

Reporting Fraud, Waste, Abuse and Mismanagement

Central to the mission of the OIG is detecting and preventing fraud, waste, abuse and mismanagement in EAC programs and operations or involving funding disbursed by EAC. The OIG operates a hotline for use in reporting fraud, waste, abuse and mismanagement.

Complaints can be made to the hotline by phone, mail, fax, email or through our on-line complaint form (www.eac.gov/eac_oig). Complaints can be made confidentially or anonymously.

The following are some types of misconduct that should be reported to the OIG:

- Irregularities in contracts, grants or procurements
- Conflicts of interest
- Theft and misuse of government property (including government credit cards and IT resources)
- Travel fraud
- Abuses of authority
- Employee misconduct
- Time and attendance fraud
- Gross mismanagement of programs

When making a complaint, be sure to include as much information as possible about the alleged event: who was involved; when it occurred; where it occurred; what type of wrongdoing occurred; whether harm was done; whether anything was done to remedy the harm. A complete and candid report are critical to an effective investigation—this is particularly true of anonymous complaints as the OIG has no ability to follow up with the complainant.

Blowing the Whistle

Whistleblowing is a form of reporting fraud, waste, abuse and mismanagement that applies to current and former employees of the EAC as well as EAC contractors. These persons can make protected disclosures regarding:

- Violation of a law, rule or regulation;
- Gross waste of funds;
- Gross mismanagement;
- Abuse of authority; and/or
- Substantial and specific threat to public health or safety.

Disclosures can be made to a supervisor, a senior EAC official, the OIG or the Office of Special Counsel. These complainants are protected against threats or acts of retaliation or reprisal associated with their complaints.



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**U.S.ELECTION ASSISTANCE
COMMISSION
OFFICE OF INSPECTOR GENERAL**

Helping to ensure more efficient
and transparent government



Mission and Activities

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AN OVERVIEW OF THE OIG

The Office of Inspector General (OIG) is an independent division of the U.S. Election Assistance Commission that serves as a watch dog over federal funds — those spent by the agency internally, as well as those distributed externally through grants and contracts. The OIG also serves a vital role in evaluating EAC programs and making recommendations to improve the programs' efficiency, effectiveness and ability to prevent waste, fraud, and abuse of federal funds.

In order to fulfill these functions, the OIG conducts audits, inspections, and evaluations of EAC programs, operations, contracts and grant recipients. The OIG also conducts investigations of individuals and entities.



The OIG issues reports on all audits, inspections and evaluations. The reports are available on the OIG web site, www.eac.gov/eac_oig. We make every effort to make sure our reports contain accurate and timely information, including permitting the subject of the audit to submit comments which are considered when preparing the final report.

The OIG Tool Box

The Inspector General Act of 1978, as amended, and Help America Vote Act of 2002 (HAVA) give the OIG certain authorities or tools that it can use in carrying out its responsibilities. These tools include:

- Access to all records, documents, papers or other materials of the EAC, its grant recipients, or contractors
- Authority to issue documentary subpoenas to non-federal entities
- Authority to administer or take an oath, affirmation or affidavit from a witness
- Direct access to the EAC Chair

Audits, Inspections and Evaluations

The OIG uses several different types of reviews to assess EAC programs and operations and to review the use of HAVA funds by grant recipients. The types of reviews that we perform are:

- ◆ **Performance Audits** address the efficiency, effectiveness and economy of the EAC's programs, activities, and IT systems.
- ◆ **Financial Audits** determine whether a reporting entity (1) presents its financial statements fairly and in accordance with generally accepted accounting principles, (2) has an internal control structure that supports the control objectives set forth by the Office of Management and Budget and (3) complies with laws and regulations.



- ◆ **Attestation Engagements** involve examining or performing limited agreed-upon procedures on a specific operation, area or assertion.
- ◆ **Inspections and Evaluations** are short duration or topic-focused reviews that assess compliance with law or regulation or the efficiency and effectiveness of a program.
- ◆ **State Audits** review the use of HAVA funds by states and local jurisdictions.

Investigations

Criminal, civil or administrative investigations are conducted in response to alleged wrongdoing by EAC employees, contractors, grant recipients, and others responsible for handling federal resources. Investigations that expose violations of Federal law, rules or regulations or acts of fraud committed against the U.S. Government can result in criminal or civil prosecution or administrative sanction.

Confidentiality

The OIG will make every effort to maintain the confidentiality of its sources. In some cases, the OIG is bound by law to maintain them as confidential. Otherwise, the Inspector General will extend and protect confidentiality as appropriate, including obtaining permission or making a determination that release is necessary to the investigation or audit, before divulging the person's identity.