

## OIG Recovery Act Plan Overview

<b>OIG Name:</b>	U.S. Department of Commerce, Office of Inspector General
<b>OIG Broad Recovery Act Goals:</b>	The overall goals of the Commerce OIG's oversight of the Recovery Act include: 1) Execute a risk-based oversight approach to target OIG activities on higher risk programs and Department processes; 2) Identify effective OIG program oversight activities to assess whether Recovery Act objectives are met in the areas of a) prompt and fair award and distribution processes, b) accurate, timely, and transparent recipient fund reporting, c) authorized use of funds with steps taken to prevent instances of fraud, waste, error, and abuse, d) funded projects avoid unnecessary delays and cost overruns, and e) programs meet specific goals. 3) Focus OIG activities on ensuring adequate preventive measures while ensuring detection controls are in place; 4) Investigate complaints in accordance with the IG Act and special whistleblower provisions outlined in the Recovery Act; and, 5) Implement clear, accurate, and timely reporting of OIG oversight activity results through progress reports and distribution of audit and evaluation reports issued to Department Management, Congress, and the public.
<b>OIG Broad Outreach Recovery Act Goals:</b>	The overall goals of the Commerce OIG's outreach activities include: 1) Provide consultation to Recovery Act Steering Committee and other working groups where the OIG staff serve as advisory members; 2) Implement training programs and workshops across the Department to help strengthen: a) fraud awareness and detection programs; b) unique Recovery Act grant and contract processing procedures as are required under provisions of the act; c) specialized expertise required in the oversight of certain technical programs (i.e., broadband, construction management, etc.); 3) Facilitate open communications within the Department on Recovery Act activities with the objective of receiving more timely notices to the OIG when unusual trends are noticed or processing is off track and allowing more expedient remediation of issues; and, 4) Provide upfront review of program operational procedures prior to their execution to assess and provide consultation regarding the appropriate balance of preventive and detective controls.
<b>OIG Recovery Act Risk Assessment Process:</b>	Inherent risk assessments for each Department of Commerce program were completed through an analysis centered around 4 areas: Strategic Program, Operations, Legal and Compliance, and Fraud risk. Inputs to our process included Recovery Act, OMB guidance, bureau risk assessment documentation, bureau spend and program plans, and information from OIG, external audit and Department A-123 processes. This resulted in a determination of high, medium, or low risk by program and by risk category. The oversight plan generally has higher risk program areas receiving greater focus, which may include outreach activities such as training programs and workshops, up-front pre-review of program materials, operational processing reviews, program activity monitoring, and / or scheduled audits. Lower risk program areas would generally receive a lesser focus, which possibly could be limited to review of operational procedures, performance monitoring, and select verification of operational results.
<b>OIG Recovery Act Funds:</b>	\$16 Million
<b>Expiration Date of OIG Recovery Act Funds:</b>	\$6 Million in 2013, \$10 Million - until expended (does not expire).
<b>FY 2009 OIG Non-Recovery Act Funds:</b>	\$25.8 Million (Appropriations)
<b>Number of OIG Planned Recovery Act Hires:</b>	Up to 40 (Determining the mix of contractors and FTE)
<b>OIG Recovery Act Funds to be Allocated to Contracts:</b>	Yes
<b>Purpose of Recovery Act Contracts:</b>	Contractors will be used to supplement OIG staff and provide specialized expertise for workshop training or review of pre award, administration, and performance measurement activities for certain technical programs.
<b>Types of Recovery Act Contracts Awarded to Date:</b>	None

**Department of Commerce, OIG FY 2009 Recovery Act Work Plan**

Agency	Program Area	Agency Recovery Act Funds Associated w/Program Area*	Type of Review (Administrative / Financial, Eligibility, Performance, Other)	Entity Performing Review (OIG Staff, Contractor, Other)	Project Title	Background	Objective	Expected Quarter in Which Work will Start	Expected Quarter in which Final Report will be Issued	Expected Number of Reports
NTIA	Broadband	\$4.7 Bil	Other	OIG Staff	NTIA Should Apply Lessons Learned from Public Safety Interoperable Communications Program to Ensure Sound Management and Timely Execution of \$4.7 Billion Broadband Technology	The report provides three lessons learned that NTIA should consider from its administration of Public Safety Interoperable Communications Program (PSIC).	To help strengthen the Broadband program by sharing lessons learned from a similar program.	Q2 FY09	Q2 FY09	1
Commerce	Various Science, Technology and Infrastructure Programs	\$7.9 Bil	Other	OIG Staff	Commerce Experience with Past Relief and Recovery Initiatives Provides Best Practices and Lessons Learned on How to Balance Expediency with Accountability.	The report provides five lessons learned that bureaus receiving Recovery Act funds should consider based on experiences gained from other Commerce and government efforts where funds needed to be deployed expediently with accountability.	To help strengthen Recovery Act programs by sharing best practices and lessons learned from other governmental efforts where similar spending requirements needed to be met.	Q3 FY09	Q3 FY09	1
EDA, NOAA, NIST, NTIA	Various Science, Technology and Infrastructure Programs	\$5.2 Bil	Other	OIG Staff	Transparency and Accountability in Grants Management	As part of the OIG outreach program, OIG staff are providing an overview of Recovery Act requirements and best practices as they relate to Grants Management.	To help strengthen grants management programs across the Department and facilitate open communications with management and staff as it relates to control considerations in these programs.	Q3 FY09	Q1 FY10	1
Commerce	All Programs	\$7.9 Bil	Other	OIG Staff	Fraud Indicators	As part of the OIG outreach program, OIG staff are providing training on fraud indicators to better educate operational staff on data anomalies and unusual trends that could indicate fraud occurrences.	To help strengthen fraud awareness and detection programs and facilitate open communications with management and staff as it relates to data anomalies or unusual trends that could indicate fraud occurrences.	Q3 FY09	Q1 FY10	1
Census, NOAA, NIST	Various Science, Technology and Infrastructure Programs	\$1.1 Bil	Other	OIG Staff	Transparency and Accountability in Contract Management	As part of the OIG outreach program, OIG staff are providing an overview of Recovery Act requirements and best practices as they relate to contract management.	To help strengthen contract management programs across the Department and facilitate open communications with management and staff as it relates to control considerations in these programs.	Q3 FY09	Q1 FY10	1
Commerce	Various Commerce Programs	TBD	Other	Contractor	Technical Workshops	As part of the OIG outreach program, OIG procured contractors will provide an overview of technical solutions and best practices as they relate to program management and administration of program activities.	To help strengthen program and administrative management and facilitate open communications with management and staff as it relates to control considerations in various Commerce programs.	Q4 FY09	Q1 FY10	TBD
Commerce	Various higher risk programs	TBD	Administrative / Financial Reviews	OIG Staff	Pre-award Notification Operational Review	Evaluation would encompass pre-award operations for select higher risk programs to evaluate the adequacy of policies and procedures, internal controls, staffing, documentation, and reporting plans.	To provide up-front feedback to bureau management on their proposed Recovery Act programs pre award operations and controls.	Q4 FY09	Q1 FY10	1
Commerce	Various higher risk programs	TBD	Performance Reviews	OIG Staff	Program Measurement Review	Evaluation would encompass program measurement operations for select higher risk programs to evaluate the adequacy of measurements, policies and procedures, documentation, and reporting plans.	To provide up-front feedback to bureau management on their proposed Recovery Act programs performance measurements, monitoring operations, and reporting.	Q4 FY09	Q1 FY10	1

**Type of Reviews**

**Administrative/Financial Reviews** - reviews of management administrative issues, management internal controls, or financial systems/processes

**Eligibility Reviews** - reviews to determine if eligibility requirements were met for a given program

**Performance Reviews** - reviews to determine the effectiveness of a given program

**Other Reviews** - reviews that do not fit within the above categories

\* Amounts are approximate