



**Government-wide Management Control  
& Audit Follow-Up Focus Group  
Justice Department-Great Hall**

**Meeting Summary  
November 15, 2000**

Vickie Sloan, director of the Office of Audit Liaison for the Department of Justice, opened the meeting by welcoming everyone and thanking them for their interest and participation. Her introduction included an informal agenda, ideas for the group's goals and projects, and an overview of Justice's audit follow-up program.

The agenda included agency representatives introducing themselves and their management control and/or audit follow-up staff, describing the responsibilities of their programs and their organizational position, and raising issues which they have an interest in sharing, resolving, and/or receiving information or assistance. Ideas for the group's goals and projects included establishment of a working group and a web site, contributing to an update of OMB Circular A-50, and scheduling additional meetings with guest speakers.

**Program/Issues Discussion**

Many of the agencies have particular issues that are difficult to resolve and asked for input from the group on experiences and answers. One Justice issue concerned the desire to receive IG report recommendations that are workable, and allow all involved to agree on an action that will resolve it. Many recommendations are fuzzy which delay closure.

There are three issues that concern Interior staff: 1) program offices agree to implement impossible recommendations delaying closure; 2) the inability to share the OIG database which makes reconciliation of recommendations difficult; and 3) OIG wants to be notified when recommendations are closed, not just when reports are closed. Interior staff also raised the issue of GAO's short turnaround time for management response to draft reports. NASA, HHS, SBA, and the IG from DOD also weighed in on this issue.

Issues concerning NASA include trying to get NASA's IG to validate corrective action implementation as having resolved the recommendation and getting the IG to share information. Treasury shared NASA's first concern relating to validation. DOD's IG stated that his office provides validation of the corrective actions implemented by program offices. The Veterans Administration mentioned problems encountered in setting up entrance conferences with GAO. The General Services Administration (GSA) management control and audit staff also has a cooperative working relationship with their IG. GSA staff produces the semi-annual report on audit recommendations.

### Semi-Annual Reporting

Not all agencies issue a semi-annual report on audit recommendations; some, like Treasury, Energy and Interior include it in the annual accountability report. Interior holds semi-annual resolution meetings with its bureaus. DOE for one, includes the number of open recommendations, and emphasizes those that have been open for more than a year.

### Audit Tracking System

Few agencies have web-based tracking systems, although most would like to implement one. GSA's web-based tracking system uses Lotus Notes' database application, and the agency is moving toward a paperless system as is Energy's, whose current system is also web-based. Interior is converting their tracking system to MS Access. Both Treasury and State expressed interest in others' tracking systems – Treasury wants to replace its current outdated system, while State needs one implemented.

Energy, NASA, and Interior discussed the fact that they can not share their IGs' databases, and DOD confirmed that the IG and the audit staff also have separate databases; but Treasury shares its database with both IGs.

### Management Decisions and Monetary Benefits

Interior allows up to one year for resolution of management decisions, while Treasury strives to limit resolution to six months. Energy produces a monetary benefit impact statement and performs reconciliations with the program offices and the IG. Status reports from the program offices provide agreement or disagreement with the recommendations. DOD's IG requires a specific management response to monetary benefits contained in a report. If the program office disagrees with the dollar amount, the IG will note in the tracking system that the amount is 'to be determined.' Treasury's TIGTA also requires a positive statement regarding monetary benefits. The Treasury IG does not require a positive statement from program management agreeing/disagreeing with monetary benefits amounts, but advises them during the exit conference that the report will contain monetary benefits.

After two hours of discussion, the group decided to meet after the Christmas holidays. Treasury volunteered to host the next meeting which will be held in January 2001. Jim

Van Zandt of VA volunteered to create a group mailing list and send out meeting and other notices.