellence.

## Mission

OIG's mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian's programs and operations through independent and objective audits and investigations and to keep stakeholders fully and currently informed.

## Authority

The Inspector General Act of 1978, as amended in 1988 (P.L. 100-504), established the Smithsonian's OIG. The Act requires Smithsonian OIG to perform the following functions:

- Conduct audits and investigations relating to the Smithsonian's programs and operations.
- Promote economy, efficiency, and effectiveness within the Smithsonian.
- Review and make recommendations regarding existing and proposed programs and operations.
- Prevent and detect waste, fraud, and abuse in the Smithsonian's programs and operations.
- Report expeditiously to the Attorney General whenever the Inspector General has reasonable grounds to believe there has been a violation of criminal law.
- Keep the Board of Regents and the Congress fully and currently informed of serious problems in Smithsonian's programs and operations.

## Core Values

Consistent with its mission and responsibilities, OIG's efforts are guided by four core values—accountability, excellence, integrity, and teamwork. These core values reflect the most important qualities needed for success and are reflected in all of the work done by OIG.

**Accountability.** A commitment to promoting accountability in the Smithsonian and taking personal accountability for actions and decisions within OIG.

**Excellence.** A commitment to providing timely, relevant, and high-quality products and services.

**Integrity.** A commitment to operating under the highest ethical principles by conducting our work in an honest, objective, and independent manner.

**Teamwork.** A commitment to working together to collectively achieve OIG's mission through respectful and professional interactions among ourselves and others.

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<sup>2</sup> The OIG vision, mission, goal and objectives, and core values are part of the OIG Strategic Plan for Fiscal Years 2019–2023, available from the OIG website at <https://www.si.edu/oig>.



## Audits

Audit work focuses on improving the efficiency and effectiveness of the Smithsonian's programs and operations. During this semiannual period, OIG issued four reports, conducted work on six ongoing audits, and closed nine recommendations.

### Summary of Issued Audit Reports

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

#### [Audit of Federal Awards Performed in Accordance with Title 2 U.S. Code of Federal Regulations Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards \(OIG-A-19-05, May 9, 2019\)](#)

OIG issued KPMG LLP's (KPMG) report on the audit of federal awards performed in accordance with *Title 2 U.S. Code of Federal Regulations Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. KPMG expressed two unmodified opinions in this report. First, KPMG opined that the Smithsonian complied, in all material respects, with the compliance requirements of the Smithsonian's two major federal programs—the research and development cluster and the United States Postal Service. Second, KPMG opined that the Smithsonian's expenditures of federal awards were fairly stated in all material respects in relation to the financial statements as a whole.

#### [Information Security: The Smithsonian Needs to Enhance Protection of Sensitive Information \(OIG-A-19-06, July 2, 2019\)](#)

OIG issued a report that assessed the Smithsonian's capabilities to prevent, detect, and respond to information security incidents. In response to an OIG recommendation from a prior audit, the Office of the Chief Information Officer (OCIO) was already developing a plan to address similar weaknesses, and OCIO was incorporating the results of this audit in that plan. As a result, OIG did not make a recommendation in this report.

#### [Fiscal Year 2018 Independent Evaluation of the Smithsonian Institution's Information Security Program \(OIG-A-19-07, September 23, 2019\)](#)

For fiscal year 2018, Williams, Adley & Company–DC, LLP (Williams Adley) found that the Smithsonian made progress in maturing its information security program. Significant improvements included updating key policies like incident response and disaster recovery, implementing a security information and event management tool, conducting phishing training for staff, and standardizing the information collected for hardware and software. Overall, both the Identify function and Recover function progressed from *Level 1: Ad-Hoc* in fiscal year 2017 to *Level 2: Defined* in fiscal year 2018. The remaining three functions—Protect, Detect, and Respond—continued to operate at *Level 2: Defined*. The improvements led Williams Adley to assess the overall program maturity as *Level 2: Defined* for fiscal year 2018. However, the Smithsonian did not reach maturity *Level 4: Managed and Measured*, the level defined by the Department of Homeland Security as fully effective.

Williams Adley found that the Smithsonian's information security program was hampered because many of the information systems had not yet been reauthorized for use through a revised security review process. Until that process is complete, it will be difficult for the Smithsonian to monitor how well its IT security program manages security risks. Williams Adley also found that five of the seven systems tested had not undergone a privacy impact analysis to assess the sensitive information stored in the system.

In addition, Williams Adley found that OCIO continued to address existing issues that impacted the maturity of the information security program. As of the end of fiscal year 2018, OCIO was in phase three of a four-phase plan to implement its information security continuous monitoring strategy. OCIO was also working to define an information security architecture to align the information security program with the Smithsonian's business needs. OCIO was targeting July 2019 to define the architecture; therefore, it was not in place before the end of fiscal year 2018.

Williams Adley made nine recommendations to enhance information security at the Smithsonian. Management concurred with all nine recommendations.

### [Travel Expenses of the Board of Regents for Fiscal Years 2017 and 2018 \(OIG-A-19-08, September 30, 2019\)](#)

According to 20 U.S.C. Section 44, the Executive Committee of the Board of Regents is required to audit the Regents' travel expenses. Since 2007, at the request of the Executive Committee, OIG has conducted annual audits of the Regents travel expenses.

The Office of the Inspector General found that the Office of the Regents generally complied with applicable policies and procedures for reimbursing Regents \$26,697 for travel expenses in fiscal years 2017 and 2018.

## **Work in Progress**

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

### [Management of Revenue-Generating Contracts](#)

OIG auditors are assessing to what extent the Smithsonian has effective controls to manage its revenue-generating contracts.

### [Hiring Practices for Trust Employees](#)

OIG auditors are determining to what extent the Office of Human Resources complies with Smithsonian policies and procedures for hiring trust employees.

### [Inventory Controls for the National Museum of African American History and Culture](#)

OIG auditors are assessing to what extent the National Museum of African American History and Culture has developed and implemented an inventory policy and plan and has an accurate inventory of its collections.

Financial Statements Audits, Fiscal Year 2019

An OIG auditor is monitoring KPMG in conducting the Smithsonian’s annual financial statement audits, which include the Smithsonian-wide financial statements and the compliance audit of federal awards.

Governance of Information Technology

OIG auditors are assessing to what extent the Smithsonian has effective and efficient governance structures and processes to consistently manage information technology across the organization.

Evaluation of the Smithsonian’s Information Security Program, Fiscal Year 2019

An OIG auditor is monitoring Williams Adley in conducting an audit evaluating the Smithsonian’s information security program for fiscal year 2019.

**Other Audit Activities**

Status of Recommendations

Smithsonian management made significant progress in implementing the recommendations from audit reports that we issued in prior semiannual reporting periods. As a result, we closed nine recommendations during the past 6 months. Table 2 provides summary statistics for OIG recommendations during this semiannual reporting period, as of September 30, 2019.

**Table 2: Summary of Audit Recommendation Activity during the Semiannual Reporting Period Ending September 30, 2019**

Status of Recommendations	Number of Recommendations
Open at the beginning of the period	21
Issued during the period	9
<i>Subtotal</i>	30
Closed during the period	9
Open at the end of the period	21

Source: OIG assessment as of September 30, 2019.

Table 3 summarizes the audit reports from previous periods that have unimplemented recommendations and their target completion, as of September 30, 2019. None of these recommendations involve any cost savings.

**Table 3: Reports from Previous Periods with Unimplemented Recommendations**

Report summary	Unimplemented recommendations
<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 needed improvement. OIG made 11 recommendations, and 1 remains unimplemented.</p>	<p>The Privacy Officer ensures that a PIA is completed for all systems containing PII.</p> <p>Target completion date: November 30, 2019.</p>
<p><i>Physical Security: The Office of Protection Services Needs to Strengthen Training, Medical and Physical, and Equipment Requirements for Armed Security Guards and Improve Oversight of Unarmed Contract Guards</i> (OIG-A-18-08, September 18, 2018)</p> <p>OIG found that the Office of Protection Services (OPS) basic training met or partially met most Interagency Security Committee (ISC) standards. However, the ISC recommends that armed guards qualify on firearms twice a year although OPS requires firearms qualification only once a year.</p> <p>Furthermore, OIG found that the ISC has more detailed and specific medical and physical standards than OPS in such areas as vision, hearing, cardiovascular system, musculoskeletal system, and general health. The ISC also recommends a medical examination and physician clearance for armed security guards, but OPS did not have independent verification by a physician that its minimum medical and physical requirements had been met. OPS is working to establish improved medical and physical standards, but it has not established a target completion date or interim milestones for implementation of these new medical and physical standards.</p> <p>In addition to its armed security guard force, OPS uses unarmed contract guards. The Contracting Officer's</p>	<p>The Director of OPS should assess the costs and benefits of adopting the ISC's best practice to require semi-annual firearms qualifications for all armed security guards.</p> <p>Target completion date: July 1, 2019.</p>

Report summary	Unimplemented recommendations
<p>Technical Representative (COTR), an OPS employee, is responsible for ensuring that the contract requirements for licensing and training of unarmed contract security guards are met. OIG found that the COTR did not verify whether the contract security guards met licensing and training requirements. The COTR instead relied on the contractor to ensure that the contract security guards met the requirements.</p> <p>OIG made seven recommendations, and one remains unimplemented.</p>	
<p><i>Personnel Security: Actions Needed to Strengthen the Background Investigation Process</i> (OIG-A-18-09, September 20, 2018)</p> <p>The offices of human resources use a position designation process to determine the required level of background investigation (low, moderate, or high). However, OIG found that the Smithsonian has no assurance that most of its employees hired in 2015 received the required level of background investigation. Due to incorrect designations and missing documentation, OIG could determine that only 35 percent of the sampled employees had received the required level of post-employment background investigation.</p> <p>In addition, OIG found that OPS did not always schedule or promptly schedule post-employment background investigations with the U.S. Office of Personnel Management (OPM). For instance, OPS did not schedule post-employment background investigations for 12 percent of sampled employees.</p> <p>OIG also found that the Smithsonian granted computer network access to more than 500 affiliated individuals, without background investigations, contrary to policy requirements. Furthermore, nearly a quarter were granted remote access. In addition, in accordance with its policy, the Smithsonian did not conduct background investigations on locally hired Panamanian employees at the Smithsonian Tropical Research Institute.</p> <p>OIG also estimated that the Smithsonian could realize about \$165,000 annually in savings if the Smithsonian Enterprises human resources office used OPM's Automated Tool to establish the required post-employment background investigation for its retail employees. According to this tool, these employees would require a low-level background investigation in contrast to the moderate level they now receive. In 2016, the difference in cost between the low-level and moderate-level background investigations was \$1,241. This potential annual savings is</p>	<p>The Director of Human Resources should develop and implement policies and procedures to do the following: (1) Designate and document position risk and sensitivity for all human resources offices. (2) Include a requirement that Trust positions receive a sensitivity designation. (3) Monitor compliance of position risk and sensitivity designations conducted by all human resources offices.</p> <p>The Director of the OPS should do the following: (4) Develop and implement procedures to establish time frames to schedule post-employment background investigations, monitor compliance with the newly established scheduling time frames, provide post-employment background investigations for temporary employees whose appointment extends past 180 days, and review data in the Identity Management System to ensure that it is accurate and complete. (5) Conduct the required level of background investigations for the sampled employees who did not have a post-employment background investigation scheduled. (6) Conduct the required level of background investigations for those employees without a record of one.</p> <p>The Chief Operating Officer and Under Secretary for Finance and Administration should do the following: (7) Develop and implement a policy to require all employees and affiliated individuals to undergo a background investigation prior to being granted computer system access, and OCIO to independently verify with OPS that an investigation was completed. (8) Identify all employees and affiliated individuals who have computer system access but have not</p>

Report summary	Unimplemented recommendations
<p>nearly one-third of the total amount the Smithsonian spent on all background investigations in fiscal year 2016.</p> <p>OIG made nine recommendations to improve the background investigation process, and none have been implemented.</p>	<p>received background investigations and ensure that they receive background investigations.</p> <p>The directors of the OPS and the Smithsonian Tropical Research Institute should: (9) Develop and implement background investigation policies and procedures for all of the Smithsonian Tropical Research Institute’s locally hired Panamanian employees.</p> <p>Target completion date: March 31, 2020.</p>
<p><i>Actions Needed to Enhance Protection of Sensitive Information</i> (OIG-A-19-01, October 10, 2018)</p> <p>The Smithsonian OIG conducted this performance audit to test the Smithsonian’s capabilities to prevent, detect, and respond to computer security incidents.</p> <p>OIG made two recommendations to improve security incident response at the Smithsonian, and one remains unimplemented.</p>	<p>Target completion date: November 30, 2019.</p>

Source: OIG assessment as of September 30, 2019.

[Audit Peer Review](#)

*Government Auditing Standards* require audit organizations to (1) establish and maintain a system of quality control 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 three years. On September 22, 2017, the Amtrak Office of Inspector General completed the most recent peer review, which is posted on our website. The Smithsonian OIG received the highest peer review rating of "pass."

## Investigations

At the start of the reporting period, OIG had 11 open complaints and 12 ongoing investigations. During the reporting period, OIG received 73 new complaints, closed 46 complaints, converted 11 complaints to investigations, and completed 4 investigations. At the end of the reporting period, there were 28 open complaints and 19 ongoing investigations.

### Highlights of Investigative Actions

#### [Misuse of Government-Owned Vehicle by Smithsonian Employee](#)

OIG determined that a Smithsonian employee used a government-owned vehicle to commute to and from work and during hours that well exceeded the regular commute time—in violation of Smithsonian Directive 103, *Smithsonian Institution Standards of Conduct*, and Smithsonian Directive 421, *Motor Vehicle Management*. The employee's supervisor approved the use of the government-owned vehicle to commute between the employee's workplace and another Smithsonian facility, which is near the employee's residence. The supervisor was not aware that Smithsonian policy prohibits the personal use of a government-owned vehicle. The Smithsonian terminated the employee's employment and demoted the supervisor.

#### [Violation of Smithsonian Standards of Conduct by Two Senior Employees](#)

OIG determined that two senior Smithsonian employees created the appearance that they were using their Smithsonian positions for personal gain—violating Smithsonian Directive 103, *Smithsonian Institution Standards of Conduct*. One senior employee attempted to purchase damaged Smithsonian merchandise at an extreme discount, contrary to established procedures. Ultimately, however, the senior employee did not follow through with the purchase. The other senior employee, who had access to the use of an official Smithsonian mail account, authorized the use of this mail account to deliver the damaged merchandise to the first employee's personal residence. However, the Smithsonian mail account was never used. Both senior employees received a reprimand. The Smithsonian redistributed copies of the procedures for processing damaged merchandise to Smithsonian staff.

#### [Alleged Retaliation by Two Senior Employees](#)

A Smithsonian employee told OIG that Smithsonian management did not take sufficient action after the employee reported alleged violations of the Clean Water Act at a Smithsonian facility. Additionally, the employee stated that two senior employees took retaliatory actions due to the reporting. OIG learned that Smithsonian management took steps to determine whether Clean Water Act violations occurred. Further, OIG did not substantiate the allegations of retaliatory actions.

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## 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 323 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 OIG completed a peer review of the Smithsonian OIG investigative program based on the *Quality Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General*. The Smithsonian OIG received a peer review rating of “compliant,” the highest rating. Our next investigative peer review is scheduled for summer 2020.



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 September 30, 2019**

Investigative activity or result	Number or amount
<b>Caseload</b>	
Cases pending at beginning of reporting period	12
Cases opened during the reporting period	<u>11</u>
<i>Subtotal</i>	23
Cases closed during the reporting period	4
Investigative reports issued	2
Cases carried forward	19
<b>Referrals for prosecution</b>	
Referrals to the Department of Justice	1
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	0
Fines	0
Probation	0
Confinement	0
Monetary restitutions	0
Forfeiture of assets and seized evidence	0
<b>Administrative actions</b>	
Terminations	1
Resignations	0
Demotions	1
Reprimands or admonishments	2
Suspensions	0
Monetary loss prevented	0
Value of items recovered	0

Source: OIG investigative activity statistics as of September 30, 2019.

## 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 statutory council of federal inspectors general that promotes collaboration on integrity, economy, and efficiency issues that transcend individual agencies. The Inspector General serves as the Vice Chair of the CIGIE Audit Committee; as a member on three other CIGIE committees; and as 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. OIG staff also serve on the CIGIE Technology Committee; the Emerging Technology, Assistant Inspectors General for Management, and Chief Information Officer subcommittees; and the Cross Cutting Initiatives Working Group.

In addition, OIG staff participated in the Association of Certified Fraud Examiners, the Institute of Internal Auditors, the Federal Audit Advisory Committee for Enterprise Technology Solutions, and the Financial Statement Audit Network.



# OFFICE OF THE INSPECTOR GENERAL



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## OIG's Mission

Our mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian Institution's programs and operations through independent and objective audits and investigations and to keep stakeholders fully and currently informed.

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## Reporting Fraud, Waste, and Abuse to OIG Hotline

OIG investigates allegations of waste, fraud, abuse, gross mismanagement, employee and contractor misconduct, and criminal and civil violations of law that have an impact on Smithsonian Institution programs and operations.

If requested, anonymity 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.

To report fraud and other serious problems, abuses, and deficiencies, you can do one of the following:

Call 202-252-0321.

Send an email to: [oighotline@oig.si.edu](mailto:oighotline@oig.si.edu).

Visit OIG's website: <https://www.si.edu/oig>.

Write to:  
Office of the Inspector General  
Smithsonian Institution  
P.O. Box 37012, MRC 524  
Washington, D.C. 20013-7012.

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## Obtaining Copies of Reports

To obtain copies of our reports, go to OIG's website: <https://www.si.edu/oig> or the Council of the Inspectors General's website: <https://oversight.gov>.