

# OFFICE OF THE INSPECTOR GENERAL

 Smithsonian

## SEMIANNUAL REPORT TO THE CONGRESS

April 1, 2020 –  
September 30, 2020



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	9
Section 5(a)(4)	Matters referred to prosecutive authorities	None
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	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	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	None
Section 5(a)(14–16)	Peer reviews	11,12
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, 2020.

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## Abbreviations

CIGIE	Council of the Inspectors General on Integrity and Efficiency
COR	Contracting Officer’s Representative
COVID-19	Coronavirus Disease 2019
ISCM	Information Security Continuous Monitoring
KPMG	KPMG LLP
NMAAHC	National Museum of African American History and Culture
OCIO	Office of the Chief Information Officer
Ocon&PPM	Office of Contracting and Personal Property Management
OIG	Office of the Inspector General
OPM	Office of Personnel Management
OPS	Office of Protection Services
PII	Personally Identifiable Information
SD	Smithsonian Directive
SE	Smithsonian Enterprises
Smithsonian	Smithsonian Institution
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 6-month period ending September 30, 2020.

During this period, our office issued two audit reports and conducted work on six ongoing audits. In one report, we made two recommendations to improve inventory controls at the National Museum of African American History and Culture, and we made a third recommendation for the Smithsonian to establish a timeframe for when new museums should have an inventory plan. In a second report, an OIG contractor found that the Smithsonian made improvements in its information security program in fiscal year 2019, but that the program was not effective overall as measured against the metrics of the Department of Homeland Security and the Office of Management and Budget. Therefore, 17 recommendations were made to further enhance the Smithsonian's information security program. In addition, our office closed five recommendations, including one that reflects a significant improvement in a key privacy process to protect personally identifiable information. Also, I am happy to report that our office recently received the highest peer review rating. This external peer review report concluded that our office's quality control system was suitably designed and operating effectively in ensuring the reliability of our audit reports. As a result, our office has reasonable assurance that its audits complied with professional standards in all material respects. We remain committed to maintaining an effective system of quality controls and improving our operations. The peer review report is available on the OIG website. For more details on our audit work, see 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 closed 77 complaints, converted 6 complaints to investigations, and completed 5 investigations. As a result, one employee resigned, and a museum artifact was recovered. More details on the cases can be found in the Investigations section of this report.

Just prior to this semiannual report period, the Smithsonian was impacted by the coronavirus disease 2019 (COVID-19). OIG has been monitoring and assessing the risks of COVID-19 to the Smithsonian's programs and operations. The Congress appropriated \$7.5 million to the Smithsonian to prevent, prepare for, and respond to the coronavirus, domestically and internationally, including funding for deep cleaning, security, information technology, and staff overtime.

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



The Smithsonian's National Zoological Park reopened on July 24, 2020, with new health and safety measures in place due to the COVID-19 pandemic.

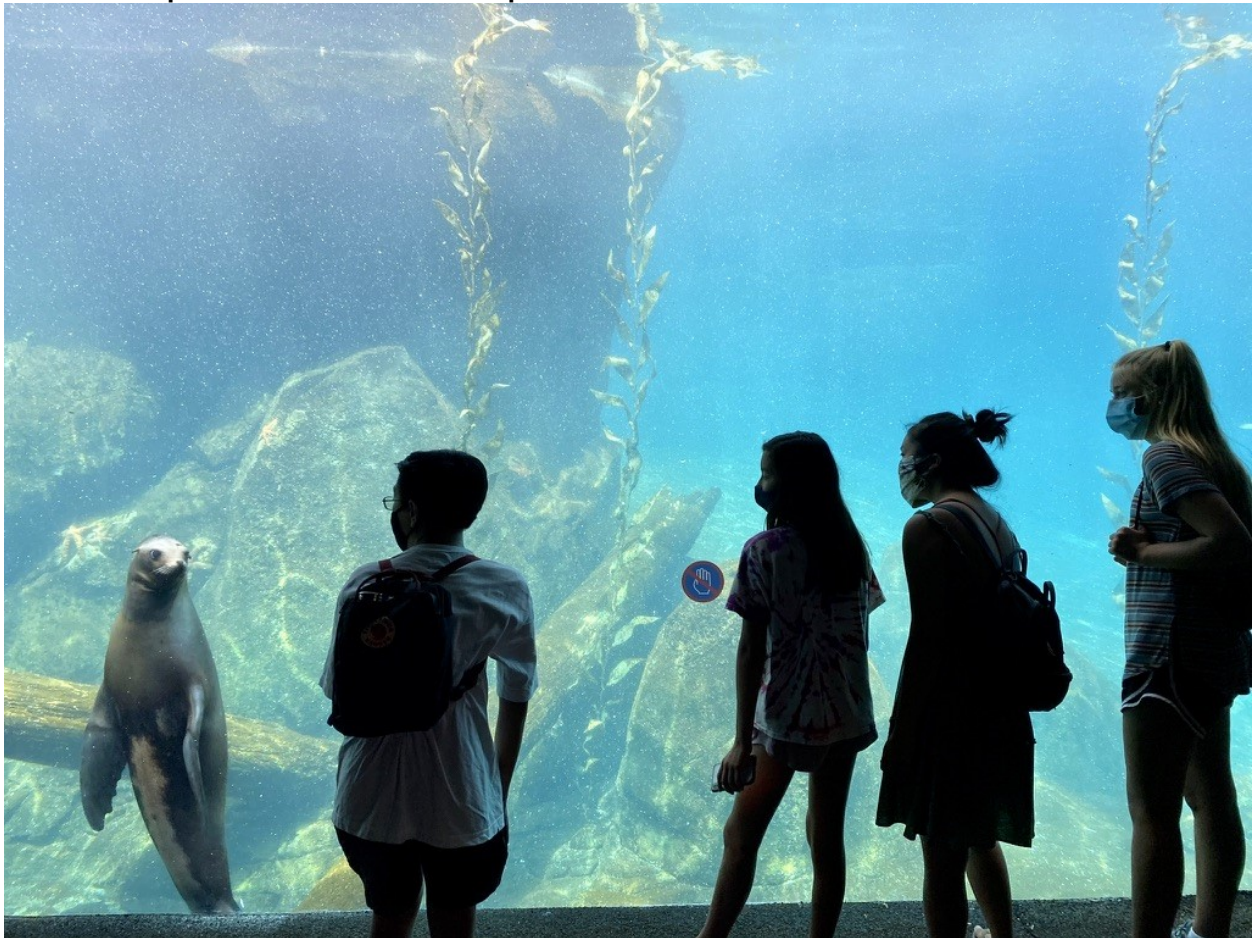


Image Credit: Epin Christensen.

## Smithsonian Institution Profile

In 1846, the Congress created the Smithsonian as a U.S. trust instrumentality 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, galleries, and gardens; 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. The Smithsonian’s Affiliations program has 203 members and brings its collections, scholarship, and exhibitions to most states, Puerto Rico, and Panama.

In fiscal year 2019, there were more than 23.3 million visits to the Smithsonian museums and the zoo. In addition, the Smithsonian’s public websites logged 154 million visits. The Smithsonian employs more than 6,700 staff (including about 3,620 federal employees) and has approximately 6,900 on-site volunteers, 1,960 fellows and research associates, and numerous interns and contractors.

The Smithsonian is the steward of an extensive collection. The total number of objects and specimens in the 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 made more than 5.1 million collection images, audio, videos, and blog posts available online for personal, non-commercial, and educational use. Through Smithsonian Open Access, nearly 3 million digital items have been released into the public domain.

A substantial portion of the Smithsonian’s operations is funded by annual federal appropriations. Federal appropriations are also 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; an online store; licensed products; travel programs; and museum theaters, shops, and food services.

### National Museum of African American History and Culture



Architectural photography by Alan Karchmer.

<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 September 2020, 18 staff comprised OIG: 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, 9 auditors, 3 investigators, and an administrative officer.

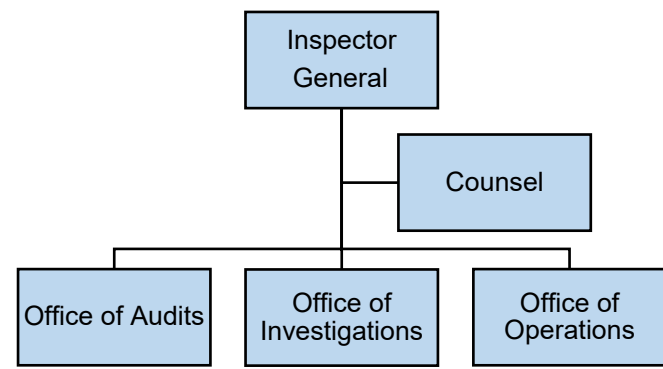
The OIG's organizational structure is described below.

### 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 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/About>.

## Audits

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

### Summary of Issued Audit Reports

Below are summaries of the two audit reports issued during this reporting period along with links to the original audit reports.

[Collections Management: The National Museum of African American History and Culture Needs to Enhance Inventory Controls Over Its Collections \(OIG-A-20-05, June 30, 2020\)](#)

Collections form the core of any museum and are essential for exhibitions, research, and other public programs. A continuous inventory system supports decisions regarding collections use, growth, storage, and security. Prior audits have found significant problems with inventory control and the accuracy and completeness of other Smithsonian museums' collection records.

The National Museum of African American History and Culture (NMAAHC) is the Smithsonian's newest museum. As of July 2018, NMAAHC had accumulated almost 37,000 objects since collecting its first object in 2005.

OIG found that NMAAHC took almost 3 years after its target completion date (the September 2016 museum opening) to establish a cyclical inventory process and plan that is required by Smithsonian policy. NMAAHC managers said that the creation of a new museum—starting with no staff, building, or collection—placed a significant workload on the small staff that was hired to start the museum. As a result, museum management did not develop an inventory process and plan in a timely manner.

In addition, NMAAHC has not conducted any inventories in accordance with Smithsonian policy since it began establishing its collection in 2005. However, NMAAHC staff undertook activities to update the location field in the museum's electronic collection information system when objects were moved either to be placed on exhibit or to a new location in a storage facility. These activities are important, but they did not meet the Smithsonian's documentation and reporting requirements for inventories. According to the cyclical inventory plan now in place, the first cyclical inventory was to be conducted in the third quarter of 2020; however, museum officials said they will need to postpone it because of the coronavirus disease 2019 (COVID-19) pandemic.

OIG found that nearly half of the sampled records from NMAAHC's collections information system contained incomplete or inaccurate data in one or more of eight selected fields that are required and needed to identify and locate collection objects. OIG identified several factors that contributed to incomplete and inaccurate information in these fields, such as (1) the museum staff giving priority to opening the museum and (2) creating complete records only for the

objects used in exhibits. Moreover, according to the Registrar, although the museum implemented its collection information system in 2008, the collections management staff did not develop cataloging standards until 2012. Incomplete and inaccurate data in a collection information system increases the risk that the museum may lose important historical and contextual information on objects. After we briefed NMAAHC managers on the interim results of our work, the museum took a number of actions to address the incomplete data in the collection records, including the object level field, which had the highest number of errors.

OIG made two recommendations to improve inventory controls at NMAAHC, and a third recommendation to establish a timeframe for when new museums should have an inventory plan. Management concurred with all three recommendations.

### [Fiscal Year 2019 Independent Evaluation of the Smithsonian Institution's Information Security Program \(OIG-A-20-06, September 30, 2020\)](#)

For fiscal year 2019, Williams, Adley & Company - DC, LLP (Williams Adley) found that the Smithsonian Institution (Smithsonian) made improvements in its information security program, such as completing the implementation of the Information Security Continuous Monitoring (ISCM) strategy. ISCM helps to detect attempts that can damage information systems resulting in unauthorized access, data loss, operational failure, or unauthorized data modifications. However, further actions are needed in this area. For example, the Office of the Chief Information Officer (OCIO) was not able to monitor and analyze security controls for 23 of 38 major information systems, and Williams Adley estimates it will take several years to complete the process for monitoring all 38 major systems. Until that process is complete, Williams Adley found that it will be difficult for the Smithsonian to monitor how well its information security program manages security risks.

In addition, the OCIO did not remediate high-security vulnerabilities in a timely manner. OCIO managers said a new procedure was implemented in June 2019 to ensure that vulnerabilities are addressed in a timely manner, but remediations were not completed by the end of fiscal year 2019 because of the large backlog. Also, for two selected information systems—the Pan-Institutional Database for Advancement and a museum's collection information system—the system owners put data in these systems at risk because they did not periodically review user account activities to identify potential misuse of privileged user accounts. Furthermore, OCIO's inventory of the software components for these two selected systems was missing required information. Without fully understanding the complete software inventory, the system owners may not be adequately protecting critical software, which increases the risk to the information that resides on the software.

Overall, Williams Adley found that the Smithsonian's information security program was not effective. Although the Detect function progressed to Level 3: Consistently Implemented in fiscal year 2019, the remaining four cybersecurity functions—Identity, Protect, Respond, and Recover—continued to operate at Level 2: Defined. For an information security program to be considered effective overall, at least three of the five cybersecurity functions must achieve Level 4.

Williams Adley made 17 recommendations to enhance information security at the Smithsonian. Management concurred with 15 recommendations and did not concur with 2 recommendations.

## Work in Progress

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

### [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.

### [Purchase Card Program](#)

OIG auditors are assessing to what extent Smithsonian has effective controls over the purchase card program.

### [Cyclical Inventory Plans and Reports](#)

OIG auditors are assessing to what extent museums and other collecting units have developed and implemented cyclical inventory plans in accordance with Smithsonian Directive (SD) 600 and the SD 600 *Implementation Manual*.

### [Assessment of 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.

### [Financial Statements Audits, Fiscal Year 2020](#)

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.

### [Evaluation of the Smithsonian's Information Security Program, Fiscal Year 2020](#)

An OIG auditor is monitoring Williams Adley in conducting an audit evaluating the Smithsonian's information security program for fiscal year 2020.

## Other Audit Activities

### Status of Recommendations

Smithsonian management made progress implementing the recommendations from audit reports that we issued in prior semiannual reporting periods. As a result, OIG closed 5 recommendations during the past 6 months. Table 2 provides summary statistics for OIG recommendations during this semiannual reporting period, as of September 30, 2020.

**Table 2. Summary of audit recommendation activity during the semiannual reporting period ending September 30, 2020**

Status of Recommendations	Number of Recommendations
Open at the beginning of the period	19
Issued during the period	20
<i>Subtotal</i>	39
Closed during the period	5
Open at the end of the period	34

Source: OIG assessment as of September 30, 2020.

Table 3 on the following page summarizes the audit reports from previous periods that have unimplemented recommendations and their target completion, as of September 30, 2020. None of these recommendations involve any cost savings.



Table 3. Reports from previous periods with unimplemented recommendations

Report Summary	Unimplemented Recommendations
<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 the Office of Protection Services (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 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 two have been implemented.</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 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 those employees without a record of one.</p> <p>The Chief Operating Officer and Under Secretary for Finance and Administration should do the following: (6) Identify all employees and affiliated individuals who have computer system access but have not received background investigations and ensure that they receive background investigations.</p> <p>The directors of OPS and the Smithsonian Tropical Research Institute should: (7) 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, 2021.</p>

Report Summary	Unimplemented Recommendations
<p><i>Fiscal Year 2018 Independent Evaluation of the Smithsonian Institution's Information Security Program</i> (OIG-A-19-07, September 23, 2019)</p> <p>The Office of the Inspector General contracted with Williams Adley to conduct this audit. The objective of the audit was to evaluate the effectiveness of the Smithsonian's information security program in fiscal year 2018.</p> <p>Williams Adley made nine recommendations to enhance information security at the Smithsonian. Management concurred with all nine recommendations, and two remain unimplemented.</p>	<p>The OPS system owner should: (1) Review and update its signed agreements with all contractor systems, in accordance with IT-930-02, Security Controls Manual Version 4.2</p> <p>The Chief Information Officer should do the following: (2) Assess current network operations and determine the best tool to prevent the intentional or unintentional exfiltration of PII.</p> <p>Target completion date: September 30, 2021.</p>
<p><i>Contract Management: Smithsonian Needs to Enhance Controls for Managing and Monitoring Revenue Generating Contracts</i> (OIG-A-20-01, October 22, 2019)</p> <p>This audit assessed the extent to which the Office of Contracting and Personal Property Management (OCon&amp;PPM) and Smithsonian Enterprises (SE) have effective controls to manage revenue generating contracts.</p> <p>OIG made four recommendations to improve controls over revenue generating contracts. Management concurred with all four recommendations, and two remain unimplemented.</p>	<p>The Director of OCon&amp;PPM, in coordination with the president of SE, should (1) align procedures and practices for assigning Contracting Officer's Representatives (CORs) to revenue-generating contracts, (2) complete and implement a training program for the CORs, and (3) develop and implement procedures to perform compliance reviews of revenue-generating contracts.</p> <p>Target completion date: December 31, 2020.</p>
<p><i>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</i> (OIG-A-20-04, February 25, 2020)</p>	<p>The Director of the Office of Finance and Accounting should (1) establish a standard accounting manual that would inform all employees of operating procedures and policies and (2) evaluate the process to review external financial reporting and enhance the level of review and precision.</p> <p>Target completion date: December 31, 2020.</p>

Source: OIG assessment as of September 30, 2020.

[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, 2020, the Federal Housing Finance Agency 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." As a result, our office has reasonable assurance that its audits complied with professional standards in all material respects. We remain committed to maintaining an effective system of quality controls and improving our operations.

## Investigations

At the start of the reporting period, OIG had 15 open complaints and 8 ongoing investigations. During the reporting period, OIG received 76 new complaints, closed 77 complaints, converted 6 complaints to investigations, and completed 5 investigations. At the end of the reporting period, there were 8 open complaints and 9 ongoing investigations.

## Highlights of Investigative Actions

### [Violation of Smithsonian Standards of Conduct and Time and Attendance Rules by Employee](#)

OIG determined that an employee violated Smithsonian Directive 103, *Smithsonian Institution Standards of Conduct*, and the Smithsonian's time and attendance rules by engaging in an outside activity during working hours and not taking annual or unpaid leave. Over nearly 7 months, the employee engaged in the outside activity on 20 separate days, for an estimated total of approximately 45 hours. The employee resigned from Smithsonian employment before disciplinary action could be taken.

## Other Investigative Activities

### [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 the highest peer review rating. Our next investigative peer review is scheduled for spring 2021.

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, 2020**

Investigative Activity or Result	Number or Amount
<b>Caseload</b>	
Cases pending at beginning of reporting period	8
Cases opened during the reporting period	<u>6</u>
<i>Subtotal</i>	14
Cases closed during the reporting period	5
Investigative reports issued	1
Cases carried forward	9
<b>Referrals for prosecution</b>	
Referrals to the Department of Justice	0
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	0
Resignations	1
Reprimands or admonishments	0
Suspensions	0
Monetary loss prevented	0
Value of items recovered	\$0

Source: OIG investigative activity statistics as of September 30, 2020.

## 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 Federal Audit Executive Council, 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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## IG'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 Smithsonian Institution OIG reports, go to OIG's website: <https://www.si.edu/oig> or the Council of the Inspectors General on Integrity and Efficiency's website: <https://oversight.gov>.